


agency for persons with disabilities
State of Florida

Rick Scott
Governor

June 29, 2016

■ ■
Barbara Palmer
Director

Barbara Palmer, Director
Agency for Persons with Disabilities
4030 Esplanade Way, Suite 380
Tallahassee, FL 32399-0950

■ ■
State Office

■ ■
4030 Esplanade Way
Suite 380
Tallahassee
Florida
32399-0950

Re: OIG# 160301-01, Status of Corrective Actions, Auditor General
Report No 2016-071, iBudget System

■ ■
(850) 488-4257
Fax:
(850) 922-6456

Dear Director Palmer:

In accordance with the provisions of Section 20.055(6)(h), Florida Statutes, we asked the responsible managers for the current status of each finding identified in the report.

■ ■
Toll Free:
(866) APD-CARES
(866-273-2273)

The findings, recommendations, the manager's original response, and the June 2016 status of corrective actions are attached. We have reviewed these and believe the actions taken are acceptable.

Please contact me if you have any questions.

Sincerely,



Carol Sullivan, MBA, CIA, CIGA, CIG
Inspector General

CRS:
Enclosure

cc: JLAC@leg.state.fl.us
Chief Inspector General, Melinda.Miguel@eog.myflorida.com
Ms. Sherrill F. Norman, Auditor General
Karen Hagan, Chief of Staff

Follow-up – iBudget System
(Report No. 2016-071)

Finding Number: 1	Claims Payment Data
Finding:	<p>The Agency did not have business process controls in place to ensure that valid Florida Developmental Disabilities Individual Budgeting Waiver program (iBudget Waiver) paid claims data was appropriately interfaced with the iBudget System and that the paid claims data recorded in the Florida Medicaid Management Information System (FMMIS); the Allocation, Budget, and Contract Control (ABC) System; and the iBudget System was reconciled to ensure the completeness, accuracy, and availability of iBudget Waiver paid claims data in the iBudget System. A similar finding was noted in our report No. 2014-056.</p>
Recommendation:	<p>Agency management should establish business process controls to ensure that valid iBudget Waiver paid claims data is appropriately interfaced with the iBudget System and that the paid claims data recorded in FMMIS, the ABC System, and the iBudget System is reconciled to help ensure the completeness, accuracy, and availability of the iBudget Waiver paid claims data in the iBudget System.</p>
APD Response:	<p>The Agency concurs. The Agency is working to put the business processes and controls in place to ensure that paid claims data initially found to be in error, but subsequently corrected, is interfaced with the iBudget System, and paid claims data is reconciled between the FMMIS, ABC, and iBudget systems.</p>
APD Contact: Name: Phone Number:	<p>Rose Salinas, Chief of Financial Services 922-2863</p>
Current Status:	<p>Agency staff has worked on a process for reviewing the data received and have identified reports that can assist in reconciling data between FMMIS, ABC, and iBudget. Program staff were identified and assigned the task of reviewing the data and approving items for reconciliation. The agency is in the early stages of implementing the review and reconciliation process. Staff resources and turnover have had an impact on implementation.</p>

Follow-up – iBudget System
(Report No. 2016-071)

Finding Number: 2	Appropriateness of Access Privileges
Finding:	Some access privileges defined for the network and IT resources used to support the iBudget System did not promote an appropriate separation of duties and did not restrict users to only those functions appropriate and necessary for their assigned job duties.
Recommendation:	Agency management should restrict user access privileges to the network and IT resources used to support the iBudget System to only those access privileges that promote an appropriate separation of duties and are appropriate and necessary for users to perform their assigned job duties.
APD Response:	The Agency concurs. The Agency will restrict user access privileges used to support the iBudget system to only those which are appropriate and necessary, and those which ensure appropriate separation of duties.
APD Contact: Name: Phone Number:	Sriram Kommu, Chief Information Officer 488-4357
Current Status:	The Agency has reviewed user access privileges for all IT staff that support the iBudget system. Access privileges have been corrected to ensure staff has the appropriate access for their assigned job duties. The Agency has also made sure that no development staff has access to production servers, which could allow them to promote software changes.

Follow-up – iBudget System
(Report No. 2016-071)

Finding Number: 3	Program Change Management
Finding:	Agency program change management controls for the iBudget System needed improvement to ensure that all program changes moved into the production environment were properly authorized, tested, and approved and that a post-implementation mechanism was in place to provide reasonable assurance that all program changes moved into the production environment were appropriately authorized, tested, and approved.
Recommendation:	Agency management should improve iBudget System program change management controls to ensure that all program changes moved into the production environment are properly authorized, tested, and approved. Agency management should also ensure that a post-implementation mechanism is in place that provides reasonable assurance that all program changes moved into the production environment were appropriately authorized, tested, and approved.
APD Response:	The Agency concurs. The Agency will work to improve program change management procedures to ensure all production system deployments have been authorized, tested and approved through the program change management process, including the addition of a post-implementation process which will provide this assurance.
APD Contact: Name: Phone Number:	Sriram Kommu, Chief Information Officer 488-4357
Current Status:	The IT department is ensuring all changes to production systems are following the processes in APD OP 02-005, "Information Technology - Change Management Process" to ensure all production system changes have been authorized, tested, and approved through the Change Management process.

Follow-up – iBudget System
(Report No. 2016-071)

Finding Number: 4	Continuity of Operations Plan and Disaster Recovery Procedures
Finding:	The Agency's Continuity of Operations Plan and related iBudget System disaster recovery procedures needed improvement to provide greater assurance that critical Agency operations would continue in the event of a disaster.
Recommendation:	Agency management should ensure that the Continuity of Operations Plan and related iBudget System disaster recovery procedures are approved by management and kept current.
APD Response:	The Agency concurs. The Agency will work to ensure the Continuity of Operations Plan, as it relates to Information Technology systems, and disaster recovery procedures are approved by Agency management and kept current.
APD Contact: Name: Phone Number:	Sriram Kommu, Chief Information Officer, 488-4357 or Karen Hagan, Chief of Staff.
Current Status:	IT is currently reviewing the disaster recovery procedures for the iBudget system to determine any necessary additions and/or changes. When complete the final draft will be submitted to management for approval.

Follow-up – iBudget System
(Report No. 2016-071)

Finding Number: 5	Security Controls – User Authentication
Finding:	Certain security controls related to user authentication needed improvement to ensure the continued confidentiality, integrity, and availability of iBudget System data and related IT resources.
Recommendation:	Agency management should improve certain security controls related to user authentication for the iBudget System and related IT resources to ensure the continued confidentiality, integrity, and availability of iBudget System data and related IT resources.
APD Response:	The Agency concurs. The Agency has mitigated the threat detailed in the confidential findings report.
APD Contact: Name: Phone Number:	Sriram Kommu, Chief Information Officer 488-4357
Current Status:	Please see the agency response above. The threat detailed in the confidential findings report was already mitigated.