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**OFFICE OF THE ATTORNEY GENERAL**  
**Office of Inspector General**

**James D. Varnado**  
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April 7, 2009

Kathy DuBose  
Joint Legislative Auditing Committee  
Room 876  
Claude Pepper Building  
111 West Madison St.  
Tallahassee, FL 32399-1400

Dear Ms. DuBose:

In accordance with Section 20.055 (5)(g), Florida Statutes, enclosed are the results of our assessment of the status of implementation of recommendations to the Department of Legal Affairs as made known to us in the Auditor General Lotus Notes Applications Information Technology Audit Report No. 2009-020.

If you have any questions, please call Judy Goodman, Director of Auditing, at (850) 414-3456.

Sincerely,

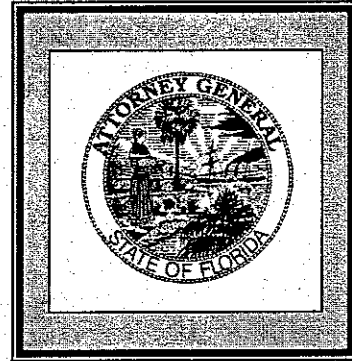
A handwritten signature in cursive script that reads "James D. Varnado".

James D. Varnado  
Inspector General

JDV/jmg

Enclosure: OIG Audit Report No. 08-01

JLAC  
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# Follow-Up Report on the Auditor General's D.L.A. Lotus Notes Applications Information Technology Audit

April 7, 2009

Assignment No. 2008-01

## Purpose

This report advises the Attorney General and the Legislative Auditing Committee of the six-month status of corrective actions related to findings reported by the Auditor General's Operational Audit No. 2009-020 Department of Legal Affairs Lotus Notes Applications Information Technology Audit released October 10, 2008.

## Standards

Our work was performed in accordance with the *International Standards for the Professional Practice of Internal Auditing* as published by the Institute of Internal Auditors. The work performed was not to the extent to meet standards to qualify as an audit.

## Scope and Objectives

The scope of this review is to determine the six-month status of corrective actions and/or management decisions related to findings reported in the Auditor General's Operational Audit 2009-020.

## Methodology

As part of this assignment Office of Inspector General staff:

- Reviewed prior Auditor General's Audit Report 2009-020 and prior responses;
- Requested Departmental staff to assess current status of implementation of

recommendations from the previous report;

- Conducted interviews, reviewed documents, made observations necessary to corroborate management's assertions relating to the six-month status of audit findings reported in the Auditor General Information Technology Audit 2009-020.

## Background

Information Technology is a division within the Department of Legal Affairs (Department). The Information Technology Division supports technology infrastructure for the Department. The Department uses Lotus Notes to support its business operations.

## Results, Findings, Recommendations, and Current Status

Based on our review of the six-month status of findings and related corrective activities performed by the Department in response to Auditor General Report No. 2009-020, the Office of Inspector General presents the current status of each of the Auditor General findings below.

### Auditor General Audit Finding No. 1:

Aspects of the Department's Lotus Notes systems development software, and the Department's configuration thereof, limited

the Department's deployment of appropriate systems development controls.

**Auditor General Recommendation:**

The Department should develop or acquire the capability to retain and monitor logs of program changes. Additionally, the Department should activate the design lock feature for Lotus Notes application programs and enforce a separation of duties such that developers do not have access to production data.

**OAG Response as of October 2008:**

Development or procurement of any additional software will be considered, but will be constrained by current budget and resource limitations. The Department will review and modify the Automated Information Systems Change Management Procedure to address the following:

1. Clarification of roles and responsibilities for development staff and business project owners, throughout the entire system life cycle;
2. Centralization of appropriate documentation of the authorization, testing, production implementation and acceptance of changes and versions;
3. System, data and request classification, as to confidentiality, mission criticality, urgency and fraud risk;
4. Revision and expansion of procedures, based upon above-mentioned roles, responsibilities, and classification, to appropriately address separation of duties, concurrent development, logging of program changes, and the use of the Lotus Notes design lock feature, as feasible within resource constraints.

**Status: partially implemented as of**

**March 2009:** Budget and resource constraints have continued to prevent acquisition or development of software to achieve automated logging of program changes. The Department has completed the following:

1. Established project and life cycle roles and responsibilities for development and business staff.
2. Established Data Security Classification, System Availability Impact Classification, System Risk Classification, and Request Classification standards which will be used to facilitate data protection and I.T. prioritization and governance.
3. Established internal I.T. policy to implement the design lock feature as appropriate when simultaneous use of the same system design by multiple developers is anticipated.
4. Made additional changes to the ISDM and other procedures as needed and feasible within resource constraints, to address change management and access control.

Establishment of an automated and centralized database for storing project and life cycle documentation will be included in the development of an I.T. Prioritization and Governance application. This project will be initiated upon completion of Domino/Notes migration, subject to resource availability.

**Auditor General Audit Finding No. 2:**

The Department's policies and procedures did not provide for certain systems development controls included in industry best practices.

**Auditor General Recommendation:** The Department should update the Procedure to include provisions as described above to ensure appropriate planning, development, approval, and implementation of application systems and modifications thereto. In addition, a complete record of all development and modification activities should be maintained to assist in the ongoing management of system changes. Furthermore, the Department should establish a data classification policy to provide for the categorization of data according to risk and importance to the Department's mission to aid in risk management decisions.

**OAG Response as of October 2008:** We believe the action items detailed in Finding No. 1 appropriately resolve these issues.

**Status: partially implemented as of March 2009:** See Current Status provided in Finding No. 1.

**Auditor General Audit Finding No. 3:** Some instances existed where the Department lacked documentation of the authorization and testing of program changes, the approval of program changes for implementation, and the names of employees who moved program changes into production.

**Auditor General Recommendation:** The Department should enforce appropriate program change controls that include documentation of authorization, testing, and approval of all Lotus Notes application program changes and the movement of program changes into production.

**OAG Response as of October 2008:** We believe the action items detailed in Finding No. 1 appropriately resolve these issues.

**Status: partially implemented as of March 2009:** See Current Status provided in Finding No. 1.

**Auditor General Audit Finding No. 4:** Some instances existed of excessive and inappropriate access privileges to Lotus Notes applications and data.

**Auditor General Recommendation:** The Department should ensure that the access privileges of employees are commensurate with their job duties and best practices. Additionally, the Department should limit and monitor the use of the system account to reduce the risk of unauthorized system actions and to promote accountability.

**OAG Response as of October 2008:** The Department will reassess the appropriateness of current access privileges, and, where feasible within resource constraints, support requirements and assigned job duties, will further restrict employee access privileges.

**Status: partially implemented as of March 2009:** The Department has reviewed the current access privileges of Notes development staff and has reduced these privileges where possible. A new policy was implemented to ensure that future developer access will be limited to privileges required for the assigned job duties, and will take into consideration the Data and System classification of the database, the level of support required by the agency for the database in question, and the experience level of the developer being granted access. The Department also

implemented a policy limiting use of the system account where possible. Additional restrictions on access privileges of Notes development staff would negatively impact the staff's ability to adequately support the business needs of the agency.

**Auditor General Audit Finding No. 5:** In addition to the matters discussed in Finding No. 4, certain Department security controls related to Lotus Notes and the supporting network environment needed improvement. We have not disclosed specific details of these issues in this report to avoid the possibility of compromising the Department's data and IT resources.

**Auditor General Recommendation:** The Department should implement the appropriate security controls to ensure the continued confidentiality, integrity, and

availability of Department data and IT resources.

**OAG Response as of October 2008:** The Department will assess current security controls and implement procedural and technical changes to strengthen these controls as feasible.

**Status: partially implemented as of March 2009:** The Department is in the process of implementing additional security controls in each of the three areas identified in the report. Specific details of the implementation are not being disclosed in this report due to security and confidentiality concerns; however the Department will provide such information upon request.

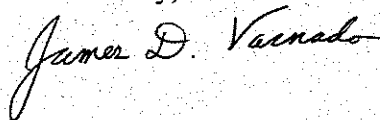
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## Inspector General Statement

This report has been prepared to inform the Attorney General and the Joint Legislative Audit Committee of the six-month status of corrective actions related to the findings of the *Auditor General's Operational Audit 2009-020 of the Department of Legal Affairs Lotus Notes Applications Information Technology Audit* released October 10, 2008, as mandated by Section 20.055, Florida Statutes.

The Office of Inspector General would like to thank Information Technology staff for their cooperation and assistance in this review.

Sincerely,



James D. Varnado  
Inspector General