



Florida Department of Transportation

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STEPHANIE C. KOPELOUSOS
SECRETARY

April 3, 2009

Stephanie C. Kopelousos
Secretary
Department of Transportation
605 Suwannee Street
Tallahassee, Florida 32399-0450

RE: **Office of the Auditor General Report No. 2009-017
TRNS*PORT system SiteManager Module, Laboratory Information
Management System (LIMS), Consultant Invoice Transmittal System (CITS)**

Dear Secretary Kopelousos:

As required by Section 20.055(5)(h), Florida Statutes, attached is the six month status report for the subject audit. The report details the implementation or current status of each recommendation.

If you have any questions, please call me at 410-5823.

Sincerely,

A handwritten signature in black ink, appearing to read "Ron Russo".

Ron Russo
Inspector General

RR:hmt

Enclosure

cc: Terry Shoffstall, Director
Joint Legislative Auditing Committee

Florida Department of Transportation
Office of Inspector General

Report Title: SiteManager, LIMS and CITS
Source of Audit: Office of the Auditor General
Report Number: 2009-017

Finding No. 1: Maintenance of LIMS

The Laboratory Information Management System (LIMS) program change controls were deficient and did not follow the Department's information systems development methodology (ISDM).

Recommendation: The Department should document all LIMS program changes to provide management the ability to identify all changes made to the system and ensure that changes are properly authorized, tested, and approved for implementation in a manner consistent with its ISDM.

The Department should also consider assigning the Office of Information Systems the responsibility for maintaining LIMS because of the system's Departmentwide significance.

Initial Response: The State Materials Office (SMO) will work with the Office of Information Systems (OIS) and others in order to implement Change Control Processes to address this concern with regards to authorized changes and appropriate approvals.

Executive management authorized the LIMS applications development, implementation and maintenance as an end user system to be developed by an outside contractor. This authorization was done with the knowledge that the ISDM used by the OIS application programmers would not be followed. Designating LIMS as an Enterprise Application would impact already strained resources in the OIS applications area. Such impacts would have to be assessed and approved by the department's executive management as required through our IT governance process. The CIO will ensure LIMS is considered by executive management during the development of next year's applications development work plan.

SMO Current Response: There are essentially five levels of changes in LIMS:

1. Basic editorial corrections and deletions which are handled by the users;
2. Advanced data management and certain table entries which are handled by the District Application Coordinators (DACs) with the stipulation that for user requests they record, at a minimum, an email identifying the change to be made, the person requesting that change and their justification for the change. DAC information:

<http://www.dot.state.fl.us/statematerialsoffice/laboratory/lims/contacts/index.shtm>

3. Record updates, corrections and additions are submitted through the FDOT service desk FDOT.ServiceDesk@dot.state.fl.us and handled by the LIMS support group at the State Materials Office;
4. Changes to the function of the application can be requested via: <http://materials.dot.state.fl.us/smo/laboratory/lims/enhancements/requests.htm>. These enhancement requests are reviewed by the LIMS steering committee and processed by the LIMS support group if approved; and
5. Structural changes to the database are developed and tested by the LIMS support group and the appropriate technical unit, then the changes are submitted to CO_DBAT for implementation on the production server.

SMO Actual / Estimated Completion Date:

1. User functions as per the User Manual was published September 2008
<http://www.dot.state.fl.us/statematerialsoffice/laboratory/lims/resources/training/usermanual/index.shtm>
2. For the DAC User Manual, currently evaluating an email form submitted by District 5. Estimated completion date: June 2009
3. Completed January 2009
4. Ongoing process; used since 2007
5. Completed February 2009

OIS Current Response: The applications development work plan is approved by executive management in the first quarter of each fiscal year. The Chief Information Officer will ensure LIMS is considered by executive management during the development of next year's applications development work plan.

OIS Estimated Completion Date: October 2009

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Finding No. 2: Security Controls

Certain security controls related to SiteManager, LIMS, and CITS and the supporting computer environment at the Central Office, Turnpike Enterprise, and Districts needed improvement. We are not disclosing specific details of the issues in this report to avoid the possibility of compromising the Department's data and IT resources.

Recommendation: The Department should implement the appropriate security controls to ensure the continued confidentiality, integrity, and availability of Department data and IT resources.

Initial Response: The department's Computer Security Administration section will continue to evaluate security policies to ensure the protection of the Department's data and IT resources.

Current Response: Two of the three issues identified are completed. The third is dependent upon the decision of executive management as discussed in the department's response to Finding No. 1.

Estimated Completion Date: December 31, 2010

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Finding No. 3: Department Security Policies

The Department's Electronic Security for Public Records Exemptions Policy was outdated.

Recommendation: The Department should periodically review and update its security policies as necessary to ensure that management's expectations for protecting Department information are clearly and accurately communicated to employees.

Initial Response: The department's procedure titled "Security of Confidential and Exempt Electronic Records," Topic No. 325-060-301-c, has been submitted for a preliminary departmental review. This procedure replaces the referenced procedure titled "Electronic Security for Public Records Exemptions."

Current Response: The preliminary review period was from September 26, 2008 to November 3, 2008. Eleven minor comments were received. As none of the comments were substantive, the draft "Security of Confidential and Exempt Electronic Records" procedure will be edited and submitted for Executive Review in March 2009.

Estimated Completion Date: December 31, 2010