March 20, 2008

Ana M. Viamonte Ros, M.D., M.P.H.
State Surgeon General
4052 Bald Cypress Way
Tallahassee, Florida 32399

Dear Dr. Viamonte Ros:

Pursuant to Section 20.055(5)(g), Florida Statutes, our office is to update you on the status of corrective actions taken since September 10, 2007 when the Auditor General published its Report Number 08-015, Department of Health State Health Online Tracking System. Management’s assessment of the current status of corrective actions is included in the enclosed document.

At six months after publication, management reports they have addressed all corrective action plans made in response to recommendations from the Auditor General’s/OPPAGA’s report. Four corrective action plans are completed and two remain in progress.

If I may answer any questions, please let me know.

Sincerely,

[Signature]

James D. Boyd, C.P.A., M.B.A.
Inspector General

JDB/kir
Attachment
cc: Terry L. Shoffstall, Staff Director
     Joint Legislative Auditing Committee
     Lynn H. Riley, C.P.A.
     Director of Auditing
     Karen Murphy
     Chief of Staff
# Status of Findings

**Department of Health State Health Online Tracking System**

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<th>Number</th>
<th>Finding</th>
<th>Recommendation</th>
<th>Corrective Action Plan</th>
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<td>1</td>
<td>We noted instances where the Department could not provide documentation supporting that SHOTS program changes had been reviewed and approved prior to implementation of the changes.</td>
<td>The Department should ensure that there is adequate review and approval of all program change requests and that approvals are consistently documented.</td>
<td>Future CMTs will include the release number with appropriate reference to documentation that details the specific change requests included.</td>
<td>Completed.</td>
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<tr>
<td>2</td>
<td>Health care practitioners' data within SHOTS did not always contain accurate license expiration dates for practitioners. Additionally, we noted instances where practitioners with expired licenses retained SHOTS access privileges, contrary to Florida law.</td>
<td>To provide for more current and accurate information within SHOTS, the Department should consider automating the comparison of health care practitioner license expiration dates between SHOTS and the MQA system. Further, the Department should remove SHOTS registry access for those health care practitioners with expired licenses in a timely manner.</td>
<td>A list of medical licenses due to expire one month in the future is now produced each week and enrollment desk staff is proactive in ensuring that medical licenses are checked and updated. Accounts where contact with the health care provider is not possible are terminated if the Medical Quality Assurance (MQA) licensure database reflects an expired license without renewal. The project plan will include a file exchange between MQA and Florida SHOTS as resources allow.</td>
<td>Completed.</td>
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<td>3</td>
<td>Instances were noted where the Department did not uniquely identify and authenticate system users for purposes of granting access to the SHOTS database and the production environment where SHOTS resided.</td>
<td>The Department should enforce the use of unique user ID codes and passwords so that system activity can be timely traced to the responsible individual.</td>
<td>Unique log-on and required passwords are now in place for access to the database via SQL. All future access will be approved by the business office.</td>
<td>Completed.</td>
</tr>
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<td>4</td>
<td>We noted instances where the Department's access controls did not enforce an appropriate separation of incompatible duties for certain personnel.</td>
<td>The Department should periodically review the ongoing appropriateness of access capabilities for SHOTS programs and data and remove, as appropriate, access capabilities that are no longer necessary for the performance of assigned responsibilities.</td>
<td>A procedure has been implemented whereby the roles of developers and system administrators are more clearly delineated. Access to the production database for developers is allowed only on a temporary basis and is based on need to complete assignments as approved by the business office.</td>
<td>Completed.</td>
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<td>5</td>
<td>Improvements were needed in certain security controls protecting the SHOTS system, in addition to the matters discussed in Findings Nos. 3 and 4.</td>
<td>The Department should implement appropriate action to strengthen its security control features to enhance the safeguarding of IT resources.</td>
<td>An upgrade to version 5.2.0 of the Intersystems Cache product will allow for more stringent security controls. This upgrade is scheduled tentatively for second quarter of 2008 and is dependent upon code re-write and resources.</td>
<td>Due to time and resource restrictions, the updated version of Cache 2008.1 has been delayed until the fourth quarter of 2008.</td>
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<td>6</td>
<td>The Department’s testing of its IT disaster recovery plan indicated a lack of sufficient alternate processing capacity to provide adequate service levels in the event of a disaster.</td>
<td>The Department should continue to review the results of its disaster plan recovery testing and establish alternate processing facilities that would allow the Department to ensure a minimum application service level in the event of a disaster.</td>
<td>A disaster recovery plan has been developed and server installation at remote location completed. Further implementation of the plan will depend upon the DOH IT testing of network connectivity and bandwidth at the end of August 2007.</td>
<td>Establishing database and ongoing shadowing is complete. Access to a virtual Web environment has not yet been completed and is being scheduled with IT for the 3rd quarter of 2008. Until access to the Web is established, disaster recovery capability will not be fully available.</td>
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