


MEMORANDUM

DATE: March 15, 2023
TO: Pedro Allende, Secretary
THROUGH: Sarah B. Kosberg, Inspector General 
FROM: Steven Meredith, Director of Auditing 
SUBJECT: Six-Month Corrective Action Status – Project No. FP 2023-39
Auditor General Report No. 2023-022
Integrated Retirement Information System (IRIS)

Pursuant to § 20.055(6)(h), Florida Statutes, the Inspector General is required to monitor the implementation of the agency response to any report on the Department of Management Services (Department) issued by the Auditor General or by the Office of Program Policy Analysis and Government Accountability. The referenced statute further requires that the Inspector General provide a written response on the status of corrective action taken. The purpose of this correspondence is to provide updated information on the Department response to the Auditor General findings and fulfill these requirements.

On September 20, 2022, the Auditor General issued Audit Report No. 2023-022, *Department of Management Services Integrated Retirement Information System (IRIS)*. The report identified five audit findings and recommendations for the Department. The Division of Retirement, in collaboration with the Office of Information Technology, has completed corrective action for two of the five findings, subject to Auditor General review. Corrective action implementation for the other three findings is currently in progress. The attachment details the current progress of the Department to address the reported findings and recommendations.

If you have any immediate questions, please feel free to contact me or Inspector General Sarah Kosberg at 850-488-5285.

Attachment

c: John Schrader, Chief of Staff
Katie Parrish, Deputy Secretary of Management Services
Andrea Simpson, Director of Division of Retirement
Richard Evans, Deputy Chief Information Officer
Melinda Miguel, Chief Inspector General
Kathy DuBose, Joint Legislative Auditing Committee

SBK/SM/jcs

Department of Management Services Office of Inspector General
Follow-up Project No. FP 2023-39: Six-Month Corrective Action Status
Auditor General Report No. 2023-022 - *Integrated Retirement Information System (IRIS)*
As of March 15, 2023

Finding 1: Timely Disablement of IT¹ Access Privileges

Finding

Access privileges to IRIS and related IT resources were not always promptly disabled when no longer necessary.

Recommendation

We recommend that Division management enhance controls to ensure that Department records evidence that former employee and contractor IRIS and TFS² user access privileges are promptly disabled.

Original Management Response (Planned Corrective Action)

The Department and Division will work together to enhance controls to ensure that Department records evidence that former employee and contractor IRIS and TFS user access privileges are promptly disabled.

Management Response to Six-Month Corrective Action Status Request

In Progress: Two of three planned remediation actions were completed by the original anticipated completion date (October 31, 2022). The Office of Information Technology (OIT) is working with Florida Digital Service to obtain necessary storage space to accommodate the retention of security logs. Until this evidence storage is acquired, OIT has implemented additional remediation steps to ensure that all accounts are disabled promptly upon separation.

Six-Month Corrective Action Status

Based on the management response, the Office of Inspector General (OIG) considers this finding to be open and in progress.

Finding 2: Periodic Review of Network Domain Access Privileges

Finding

As similarly noted in our report No. 2019-220, Department records did not evidence periodic reviews of the Department network domain privileged accounts' access privileges.

Recommendation

We again recommend that Department management conduct and document periodic access reviews of Department privileged network accounts in accordance with established policy.

Original Management Response (Planned Corrective Action)

The Department will ensure that periodic access reviews of Department privileged network accounts are conducted and documented in accordance with established policy.

Management Response to Six-Month Corrective Action Status Request

Completed: OIT has completed an access review of Department privileged accounts. Privileged access authorizations and account changes were documented. OIT will ensure that

¹ Information Technology

² Team Foundation Server

periodic account reviews are conducted and documented in accordance with established OIT policy.

Six-Month Corrective Action Status

Based on management response and OIG review of supporting documentation, the OIG determined corrective action implementation to be complete for this finding, pending Auditor General review.

Finding 3: IRIS End-User Access Documentation

Finding

Division documentation of IRIS end-user role-based access privileges needs improvement to help ensure that IRIS end-user access is appropriately assigned.

Recommendation

We recommend that Division management improve IRIS end-user role documentation to ensure that all IRIS end-user roles and their associated access privileges are documented.

Original Management Response (Planned Corrective Action)

The Department will improve IRIS end-user role documentation to ensure that all IRIS end-user roles and their associated access privileges are documented.

Management Response to Six-Month Corrective Action Status Request

Completed.

Six-Month Corrective Action Status

Based on management response and OIG review of supporting documentation, the OIG determined corrective action implementation to be complete for this finding, pending Auditor General review.

Finding 4: Change Management Controls

Finding

Division change management controls for IRIS program changes need improvement to ensure that all program changes are appropriately authorized, tested, reviewed, and approved prior to implementation into the production environment, and are managed by, and do not bypass, the Division's change management process.

Recommendation

We recommend that Division management improve IRIS change management controls to ensure that all program changes are appropriately authorized, tested, reviewed, and approved prior to implementation into the production environment, and are managed by, and do not bypass, the Division's change management process.

Original Management Response (Planned Corrective Action)

The Division will improve IRIS change management controls to ensure that all program changes are appropriately authorized, tested, reviewed, and approved prior to implementation into the production environment, and are managed by, and do not bypass, the Division's change management process.

Management Response to Six-Month Corrective Action Status Request

In Progress: Remediation action #1 of 2 will create an automated report of Emergency System Investigative Requests and can be completed by June 30, 2023. Remediation action #2 of 2 will be completed by August 31, 2024.

Six-Month Corrective Action Status

Based on the management response, the OIG considers this finding to be open and in progress.

Finding 5: Security Controls – Logical Access, User Authentication, Configuration Management, and Logging and Monitoring

Finding

Certain security controls related to logical access, user authentication, configuration management, and logging and monitoring need improvement to ensure the confidentiality, integrity, and availability of IRIS data and related IT resources.

Recommendation

We recommend that Department and Division management improve certain security controls related to logical access, user authentication, configuration management, and logging and monitoring to ensure the confidentiality, integrity, and availability of IRIS data and related IT resources.

Original Management Response (Planned Corrective Action)

The Department and Division will continue to evaluate and improve security controls to ensure the confidentiality, integrity, and availability of IRIS data and related IT resources.

Management Response to Six-Month Corrective Action Status Request

In Progress: A plan has been created for the remediation actions. Some of the remediation actions have been completed. (The anticipated completion date of August 31, 2024, has remained the same as reported in the final report.)

Six-Month Corrective Action Status

Based on the management response, the OIG considers this finding to be open and in progress.