

Rick Scott
Governor
Cynthia R. Lorenzo
Director
James F. Mathews
Inspector General

March 23, 2011

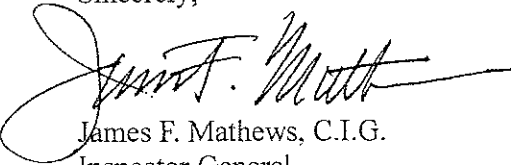
Ms. Cynthia Lorenzo, Director
Agency for Workforce Innovation
Suite 212, Caldwell Building
107 East Madison Street
Tallahassee, Florida 32399-4120

Dear Director Lorenzo:

As required by Section 20.055(5)(h), Florida Statutes, we have prepared the attached status of corrective actions, as of March 23, 2011, taken by the Agency for Workforce Innovation for findings and recommendations contained in Auditor General Audit Report No. 2011-013, *Agency for Workforce Innovation, One Stop Management Information System (OSMIS), Information Technology Operational Audit*, issued on September 27, 2010. This audit focused on evaluating selected information technology controls applicable to OSMIS for the period July 2009 through April 2010.

In accordance with Section 20.055(5)(h), Florida Statutes, I am also copying the Joint Legislative Auditing Committee. If you have any questions, please call me at (850) 245-7141.

Sincerely,



James F. Mathews, C.I.G.
Inspector General

JFM/js

cc: Joint Legislative Auditing Committee
Tom Clendenning

Office of Inspector General

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Florida Agency for Workforce Innovation (AWI)
6-Month Status Report to Auditor General
Information Technology Operational audit (Report No. 2011-013)
One Stop Management Information System (OSMIS)
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Finding No. 1: Documentation of User Access Authorizations

Documentation of authorization for some employees' OSMIS access privileges was missing, incomplete, or inaccurate.

Recommendation: The Agency should modify its access authorization forms to accurately reflect the available access privileges in OSMIS and ensure that the forms are complete and accurate.

Agency Response: AWI agrees that the OSMIS access authorization forms should be updated to accurately reflect access privileges granted. To that end, we have revised the access authorization form and have requested updated forms from all Regional Workforce Board users of the system. Updated forms will be distributed to internal AWI users by September 30, 2010, and all forms will be verified as complete and accurate by November 30, 2010.

6-Month Status: Updated forms were distributed to internal AWI users and completed forms were verified as complete and accurate. All updated access authorization forms for both AWI and RWB users were returned by September 29, 2010.

Finding No. 2: Appropriateness of Access Privileges

OSMIS access privileges of one programmer exceeded what was necessary for his job duties. A similar issue regarding access privileges was noted in our report No. 2006-086.

Recommendation: The Agency should limit OSMIS user access privileges to only what is needed for the performance of assigned job duties.

Agency Response: The individual's access (detected during the audit) was removed on March 30, 2010. A monthly list of access is being provided by Information Technology (IT) Services to the OSMIS security staff for their review, evaluation, and action, if needed.

6-Month Status: AWI considers this finding closed. A new monthly process has been implemented that allows Financial Management staff to monitor user access.

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Finding No. 3: Periodic Review of Access

The Agency did not have a written procedure for periodic reviews of OSMIS access privileges.

Recommendation: The Agency should develop and implement a written procedure describing management's expectations for periodic reviews of OSMIS access privileges.

Agency Response: A procedure is currently being prepared to define expectations for periodic reviews of OSMIS access privileges and will be completed by November 30, 2010.

6-Month Status: A procedure was prepared to define expectations for periodic reviews of OSMIS access privileges. Weekly and monthly reviews are being completed timely with documentation filed.

Finding No. 4: Database User Account Management

Agency management of OSMIS database user accounts needed improvement.

Recommendation: The Agency should periodically review the appropriateness of active OSMIS database user accounts and disable any unnecessary accounts identified during the review.

Agency Response: AWI periodically reviews access to its information systems. AWI will include active OSMIS database user accounts with its periodic review and will disable any unnecessary accounts identified during the review. AWI intends to remediate this finding during the next OSMIS access control review scheduled for December 2010.

6-Month Status: AWI considers this finding closed. A quarterly review of database access is scheduled between ITO and the applications development units.

Finding No. 5: Positions of Special Trust

The Agency had not designated two OSMIS security officer positions having sensitive IT responsibilities and elevated IT access privileges as positions of special trust and had not performed appropriate background checks and fingerprinting of the two employees. A similar issue regarding positions of special trust was noted in our report No. 2006-086.

Recommendation: The Agency should continue in its efforts to monitor the job responsibilities and access privileges of its staff to ensure that, where appropriate, positions of special trust are designated and necessary background checks, including fingerprinting, are performed.

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Agency Response: AWI has designated the two OSMIS security officer positions as positions of special trust. The level 2 background screenings have already been run on the personnel in the positions. AWI considers this finding to be resolved.

6-Month Status: This finding was considered corrected when the original report response was submitted.

Finding No. 6: User Authentication and Application Server Software Maintenance

Certain Agency security controls related to user authentication and application server software maintenance needed improvement.

Recommendation: The Agency should improve security controls related to user authentication and application server software maintenance to ensure the confidentiality, integrity, and availability of Agency data and IT resources.

Agency Response: AWI is in the process of improving its security controls related to user authentication and application server software maintenance.

6-Month Status: AWI continues the process of improving its security controls related to user authentication and application server software maintenance. The findings either have been or are in the process of being corrected, with a final implementation date for all findings of June 30, 2011.

Finding No. 7: OSMIS Security Plan

The Agency's OSMIS security plan contained outdated and inaccurate information related to the OSMIS system environment.

Recommendation: The Agency should update its OSMIS security plan to reflect the current system environment and the job duties of Information Systems Security Officer (ISSO).

Agency Response: The OSMIS security plan will be revised to reflect the current system environment by reference to the continually updated *Configuration Management Database, Configuration Item - One Stop Management Information System*. Review and update of the security plan will be complete by November 30, 2010.

Regarding the duties of the ISSO, the intent of the plan was for the ISSO's role to be an oversight/assessment role, functioning to ensure that the security controls of the system

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(primarily access security) were monitored on an ongoing basis by the OSMIS security officers. Clarification of this expectation will be added to the updated plan.

The procedures addressed in Finding No. 3 will provide for confirmation to the ISSO that security controls of the system are monitored on an ongoing basis.

6-Month Status: The OSMIS security plan was revised to reflect the current system environment by reference to the continually updated Configuration Management Database, Configuration Item - One Stop Management Information System.

Regarding the duties of the ISSO, the intent of the plan was for the ISSO's role to be an oversight/assessment role, functioning to ensure that the security controls of the system (primarily access security) were monitored on an ongoing basis by the OSMIS security officers. Clarification of this expectation will be added to the updated plan. The procedures addressed in Finding No. 3 provide for confirmation to the ISSO that security controls of the system are monitored on an ongoing basis.

Revisions to the plan were completed on December 31, 2010. The review and approval process was completed by February 1, 2011.

Finding No. 8: Program Change Controls

The Agency was in the process of developing, but had not yet implemented, written program change control procedures for OSMIS. In addition, as similarly noted in our report No. 2006-086, documentation of key program change controls was lacking for some OSMIS program changes.

Recommendation: To ensure that changes to OSMIS are made in a consistent manner pursuant to management's expectations, the Agency should complete and implement program change procedures that include provisions for authorization of program changes by the system owner, testing and user acceptance of changes, and movement of accepted changes into the production environment by someone independent of the person who developed the changes.

Agency Response: AWI implemented a new change management software and procedure in September, 2009 as a response to a prior audit. These procedures were documented and formalized for OSMIS on September 10, 2010.

6-Month Status: This finding was considered corrected when the original report response was submitted. AWI IT support for OSMIS has a formal change management process in place utilizing FootPrints, the agency's change management software.

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Finding No. 9: OSMIS User Documentation

As similarly noted in our report No. 2006-086, some provisions of OSMIS user documentation were outdated and did not reflect current system functionality.

Recommendation: The Agency should update its user documentation to reflect current OSMIS functionality.

Agency Response: AWI agrees with the finding. The OSMIS user documentation is being updated to reflect current OSMIS functionality. The system is continually being improved, and the user manual must be adjusted accordingly. The updated user documentation will be developed by March 31, 2011.

6-Month Status: The Region User Manual, the Financial Administrator User Manual and the AWI Financial Management User Manual have all been completed. The final drafts will be reviewed and approved by the agreed-upon date of March 31, 2011.

Finding No. 10: Information Technology – Service-Level Agreements

The Agency had not executed a service-level agreement with the Southwood Shared Resource Center (SSRC).

Recommendation: The Agency should establish a written service-level agreement with Southwood Shared Resource Center that defines the specific requirements related to the housing of the two OSMIS servers.

Agency Response: AWI entered into a Service Level Agreement (SLA) with the SSRC on September 7, 2010.

6-Month Status: AWI entered into several Service Level Agreements (SLAs) with the SSRC, including the SLA specifically relating to the two OSMIS servers. All SLAs were executed by October 20, 2010.