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Rick Scott, Governor

Erin Rock, Secretary

June 13, 2018

Erin Rock, Secretary  
Florida Department of Management Services  
4050 Esplanade Way, Suite 285B  
Tallahassee, FL 32399

Dear Secretary Rock:

In accordance with section 20.055, Florida Statutes, the enclosed document represents the six-month status of the finding and recommendation included in the Auditor General's Report No. 2018-077, ***Integrated Retirement Information System (IRIS) – Technology Operational Audit***, dated December 21, 2017.

If further information is needed concerning management's response, please do not hesitate to contact Yolanda Lockett, Auditor Director, at 487-9476 or me at 413-8740.

Sincerely,

A handwritten signature in blue ink, appearing to read 'D.E.C.', written over a light blue horizontal line.

Dawn E. Case  
Inspector General

DC/yvl

Enclosure

cc: Joint Legislative Auditing Committee  
Sherrill F. Norman, Auditor General  
Eric Miller, Chief Inspector General  
David Zeckman, Chief of Staff  
Heather Best, Senior Director of Executive Operations  
Elizabeth Stevens, Director of Division of Retirement  
Shirley Beauford, Assistant Director of Division of Retirement  
Yolanda Lockett, Audit Director

## Audit Findings Status Update Form

<b>Status Date</b>		<b>Report/Agency #</b>	<b>Report Title/Agency Name</b>	
6/13/18		2018-077	2017 IT Operational Audit of IRIS	
<b>Contact Person</b>		<b>Title</b>	<b>Phone No.</b>	<b>Email Address</b>
Elizabeth Stevens		Division Director	(850) 778-4400	<a href="mailto:Elizabeth.Stevens@dms.myflorida.com">Elizabeth.Stevens@dms.myflorida.com</a>
<b>Activity</b>		<b>Accountability</b>	<b>Schedule</b>	
Appropriateness of Access Privileges		<b>Responsible Area</b>	<b>Repeat Finding</b>	<b>Anticipated Completion Date/Date Adjustments will be made</b>
		Division of Retirement	Yes	4/30/18
<b>Finding</b>		<b>Finding Category</b>		
<b>No.</b>	1			
<b>Date</b>	12/21/17			
<b>Finding</b>		The access privileges for some IRIS users did not promote an appropriate separation of duties and did not restrict users to only those functions necessary for their assigned job duties.		
<b>Recommendation</b>		We recommend that Department management limit user access privileges to IRIS data and IT resources to promote an appropriate separation of duties and restrict users to only those functions necessary for their assigned job duties.		
<b>Management/Agency Response</b>		The Department concurs with the finding and recommendation. The Department will develop a plan of action to further limit user access privileges where possible. If separation of duties is not feasible, efforts will be made to enhance our compensating controls. The plan will include: (1) assessing job duties assigned to IT staff that have application deployment responsibilities, (2) evaluating the use of log reviews to mitigate any remaining separation of duties issues, or (3) the implementation of other compensating controls should separation of duties not be fully achieved. The Department expects to have the plan finalized by Feb. 28th and will begin implementation afterward.		
<b>Status Update-6 months</b>		The division has developed and implemented procedures to restrict the following access. <ul style="list-style-type: none"> <li>• Restrict production deployments to system administrators only</li> <li>• Restrict production deployments to two resources; one primary, one backup</li> <li>• Restrict production data updates to DBAs only</li> <li>• Remove developer function from DBAs</li> <li>• Restrict DBAs to two resources; one primary, one backup</li> <li>• Enable logging for all production DBA activity</li> <li>• Remove production deployment function from application security administrators</li> </ul>		
<input type="checkbox"/>	Open			
<input type="checkbox"/>	Management/Agency Assumes Risk			
<input type="checkbox"/>	Partially Complete			
<input checked="" type="checkbox"/>	Complete Pending Verification by AG			
<input type="checkbox"/>	Closed			
<b>Status Update-12 months</b>				
<input type="checkbox"/>	Open			
<input type="checkbox"/>	Management/Agency Assumes Risk			
<input type="checkbox"/>	Partially Complete			
<input type="checkbox"/>	Complete Pending Verification by AG			
<input type="checkbox"/>	Closed			
<b>Status Update-18 months</b>				
<input type="checkbox"/>	Open			
<input type="checkbox"/>	Management/Agency Assumes Risk			
<input type="checkbox"/>	Partially Complete			
<input type="checkbox"/>	Complete Pending Verification by AG			
<input type="checkbox"/>	Closed			