



**State of Florida
Agency for State Technology**

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Rick Scott, Governor

Jason M. Allison
State CIO/Executive Director

MEMORANDUM

TO: Jason M. Allison, State CIO/Executive Director

FROM: Tabitha A. McNulty, Inspector General 

DATE: September 30, 2015

SUBJECT: Six-Month Status Report to the State of Florida Auditor's General Report Number 2015-166

Pursuant to Section 20.055, Florida Statutes, the following is the six-month status of findings and recommendation included in the Auditor's General Report Number 2015-166, *State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards*, published March 30, 2015.

The review found that management has sufficiently taken corrective action to implement the recommendation, as described in the attached report. The Office of Inspector General will no longer monitor the implementation of the corrective action.

If further information is needed, please contact me at 412-6022.

TAM

cc: Kathy DuBose, Coordinator
Joint Legislative Audit Committee (JLAC)
Sherrill F. Norman, CPA
State of Florida Auditor General
Melinda Miguel, Chief Inspector General
Executive Office of the Governor
Curtis Unruh, Deputy Executive Director
Kevin Patten, Chief Operations Officer
Tracy Barnes, Chief of Strategic Information Technologies



Agency for State Technology Office of Inspector General

Jason M. Allison
State CIO/Executive Director

Tabitha A. McNulty
Inspector General



Six-Month Follow-up Response to *State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards* Auditor General Report Number 2015-166

Overview

Section 20.055, Florida Statutes, requires the Inspector General to monitor and report to the Executive Director on the status of corrective action taken in response to reports issued by the Auditor General. In March 2015, the Auditor General published Report Number 2015-166, *State of Florida – Compliance and Internal Controls Over Financial Reporting and Federal Awards*. This audit is required for the state to receive Federal funds and is required by the United States Office of Management and Budget as described in Circular A-133. This report included expenditures for 36 major programs and totaled \$31.8 billion. Though the report contains multiple findings, only one related to the programs and services within the Agency for State Technology (AST).

Status Report

Finding Number: 2014-021

The NSRC [Northwood Shared Resource Center¹] did not have a complete, system-generated log of all systems software changes. Also, NSRC staff were unable to provide documentation to evidence that implemented changes were appropriately approved for some software changes.

Recommendation: The NSRC should establish a monitoring process to provide reasonable assurance that all hardware and system software changes are entered into the ServiceCenter system. Additionally, the NSRC should ensure that all changes are appropriately approved and documentation of the approval is retained.

Original Response:

Northwood is implementing a ticketing system in March 2015. The new Cherwell ticketing system will provide Northwood employees the functionality to track hardware and system software changes at the level needed.

¹ The Northwood Shared Resource Center was transferred to the Florida Agency for State Technology effective July 1, 2014. The data center is now referred to as AST-North.

Also, Northwood is currently working in a manner consistent with directives present in HB 7073, which was signed into law effective July 1, 2014, and is examining the roles and responsibilities that need to be established to effectively establish, develop and document written monitoring processes. It is anticipated these should be in place before January 1, 2016.

Current Status:

Effective March 1, 2015, AST–North (formerly the NSRC) began using the change management process within the Cherwell service management system. All changes made to the managed configuration items require the creation of change and release records which include a built-in review and approval process by AST’s change and release managers, Change Control Board, and platform managers.

Office of Inspector General Assessment:

The Office of Inspector General (OIG) conducted a limited scope review to confirm the current status of this recommendation. The OIG requested a list of changes for the AST–North location and reviewed a small sample of the provided changes in the Cherwell service management system.

The OIG agrees with the current status of the recommendation and determined that the recommendation has been implemented. The OIG will no longer follow-up on this finding and recommendation.

Objective, Scope, and Methodology

The objective of this follow-up report was to determine the status of action taken by agency management in response to the finding and recommendation made in the Auditor General Report Number 2015-166. The review focused on corrective action taken since the report’s publication on March 30, 2015.

This work product was prepared pursuant to Section 20.055, Florida Statutes, and consistent with the applicable standards as defined in the *Principles and Standards for Offices of Inspectors General* (as published by the Association of Inspectors General) and *International Standards for the Professional Practice of Internal Auditing* (as published by The Institute of Internal Auditors, Inc.)

To promote accountability, integrity, and efficiency in government, the Office of Inspector General conducts audits and reviews of Agency for State Technology’s programs, activities, and functions.

Other reports prepared by the Office of Inspector General of the Agency for State Technology may be obtained by telephone (850-412-6022), mail (2585 Shumard Oak Blvd, Tallahassee, FL 32399), or by emailing Tabitha.McNulty@AST.MyFlorida.com