



FLORIDA DEPARTMENT of

management SERVICES

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Rick Scott, Governor

Craig J. Nichols, Agency Secretary

June 4, 2014

Craig Nichols
Agency Secretary
Department of Management Services
4050 Esplanade Way
Tallahassee, FL 32399-0950

Dear Mr. Nichols:

In accordance with section 20.055, Florida Statutes, the attached document represents SSRC explanation of the six-month status of the findings and recommendations included in the **Auditor General Report No. 2014-052 Southwood Shared Resource Center – Operational Audit**. Our response addresses the finding and recommendations in the same order as they appear in the report.

If you have any questions, please call either Yolanda Lockett, Audit Director, at (850) 487-9746 or me.

Sincerely,

Walter Sachs
Inspector General

WS:nw

Attachment

cc: David W. Martin, Auditor General
Joint Legislative Auditing Committee
Tony Powell, SSRC Executive Director
Margaret Foltz, Information Security Manager
Yolanda Lockett, Audit Director

Six-Month Status Report

Finding No. 1 – Service-Level Agreements with Customer Entities

Contrary to State law, service-level agreements (SLAs) had not been established with some SSRC customer entities.

Recommendation:

Recommendation: SSRC should enter into mutually agreed-upon SLAs with its customer entities as required by State law.

Original Response:

The SSRC concurs with this finding and will continue to work with the customers who refuse to sign an SLA with the SSRC.

Management's Current Status of Recommendation

All SLAs have been signed with customers, with the exception of a non state entity. This customer will not sign the SLA due to the cost of hiring legal counsel to review the SLA. We consider this finding to be closed.

Finding No. 2 – Backup Tapes

As similarly noted in prior audits of SSRC, most recently our report No. 2012-189, some backup tapes were not properly accounted for.

Recommendation:

SSRC should enhance controls to ensure the accuracy of its backup tape location records.

Original Response:

The SSRC agrees with the recommendation in principle. The sampling inaccuracy of 0.004% for the client server tapes is a reasonable percentage, given the immense volume of tapes the SSRC processes on a yearly basis. Additionally, the SSRC standard backup process produces two sets of backup the same backup tape, so if one is not properly accounted for, the matching copy is.

Prior to the current audit and as a result of report No. 2012-189, the SSRC purchased a reconciliation program that is in the last stages of deployment. This software will account for all tapes (the tens of thousands that the SSRC processes each year) and it is expected that inaccuracies will no longer occur.

The reconciliation program deployment will be complete by the end of the calendar year.

Management's Current Status of Recommendation

The SSRC has implemented Tape Tracker which is a tool that will assist with the reconciliation of backup tapes. It is anticipated that the reconciliation program deployment will be completed by the end of the calendar year. We consider this finding to be partially closed.

Finding No. 3 – Change Control

As similarly noted in our report No. 2012-189, SSRC did not have a complete, system-generated log of all systems software changes. Also, SSRC staff was unable to provide documentation that approval had occurred prior to implementation for one software change. In addition, as similarly noted in prior audits of SSRC, most recently our report No. 2012-189, SSRC change control procedures for testing changes to certain types of systems software were not comprehensive.

Recommendation:

SSRC should implement system-generated logs to record, track, and report all system software changes that are made to a platform. Additionally, SSRC should ensure that all changes are appropriately approved and documentation of the approval is retained. SSRC should also update its change control procedures to document management's expectations for systems software testing.

Original Response:

The SSRC concurs with recommendation number #1 and has been requesting funding for such a toolset over the past several years. The funding was approved for fiscal year 2012/2013. During the current audit, the SSRC was in the procurement phase of this project. The SSRC is currently in the implementation phase of the project and anticipates the recommendation being completed by the end of fiscal year 2013/2014.

The SSRC agrees with recommendation #2 in principle and as a result will review our internal processes and adjust as necessary. However, the inaccuracy of 1 out of 4,040 changes that the SSRC processed is a reasonable amount.

The SSRC concurs with recommendation #3 and will update processes to address management expectation by the end of the fiscal year 2013/2014.

Management's Current Status of Recommendation

The SSRC implemented a new Help Desk tool on March 3, 2014 to be the primary change control management software. As a result of the new change control tool, the SSRC is updating its change control policies and procedures. It is anticipated these updates will be completed by end of the fiscal year 2013-2014. We consider this finding to be partially closed.

Finding No. 4 – Access Privileges

As similarly noted in our report No. 2012-189, SSRC had not conducted comprehensive periodic reviews of the appropriateness of access privileges. Additionally, as similarly noted in prior audits of SSRC, most recently our report No. 2012-189, SSRC had not implemented written procedures requiring such reviews, and our audit again disclosed some inappropriate access privileges at SSRC.

Recommendation:

SSRC should establish and follow written procedures for conducting comprehensive Periodic reviews of access privileges for all platforms at SSRC. SSRC should also ensure that the access privileges of former employees are deactivated in a timely manner. Additionally, SSRC should ensure that access privileges enforce an appropriate separation of incompatible duties.

Original Response:

The SSRC concurs with recommendation # 1 and #2. Prior to the current audit, the SSRC had begun the process of establishing written procedures for access authorization and provided this documentation to the auditor general to show progress of this finding. The new process is in final review and is expected to be rolled out by the end of the calendar year.

The SSRC concurs with recommendation #3 regarding the mainframe separation of duties. The SSRC will address and complete this task by the end of the fiscal year 2013/2014.

The SSRC concurs with recommendation #3 and will update processes to address management expectation by the end of the fiscal year 2013/2014.

Management's Current Status of Recommendation

The SSRC has developed a form for granting access authorizations and written procedures for access authorization. We consider this finding to be closed.

Finding No. 5 – Other Security Controls

Certain SSRC security controls related to user authentication and security event logging needed improvement. Some of these issues were also noted in prior audits of SSRC, most recently our report No. 2012-189.

Recommendation:

SSRC should improve security controls related to user authentication and security event logging to ensure the continued confidentiality, integrity, and availability of customer entity data and IT resources.

Original Response:

The SSRC concurs with this recommendation. Previous to report No. 2012-189, the SSRC sought funding for the toolset needed to resolve this issue. The funding was approved for fiscal year 2012/2013. During the current audit, the SSRC was in the procurement phase of this project. The SSRC is currently in the implementation phase of the project and anticipates the recommendation being completed by the end of fiscal year 2013/2014.

Management's Current Status of Recommendation

The SSRC is still in the implementation phase of the project and anticipates it still being on target to being completed by the end of the fiscal year. We consider this finding to be open.

Finding No. 6 – Access Authorizations

SSRC could not provide access authorization documentation for the user access privileges for some employees.

Recommendation:

SSRC should maintain documentation of management authorization for employee and contractor access privileges in a manner that is retrievable by SSRC management.

Original Response:

The SSRC concurs with this recommendation; although the SSRC stores all authorization requests within its current help desk application, we were unable to process the AGs request due to the complex nature of the systems database and limited availability of staff. Additionally, prior to this audit, the SSRC had begun the process of establishing written procedures for access authorization and provided said documentation to the auditor general staff to show evidence of progress of this finding. The new process is in final review and is expected to be rolled out by the end of the calendar year.

Management's Current Status of Recommendation

The SSRC has developed a form for granting access authorizations and written procedures for access authorization. We consider this finding to be closed.