

MEMORANDUM

DATE: February 12, 2010
TO: Robert S. Cohen, Chief Judge
FROM: Lisa Mustain, ASD *AM*
SUBJECT: Follow-up on Auditor General Report No. 2009-078

This is a follow up on the Operational Compliance Audit of the Florida Department of Management Services and Related Entities, on Nonpublic Information Safeguards and Revenue and Cash receipts, for the period July 2006 through February 2008, the following is information concerning the findings referenced and the actual or proposed corrective actions taken respectively.

Finding No. 1: SSN Reporting Requirements

The Division of Administrative Hearings (DOAH) instituted a policy (1.03) on July 9, 2008, to comply with Subsection 119.071(5), Florida Statutes, with regard to informing employees of the need to collect social security numbers. Additionally, DOAH filed certification to the appropriate entities on May 7, 2008, and will comply henceforth annually.

Finding No. 3: Procedures and Standard Documents

DOAH has developed written procedures (5.03) for ensuring that electronic media within surplus IT equipment is completely destroyed or cleansed when the equipment is surplus.

DOAH has enhanced existing procedures to ensure that all nonpublic information obtained during the normal course of business is identified and that appropriate safeguards are employed to protect such information. Specifically, enhancing procedures in the Clerk's Office Manual and the Administrative Policies and Procedures Manual identifying nonpublic information and physical security safeguards.

Finding No. 5: Access Controls

DOAH has developed written procedures (5.04) for requesting, assigning, and removing user access privileges. Procedures for periodically reviewing user access privileges are being reviewed.

Finding No. 6: Position of Special Trust

DOAH identified all career service, selected exempt, senior management, appointed, and other personal services positions in fact, positions of special trust. DOAH has established written policies and procedures (1.11) identifying such positions. All DOAH employees have completed level 2 screenings and additionally, passing the level 2 screening is a condition of employment for all new hires.

Finding No. 7: Cash Collection Controls

DOAH has readdressed and enhanced control procedures (3.07) as recommended to safeguard cash collections.

Finding No. 8: User Access

The conflicting duties identified in the audit findings have been re-assigned and procedures (5.04) for approving updates to production data have been instituted.

Finding No. 9: Change Management

The Information Systems Unit is reviewing these recommendations and will address the issues raised.