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To: Department Heads, Security Officers, and Chief Fiscal Officers

From: Thomas Smith-Vaughan, Chief Operating Officer

Date: May 2, 2025

Department Head Review and Approval of Statewide Enterprise Systems Security Access

Comptroller Memo #FY2025-19

Executive Summary

This memo is to inform department heads and department security officers (DSOs) of the requirement to complete the Annual Department Head Review and Approval of Statewide Enterprise Systems Security Access by **Wednesday, June 11, 2025**. In accordance with the [Department Head Signature Authorization in MMARS Policy](#), the [Statewide Enterprise Systems Security Policy](#) and the [Key State Finance Law Compliance Roles and Responsibilities](#), DSOs are required to assist the department head with review and certification of user access to enterprise systems that contain financial, payroll, and related data.

Department Head Review and Approval of Statewide Enterprise Systems Security Access

In accordance with CTR's [Department Head Signature Authorization in MMARS Policy](#) and [Statewide Enterprise Systems Security Access Management Policy](#), departments must assign enterprise security access roles that promote segregation of duties and ensure that users have the correct, appropriate, and lowest level of access necessary to perform transactions relative to their job responsibilities. The Annual Department Head Security Access Review and Approval helps department heads ensure that their department complies with this requirement. As part of the annual [Internal Control Certification \(ICC\) process](#), department heads are required to certify compliance with CTR security access requirements, including the annual Department Head Review and Approval of Statewide Enterprise Systems Security Access.

The Department Head Security Access Review encompasses both the enterprise systems managed by CTR and all individuals who can enter, submit, and approve obligations and expenditures. Approval includes users with Department Head Signature Authorization (DHSA) to execute contracts, sign off on payroll, incur obligations, authorize payments on behalf of a department head, and other enterprise system transactions, even if that individual does not access enterprise systems directly or regularly.

DSOs are provided with a list of security reports to facilitate the review of a user's current enterprise system access and roles in the **Annual Department Head Review and Approval of Enterprise Security Job Aid** available on PowerDMS in the Security folder. These security reports are currently available in MobiusView and are part of the monthly reconciliation of security roles performed by DSOs.

As part of the review process, and for audit purposes, DSOs must retain supporting documentation (paper or electronic) of the Department Head Review and Approval of Enterprise Security process including:

1. Copies of the security reports downloaded from MobiusView that were used to complete this review;
2. Evidence of review:
 - a. Supporting documentation that demonstrates review, which may include emails, Teams chats, SharePoint screen prints, hard copies with annotations, Excel or Access database entries, or other methods of tracking user access that documents the review dates and the person(s) performing the review;
 - b. Evidence demonstrating:
 - i. that relevant managers were provided with copies of the security reports for staff, and those managers have confirmed the current user access, or noted modifications
 - ii. that current access (or as modified), or additional internal controls, maintain segregation of duties
 - iii. that users have the correct, appropriate, and lowest level of access necessary to complete the user's job duties; and
3. A copy of the DocuSign certification of Department Head Review and Approval of Statewide Enterprise Systems Security form certifying completion of the review process. This document will serve as evidence of the department head's approval of the review and approval process.

Records Retention Responsibilities for Monthly Security Reports and Annual Department Head Review and Approval of Statewide Enterprise Systems Security Access

Departments must retain copies of supporting documentation for security report reviews, evidence of internal and department head review, any updates made by managers or the department head, and the certified DocuSign Annual Department Head Review and Approval of Statewide Enterprise Systems Security Access.

DSOs are also required to download the monthly security reports from MobiusView for security access review verification and for audit purposes. Auditors routinely request enterprise security access reports and review documentation of the DSO and department head reviews.

Reports and supporting documentation should be retained in a central, secured repository as part of the Department's written system of internal controls (and not personal folders) in accordance with the department's records retention protocols. **Security access information is highly sensitive information and should be properly secured.**

CTR is not responsible for retaining record copies of department security reports or certified DocuSign Annual Department Head Review and Approval of Statewide Enterprise Systems Security Access.

Statewide Key Contact - Primary DSO and Back-Up DSO Must be Current

The Department Head Review and Approval of Statewide Enterprise Systems Security Access form will be accessed and completed via the DocuSign platform. The invitation link will be sent to the department Primary DSO listed on the [Statewide Key Contacts Listing](#).

Department Primary DSO and Back-up DSOs are designated using the [Key State Finance Law Compliance Responsibilities Update PowerForm](#). Once the PowerForm is electronically signed by the department head, it will be routed to CTR to update the [Statewide Key Contacts Listing](#).

Departments are responsible for ensuring that Key Contacts, including the Primary DSO and Back-up DSOs are up-to-date on the [Statewide Key Contacts Listing](#). It is important for departments to keep their Statewide Key Contacts Listing current because important CTR information, including DocuSign invitation links and other communications, are sent to the listed Key Contacts.

If updates are needed, please submit a [Key State Finance Law Compliance Responsibilities Contacts Update Form](#) as soon as possible. For resources related to the DocuSign PowerForm, please see: [Electronic Signatures - Office of the Comptroller Intranet](#)

Deactivating Inactive Users, Major Changes in User Roles

As part of the Department Head Review and Approval of Statewide Enterprise Systems Access, DSO's must ensure that users who are not active in the Statewide Enterprise Systems, as well as any user who has separated from service, transferred, or is on extended leave are deactivated. Please refer to CTR's Statewide Enterprise Systems Security Access Management Policy for department responsibilities regarding revocation of access upon termination, separation of

service or leave. **Submission of Department Head Review and Approval of Statewide Enterprise Systems Security Access Form through DocuSign**

The Primary DSO identified in the [Statewide Key Contacts Listing](#) will receive an email from CTR.DocuSign.Security.DH_AA@mass.gov with a link to the Department Head Annual Review and Approval of Statewide Enterprise System Security Form in DocuSign.

DSOs should review the **DocuSign Department Head Annual Review and Approval of Enterprise Security Job Aid** that is available on PowerDMS for detailed instructions for completion of the DocuSign form

The DocuSign form does not allow attachments. Please DO NOT email any security related information to the CTR Security Team, including copies of the DSO Annual Approval of Statewide Enterprise Systems Security Forms. Security access information is highly sensitive and should not be sent to CTR or outside your department.

Thank you for your time and cooperation. Your diligence in complying with this memo is vital to mitigating risks inherent to managing enterprise systems. For the fastest response to questions related to the Department Head Annual Review and Approval of Enterprise Security, please submit a ticket to [CTR Solutions Desk](#) indicating “DH Enterprise Security Approval” in your request.

Cc: MMARS Liaisons
Payroll Directors
General Counsels
Internal Distribution