



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

**Rick Scott**  
*Governor*

**Mike Carroll**  
*Secretary*

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**DATE:** April 23, 2015

**TO:** Mike Carroll  
Secretary

**FROM:** Keith R. Parks  
Inspector General

**SUBJECT:** Six-Month Status Report for Auditor General Report No. 2015-023

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In accordance with Section 20.055(5)(h), Florida Statutes, enclosed is our six-month status report on Auditor General Report No. 2015-023, *Grants and Other Revenue Allocation and Tracking System (GRANTS), 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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Mike Carroll  
Secretary

DEPARTMENT OF CHILDREN AND FAMILIES  
OFFICE OF INSPECTOR GENERAL

*Enhancing Public Trust in Government*



Keith R. Parks  
Inspector General

Project #E-1415DCF-002

April 23, 2015

## Six-Month Status Report

### ***GRANTS AND OTHER REVENUE ALLOCATION AND TRACKING SYSTEM (GRANTS)***

*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. 2015-023, *Grants and Other Revenue Allocation and Tracking System (GRANTS), Information Technology Operational Audit*.

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

The Office of Information Technology Services provided updated status and corrective action comments to findings and recommendations numbers one through five. 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 of the aforementioned office.

***FINDING NO. 1: Certain GRANTS policies and procedures had not been established and other documentation needed improvement.***

***RECOMMENDATION:*** *The Department should establish GRANTS policies and procedures for software and firmware updates and error and exception reports. Additionally, the Department should establish GRANTS user training procedures and related documentation and should ensure that the GRANTS User Manual is up to date and reflects current processing procedures and reporting capabilities for GRANTS.*

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

The Executive Direction and Support IT unit (EDS), which is responsible for the support of GRANTS, completed a project to upgrade the application to supported servers for both the application (Windows 2008) and database (SQL Server 2012). Additionally, EDS has upgraded and synchronized the development and runtime environments. This project was completed February 16, 2015. Additionally, EDS is creating a Capacity Plan, which will create a schedule of routine upgrades of all applications in order to keep them on supported hardware and software. The target date is December 2015.

- In October 2014, procedures were established for the GRANTS unit staff to monitor and review error and exception reports and follow up with appropriate Revenue Management Staff to resolve any errors.
- In the past, due to the lack of turnover and number of users of the GRANTS system, formal training has never been developed. The GRANTS supervisors with the assistance of the GRANTS system staff have trained new users as needed. The Revenue Management unit has experienced recent turnover and is now developing training materials to use with staff. The target date is July 2015.
- The GRANTS User Manual is under revision; however, due to the desired major GRANTS rewrite, it has been put on hold by the program area until after the training materials are developed and a direction for the rehost is determined. The target decision date is July 2015.
- GRANTS reporting capabilities are discussed in Chapter 2 of the GRANTS User Manual.

***FINDING NO. 2:*** *The Department did not timely deactivate the GRANTS-related access privileges of three former IT employees and two former IT contractors subsequent to the dates of termination of their employment or contracts.*

***RECOMMENDATION:*** *The Department should ensure that the GRANTS-related access privileges of former employees and contractors are timely deactivated and removed from active access control groups.*

***Status (per Office of Information Technology Services): Completed***

The EDS team has changed its practice of granting individual access to databases, and in most cases, access is now granted via Active Directory (AD) group. This results in access to the databases being removed at the point that AD access is removed for the former employee. In addition, EDS has established a spreadsheet tracking mechanism to use when employees or AD groups are granted access to specific databases, which helps in the administration and termination of access.

***FINDING NO. 3:*** *Certain security controls related to user authentication, monitoring, and logging for GRANTS needed improvement.*

***RECOMMENDATION:*** *The Department should improve security controls related to user authentication, monitoring, and logging for GRANTS to ensure the continued confidentiality, integrity, and availability of GRANTS data and related IT resources.*

***Status (per Office of Information Technology Services): Ongoing***

Now that EDS has completed the GRANTS upgrade project, the team will commence with a project to enhance the security controls to GRANTS that will be in compliance with Rule 71A, Florida Administrative Code (F.A.C.). This project will include the conversion of social security numbers (SSNs) previously used as user identifiers but still in the database for former staff. The target date is December 2015.

***FINDING NO. 4:*** *Contrary to Section 119.071(5)(a)2.a., Florida Statutes, the Department collected and used certain social security numbers (SSNs) in GRANTS without specific authorization in law or without having established the imperative need*

*to use the SSNs for the performance of its duties and responsibilities as prescribed by law.*

**RECOMMENDATION:** *In the absence of establishing an imperative need for the use of SSNs, the Department should comply with State law by establishing another number to be used in GRANTS rather than SSNs.*

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

The GRANTS unit staff have modified the procedures for the creation of User-IDs. The SSN is no longer required for an individual to be granted access to GRANTS and will no longer be collected.

**FINDING NO. 5:** *The Department had not established data categorization policies and procedures and had not categorized its data in accordance with Federal Information Processing Standards Publication (FIPS PUB) 199, contrary to Agency for Enterprise Information Technology (AEIT)1 Rule 71A-2.001(3)(l), Florida Administrative Code.*

**RECOMMENDATION:** *The Department should establish data categorization policies and procedures and categorize its data.*

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

The first round of provisional system categorization was completed on March 31, 2015 and is currently in the process of being entered into the Department's Change Management Data Base (CMDB). The target date is June 30, 2015. In addition, the Department hired a vendor to assist in developing/updating its information security policy and procedures. That project is underway and includes a policy addressing system categorization as required by Rule 71A-1.020, F.A.C.

This follow-up audit was conducted as required by Florida Statutes 20.055(5)(h) and section 2500.A1 of the International Standards for the Professional Practice of Internal Auditing as published by the Institute of Internal Auditors. Elton 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) 438-8722.