**State of Florida**
**Department of Children and Families**

MyFLFamilies.com

**Rick Scott**
*Governor*

**Mike Carroll**
*Interim Secretary*

**DATE:**      December 3, 2014

**TO:**        Mike Carroll
               Interim Secretary

**FROM:**      Keith R. Parks
               Inspector General

**SUBJECT:**   Six-Month Status Report for Auditor General Report No. 2014-196

In accordance with Section 20.055(5)(h), Florida Statutes, enclosed is our six-month status report on Auditor General Report No. 2014-196, *Florida Online Recipient Integrated Data Access (FLORIDA) System, Information Technology Operational Audit.*

If I may be of further assistance, please let me know.

Enclosure

cc: Kathy DuBose, Staff Director, Joint Legislative Auditing Committee

## OFFICE OF INSPECTOR GENERAL

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|---|---|---|
| Mike Carroll | | Keith R. Parks |
| Interim Secretary | *Enhancing Public Trust in Government* | Inspector General |

# Six-Month Status Report

## *Department of Children and Family Services - Florida Online Recipient Integrated Data Access (FLORIDA) System Information Technology Operational Audit*

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### PURPOSE

The purpose of this report is to provide a written response to the Secretary on the status of corrective actions taken six months after the Auditor General published Report No. 2014-196, Florida Online Recipient Integrated Data Access (FLORIDA) System, Information Technology Operational Audit.

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### REPORT FINDINGS, RECOMMENDATIONS, STATUS & COMMENTS

The Office of Information Technology Services was responsible for providing updated status and corrective action comments to findings and recommendations numbers one through seven. Presented below are the full text of the Auditor General's finding statements and recommendations, and up-to-date corrective action comments and status, as reported by the Information Technology Services (ITS) staff.

***FINDING NO. 1:*** *As similarly noted in prior audits of the Department, FLORIDA System edits designed to prevent employees from performing incompatible functions could be circumvented in certain instances.*

***RECOMMENDATION:*** *The Department should monitor the accuracy of unique identifiers that are recorded in security profiles of users to ensure the proper functioning of the system edits enforcing an appropriate separation of case management duties.*

***Status (per Office of Information Technology Services staff): Completed***

Prior to this finding, the assignment of the User ID to a FLORIDA profile was accomplished by a single staff member in a single step. The Department implemented an additional step in the review process, which requires a second team member to validate the profile assignment.

***FINDING NO. 2:*** *As similarly noted in prior audits of the Department, the Department had numerous unprocessed overdue data exchange responses. When not processed timely, there is an increased risk that ineligible individuals may receive benefits.*

***RECOMMENDATION:*** *The Department should implement controls for ensuring that data exchange responses are processed within the time frames established by Department policy.*

***Status (per Office of Information Technology Services staff): Completed***

Validation of Data Exchange (DE) requests are accomplished by Office of Economic Self-Sufficiency (ESS) program staff. ESS has established review processes to ensure review and approval of DEs is completed timely and accurately for each case. ESS Quality Management (QM) staff has expanded monitoring efforts at the state and local level to include the following:

- Added a DE review element to the Food Assistance, Temporary Assistance to Needy Families (TANF), and Medicaid case reviews in the Quality Management System (QMS), the statewide electronic case review system, to ensure that any DEs associated with each case reviewed for these programs are processed timely and accurately.

- Added a targeted review to QMS for the following DE types that have a major impact on eligibility:
  - Child Support Enforcement Sanctions
  - Work Sanctions.

***FINDING NO. 3:*** *As similarly noted in prior audits of the Department, documentation of authorization for the FLORIDA System Public Assistance (PA) Component access privileges of some employees was missing or incomplete.*

***RECOMMENDATION:*** *The Department should enhance its FLORIDA System PA Component user account management processes by ensuring that access authorization forms are retained and complete.*

***Status (per Office of Information Technology Services staff): Completed***

The FLORIDA System PA Component user account management process has been enhanced. A directory has been set up to store the completed access forms on the network and is now being used statewide.

FLORIDA System Access Procedures for Current, New, Reassigned or Terminated Employees and Contractors (SOP-12) was amended to include a procedure for Security Officers to maintain security access forms.

***FINDING NO. 4:*** *As similarly noted in prior audits of the Department, the IT resource access privileges of some Department and Northwood Shared Resource Center (NSRC) employees, former employees, and contractors were inappropriate.*

***RECOMMENDATION:*** *The Department should enhance security controls to ensure the appropriateness of access privileges granted to the FLORIDA System production datasets and to ensure the timely deactivation of access privileges of former employees and contractors.*

***Status (per Office of Information Technology Services staff): In Progress***

Security controls have been enhanced. The Department worked with NSRC to conduct a review of the appropriateness of access to production dataset and to develop a process to receive notification when NSRC mainframe staff leaves the Department or change job duties. In addition, NSRC established a quarterly review procedure for all NSRC staff that has access to customer production data. The Department's security officers have been instructed to use the daily automated file generated from People First to terminate FLORIDA System access for individuals listed. The FLORIDA System has been modified to send a monthly Security Maintenance User Maintenance/Resource Access Control Facility (SMUM/RACF) Reconciliation report to the security officers to ensure that any discrepancies between SMUM and RACF are resolved timely. Language will be added to the Department/NSRC Service Level Agreement establishing the requirement for the NSRC to notify the Department when an employee's status changes such that it affects access to FLORIDA production data.

***FINDING NO. 5:*** *The Department did not perform comprehensive periodic reviews of the appropriateness of access privileges.*

***RECOMMENDATION:*** *The Department should establish and follow written procedures for conducting comprehensive periodic reviews of access privileges for the FLORIDA System and related IT resources.*

***Status (per Office of Information Technology Services staff): Completed***

FLORIDA System Access Procedures for Current, New, Reassigned, or Terminated Employees and Contractors (SOP-12) was amended to include a requirement by supervisors to periodically review access levels of current employees and that any discrepancies in access level are reported immediately to the Security Officer for that region/location.

**FINDING NO. 6:** *As similarly noted in prior audits of the Department, certain Department security controls related to passwords and system data needed improvement.*

**RECOMMENDATION:** *The Department should improve password and data transmission controls to ensure the confidentiality, integrity, and availability of data and IT resources.*

**Status (per Office of Information Technology Services staff): Completed**

Password and data transmission controls have been improved to ensure the confidentiality, integrity, and availability of data and IT resources.

**FINDING NO. 7:** *The Department was unable to provide documentation that some appropriate approvals had occurred prior to the implementation of program changes into the production environment.*

**RECOMMENDATION:** *The Department should follow established program change procedures to ensure that all program changes are appropriately approved and documentation of the approvals is retained.*

**Status (per Office of Information Technology Services staff): Completed**

Approval steps exist for all program/system changes prior to introducing into production. The elements for documenting approvals for all system program changes have been added to Automated Community Connection to Economic Self-Sufficiency (ACCESS) Change Management artifacts.