



JLAC Received  
8-16-23

## Florida Department of Transportation

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GOVERNOR

605 Suwannee Street  
Tallahassee, FL 32399-0450

JARED W. PERDUE, P.E.  
SECRETARY

August 15, 2023

Secretary Jared W. Perdue, P.E.  
Department of Transportation  
605 Suwannee Street  
Tallahassee, FL 32399-0450

Re: Auditor General (AG) Operational Audit—Report No. 2023-119  
Six-Month Response to Joint Legislative Auditing Committee (JLAC)

Dear Secretary Perdue:

Florida Statutes<sup>1</sup> require the Department to provide corrective action updates to JLAC six months from the release of an AG report containing findings. The attached six-month response to JLAC, regarding AG Report No. 2023-119, *Selected Administrative Activities and Prior Audit Follow-Up* (February 2023), provides status updates from the responsible managers for the following findings:

- **Findings 1 and 2**, regarding the Road Rangers program, will be resolved by adoption of updated procedures currently in the final stages of review following district feedback.
- **Finding 3** was remediated as of the date of the report by completion of updates to the SunGuide application, enabling enhanced reporting for monitoring system access.
- **Finding 4** was remediated as of the date of the report by adding additional instructions for supervisors to a Human Resources form and enhancing monitoring procedures.

If you have any questions, please contact me at (850) 410-5506.

Sincerely,  
DocuSigned by:  
*Kristofer B. Sullivan*  
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Kristofer B. Sullivan  
Inspector General

cc: Joint Legislative Auditing Committee  
Melinda Miguel, Chief Inspector General  
Leda Kelly, Chief of Staff  
Will Watts, Assistant Secretary for Engineering & Operations  
Lisa Saliba, Assistant Secretary for Finance & Administration  
Joe Gilboy, Audit Director

<sup>1</sup> 20.055(6)(h) F.S.

**Florida Department of Transportation  
Six-Month Status Report for Auditor General Operational Report No. 2023-119  
Florida Department of Transportation—Selected Administrative Activities and  
Prior Audit Follow-Up (February 2023)**

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**Road Ranger Service Patrol Program**

**Finding 1: Road Ranger Program Contract Monitoring**

**Finding:** As similarly noted in prior audit reports, most recently in our report No. 2017-121, the Department of Transportation (FDOT or Department) had not established a monitoring plan or policies and procedures to ensure that monitoring efforts for Road Ranger Service Patrol Program (Road Ranger Program) contracts were sufficient and that adequate documentation of the monitoring activities performed was maintained.

**Recommendation:** We again recommend that Department management establish, for District and Turnpike staff use, a Road Ranger Program contract monitoring plan and related policies and procedures that specify the methods to be used to monitor contracts, the monitoring records to be maintained, and supervisory review requirements. We also recommend that District and Turnpike management ensure that monitoring activities are adequately documented and performed in accordance with State law, Department of Financial Services (DFS) guidelines, and Department policies and procedures.

**Agency Response and Corrective Action Plan:** The Department agrees with the findings that it had not established a monitoring plan or policies and procedures to ensure that monitoring efforts for the Road Ranger Program contracts were sufficient and that adequate documentation of the monitoring activities performed was maintained. FDOT Traffic Engineering and Operations Office will revise the procedure written for RRSP operations. The revisions of the RRSP Operations procedure will include the addition of specific methods to be used and documentation to be collected to support contract monitoring. All established document retention policies will be adhered to throughout the contract period.

**Six-Month Follow-Up Response:** Comment period has ended for individual district review. Final draft incorporating district feedback and suggestions will be submitted for review by executive team prior to final approval.

**Estimated Completion Date:** December 31, 2023

**Florida Department of Transportation  
Six-Month Status Report for Auditor General Operational Report No. 2023-119  
Florida Department of Transportation—Selected Administrative Activities and  
Prior Audit Follow-Up (February 2023)**

---

**Finding 2: Road Ranger Contract Payments**

**Finding:** Road Ranger Program payments were not always supported by sufficient documentation. A similar finding was noted in prior audit reports, most recently in our report No. 2017-121.

**Recommendation:** We again recommend that Department management ensure that District and Turnpike records evidence appropriate corroboration of the services received and amounts billed in accordance with contract requirements prior to the approval of Road Ranger Program contractor invoices for payment.

**Agency Response and Corrective Action Plan:** The Department agrees with the findings that contract payments for the Road Program were not always supported by sufficient documentation. FDOT Traffic Engineering and Operations Office will review and revise the Road Ranger Operations procedure and RRSP Boilerplate Scope of Services. All revisions will include methods and supporting documentation requirements that accurately demonstrate that services have been received and amounts billed in accordance with the contract requirements prior to being approved for payment. All established document retention policies will be adhered to throughout the contract period.

**Six-Month Follow-Up Response:** Comment period has ended for individual district review. Final draft incorporating district feedback and suggestions will be submitted for review by executive team prior to final approval.

**Estimated Completion Date: December 31, 2023**

**Finding 3: SunGuide User Access Privilege Controls**

**Finding:** Department user access privilege controls for the SunGuide system used to manage the Road Ranger Program continue to need enhancement.

**Recommendation:** We again recommend that Department management ensure that periodic reviews of SunGuide user access privileges are performed to verify the continued appropriateness of assigned user access privileges and that records supporting such reviews are retained and evidence who performed the reviews and the results of the reviews. We also again recommend that Department management develop a methodology to retain historical user access privilege records for SunGuide.

**Florida Department of Transportation  
Six-Month Status Report for Auditor General Operational Report No. 2023-119  
Florida Department of Transportation—Selected Administrative Activities and  
Prior Audit Follow-Up (February 2023)**

---

**Agency Response and Corrective Action Plan:** Traffic Engineering & Operations (TE&O) released a revised Traffic Management Center (TMC) Standard Operating Guide (SOG) in September 2021, after conducting presentations, soliciting comments, and communicating final changes to the Districts. The updated SOG states:

*Each District shall develop employee on boarding and offboarding procedures. Offboarding procedures must include timely termination of access to TMC facilities, systems, programs, and software - such as SunGuide. Each District shall conduct self-checks to ensure that there are no active credentials for former employees. This self-check shall, at a minimum be conducted on an annual basis.*

In addition, TE&O developed a reporting enhancement for SunGuide to make historical user access privilege records readily available to end users with administrative privileges (previously, the data existed in the system, but administrators could not easily extract it). TE&O began deploying the enhancement at the district level in February 2022 and finished by the end of May 2022.

Based on the Auditor General's (AG) more recent feedback, TE&O will update the SOG to specify documentation requirements for annual reviews. In addition, TE&O will discuss how to incorporate additional AG feedback into its latest SOG revisions at the upcoming February 2023 meeting of its statewide Intelligent Transportation Systems (ITS) working group.

**Six-Month Follow-Up Response:** Corrective action completed as of February 2023.

## **Selected Administrative Activities**

### **Finding 4: Purchasing Card Controls**

**Finding:** The Department did not always promptly cancel purchasing cards upon a cardholder's separation from Department employment or when a cardholder no longer required a purchasing card to perform their job duties.

**Recommendation:** We recommend that Department management promptly cancel purchasing cards upon a cardholder's separation from Department employment and strengthen policies and procedures to ensure that purchasing cards are timely

**Florida Department of Transportation  
Six-Month Status Report for Auditor General Operational Report No. 2023-119  
Florida Department of Transportation—Selected Administrative Activities and  
Prior Audit Follow-Up (February 2023)**

---

canceled when a cardholder changes positions within the Department and no longer requires a purchasing card to perform their job duties.

**Agency Response and Corrective Action Plan:** The Purchasing Card (P-Card) Procedure (#350-030-010) currently states that the P-Card Administrator must be notified immediately when Accountholders either transfer to a new position or separate from the agency. When the P-Card Administrator is not notified timely of an employee separation, the administrator immediately notifies the supervisor (and their direct manager) of the finding.

The Administrator monitors reports provided by Human Resources and through the Comptroller Automated Platform (CAP) on a weekly basis to ensure all separated employees are identified. Additional controls were put in place after an internal Inspectors General (IG) audit had similar findings. In 2018, the P-Card Administrator began receiving Automated Access Request Form (AARF) *Advance Termination Notification* emails when a Supervisor submitted a termination request through the AARF system. Receiving immediate notification of the AARF requests allows the P-Card Administrator to cancel cards proactively, provided the request was submitted timely. In March 2022, Human Resources updated the "Notice of Separation" form to include specific wording to instruct the supervisor who to notify and how to handle the P-Card terminations.

The P-Card Administrator has recently added a weekly monitoring report to identify employees who transfer positions within the agency. This report is updated based on personnel actions being completed in People First and assists the administrator in identifying active Accountholders that may require action. As with terminating employees, if the action or notification is not completed timely, the P-Card Administrator is unable to take timely action as well.

We will continue to monitor and review controls regarding this activity.

**Six-Month Follow-Up Response** Completed as of February 2023.