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

From: Peter J. Scavotto, Assistant Comptroller for Risk

Date: May 10, 2021

Re: Department Head Annual Review and Approval of Statewide Enterprise Systems

Comptroller Memo #FY2021-19

Executive Summary

Annually, Department Heads must review and confirm: (1) the employees they have authorized to access, process and approve transactions in Enterprise Systems on their behalf; and (2) any other individual who can approve obligations and expenditures (execute contracts, approve payroll, incur obligations, authorize payments, etc.) on behalf of a Department Head, even if those individuals do not directly access Enterprise Systems themselves. This certification must be completed and returned to the Office of the Comptroller before the last business day of the fiscal year, which will be June 30, 2021, this year.

Department Heads have legal spending authority for their appropriations and are responsible for assuring that employees' access to automated systems reflects their job duties and is not broader than necessary. New Department Heads must approve security roles within 30 days of their appointment. If you have reviewed and approved security for your Department and submitted a certification on or after April 1, 2021, either as a new Department Head or due to staffing changes, you have satisfied the requirement set forth in this Fiscal Year Memo.

Department Head Review and Certification

As described in the [Statewide Enterprise Systems Security Policy](#), Department Heads are required to certify security access to enterprise systems annually in conjunction with Closing and Opening of the fiscal year. Department Security Officers are also required to certify security access at the end of the calendar year, thus a formal review is performed every 6 months. This review covers all Enterprise Systems listed below, and should include any individual who can approve obligations and expenditures (execute contracts, signoff on payroll, incur obligations, authorize payments, etc.) on behalf of a Department Head, even if that individual does not access these Enterprise Systems.

Approval of transactions to “Final” status in the state financial systems serve as a certification from the Department Head to the Comptroller that transactions comply with State Finance Law and the documents are accurate and complete, the expenditures or other obligations are supported by sufficient legislatively authorized funds, are made in accordance with the Department’s legislative mandates and funding authority, and comply with all applicable laws, regulations, policies and procedures.

Enterprise Systems and related reports for review:

A. **MMARS/LCM:** The Massachusetts Management Accounting and Reporting System, including the Labor Cost Management sub-system, supports the financial functions performed by Commonwealth Departments.

✓ **Related Mobius reports to review users with access to MMARS:**

1. **SECMARS:** display all active user profiles with their assigned security roles and Department Head Signature Authorization (DHSA) flag(s) if any.
2. **NMF580W:** User Activity Report.
 - a. **Related CIW views to further review the details of NMF580W (i.e. query for dates beyond one month)**
 - i. **M_USER_ACTIVITY_REPORT:** This table/view provides a summary of users’ MMARS transaction history.
 - ii. **M_USER_ACTIVITY_DETAILS:** This table/view provides details of each user’s specific MMARS transaction history.
3. **NMF581W:** This report will show users that have both created and submitted encumbrances and payments.
4. **MISRVE10** (Organized by UAID) **and MISRVE20** (organized by Last Name): These reports show all active UAIDs and Enterprise Systems to which users have access.

B. **HR/CMS:** The Human Resource/Compensation Management System supports time and attendance, human resources, and payroll.

✓ **Related Mobius reports to review users with access to HR/CMS:**

1. **SECHRCMS:** Display all active user profiles with their assigned security roles.
2. **MISRVE10** (Organized by UAID) **and MISRVE20** (organized by Last Name): These reports show all active UAIDs and Enterprise Systems to which users have access.

Enterprise Systems and related reports for review (continued):

C. **CIW:** The Commonwealth Information Warehouse (CIW) provides access to financial, labor cost management, time and attendance, human resources and payroll data for MMARS, LCM, UMASS and HR/CMS as well as a variety of historical databases - Classic MMARS, PMIS and CAPS.

✓ **Related Mobius report to review users with access to CIW:**

1. **SECIW:** Display all active user profiles with their assigned security roles.

D. **InTempo:** The Executive Office of Technology Services & Security’s online security system through which your Department Security Officers and Security Administrators request access to these Enterprise Systems.

✓ **Related Mobius report to review users with access to InTempo:**

1. **SECINTEM:** Display all active user profiles with their assigned security roles.

Access to these reports can be granted to Department Heads, Chief Fiscal Officers (CFOs), Internal Control Officers (ICOs) and Department Security Officers (DSOs).

These security reports will be available via Mobius the first week of June, and the reports will be run again mid-June for you to verify any changes you have made.

For Questions:

| Enterprise Applications | Contacts for Security Related Issues |
|-------------------------|--|
| MMARS and HR/CMS | Comptroller’s Security Team Phone: (617) 973-2468 Email: Securityrequest@mass.gov |
| CIW, VPN, and InTempo | Executive Office of Technology Services & Security’s End User Support Phone: (844) 435-7629 Email: massgov@service-now.com |

Evidence of Enterprise Systems access review and certification

Evidence of all system access reviews must be maintained at the department. Evidence of such review must be provided upon the request of the Office of the Comptroller and internal/external auditor(s) and includes signing off on each report whether or not there are any changes annotated. In the event that a department has its own method of tracking user access (Excel, Access, etc.), and demonstrates an active review for compliance which is clearly marked, signed and dated, it may substitute for the annotated Mobius reports noted above.

Comptroller Memo FY#2021-19
FY21 Department Head Annual Approval of Statewide Enterprise Systems Security
May 10, 2021
Page 4

After reviewing the security reports, process all changes as appropriate and submit the certification via the [Department Head Annual Approval of Statewide Enterprise Systems Security Form](#). Please submit to securityrequest@mass.gov no later than June 30, 2021.

Thank you for your time and cooperation. Your diligence in complying with this policy is vital to mitigating risks inherent to managing these systems.

Cc: MMARS Liaisons
Payroll Directors
General Counsels
Internal Distribution