



State of Florida
Department of Children and Families

Rick Scott
Governor

Mike Carroll
Secretary

DATE: April 26, 2017

TO: Mike Carroll
Secretary

FROM: Keith R. Parks
Inspector General

SUBJECT: Six-Month Status Report for Auditor General Report No. 2017-009

In accordance with Section 20.055(6)(h), Florida Statutes, enclosed is our six-month status report on Auditor General Report No. 2017-009, *Florida Online Recipient Integrated Data Access (FLORIDA) System*, Information Technology Operational Audit.

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

Enclosure

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

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

Mission: Work in Partnership with Local Communities to Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency



DEPARTMENT OF CHILDREN AND FAMILIES

OFFICE OF INSPECTOR GENERAL
INTERNAL AUDIT

Enhancing Public Trust in Government



Mike Carroll
Secretary

Keith R. Parks
Inspector General

Project #E-1617DCF-002

April 26, 2017

Six-Month Status Report

Department of Children and Families **Florida Online Recipient Integrated Data Access (FLORIDA) System** **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. 2017-009, *Florida Online Recipient Integrated Data Access (FLORIDA) System*, Information Technology Operational Audit.

REPORT FINDINGS, RECOMMENDATIONS, STATUS & COMMENTS

The Office of Economic Self-Sufficiency provided the updated status and corrective action comments for finding and recommendation number one. The Office of Information Technology Services provided the updated status and corrective action comments to findings and recommendations numbers two through four. 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 Offices of Economic Self-Sufficiency, and Information Technology Services.

FINDING NO. 1: *The Department had numerous data exchange responses that had not been reviewed and processed and were overdue. Untimely review and processing increases the risk that ineligible individuals may receive benefits. Similar findings were noted in prior audits, most recently in our report No. 2016-007.*

RECOMMENDATION: *We recommend that Department management improve controls to ensure that data exchange responses are reviewed and processed within the time frames established by Department policy.*

Status (per Office of Economic Self-Sufficiency staff): Partially Corrected

The Department continues to make gains in its efforts to eliminate the backlog of overdue Data Exchange (DE) responses. Overdue DEs have been reduced from 1.6 million (April 10, 2015), to 1 million (May 18, 2016), to 859,540 (July 29, 2016), to

599,721 (April 3, 2017). This represents an overall decrease of 63% from April 2015 to April 2017.

Below is the status of the projects put in place by the statewide DE workgroup.

- The DE backlog clean-up project was completed September 23, 2016 and the Department processed 2,039,707 DEs from June 2016 – September 2016.
- On September 26, 2016, the Department implemented system controls and automation to prevent eligibility staff from authorizing benefits prior to processing un-reviewed DEs. Since implementation, the Department has processed 3,123,882 DEs. This is 81% of the 3,872,404 DEs received from October 2016 – March 2017. The current backlog of 599,721 overdue DEs is 15% of the total DEs received from October 2016 – March 2017.

FINDING NO. 2: *Documentation supporting authorization of access privileges to the FLORIDA System and the Automated Community Connection to Economic Self-Sufficiency (ACCESS) Management System (AMS) for some employees was missing, incomplete, or incorrect. In addition, the Department did not have written procedures for the security administration of the AMS, thus increasing the risk that AMS access privileges granted to employees may not be commensurate with management's direction. Similar findings were noted in prior audits, most recently in our report No. 2016-007.*

RECOMMENDATION: *We recommend that Department management improve controls to ensure that access authorization forms are retained, complete, and commensurate with management's direction and that applicable security administration procedures are documented.*

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

The "System Access Structure for FLORIDA and AMS.docx" has been completed for the FLORIDA System and the Automated Community Connection to Economic Self-Sufficiency (ACCESS) Management System (AMS) as the Department works toward meeting this finding.

FINDING NO. 3: *The Department had not conducted comprehensive periodic reviews of the appropriateness of user access privileges granted to the FLORIDA System and the AMS. Similar findings were noted in prior audits, most recently in our report No. 2016-007.*

RECOMMENDATION: *We recommend that Department management conduct a comprehensive periodic review of access privileges for the FLORIDA System and the AMS and establish procedures to ensure that the reviews are performed annually as required by [Department Standard Operating Procedure] SOP S-12.*

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

The "System Access Structure for FLORIDA and AMS.docx" has been completed for the FLORIDA System and the Automated Community Connection to Economic Self-

Sufficiency (ACCESS) Management System (AMS) as the Department works toward meeting this finding.

FINDING NO. 4: *Certain security controls related to passwords and data transmission and protection of confidential and exempt data for the FLORIDA System, the AMS, and related IT resources continue to need improvement to ensure the confidentiality, integrity, and availability of the FLORIDA System and AMS data and related IT resources. Similar findings were previously communicated to Department management, most recently in connection with our report No. 2016-007.*

RECOMMENDATION: *We recommend that Department management improve security controls related to passwords and data transmission, logging and review, and protection of confidential and exempt data to ensure the confidentiality, integrity, and availability of FLORIDA System and AMS data and related IT resources.*

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

The “System Access Structure for FLORIDA and AMS.docx” has been completed for the FLORIDA System and the Automated Community Connection to Economic Self-Sufficiency (ACCESS) Management System (AMS) as the Department works toward meeting this finding.

This follow-up audit was conducted as required by section 20.055(6)(h), Florida Statutes, 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 office management. Please address inquiries regarding this report to Jerry Chesnutt, Director of Auditing, at (850) 488-8722.