DATE: January 27, 2017

TO: Mike Carroll
              Secretary

FROM: Keith R. Parks
              Inspector General

SUBJECT: Six-Month Status Report for Auditor General Report No. 2016-186

In accordance with Section 20.055(6)(h), Florida Statutes, enclosed is our six-month status report on Auditor General Report No. 2016-186, *Department of Children and Families, Florida Safe Families Network (FSFN)* Information Technology Operational Audit.

If I may be of further assistance, please let me know.

Enclosure

cc: Melinda Miguel, Chief Inspector General, Executive Office of the Governor
    Kathy DuBose, Staff Director, Joint Legislative Auditing Committee

DEPARTMENT OF CHILDREN AND FAMILIES

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Mike Carroll
Secretary

Keith R. Parks
Inspector General

Project #E-1415DCF-247   January 27, 2017

Six-Month Status Report

Department of Children and Families
Florida Safe Families Network (FSFN)
Information Technology Operational Audit

PURPOSE

The purpose of this report is to provide a written response on the status of corrective actions taken six months after the Auditor General published Report No. 2016-186, *Florida Safe Families Network (FSFN)* Information Technology Operational Audit.

REPORT FINDINGS, RECOMMENDATIONS, STATUS & COMMENTS

The Office of Information Technology Services and Office of Child Welfare jointly provided updated status and corrective action comments to the Auditor General's findings and recommendations.   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 management and staff of the aforementioned offices.

FINDING NO. 1: *The Department lacked appropriate monitoring controls to ensure the timely input of child welfare case-related information into FSFN, thus increasing the risk that FSFN may not contain the most complete, accurate, and up-to-date data on which to make appropriate decisions regarding the cases. A similar finding was noted in our report No. 2015-156.*

RECOMMENDATION: *We recommend that Department management establish appropriate monitoring controls to ensure that FSFN includes the up-to-date information necessary for effective service delivery and case management.*

Status (per Office of Child Welfare staff): Partially Completed

Each Community-Based Care (CBC) Lead Agency is required by contract to "implement policies and procedures and monitor compliance to ensure that the provision of all services is fully documented in the child's master file in the Florida Safe Families Network (FSFN). The Lead Agency shall ensure that FSFN is updated within two (2) working days for standard case work of any changes known to the Lead Agency or its Case Management Organizations."

The Department worked for one year (fall 2015 through fall 2016) through the FSFN System Adoption Initiative to collaborate with each CBC to identify their information and

technology requirements and develop an individualized System Adoption Plan that achieves full adoption of FSFN while supporting CBC business processes. The scope of the project included:

- Establishing a common understanding of FSFN system adoption;
- Exploring each CBC System of Care and support tools;
- Identifying gaps in FSFN utilization;
- Exploring FSFN capabilities; and
- Establishing a CBC-owned plan to eliminate FSFN utilization gaps while aligning with Comprehensive Child Welfare Information System (CCWIS) changes.

In addition to the System Adoption team's on-site visits to each CBC, the Contract Oversight Unit, in Contracted Client Services, has begun a redesign. The vision of the CBC Performance Monitoring Redesign is "Outcomes for children and families will continue to improve through enhanced monitoring. Performance will be evaluated through a System of Care review, and there will be better integration and synthesis of current information gathered from quality reviews, performance data, fiscal data and special reports." Information Technology and Service Array are among the categories to be reviewed.

The seven categories that will be reviewed during the initial phase are:

- Leadership;
- Quality Management and Performance Improvement;
- Workforce Management;
- Placement Resources and Process;
- Partner Relationships;
- Practice; and
- Community Relationships.

The Department also has begun implementation of the Strengthening Child Safety Practice through Technology project, a series of FSFN enhancements to better align the technology with the new child welfare practice model and to better support child protective investigators and dependency case managers. The enhancements, scheduled to continue through June 30, 2017, are the result of a $6.7 million appropriation to the Department for fiscal year (FY) 2016-17. The enhancements will aid in advancing the quality of service delivery and improving the safety outcomes for the children of Florida.

Through these enhanced system refinements and redesigned monitoring, we anticipate that all information will be entered into FSFN timely to support the appropriate sharing of information necessary for effective service delivery and case management.

FINDING NO. 2: The Department had not established controls to ensure that all configuration changes related to FSFN IT maintenance and operations that had been moved into the production environment followed the Department's configuration management process, thus limiting management's assurance that all such configuration changes that had been moved into the production environment were appropriately authorized, tested, and approved.

RECOMMENDATION: *We recommend that Department management establish controls to ensure that all configuration changes related to FSFN IT maintenance and operations follow the Department's configuration management process.*

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

Currently, the Department verifies that the change requests included in the quarterly releases were tested and approved and are tracked through the associated ClearQuest tickets and the deployment process. The Department plans to add a process step for maintenance and operations code changes to validate that no unauthorized changes have been added to the code build. The Department is working to fill a Java position to meet this need.

FINDING NO. 3: *As similarly noted in our report No. 2014-143, access authorization documentation for some users with access to FSFN was missing, incomplete, or inaccurate. As a result, management's assurance that access privileges were authorized and appropriately assigned is reduced.*

RECOMMENDATION: *We recommend that Department management maintain complete and accurate access authorization documentation to support management's assurance that FSFN user access privileges are authorized and appropriately assigned.*

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

The Department has been delayed in updating the IT Operational Security Plan, due to staff turnover, in which new procedures will be specified for maintaining complete and accurate access authorization documentation by all system users. The implementation of any new procedures will take place during the fiscal year following adoption of the updated IT Operational Security Plan. An anticipated outcome of the project will be providing all security officers with updated standard procedures so that complete and accurate access authorization documentation is maintained.

FINDING NO. 4: *Some FSFN security user groups allowed the users the ability to perform functions that were contrary to an appropriate separation of duties, thus increasing the risk that unauthorized modification, loss, or disclosure of FSFN data and related IT resources may occur. Similar findings were noted in prior audits of the Department, most recently in our report No. 2015-156.*

RECOMMENDATION: *We recommend that Department management improve its access controls by continuing its efforts to limit FSFN security user group access privileges, thereby promoting a more appropriate separation of duties.*

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

Subsequent to audit inquiry, the Office of Child Welfare and Office of Information Technology Services coordinated meetings to determine any changes required to ensure that there are appropriate separation of duties. It was determined that one change was needed for the Statewide Program Office Worker Security User Group. This change was made to FSFN in December 2015, as indicated in the report.

FINDING NO. 5: *The Department had not established procedures for the periodic review of FSFN user access privileges and did not perform such periodic reviews. Under these circumstances, management's assurance that FSFN user access privileges were authorized and appropriate is limited. A similar finding was noted in our report No. 2014-143.*

RECOMMENDATION: *We recommend that Department management establish procedures for the periodic review of FSFN user access privileges and perform periodic reviews to verify that FSFN user access privileges are authorized and appropriate.*

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

The Department will review the statewide security policy as part of the IT Operational Security Plan update to include a comprehensive periodic review and documentation of FSFN access privileges that includes verification of access by appropriate supervisory personnel independent of the users for whom the access verification pertains.

FINDING NO. 6: *Certain security controls related to user authentication and monitoring for FSFN and related IT resources continued to need improvement to ensure the confidentiality, integrity, and availability of FSFN data and related IT resources. A similar finding related to user authentication was communicated to Department management in connection with our report No. 2014-143.*

RECOMMENDATION: *We recommend that Department management improve certain security controls related to user authentication and monitoring for FSFN and related IT resources to ensure the confidentiality, integrity, and availability of FSFN data and related IT resources.*

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

The Department has identified a solution to improve the security controls related to user authentication for FSFN and related IT resources. The Agency for State Technology (AST) will provide access logging and monitoring as part of their core service to the Department. Implementation of the changes that ensure monitoring and user authentication are targeted to be completed by the end of FY 2016 -17.