



FLORIDA DEPARTMENT *of* STATE

RICK SCOTT
Governor

KEN DETZNER
Secretary of State

December 31, 2015

Ken Detzner
Secretary of State
Florida Department of State
R. A. Gray Building
500 South Bronough Street
Tallahassee, FL 32399-0250

RE: Auditor General Report Number 2016-002, Department of State Information Technology Operational Audit of the Florida Voter Registration System and Prior Audit Follow-up

Dear Secretary Detzner:

As required by Section 20.055(6)(h), Florida Statutes, attached is the Office of Inspector General review of the status of corrective action taken concerning the findings and recommendations contained in the Auditor General's Report referenced above.

Please contact me if you require additional information.

Sincerely,

A handwritten signature in green ink that reads "John L. Greene".

John L. Greene, CIA, CIG, CGAP, CGFM
Inspector General

Attachment

- cc. Jennifer Kennedy, Assistant Secretary of State and Chief of Staff
John Boynton, Deputy Secretary for Administrative Services, Corporations and Elections
Maria Matthews, Esq., Director, Division of Elections
Wes Underwood, Director, Division of Administrative Services
Sherrill F. Norman, CPA, Auditor General
Melinda Miguel, Chief Inspector General
Kathy DuBose, Coordinator, Joint Legislative Audit Committee

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**STATUS REPORT ON CORRECTIVE ACTIONS
FOR
AUDITOR GENERAL REPORT NUMBER 2016-002
DEPARTMENT OF STATE INFORMATION TECHNOLOGY OPERATIONAL AUDIT
OF THE FLORIDA VOTER REGISTRATION SYSTEM AND
PRIOR AUDIT FOLLOW-UP
DECEMBER 2015**

The purpose of this follow up is to report on the status of corrective actions taken by Department of State management in response to the recommendations made by the Auditor General in the Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up- Audit Report 2016-002.

Finding No. 1: Department FVRS IT maintenance controls needed improvement.

Recommendation: The Department should improve FVRS IT maintenance controls to include appropriate documentation of maintenance schedules, maintenance records, and routine analyses of maintenance records.

Agency Response:

In addition to the processes in current use, the Department implemented a series of additional processes to record maintenance. The process details the extent of the maintenance, the timeframe, and signoff by management.

Department's Response to the Status of Corrective Action for Finding No. 1:

The Department has created and implemented forms and documents that detail the extent of the maintenance, the timeframe, and signoff by management.

Conclusion:

The Department has fully implemented the corrective action.

Finding No. 2: Department FVRS performance and capacity monitoring controls needed improvement.

Recommendation: The Department should improve FVRS performance and capacity monitoring controls.

Agency Response:

The Department is migrating to a new platform in July 2015. A baseline will be established on the new platform. This baseline will determine metrics that will be monitored and documented on a monthly basis. The Department will compare past,

current, and future database performance and capacity data to ensure optimal efficiency of the FVRS database.

Department's Response to the Status of Corrective Action for Finding No. 2:

The Department creates a monthly report that represents database performance. These reports allowed the Department to establish a base line for the database and offers the ability to observe trends and usage on a monthly basis.

Conclusion:

The Department has fully implemented the corrective action.

Finding No. 3: Although the Department had a Disaster Recovery Plan (Plan) in place for the FVRS, the Plan had not been tested since April 2011.

Recommendation: The Department should conduct testing of the FVRS Disaster Recovery Plan at least annually pursuant to Rule and Department Policy.

Agency Response:

The Department has tested every step of the current disaster recovery process except for taking the production database offline. It is imperative that the production system for FVRS is active at all times. The Department is migrating to a new hardware platform in July 2015. The set up for the new platform will not require the production system to be down during disaster testing. Once the new hardware is in place, the Department will annually conduct testing of the Disaster Recovery Plan pursuant to Rule and Department Policy.

Department's Response to the Status of Corrective Action for Finding No. 3:

The Department has placed into production two separate, new and completely redundant systems in two separate data centers. These systems were tested for redundancy during implementation. For Disaster Recovery purposes, the Department will continue to test redundancy annually in accordance with Rule and Department Policy.

Conclusion:

The Department has fully implemented the corrective action.

Finding No. 4: Some inappropriate and unnecessary access privileges existed in the Voter Focus application that is used to enter data into the FVRS.

Recommendation: The Department should take steps to ensure that access privileges of Voter Focus accounts are commensurate with users' assigned job duties and are necessary.

Agency Response:

The Department recognizes the limitations of the current Voter Focus application. The 14 users that are referenced will have the use of the Voter Focus application added to their job duties. For access to data in FVRS, the Department relies upon an annual outside vendor license which serves as the interface application. Only two levels of access currently exist in that program: a) Full administrative and b) Inquiry/update. All assigned users involve staff in confidential or managerial positions and have had a level 1 or level 2-background check as a matter of employment. The Department is currently undergoing a major rewrite of FVRS in which the ability to restrict access privileges to inquiry-only will become a part of a system.

Department's Response to the Status of Corrective Action for Finding No. 4:

The positions descriptions for the referenced users have been amended to specify that their duties "may include accessing the Florida Voter Registration System (FVRS) to perform necessary duties to view or enter registration data in FVRS." As stated in the above agency response, the ability to restrict access privileges to "inquiry-only" is unable to occur until the completion of the FVRS rewrite. The FVRS rewrite is scheduled for completion in October 2017.

Conclusion:

The Department amended the position descriptions for the referenced users to specify that their duties "may include accessing the FVRS to perform necessary duties to view or enter registration data in FVRS." The Department plans to fully implement the corrective action no later than October 2017.

Finding No. 5: The Department had not established a mechanism to provide reasonable assurance that all changes implemented into the FVRS production database environment were properly authorized, tested, and approved.

Recommendation: The Department should ensure that a post implementation mechanism is in place that provides reasonable assurance that all database changes implemented into the FVRS production database environment have gone through the appropriate change control process.

Agency Response:

The Department created a change management control document. This document provides reasonable assurance that all database changes implemented into the FVRS production database are properly authorized, tested, and approved. Additionally, the Department will use system logging to ensure that only authorized, tested, and approved changes were made to the database.

Department's Response to the Status of Corrective Action for Finding No. 5:

The Department has created and implemented documents for change control. Additionally, the system monitors and logs any schema addition or alteration of the data base. A report is automatically generated every week that reflects any changes.

Conclusion:

The Department has fully implemented the corrective action.

Finding No. 6: Security awareness training for members of the Department workforce hired since July 1, 2014, had not been conducted in a timely manner.

Recommendation: The Department should strengthen controls to ensure that security awareness training is conducted in a timely manner.

Agency Response:

All newly-hired employees are provided with a copy of the Department's IT Security policies and procedures, as well as a copy of the PowerPoint training, so they are aware of IT security protocols at the commencement of their employment with the agency. A written acknowledgement is required and placed in the file. Although employees received the policies, a limited number of employees during the audit period had not received the PowerPoint. This issue was addressed and the Department has strengthened controls.

Department's Response to the Status of Corrective Action for Finding No. 6:

All current employees, including all employee's previously missed, have been provided with a copy of the Department's IT Security Awareness Training presentation. In addition, a written acknowledgement of training completion is placed in the employee's personnel file. All new hires are provided IT security policies and procedures and a copy of the Security Awareness Training presentation.

Conclusion:

The Department has fully implemented the corrective action.

Finding No. 7: Certain Department security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties needed improvement.

Recommendation: The Department should improve security controls related to the protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.

Agency Response:

The Department has implemented improved security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.

Department's Response to the Status of Corrective Action for Finding No. 7:

The Department has implemented improved security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.

Conclusion:

The Department has implemented some corrective actions. The Department plans to fully implement the corrective action no later than October 2017 when the FVRS rewrite is complete.