

DEPARTMENT OF

**ELDER  
AFFAIRS**  
STATE OF FLORIDA

CHARLIE CRIST  
GOVERNOR

March 22, 2010

Ms. Kathy DuBose, Staff Director  
Joint Legislative Auditing Committee  
111 West Madison St., Room 876  
Tallahassee, Florida 32399-1400

E. DOUGLAS BEACH, PH.D.  
SECRETARY

Dear Ms. DuBose:

Pursuant to section 20.055(5)(h), Florida Statutes, enclosed is a copy of the written response on the status of corrective actions taken for Auditor General Operational Audit on the Florida Department of Elder Affairs #2010-008.

If you have any questions, please contact me at 414-2117.

Sincerely,



Tony Hernandez, CISA, CIA  
Director of Internal Audit

TH/ah

Enclosure

4040 ESPLANADE WAY  
TALLAHASSEE  
FLORIDA, 32399-7000

phone 850.414.2000  
fax 850.414.2004  
TDD 850.414.2001

<http://elderaffairs.state.fl.us>

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**Follow-up Status for Auditor General's Operational Audit  
On the Florida Department of Elder Affairs #2010-008**

**INSTRUCTIONS: WRITE YOUR RESPONSE ONLY IN THE HIGHLIGHTED AREAS.**

<b>Finding #</b>	<b>Finding No. 1:</b>
<b>Finding Title</b>	<b>CIRTS Access</b>
<b>Report Date</b>	August 2009
<b>Contact Person</b>	Ed Neu
<b>Program/Unit</b>	Information Systems
<b>Phone Number</b>	414-2136
<b>Recommendation</b>	To ensure that only authorized users have access to CIRTS, we <b>recommend</b> that the Department establish written procedures to timely remove user access upon an employee's separation from the Department. The Department should also establish a process for periodically reviewing user access privileges to ensure that the granted privileges remain appropriate.
<b>Original Response</b>	<p><b>Statement of Explanation:</b> This finding involved the lack of a fully deployed systematic process to terminate access to the CIRTS system for terminated employees. We agree that this process needs refinement, it should be noted that while the audit identified a small number of cases handled improperly, none of these cases resulted in unauthorized access to the system.</p> <p><b>Planned Corrective Action:</b> The Department of Elder Affairs concurs with the recommendation and shall develop a written procedure for the termination of access to CIRTS and other information resources. The department will investigate and adopt improvements to the existing process such as creating a systematic method for the centralized communication of changes in account status, and develop and deploy a process for the periodic review of user access privileges.</p>
<b>6 Month Corrective Action Taken</b>	The Department immediately instituted the procedure which can be found in Attachment 1. The written procedure was later incorporated into the Department's Termination / Suspension of Computer Services Policy (see Section 3.5 in Attachment 1). This policy assures that access for all systems is suspended and requires that the actions are verified.

**Follow-up Status for Auditor General's Operational Audit  
On the Florida Department of Elder Affairs #2010-008**

**INSTRUCTIONS: WRITE YOUR RESPONSE ONLY IN THE HIGHLIGHTED AREAS.**

<b>Finding #</b>	<b>Finding No. 2:</b>
<b>Finding Title</b>	<b>Security Controls</b>
<b>Report Date</b>	August 2009
<b>Contact Person</b>	Ed Neu
<b>Program/Unit</b>	Information Systems
<b>Phone Number</b>	414-2136
<b>Recommendation</b>	We <b>recommend</b> that the Department improve these security controls to more reasonably ensure the confidentiality, integrity, and availability of data and IT resources.
<b>Original Response</b>	<b>Planned Corrective Action:</b> The Department of Elder Affairs concurs with the recommendation and has begun the process of making the required improvements.
<b>6 Month Corrective Action Taken</b>	The Department of Elder Affairs has completed the application changes required to add the functionality to in CIRTIS to save incomplete CARES assessments for later completion. This functionality for the Aging network assessments is under development. We have verified that the compensating controls which prevent unauthorized access to the system are deployed for all users and workstations.

## **Attachment 1**

### **Termination/Suspension of Computer Services**

#### **1.0 Purpose**

The purpose of this policy is to establish rules regarding the suspension of an employee's rights to access all or part of the Florida Department of Elder Affairs (DOEA) network.

#### **2.0 Scope**

This policy applies to employees, contractors, consultants, temporaries, and other DOEA workers, including all personnel affiliated with third parties, such as, but not limited to, Area Agencies on Aging and vendors.

#### **3.0 Policy**

DOEA Division of Information Systems (DIS) will terminate an employee's user account at the request of the personnel department or the employee's Division Director. The information contained in the user's home directory and e-mail will be maintained for at least one month. Rights to this information will be granted at the request of the employee's supervisors and/or division director. Requests to terminate a current employee's rights to network resources will be accepted from the employee's supervisor and/or division director.

All above requests shall be completed within 24 hours or sooner upon request of the personnel department or the employee's supervisor and/or division director.

#### **3.5 Procedure**

**Requests** for termination or Suspension of Computer Services for a DOEA Computer Service user can be made by the following means:

- Communicated via the Personnel Action Report which is produced and distributed at least weekly by the Personnel office of the Department of Elder Affairs to communicate routine changes in personnel status
- Direct verbal requests by Division Director or Bureau Chief to the Chief Information Officer, Information Security Officer or their designee usually in the case of non-routine requests

#### **Actions Taken by the Information Technology Office (or AAA LAN Administrators)**

- Change password for Network Access (Novell password)
- Change Password for Electronic Mail (Groupwise password)
- Change Password to the Applications (Oracle Single Sign-On password)
- Verify that each password indicated above has been changed

Information contained in suspended accounts will be maintained for at least one month or as directed by the requestor or agency management. Rights to access these suspended accounts will be granted as directed by the DOEA Computer Service User's division director.

#### **4.0 Enforcement**

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

#### **5.0 Revision History**

Procedure Section added 3-17-2010