



West Virginia Department of Transportation Policy: **SECURITY FOR MAINFRAME COMPUTER MAINTENANCE TRANSACTIONS**

Issued by the Secretary of Transportation

Policy No: DOT 1.6

Issue Date: 04/15/2004

Revised: 10/14/2022

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1.0 INTRODUCTION

This procedure provides an explanation of the built-in safeguards, controls, and system security for the West Virginia Department of Transportation (WVDOT) Remote Entry Management Information System (REMIS). REMIS is a part of the mainframe computer system. The West Virginia Department of Administration manages and operates the mainframe computer system. As REMIS is phased out the procedures, process, and training for the new systems will be made available to the employees working in those systems. This policy explains REMIS to WVDOT employees authorized to utilize the system.

1.1 WEST VIRGINIA COMPUTER CRIME AND ABUSE ACT

The Legislature of West Virginia created the "West Virginia Computer Crime and Abuse Act." (WV Code §61-3C-1)

The maximum criminal penalty assessed upon conviction under the West Virginia Computer Crime and Abuse Act is a fine of not more than \$10,000 or imprisoned in a state correctional facility for not more than 10 years, or both. (WV Code §61-3C-4) In addition, any person whose property or person is injured by violation of any provision of the Act may sue in circuit court and may seek compensatory damages; punitive damages; and other relief, including injunctive relief as the court may deem appropriate.

The WVDOT recognizes the need to protect the rights of owners and legitimate users of computers and computer systems, as well as the privacy interest of employees and the general public from abuse.

This policy provides full support of the Computer Crime and Abuse Act. WVDOT is aggressive in attempting to maintain in-house compliance not only with the Act, but also with all related federal statutes.

1.2 WEST VIRGINIA DEPARTMENT OF ADMINISTRATION

The West Virginia Department of Administration, Office of Technology (OT) in order to comply with the Computer Crime and Abuse Act, requires that all users of the mainframe computer resources be identified by an individual Logon Identification. These Logon I.D.s are controlled and issued by OT through a mainframe application.

Employees of the WVDOT must make application to Information Technology (IT) Division for this Logon I.D. IT Division functions as the coordinating office for the WVDOT and all related correspondence must be directed to this Division.

1.3 ACCESS CODE

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In order to gain access to REMIS and its various transactions, including the Inquiry System (HWIQ), the WVDOT employee must first access the mainframe through the use of the OT issued Logon I.D.

Once access to the mainframe has been accomplished and the individual is into REMIS, additional internal system security controls take over. These internal controls permit the employee to perform only those functions that have been designated and approved by the agency head, or division, or district manager.

2.0 DEFINITIONS

Agency: means any authority, bureau, commission, or Division or similar cabinet subpart of the WVDOT.

Agency head: means the chief executive officer of an agency.

District Manager: means the administrative head of the District regardless of whether the person is an engineer or another classification.

Division Director: means the administrative head of a WVDOT Division.

Employee: means a person who lawfully occupies a position in a WVDOT agency and who is paid a wage or salary and who has not severed the employee-employer relationship.

REMIS: means the Remote Entry Management Information System that was developed as an in-house system to gather detailed information in the areas of payroll, equipment, inventory, accounts payable and accounting. The data is accessible for various reports to assist in decision making. Several REMIS functions have migrated to other programs such as WVOASIS as REMIS is phased out.

WVDOT: means the West Virginia Department of Transportation.

WVOASIS: means the Enterprise Resource System, the statewide computer system designed to manage the state's business functions Financial Management, Procurement, Asset Management, Personnel Administration, Payroll, Time Reporting, and Benefits Administration.

3.0 INTERNAL CONTROLS AND ACCESS TO MAINTENANCE TRANSACTIONS

Tables A and B, in Section 6.1 and 6.2 respectively, list all the REMIS functions and their respective narrative descriptions as well as any applicable restrictions. These REMIS access levels make up the WVDOT's internal control. REMIS functions are only permitted for those

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individuals with assigned duties and responsibilities to the various functions and transactions commensurate with their job requirements.

The REMIS access levels are divided into two groups, called Specialized/Restricted Maintenance Transactions (Table A) and General Maintenance Transactions (Table B).

4.0 SPECIALIZED/RESTRICTED MAINTENANCE TRANSACTIONS

The REMIS functions referred to as specialized or restricted are designed for the exclusive use of specific agencies, or managers. These specialized functions permit the designated employees to perform their responsibilities in maintaining specific computer systems.

For example, Finance Division is responsible for maintaining authorizations; therefore, the "Authorization Maintenance System" is open only to Finance Division to add, change, and delete authorization masters for use by all agencies and organizations within the WV DOT.

Likewise, all other specialized systems permit the assigned agency or the necessary facilities to exercise their computer system maintenance responsibilities.

4.1 REQUESTS FOR EMPLOYEE LOGON NUMBER AND SYSTEM ACCESS FOR SPECIALIZED /RESTRICTED MAINTENANCE TRANSACTIONS

Requests for Specialized or Restricted Maintenance Transactions will be initiated by the division or district manager on a completed Form DOT-357, System Security Request, submitted to IT Division. Table A of this policy provides a listing and explanation of all of the various Specialized or Restricted Maintenance Transactions. Any request requiring WV DOT level management approval will be coordinated by IT Division on behalf of the requesting individual.

5.0 GENERAL MAINTENANCE TRANSACTIONS

This group of REMIS functions/transactions can be described as being related to one of the following three categories:

DAILY REPORTING – common functions which occur on a regular basis, i.e., entry of daily work reports, inventory transfers, usages, and non-vendor receipts, accounts payable receipts, rolling stock equipment, preventive maintenance, and meter readings, and journal entries.

MASTER MAINTENANCE - certain computer master adds and changes performed on an as needed basis, i.e., entry of accounts payable purchase masters, transfer or status change of rolling stock equipment, inventory masters and maintenance management.

INQUIRIES - information review capabilities (no changes), i.e., general REMIS information, Department of Administration Vendor registration, payroll timesheets and personnel/payroll inquiry.

5.1 REQUESTS FOR EMPLOYEE LOGON NUMBER AND AUTHORIZATION LEVEL FOR GENERAL MAINTENANCE TRANSACTIONS

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All requests for Employee Logon Numbers and authorization levels for General Maintenance Transactions must be directed to IT Division and are initiated by the agency or organization manager. These requests will be submitted on Form DOT-357, System Security Request.

A System Security Request, Form DOT-357 must be initiated when a new employee's responsibilities require access to the General Maintenance Transactions, anytime the access level changes for a current employee; or anytime an employee transfers to another WVDOT organization.

5.2 PROCESSING A "SYSTEM SECURITY REQUEST", FORM DOT- 357

A. ADD

When a new employee is hired or when a current employee assumes new responsibilities which require access to REMIS as part of his/her work duties, the agency/organization manager must initiate a request to obtain an Employee Logon Number and establish an authorization level for that employee. Form DOT-357, System Security Request, must be completed and directed to IT Division with an effective date no less than five working days after receipt by IT Division. The DOT-357 may be submitted by interdepartmental mail, fax, or as a file attached to an email. The fax number is 304-558-4076. All fax submissions must be followed by an interdepartmental mailing of the original, signed DOT-357 for authentication. The email address for these submissions is SecurityRequests@dot.state.wv.us. Email requests will only be accepted when sent by an approved authority: the organization manager (Commissioner, Director, or District Manager) or the organization's Information Security Coordinator. No telephone requests will be accepted.

1. Upon completion, one copy of Form DOT-357 will be retained as a suspense copy by the requestor and the original and one copy will be submitted to IT Division for processing.
2. Upon receipt by IT Division, the Form DOT-357 will be logged in and reviewed to ensure that proper approvals have been completed and that those transactions noted on the Form DOT-357 are not restricted to only certain employees within WVDOT. In the event that WVDOT level approval is required, IT Division will coordinate with the appropriate official.
3. Upon receipt of the mainframe Logon Number from OT, IT Division will then indicate the Logon Number on the Form DOT-357 and enter all the approved maintenance transactions into the DOT internal control system and return a copy of the Form DOT-357 to the requesting official with the assigned Logon Number. The Form DOT-357 will indicate the initials of the IT

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Division individual who entered it into the system along with the date entered. The DOT-357 is then logged out of IT Division, and the original of the Form DOT-357 will be retained on file in the IT Division.

B. DELETE

When an employee's responsibilities no longer require any level of access, the agency/organization manager must initiate a delete request, which is to be processed in the same manner as outlined for an add. This will remove the employee's established Logon and access level. Deletion of a terminated employee's Logon will be handled by IT Division.

1. The DOT-357 request must be submitted by email to SecurityRequests@dot.state.wv.us. The request must also note the employee's existing Logon. Processing of the Form DOT-357 will require a minimum of two working days from the time of receipt by OT.
2. The IT Division's processing for an employee deletion will be completed in the same manner as an addition. OT will return a copy of the processed request to the originator showing the deletion has been completed.

C. CHANGE

In the event that a current employee, who has been assigned a mainframe Logon, assumes additional responsibilities or is relieved of certain responsibilities which affect the various access levels to REMIS, the agency/organization manager must submit a change request to IT Division. When an employee transfers to another WV DOT agency, the gaining (new) agency manager/organization must submit a request for change denoting the access level for the employee's new position. Failure to submit this request results in the transferred employee retaining the same access level as with the former organization except that access will now be to the new organization's data.

1. General Maintenance Transaction changes will be submitted on a Form DOT-357 in an original and one copy to IT Division for processing. The request must show the employee's existing Logon. Processing will require two working days from the time of receipt by the IT Division.
2. The request will list all of the maintenance transactions that are now to be assigned to the employee. Coordination by IT Division will not require submission to OT for processing. Changes, IT Division will return a copy of the processed request to the originator indicating those transactions that the employee is now authorized to conduct.

6.0 REVIEW AND CONTROL OF EMPLOYEE ACCESS

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System-owning organizations are responsible for reviewing users with access to maintenance functions to ensure that only the appropriate personnel have access. For example, Human Resources (HR) Division must review the list of users with personnel maintenance access.

- A. IT Division will provide a weekly report of users with access to system maintenance to the organizations that own the systems.
- B. System-owning managers will review the report and investigate any questionable access assignments. A Form DOT-357 will be completed and submitted to IT Division for any employee with inappropriate access, requesting that access be deleted.

All WVDOT managers are responsible for appropriately assigning system maintenance access to their employees and will, at least once per month, review all the assignments for appropriateness.

- C. IT Division will provide organization managers with a list of system access assignments of their employees through RDS, View Direct on REMIS.
- D. WVDOT managers will submit Forms DOT-357 to IT Division to correct any inappropriate access assignments found.

6.1 TABLE A – LISTING OF SPECIALIZED or RESTRICTED MAINTENANCE TRANSACTIONS

<u>SYSTEM IDENTIFICATION</u>	<u>TRANSACTION DESCRIPTION</u>
HW01	Position/Organization Quota – This transaction is used to monitor the number of employees assigned to each organization and is controlled by the Executive Division.
HW02	Personnel Master – This transaction is used to add new employees or change information of existing employees based on approved documents submitted to HR Division. These masters contain information such as: salary/hourly pay rates, tenure, classifications, education, skills, etc., and is limited to HR Division.
HW04	Payroll Master – Allows the Payroll Section of HR Division to add or change the various employee payroll deductions such as: number of exemptions, insurance codes, credit union, etc. Additionally, this transaction is used to correct employee leave balances. Limited to employees of the HR Division.
HW06	DOT Security System – Used by IT Division to authorize employees to perform various routine REMIS functions.
HW20	Maintenance Management – This transaction provides the capability of changing annual planned accomplishments in addition to modifying basic expense standards. The transaction is limited to Operations Division.
HW40	Authorization System – This transaction involves two major processes: 1) Adding or changing authorization masters and, 2) entry of journal vouchers. Other areas of control involve billings and receipts of federal aid masters,

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<u>SYSTEM IDENTIFICATION</u>	<u>TRANSACTION DESCRIPTION</u>
	as well as other agencies/vendors. This transaction is limited to Finance and Budget Divisions use only.
HW60	Inventory Catalog/Standards – This catalog file contains an entry for every valid P.M.S. and fixed asset classification and is used to validate all new items being added to inventory. Maintenance of this file is limited to Budget & Procurement Division, Procurement Section.
HW62	Equipment System – A master record is established for each piece of equipment purchased by WVDOT. These master records maintain summary information related to both revenue and expense for each E.D. This transaction allows for new master records to be added, as well as changes to existing masters and is limited to Equipment Division.
HW64	Fixed Asset System - Allows for the adding or changing of fixed asset master records (i.e., desks, furniture, file cabinets, etc.) based on documents submitted from all organizations. Since this information seldom changes, this function is limited to Budget & Procurement Division, Procurement Section.
HW66	Purchase Tracking – Various types of purchase documents require the approval of both WVDOT and Department of Administration personnel. Therefore, this transaction is used by Budget & Procurement Division's Procurement Section, since they are responsible for ensuring that all reviews are performed, to log the different steps of the purchasing approval process.
HW72	Accounts Payable – This transaction is used by the Accounts Payable Section of Finance Division to match WVDOT receipt information with vendor invoices to effect proper payments.
HW80	Bridge System – This transaction is used by bridge engineers to enter structure inventory and appraisal information for WVDOT bridges.

6.2 TABLE B – LIST OF GENERAL MAINTENANCE TRANSACTIONS

<u>CATEGORY</u>	<u>FORM DOT-357 LINE NO.</u>	<u>TRANSACTION DESCRIPTION</u>
DAILY REPORTING		These transactions support the WVDOT's normal day-to-day business activities.
	01	Entry of Daily Work Report (Form DOT-12), REMIS Correction & Maintain Employee Phone Numbers – This function permits the daily reporting of labor (payroll distribution records), equipment utilization (equipment rental system records) and inventory usages. Also, the function permits same-day corrections to any errors made during the entry of Form DOT-12 information, as explained in DOT Volume III, Chapter 4. Furthermore, this function permits the user to maintain the office phone numbers of employees to ensure an accurate Phone No. Inquiry on HWIQ. All entries under these functions are limited to the organization only. Only the

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<u>CATEGORY</u>	<u>FORM DOT-357 LINE NO.</u>	<u>TRANSACTION DESCRIPTION</u>
		personnel, equipment and inventory assigned to the user's organization may be reported.
	02	Process Inventory Records & Fixed Assets – These functions allow the user to perform other PMS transactions such as; transfers, PMS and gas and lube inventory usages and non-vendor receipts. Fixed Asset inventory transactions permit the transferring or retagging of items such as: desks, chairs, engineering equipment, etc. These transactions are limited to inventory items assigned to the user's organization only.
	03	Enter Receipts for Goods and Services & Visa Reconciliation – Permits the user to enter receipts of all types of goods and services, thereby establishing a payment liability for WV DOT. Subsequent processing of an invoice and proper accompanying documents results in the payment of vendors. Also, this function facilitates Visa Reconciliation (State Purchasing Card Program), as explained in DOT Volume VI, Chapter 5.
	04	Record Completed Equipment PM & Meter Readings – These functions permit the user to record the date that each preventive maintenance work order was performed on equipment (typically vehicles) assigned to the user's organization. Also, the user is able to enter the weekly meter readings (hours or miles) for the equipment assigned to the organization.
	05	Journal Entry – This function permits the user to perform transfers of costs in certain areas. These transfers are designed with fixed (computer programmed accounting to be credited, allowing the user to identify the new accounting to be charged. Currently limited to distributing the costs of turnpike credit card usages.)
MASTER MAINTENANCE		Computer Master Records/Files are utilized to collect and control the daily entry of various transactions such as those listed in the Daily Reporting category. Master maintenance is used to add new or change existing master files of the systems involved. Due to the critical nature of master maintenance, these functions should normally be limited to employees at the headquarters' level of the agency or at the headquarters of an agency's divisions or districts with specifically assigned duties and responsibilities. Proper control of master files contributes greatly to the accuracy of daily reporting from all organizations.
	11	Purchase of Goods and Commodities - The following types are involved in purchasing which is a very controlled activity.

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<u>CATEGORY</u>	<u>FORM DOT-357 LINE NO.</u>	<u>TRANSACTION DESCRIPTION</u>
		Therefore, these masters are normally limited to the storekeeper's function within the organization. A. (105) – Small Purchase Authorization B. (SPB) – Small Purchase, Bids Attached C. (SCO) – State Contract Purchase Order D. (RPO) – Regular Purchase Order E. (DPO) – Direct Purchase Order F. (ECO) – Equipment Contract Order G. (EPO) – Emergency Purchase Order
	12	General Administrative – The following types are associated with purchasing but involve transactions which are normally considered administrative in function. A. (EXP) – Employee Expense Account Masters B. (BLV) – Board and Lodging Vouchers C. (BSA) – Business Service Agreements D. (SPO) – Small Purchase Other (than DOT-105) E. (UTL) – Utility Payment Masters F. (IGT) – Intergovernmental Transfers
	13	Right of Way – The following types are limited to district and headquarter's Right of Way personnel who are involved in the various right of way payment functions. A. (RPR) – Real Property Rentals B. (ROW) – Right of Way Acquisitions C. (RUR) – Right of Way Relocations
	14	Contract Construction – The following types are limited to district and headquarters Construction and Design personnel who are involved in the various construction and consultant payment functions. A. (CON) – Contracts, Voucher Estimates, and Finals B. (PAG) – Professional Service Agreements
	15	Equipment System, Transfer – Permits the user to transfer equipment assigned to the organization (if "O" level) or district (if "D" level) to any other organization. This option is normally limited to the district maintenance engineer's personnel for entry, but equipment personnel may solicit transfers for repair purposes.
	16	Equipment System, Status – Permits the user to change the status (active, repair, pool, etc.) of equipment assigned to the organization (if "O" level) or district (if "D" level). This option is normally limited to the district maintenance engineer's personnel for entry, but equipment personnel may solicit status changes for repair purposes
	17	Inventory System – This function permits the user to add new PMS inventory master records or change specifics of these masters, such as minimums and maximums. The addition of PMS masters is significant in that it minimizes the

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<u>CATEGORY</u>	<u>FORM DOT-357 LINE NO.</u>	<u>TRANSACTION DESCRIPTION</u>
		misclassification of materials and permits the control of what items can be stocked by subordinate organizations. An organization (a County for example) cannot receive to inventory an item which they have not previously stocked until the appropriate inventory master record has been added for their organization. Therefore, storekeepers who will normally exercise this function, can review new items to be stocked to ensure proper classification and establishment of the inventory master record.
INQUIRIES		Various inquiries (information review) allows users to access data in a variety of ways. By using the inquiries, many questions can be answered or investigations may begin before needlessly expending the time and effort of making numerous phone calls. Inquiries permit the review of data only and cannot be used to change data.
	31	General – This type of inquiry is designed to be used to access various administrative and financial records. It is recommended that all employees required to input data as well as those who would need access to this information regularly should be granted access. The systems and the kinds of information which is available includes: <ul style="list-style-type: none"> Project Tracking System Authorization System Road File Inventory Equipment Weather Inventory Purchasing Gas and Lube Rates Fixed Asset Inventory Phone Directory Maintenance Management
	32	Payroll Time Sheet – This inquiry differs from others in that it is designed to allow for review of work time reported for all employees of an organization on a daily basis. This inquiry should be limited to employees responsible for verifying the entry of payroll time.
	33	Personnel Inquiry – These inquiries can be used to review personnel masters information such as tenure and classifications. The function also includes Employee Evaluations, as explained in DOT Volume III, Chapter 8. It is recommended that this inquiry be limited only to those organization managers who currently have access to personnel document files.

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<u>CATEGORY</u>	<u>FORM DOT-357 LINE NO.</u>	<u>TRANSACTION DESCRIPTION</u>
	34	Payroll Inquiry – These inquiries are used to review payroll master's information such as employee salaries/rates and payroll deductions.

7.0 RELEVANT MATERIALS/ DOCUMENTS

<https://transportation.wv.gov/employees/Pages/DOTForms.aspx>

- 7.1 FORM [DOT-357](#); SYSTEM SECURITY REQUEST
- 7.2 FORM [DOT-12](#); DAILY WORK REPORT
- 7.3 Email SecurityRequests@dot.state.wv.us
- 7.4 [WEST VIRGINIA CODE §61-3C-1](#) *et seq.* West Virginia Computer Crime and Abuse Act

8.0 CHANGE LOG

October 14, 2022-

- Reformatted policy; no substantive changes.
- Changed Information Services Division to Information Technology Division (IT).
- Changed IS&C to Office of Technology (OT).

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Approved by:



Jimmy D. Wriston, P.E.
Secretary of
Transportation
Commissioner of
Highways



Date

*The Secretary of the West Virginia Department of Transportation or the Commissioner of Highways may, pursuant to the authority vested with the Secretary and Commissioner in W. Va. Code §5F-2-2, §17-2A-1 *et seq.*, and §17-2-1 *et seq.*, waive the requirements of this policy if the circumstances, in the Secretary or Commissioner's sole discretion, warrant such action.