



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

**Rick Scott**  
Governor

**Mike Carroll**  
Secretary

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**DATE:** February 25, 2016  
**TO:** Mike Carroll  
Secretary  
**FROM:** Keith R. Parks *KPA*  
Inspector General  
**SUBJECT:** Six-Month Status Report for Auditor General Report No. 2016-007

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In accordance with Section 20.055(6)(h), Florida Statutes, enclosed is our six-month status report on Auditor General Report No. 2016-007, *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

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Mission: Work in Partnership with Local Communities to Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency



DEPARTMENT OF CHILDREN AND FAMILIES

OFFICE OF INSPECTOR GENERAL  
INTERNAL AUDIT

*Enhancing Public Trust in Government*



Mike Carroll  
Secretary

Keith R. Parks  
Inspector General

Project #E-1415DCF-159

February 25, 2016

## Six-Month Status Report

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

#### 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. 2016-007, *Florida Online Recipient Integrated Data Access (FLORIDA) System, Information Technology Operational Audit*.

#### REPORT FINDINGS, RECOMMENDATIONS, STATUS & COMMENTS

The Office of Economic Self-Sufficiency provided the updated status and corrective action comments for finding and recommendation number one. The Office of Information Technology Services provided the updated status and corrective action comments to findings and recommendations numbers two through four. 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 Offices of Economic Self-Sufficiency, and Information Technology Services.

***FINDING NO. 1:*** *The Department had numerous data exchange responses that had not been reviewed and processed and were overdue. The untimely review and processing increases the risk that ineligible individuals may receive benefits.*

***RECOMMENDATION:*** *The Department should improve controls to ensure that data exchange responses are reviewed and processed within the time frames established by Department policy.*

***Status (per Office of Economic Self-Sufficiency staff): Partially Corrected***

The Department continues to make gains in eliminating the backlog of overdue Data Exchanges (DE) responses. As of February 9, 2016, the Department has reduced the

number of overdue DE responses from 1,600,000 (April 2015) to 1,233,469, which is an overall 23% decrease.

The Department has formed a statewide DE workgroup of key stakeholders from the Offices of Economic Self-Sufficiency, Information Technology Services, and Operations. The workgroup has identified several strategies and is currently focused on exploring system controls and automation to prevent eligibility staff from authorizing benefits prior to processing un-reviewed DEs. The system controls and automation will be implemented by December 31, 2016.

***FINDING NO. 2: Documentation of authorization for both the FLORIDA System and the AMS access privileges for some employees was missing, incomplete, or incorrect. Also, the Department did not have documented procedures to be used for the security administration of the AMS.***

***RECOMMENDATION: The Department should improve controls to ensure that access authorization forms are retained, complete, and commensurate with management's direction and that applicable security administration procedures are documented.***

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

The Department concurs with this finding. Currently we are updating the ACCESS security guides to include information on the maintenance of the security access forms. Once the updates are completed, the guide will be distributed to all ACCESS security officers. We are also updating the FLORIDA individual request form to include requested role assignment for AMS and other ACCESS systems as well. This change will also be disseminated to security officers once completed.

***FINDING NO. 3: The Department had not conducted comprehensive periodic reviews of the appropriateness of user access privileges granted to the FLORIDA System and the AMS.***

***RECOMMENDATION: The Department should conduct comprehensive periodic reviews of access privileges for the FLORIDA System and the AMS.***

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

The Department is defining a security access reconciliation tool and process utilizing existing security reporting functionality that identifies FLORIDA System users by location and role. Once the mechanism is fully identified information technology staff will work with the program office to develop a process by which user access is evaluated annually, at minimum.

***FINDING NO. 4: Certain Department security controls related to passwords and data transmission, logging and review, and protection of confidential and exempt data needed improvement.***

**RECOMMENDATION:** *The Department should improve security controls related to passwords and data transmission, logging and review, and protection of confidential and exempt data to ensure the confidentiality, integrity, and availability of FLORIDA System and AMS data and related IT resources.*

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

The Department is reviewing the current standards for terminal emulation tools for use by over 1,000 users within its partner agencies to determine the feasibility of eliminating tools that do not support industry cryptographic standards. However, in addressing the transmission of confidential data via clear text, the Department maintains that entities that access FLORIDA data via the Department's Internal, Virtual Private Network (VPN), and MyFlorida Network (MFN) connections are connected within closed secured networks and are thus secure.

This follow-up audit was conducted as required by Florida Statutes 20.055(6)(h) and section 2500.A1 of the International Standards for the Professional Practice of Internal Auditing as published by the Institute of Internal Auditors. Eiton Jones compiled this follow-up audit from representations provided by program management. Please address inquiries regarding this report to Jerry Chesnutt, Director of Auditing, at (850) 488-8722.