

DEPARTMENT OF BUSINESS & PROFESSIONAL REGULATION
Office of Inspector General


RICK SCOTT
Governor

KEN LAWSON
Secretary



MEMORANDUM

TO: Ken Lawson, Secretary

FROM: Lynne T. Winston, Inspector General 

DATE: May 19, 2015

SUBJECT: Six-Month Follow-up Response to Auditor General Report Number 2015-052, *Surplus Computer Hard Drive Disposal Processes at Selected State Agencies – Information Technology Operational Audit*

Section 20.055, Florida Statutes, requires that I monitor and report to you on the status of implementation of findings and recommendations made in audits issued by the Auditor General. Accordingly, the attached report is our six-month follow-up response to Auditor General Report Number 2015-052, *Surplus Computer Hard Drive Disposal Processes at Selected State Agencies – Information Technology Operational Audit* (published December 1, 2014).

Based on our review of information and supporting documentation provided by the Division of Technology, we concluded that management has taken sufficient corrective action to close all audit issues.

We would like to thank the Chief Information Officer and division management for their assistance in preparing this status report.

Please contact me if you have any questions.

LTW:sll

Attachment

cc: Melinda Miguel, Chief Inspector General
Kathy DuBose, Coordinator, Legislative Auditing Committee
Matilde Miller, Chief of Staff
Kathy Ott, Chief Information Officer



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Project Number G-1415BPR-023

**Six-Month Follow-up Response to
*Surplus Computer Hard Drive Disposal Processes
At Selected State Agencies –
Information Technology Operational Audit*
Auditor General Report Number 2015-052**

OVERVIEW

Section 20.055, Florida Statutes, requires the Inspector General to monitor and report to the Secretary on the status of corrective action taken in response to reports issued by the Auditor General. In December 2014, the Auditor General published Report Number 2015-052, *Surplus Computer Hard Drive Disposal Processes at Selected State Agencies – Information Technology Operational Audit*. The audit evaluated selected information technology controls applicable to the storage and safeguarding of surplus computer hard drives awaiting disposal at three state agencies, including the Department of Business and Professional Regulation. The purpose of this report is to inform the Secretary of the status of management's response to the audit findings and recommendations.

STATUS REPORT

Finding 1: Surplus Computer Hard Drive Disposal Processes

Certain security controls related to surplus computer hard drive disposal processes needed improvement.

Recommendation: The agencies should improve security controls over the surplus computer hard drive disposal processes to ensure the continued protection of confidential and exempt information.

Original Response: We have corrected certain aspects of our internal security controls and are actively working to improve other security controls over the department's surplus computer hard drive disposal processes.

Status as of May 2015: We have taken steps to improve security controls over the department's surplus computers.

OIG Assessment: Closed. Based on our discussion with management and review of supporting documentation we concluded that management's actions are sufficient to close the finding and recommendation.

Finding 2: Surplus Computer Hard Drive Sanitization and Disposition Documentation

Documentation of surplus computer hard drive sanitization and disposition needed improvement.

Recommendation: Agency management should ensure that documentation of the surplus computer hard drive sanitization and disposition is accurate and complete.

Original Response: We concur with the recommendation and have updated our procedures for documenting computer hard drive sanitization and disposition. We are actively working to improve internal security controls related to the department's surplus computers.

Status as of May 2015: We have implemented our updated procedures and taken other steps to improve documentation and security of computer hard drive sanitizations and disposals.

OIG Assessment: Closed. Our evaluation of information and supporting documentation showed that management's actions are sufficient to close the finding and recommendation.

OBJECTIVE, SCOPE, AND METHODOLOGY

The objective of this follow-up report was to determine the status of action taken by management of the Division of Technology in response to the findings and recommendations made in Auditor General Report Number 2015-052, *Surplus Computer Hard Drive Disposal Processes at Selected State Agencies – Information Technology Operational Audit*. Our review focused on corrective action taken since the report's publication on December 1, 2014.

In May 2015, we met with Division of Technology management to obtain detailed information about the status of its implementing actions. Management informed us of the steps taken and provided supporting documentation for our review.

This work product was prepared pursuant to Section 20.055, Florida Statutes, and in accordance with applicable *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.).

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