



**State of Florida  
Department of Children and Families**

**Rick Scott**  
Governor

**Mike Carroll**  
Secretary

**DATE:** April 15, 2016

**TO:** Mike Carroll  
Secretary

**FROM:** Keith R. Parks  
Inspector General

**SUBJECT:** Six-Month Status Report for Auditor General Report No. 2016-004

In accordance with Section 20.055(6)(h), Florida Statutes, enclosed is our six-month status report on Auditor General Report No. 2016-004, *Department of Children and Families – Prior Audit Follow-Up, Operational Audit*.

If I may be of further assistance, please let me know.

Enclosure

cc: Kathy DuBose, Staff Director, Joint Legislative Auditing Committee

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Mission: Work in Partnership with Local Communities to Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency



DEPARTMENT OF CHILDREN AND FAMILIES

OFFICE OF INSPECTOR GENERAL  
INTERNAL AUDIT

*Enhancing Public Trust in Government*



Mike Carroll  
Secretary

Keith R. Parks  
Inspector General

Project #E-1415DCF-231

April 15, 2016

## Six-Month Status Report

### *Department of Children and Families* *Prior Audit Follow-Up* **Operational Audit**

#### PURPOSE

The purpose of this report is to provide a written response to the Secretary on the status of corrective actions taken six months after the Auditor General published Report No. 2016-004, *Department of Children and Families – Prior Audit Follow-Up*, Operational Audit. The audit focused on evaluating actions taken by the Department to correct deficiencies disclosed in Report No. 2014-188, related to the Domestic Violence Program, the Telework Program, and selected administrative activities.

#### REPORT FINDINGS, RECOMMENDATIONS, STATUS & COMMENTS

Five administrative offices were responsible for providing updated status and corrective action comments to findings and recommendations as follows:

|                                       |                      |
|---------------------------------------|----------------------|
| Contracted Client Services            | Finding 1            |
| Human Resources                       | Finding 2            |
| General Services                      | Findings 3 and 5     |
| Information Technology Services (ITS) | Findings 3, 4, and 5 |
| Financial Management                  | Finding 6            |

Presented below are the full text of the Auditor General's finding statements and recommendations, and up-to-date corrective action comments and status, as reported by the management staff of the aforementioned offices.

**FINDING NO. 1:** As similarly noted in our report No. 2014-188, the Department's monitoring efforts related to the Florida Coalition Against Domestic Violence were not always sufficient or properly documented.

**RECOMMENDATION:** We recommend that Department management ensure that the monitoring plan and monitoring tools used to monitor the Coalition are updated to incorporate:

- Criteria to evaluate the Coalition's allocation of funds to the certified domestic violence centers in accordance with the Department's funding formula.
- A review of the Coalition's monitoring of the certified domestic violence centers.

In addition, to demonstrate the sufficiency of the monitoring work performed and the appropriateness of the conclusions made, we recommend that Department management ensure that independent supervisory reviews are conducted and documented.

**Status (per Office of Contracted Client Services staff): Partially Corrected**

The Department appreciates the guidance and feedback from the Auditor General. The next on-site monitoring for the Florida Coalition Against Domestic Violence (Coalition) is scheduled for May 2, 2016. The criteria for the monitoring of the Domestic Violence Shelter will incorporate a multi-column tool. The results of the monitoring tool will be reviewed when the monitoring team is on-site with the Coalition. The Department will continue to improve implementation of quality assurance reviews.

**FINDING NO. 2:** *As similarly noted in our report No. 2014-188, teleworker performance evaluations did not always include required notations to evidence the continuing appropriateness of the telework arrangements. Additionally, teleworking arrangements were not always accurately identified in the State's human resource information system, People First.*

**RECOMMENDATION:** *We again recommend that management in the Department's Central Office of Human Resources communicate to appropriate supervisory staff the requirements outlined in Department policies and procedures to help ensure that decisions to continue teleworking arrangements are properly documented in employee annual performance evaluations. We further recommend that Central Office of Human Resources management take appropriate measures to ensure that the designation of telework arrangements is accurately entered into People First and timely updated when employees no longer telework.*

**Status (per Office of Human Resources staff): Fully Corrected**

[On June 12, 2015, the Office of Human Resources notified Department leadership regarding documenting telework arrangements in annual performance evaluations. On December 15, 2015, the Office of Human Resources notified Department leadership regarding designation of telework in People First. Those communications are available for review.]

***FINDING NO. 3:*** *The Department did not always document the assignment and return of laptop computers for Department employees. A similar finding was noted in our report No. 2014-188.*

***RECOMMENDATION:*** *We again recommend that Department management emphasize to staff the requirements for documenting the assignment and return of computer equipment.*

***Status (per Office of General Services staff): In Progress***

***Status (per Office of Information Technology Services staff): In Progress***

The Office of General Services is [currently] updating CFOP 80-2 to remove the requirement of [Form] CF-1941 and will continue working with [ITS] to formalize processes [for documenting] the return of equipment via a Footprints Service Ticket.

The Department is in the process of updating multiple operating procedures. An amendment to SOP S-1 is in review [for] approval to require supervisors to timely notify [ITS] by Footprints Service Ticket for employee terminations or reassignments. In addition, an amendment to SOP A-7 is under review for approval to remove the requirement of [Form] CF-1941 and the requirement to notify the statewide helpdesk.

***FINDING NO. 4:*** *The Department did not document that former employees' laptop computers were properly sanitized to remove sensitive data before the laptops were surplus or reassigned.*

***RECOMMENDATION:*** *We recommend that Department management update policies and procedures to establish a time frame for the sanitization of sensitive data from computer equipment returned by Department staff and for the secure storage of equipment awaiting sanitization. In addition, we recommend that Department management follow established procedures regarding the maintenance of appropriate documentation regarding the sanitization of computer equipment.*

***Status (per Office of Information Technology Services staff): In Progress***

A Media Protection policy, which includes media sanitization requirements, is in draft format and [being routed] for Department approval.

***FINDING NO. 5:*** *The Department had still not established policies and procedures for the collection and use of social security numbers or evaluated its collection and use of social security numbers (SSNs) to ensure compliance with State law.*

***RECOMMENDATION:*** *We again recommend that Department management establish written policies and procedures regarding the collection and use of individuals' SSNs, document the review of Department surveys of SSN collection activities, and take appropriate steps to demonstrate compliance with applicable statutory requirements.*

**Status (per Office of General Services staff): In Progress**

**Status (per Office of Information Technology Services staff): In Progress**

The Office of General Services continues to coordinate with Program [Offices] to update forms inventory to comply with statutory requirements on the collection of [SSNs].

An evaluation of the collection and use of [SSNs] in information systems was provided in Management's Response to Finding No. 5. Below please find the status update for the [three] systems with unresolved collection and use relative to state law:

- FLORIDA System (no change) - The status will remain unchanged until funding is available to replace the legacy components of the system.
- Adult Protective Services Information System - The required notice in English, Spanish, and Creole was published in DCF Forms as of July 30, 2015.
- Applicant Tracking Information System – This is an [Agency for Persons with Disabilities (APD)] system hosted at the Suncoast Region data center. [The Department] does not collect any data for this system. Transfer of the system to APD is currently underway.

**FINDING NO. 6:** *Department controls over employee access to the Florida Online Accounting Information Resource Subsystem (FLAIR) and the Department's network continue to need improvement. Additionally, employee separation checklists used to account for the return of all State owned property, files, records, and work product for employees separating from Department employment were not always timely or properly completed.*

**RECOMMENDATION:** *We again recommend that Department management establish policies and procedures requiring periodic reviews of FLAIR access privileges to aid in the identification and resolution of any instances where excess or incompatible privileges have been granted or access privileges are no longer needed. We also recommend that Department management ensure that all employee separation checklists are timely and appropriately completed, and that FLAIR and network access privileges are timely deactivated upon a user's separation from Department employment.*

**Status (per Office of Financial Management staff): Partially Corrected**

[The Department] has created a Florida Accounting Information Resource (FLAIR) System procedure and will publish no later than [May 2, 2016]. This procedure includes requirements of periodic reviews of FLAIR access privileges to aid in the identification and resolution of any instances where excess or incompatible privileges are no longer needed. During FY 2014/15 designated custodians in the Office of Accounting and Finance reviewed the FLAIR functions of all staff with FLAIR access.



[The Department] has implemented a system named FLAIR Users Auditing System to immediately delete the FLAIR access of terminated staff. This automated system generates an audit file report daily. In addition to reflecting deleted FLAIR passwords of users, the audit file report reflects tabs for FLAIR users not matching PeopleFirst, FLAIR users matching PeopleFirst, and FLAIR systems.

This follow-up audit was conducted as required by Florida Statutes 20.055(6)(h) and section 2500.A1 of the International Standards for the Professional Practice of Internal Auditing, as published by the Institute of Internal Auditors. Elton Jones compiled this follow-up audit from representations provided by administrative management. Please address inquiries regarding this report to Jerry Chesnutt, Director of Auditing, at (850) 488-8722.