FLORIDA
DEPARTMENT OF REVENUE
Executive Director
Lisa Echeverri

March 28, 2008

MEMORANDUM

TO: Lisa Echeverri, Executive Director

FROM: Sharon Doredant, Inspector General
Office of Inspector General

SUBJECT: Six-Month Response to Auditor General Report No. 2008-020, an Information Technology Audit of the *Department of Revenue, Child Support Enforcement Automated Management System (CAMS Phase I)*

Attached is the Department's six-month status report on corrective actions taken in response to the Auditor General's Report No. 2008-020, an Information Technology Audit of the *Department of Revenue, Child Support Enforcement Automated Management System (CAMS Phase I),* for the period January 2007 through July 2007.

If you have any questions, please call Bob Bliss, Director of Auditing, at 487-0701.

SD/bso

Attachment

cc: Jeff Kielbasa
Bob McKee
Blanca Bayó
Bob Bliss
Terry Shoffstall, JLAC
Cathy Boyett, JLAC

CORRECTIVE ACTION PLAN

Rev. 11/04

Status Date	Report No.	Report Title	
12/31/2007	AG 2008-020	Information Technology Audit of DOR CAMS Phase I	
Contact Person	**Program/Process**		**Phone No.**
GeJuan Ingram	Child Support Enforcement Program		850-410-3249
Activity	**Accountability**		**Schedule**
	Responsible Unit	**Coordinating Unit**	**Repeat Finding** / **Anticipated Completion Date**
Error review and reporting process	Error Correction Team	CAMS Data Resource Mgt	N/Y / ~~2011~~ Completed

Finding No.	1
Date	10/1/2007
The Department's error review and reporting process needed improvement.	
Recommendation	The Department should ensure that all errors are timely reviewed, corrected, and reentered into the system.
Original Response	The Department has established a process to ensure errors are timely distributed, reviewed, and corrected in the FLORIDA System or CAMS. The Department's process description is divided into the two (2) categories cited in the audit: 1. Audit: Technical errors were not being reviewed by assigned technical staff daily. The technical error staff review error files daily and notify the CAMS Data Resource Management (DRM) Team when they identify errors that require manual correction. Upon notification, the DRM Team distributes these errors to the case or case member error workers. If the technical error requires a system enhancement, either a HEAT ticket or ISSR is submitted. 2. Case member error workers do not provide daily feedback. Case member error workers provide daily feedback to the DRM Team as lists are completed. However, the error workers are not solely dedicated to correcting the daily errors and feedback may be provided later than the day the original error list was distributed. Additionally, the DRM Team tracks daily lists and updates the status as completed. If the list is not completed within five (5) business days, the DRM Team asks the error team member for a status. Lists may be reassigned to other case or case member error workers to expedite the correction process when the DRM Team is notified of an error worker's increased workload.
Status Updates ☐ **Open** ☐ **Management assumes risk** ☐ **Partially complete** ☐ **Complete pending verification by OIG** ☒ **Complete**	The Department continues to use the existing process to ensure errors are timely distributed, reviewed and corrected in the FLORIDA system and/or CAMS. In response to the original findings, the Department identified technical staff to address the technical errors, and refined the process to address the case member errors. Specifically, individuals were assigned to receive and review the technical errors daily. The Data Resource Management (DRM) team monitors the distributed error lists daily and indicates when lists are complete. The DRM team reassigns lists to other error workers when staff is on leave or workload has increased. The process also includes notification of technical error staff or submission of a HEAT ticket when case member error workers are unable to resolve an error. The Department recommends closing this CAP as the original finding has been addressed, and the existing process was modified, implemented and continues to be used.

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Status Date	Report No.	Report Title		
12/31/2007	AG 2008-020	Information Technology Audit of DOR CAMS Phase I		
Contact Person	**Program/Process**			**Phone No.**
Todd Gardner	Child Support Enforcement Program			850-922-0367
Activity	**Accountability**		**Schedule**	
Address Data Integrity	**Responsible Unit**	**Coordinating Unit**	**Repeat Finding**	**Anticipated Completion Date**
	CAMS Design & Support		N/Y	Completed

Finding No.	2
Date	10/1/2007
The Department experienced ongoing problems with address information in CAMS.	
Recommendation	The Department should ascertain and correct identified address problems with the CAMS application in order to promote the integrity of data in CAMS and the FLORIDA System and the effective and efficient operation of the child support enforcement program.
Original Response	While many of the address problems highlighted in the report have already been addressed, we concur with the finding. The Department continues to monitor address maintenance within CAMS and the FLORIDA; any problems identified and/or enhancements are analyzed in accordance with the CAMS defect resolution process or change management process.
Status Updates ☐ **Open** ☐ **Management assumes risk** ☐ **Partially complete** ☐ **Complete pending verification by OIG** ☒ **Complete**	The Department has taken many steps to ensure the data integrity of addresses is improved and maintained. On December 11, 2007, a project was implemented to ensure end user entry of addresses for business partners would conform to the United States Postal Service (USPS) standards by validating addresses using the USPS certified product, Postalsoft. Upon entry of an address, a validation is done to ensure the address is valid, and if not, it is automatically updated to the correct USPS format. Should an address be entered that is not recognized by Postalsoft, the user must enter a qualifying reason (a new housing development or neighborhood, etc.) thus increasing accountability. The Postalsoft tool is also used to ensure address validity in addresses provided through interfaces with the numerous partners that the Department receives information from. This tool is used to keep up to date with the latest address information and was recently upgraded to the latest version of the software product. The Department is currently working on the logistics of having the upgraded Postalsoft software validate all active critical (mailing, residential, etc.) addresses within the CAMS database to further reduce address inconsistency. These improvements make the data more accurate and therefore increase the efficiency of the matching processes that occur between FLORIDA and CAMS. The Department continues to monitor and identify address issues as they arise.

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Status Date	Report No.	Report Title		
12/31/2007	AG 2008-020	Information Technology Audit of DOR CAMS Phase I		
Contact Person	**Program/Process**			**Phone No.**
Todd Gardner	Child Support Enforcement Program			850-922-0367
Activity	**Accountability**		**Schedule**	
CAMS Tasks	**Responsible Unit**	**Coordinating Unit**	**Repeat Finding**	**Anticipated Completion Date**
	CAMS Design & Support		N/Y	10/31/08

Finding No. 3 **Date** 10/1/2007	Intended functionality for reporting and follow-up on a missing key data field in CAMS had not been implemented.
Recommendation	The Department should implement the necessary system changes to ensure that the depository number field is monitored to provide for effective compliance enforcement. In future system development projects, the Department should ensure that all necessary system functionality is implemented as designed.
Original Response	The Department agrees with this finding. As was noted in the formal preliminary and tentative findings letter to the Department, this condition has been recorded as a defect in the CAMS Incident Management system as a system defect (HEAT ticket #168027). This defect will be prioritized in accordance with the CAMS prioritization process and will be corrected. While this item has currently not received prioritization for resolution it is anticipated that within the next three (3) months this incident will gain prioritization and begin the process of realizing the change in the system.
Status Updates ☒ **Open** ☐ **Management assumes risk** ☐ **Partially complete** ☐ **Complete pending verification by OIG** ☐ **Complete**	This item has not been resolved as it has not been prioritized for work. Due to the upgrade of our SAP software there will be a moratorium on code changes. We expect the moratorium to begin the first week in February. Although we will not be able to make code changes to fix this defect until after the upgrade is complete, we will be able to begin the analysis and design process during this period. When the moratorium is lifted we will have the item prioritized and begin the work needed to fix the defect. The upgrade will be complete by approximately 8/18/08. The 10/31/08 implementation date is an estimate and could change. In the interim, supervisors are expected to periodically review the open tasks for their respective workgroups and alert staff when this or other anomalies are observed. This particular task "type" is a critical review for managers as it directly impacts the issuance of IDN's (Income Deduction Notices).

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Status Date	Report No.	Report Title		
12/31/2007	AG 2008-020	Information Technology Audit of DOR CAMS Phase I		
Contact Person	**Program/Process**			**Phone No.**
Dan Kelly	Information Services Program			850-413-7844
Activity	**Accountability**		**Schedule**	
Managing Access Privileges	**Responsible Unit**	**Coordinating Unit**	**Repeat Finding**	**Anticipated Completion Date**
	ISP/CAMS Security		N	12/31/08

Finding	
No.	4
Date	10/1/2007
	Our audit disclosed aspects of the Department's practices for managing access privileges that needed improvement. We also noted instances of excessive or inappropriate system access privileges.
Recommendation	The Department should ensure that documentation is maintained of all access capabilities associated with CAMS to facilitate proper security administration. Additionally, the Department should ensure access privileges of personnel are commensurate with their job duties and appropriately segregated to prevent individuals from being able to subvert controls. Furthermore, the Department should ensure that future CAMS development efforts include an access control mechanism that allows for granting inquiry only capability when necessary to limit users to only what is needed to perform their job duties.
Original Response	The proper procedures were not in place during the time of the audit. This caused some documentation of user access privileges to be omitted. The procedure is now in place to eliminate future occurrences: o User access privileges for CAMS are documented accurately and timely. o Forms are in place for requesting training or specific security access privileges. The three users who had expanded privileges are a part of the BASIS team and these privileges have been deemed appropriate to their job function. The system currently records all changes. There is an agreement between Basis and Security that if a user access issue comes up after hours, they should document it and advise us immediately so we have it for our records. CAMS Phase I was not designed to robustly allow "inquiry-only" access to certain activities. Changes to CAMS Phase I programming would be costly and at the present moment are a low priority due to the unavailability of resources from the development team. Security is researching authorization restrictions that weren't provided in the initial roll-out and plans to revise the appropriate roles with more display capability. This will be accomplished by 12/31/2007. CAMS Phase II is in development and will support "inquiry–only" access.
Status Updates ☐ **Open** ☐ **Management assumes risk** ☒ **Partially complete** ☐ **Complete pending verification by OIG** ☐ **Complete**	Action Step 1: Develop sufficient procedures for CAMS security administration. Procedures are in place. Complete. Action Step 2: Ensure access privileges of personnel are commensurate with their job duties and appropriately segregated to prevent individuals from being able to subvert controls. Role owners have been identified for each CAMS security role. We plan to develop a mapping of security role assignments by position. Once the role owner approves the assignment of a role to a given position, the supervisor will not need to determine what role the new hire should get since the role is mapped to the position. In the future, the supervisor will need to request a new role only if the position is to be used for a different job. At that time, the new role assignment will be approved by the role owner. Action Step 3: Provide an access control mechanism that allows for granting inquiry-only capability to users that only need inquiry to perform their job duties. Research was conducted to determine how to provide inquiry only access to CRM activities. Progress has been made and inquiry-only authorizations for most activities have been created. Two new roles will be created: 1. A new role to replace the Production Verification role that will include inquiry-only access to most activities will be provided to users pending Data Owner approval. One issue with granting access to activities is that two of the activities (Enforcement Override and Locate User Decision) cannot be made inquiry-only. The Data Owner will make a decision on whether to not grant access to these two activities in the new role or to grant access but also provide reporting capability so Security can monitor for any unauthorized updates to these activities made by users with this new role. 2. A new inquiry-only role will be created to include all activities that can be made inquiry-only and will not include the two activities mentioned above.

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Status Date	Report No.	Report Title	
12/31/2007	AG 2008-020	Information Technology Audit of DOR CAMS Phase I	
Contact Person	**Program/Process**		**Phone No.**
Dan Kelly	Information Services Program		850-413-7844
Activity	**Accountability**		**Schedule**
Remove access timely for terminated staff	**Responsible Unit**	**Coordinating Unit**	**Repeat Finding** / **Anticipated Completion Date**
			N/Y / 6/30/08

Finding	
No. 5	We noted instances where the Department did not timely remove the access privileges of terminated employees.
Date 10/1/2007	
Recommendation	The Department should strengthen its controls to ensure that unneeded access privileges are promptly removed in order to minimize the risk of compromising the Department's data and information resources. Additionally, the Department should implement a logging function to capture modifications made to users' network access privileges.
Original Response	The deficiency of terminated user's access privileges being retracted has been addressed and terminated employees and the revoked privileges are being tracked. The system currently records changes to users' network access privileges and end dates can be created ahead of time to retract access for users whose terminations have been reported to CAMS Security. A new application, PASS (Personnel Action Separation System), is in development and will aid providing a consistent, global notification of employee terminations from all Department of Revenue offices which should greatly reduce the number of users the Security team is not aware of prior to termination. The PASS application should be implemented by 12/31/2007.
Status Updates ☒**Open** ☐**Management assumes risk** ☐**Partially complete** ☐**Complete pending verification by OIG** ☐**Complete**	Action Step 1: Develop a process for timely notification to security administrators of terminated staff. The PASS application which is intended to provide timely notification to security administrators of terminated and reassigned staff is planned for implementation 6/30/08. When implemented, CAMS Security will start receiving timely termination notifications from this system. Action Step 2: CAMS Security will develop a process to ensure timely removal of terminated staff from CAMS. The CAMS Security team is closely monitoring the monthly termination reports. The team uses this report to remove access for any terminated staff that they haven't already received a termination notice for, recording late notifications, and reminding HR personnel and supervisors of the importance of timely notifications.

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Status Date	Report No.	Report Title	
12/31/2007	AG 2008-020	Information Technology Audit of DOR CAMS Phase I	
Contact Person	**Program/Process**		**Phone No.**
Brunetta Pfaender	Information Services Program		850-921-4271
Activity	**Accountability**		**Schedule**
	Responsible Unit	**Coordinating Unit**	**Repeat Finding** / **Anticipated Completion Date**
			N/Y / 12/31/08

Finding No.	6
Date	10/1/2007
Finding	Improvements were needed in certain security control features related to CAMS Phase I and the supporting network environment at the Department, in addition to the matters disclosed in Findings No. 4 and 5.
Recommendation	The Department should implement the appropriate security controls to ensure the continued integrity, confidentiality, and availability of the Department's data and IT resources.
Original Response	Action is being taken on the security deficiencies that exist with CAMS Phase I and the Department's IT network. We will implement the recommended safeguards that will ensure the availability, confidentiality, integrity of the Department's data and IT resources.
Status Updates ☒ **Open** ☐ **Management assumes risk** ☐ **Partially complete** ☐ **Complete pending verification by OIG** ☐ **Complete**	Procedures will be developed to provide more effective security safeguards. Additional scanning for vulnerabilities will be implemented.