

Mission:

To protect, promote & improve the health of all people in Florida through integrated state, county & community efforts.



Rick Scott
Governor

Celeste Philip, MD, MPH
Surgeon General and Secretary

Vision: To be the **Healthiest State** in the Nation

November 30, 2018

Celeste Philip, MD, MPH
Surgeon General and Secretary
4052 Bald Cypress Way
Tallahassee, Florida 32399

JLAC Received
11/30/2018

Dear Dr. Philip:

Pursuant to Section 20.055(6)(h), *Florida Statutes*, our office is to update you on the status of corrective actions taken since June 19, 2018 when the Office of the Auditor General published its Report Number 2018-213, *Department of Health, Biomedical Research Program and Selected Administrative Activities Prior Audit Follow-Up*. Management's assessment of the current status of corrective actions is included in the enclosed document.

Six months after publication, management reports some of the corrective actions made in response to recommendations from the Office of the Auditor General have been completed. Three corrective actions have been completed and one is still in progress.

If I may answer any questions, please let me know.

Sincerely,

Michael J. Bennett, CIA, CGAP, CIG
Inspector General

MJB/akm
Enclosure

cc: Kathy DuBose, Staff Director, Joint Legislative Auditing Committee
Eric Miller, Chief Inspector General, Executive Office of the Governor
Michele Tallent, Deputy Secretary for Operations
Marsha Lindeman, ARNP, MSN, Assistant Deputy Secretary for Health
Shamarial Roberson, DrPH, MPH, Interim Director, Division of Community Health Promotion
Ed McEachron, Director, Division of Administration
Ty Gentle, Director, Office of Budget & Revenue Management
Bonnie Gaughan-Bailey, Administrator, Biomedical Research Section
Mark H. Boehmer, CPA, Director of Auditing

Status of Corrective Action Plans



Report Number: 2018-213
 Report Title: *Department of Health, Biomedical Research Program and Selected Administrative Activities
 Prior Audit Follow-Up*
 Report Date: June 19, 2018
 Status As Of November 30, 2018

No.	Finding	Recommendation	Corrective Action Plan	Status of Corrective Action Plan
1	As similarly noted in prior audit reports, most recently in Auditor General Report No. 2016-014, Biomedical Research Program (Program) grant applications and agreements could be enhanced to specify that grant recipients are to adhere to the policies and procedures outlined in the Program's <i>Grant Administration Manual (Manual)</i> . In addition, the Department of Health (Department) did not provide the <i>Manual</i> to Program grant recipients at the time of grant award.	We again recommend that Department management revise Program grant applications and grant agreements to specifically require recipients to adhere to the policies and procedures included in the <i>Manual</i> and enhance procedures to ensure that the <i>Manual</i> is provided to grantees at the time of grant award.	Reference to the <i>Manual</i> has been added to the annual Funding Opportunity Announcement and to the Terms and Conditions.	<p>Completed.</p> <p>The link to the <i>Manual</i> has been included in the annual Funding Opportunity Announcement, award letters and Terms and Conditions. Additionally, the <i>Manual</i> will remain on the Program website under the Grant Forms tab.</p> <p>The Department is currently midway in awarding research grants. The applications have been received and are being peer reviewed. All awards will be completed by March 29, 2019.</p>
2	Department controls over employee access to the Florida Accounting Information Resource (FLAIR) continue to need improvement to reduce the risk of unauthorized disclosure, modification, or destruction of Department data.	(2.1) We recommend that Department management provide staff additional guidance regarding the assignment of appropriate FLAIR access privileges and require that, where incompatible access privileges are necessary, compensating controls be established and documented.	(2.1) The Department will provide additional direction within the internal operating procedure in regard to FLAIR access privileges.	<p>(2.1) In progress.</p> <p>The Department will add language to Department policy (DOHP) 250-10, <i>FLAIR and the Resource Access Control Facility (RACF) Access Control</i>, and DOHP 56-14, <i>Internal Controls and Review</i>, which will require FLAIR and RACF access control records to be reviewed annually by county health departments (CHD) in conjunction with the completion of the Internal Control Questionnaire.</p> <p><i>Anticipated Completion Date:</i> <i>January 31, 2019</i></p>

No.	Finding	Recommendation	Corrective Action Plan	Status of Corrective Action Plan
		<p>(2.2) We also recommend that Department management ensure that FLAIR access privileges are timely deactivated when an employee separates from Department or CHD employment or transfers to a position where a new user account is required.</p>	<p>(2.2) As previously reported in Auditor General Report No. 2016-087, <i>Pharmacy Services and Selected Administrative Activities Prior Audit Follow-Up</i>, the Administrative and Financial Application Management (AFAM) section performs monthly FLAIR user audits. These audits compare FLAIR and RACF data to People First data. The AFAM section also reviews a semi-monthly termination report and receives Personnel Action Request emails from the Bureau of Personnel and Human Resource Management, identifying employee role changes.</p>	<p>(2.2) Previously completed.</p>
3	<p>As similarly noted in prior audit reports, most recently in Auditor General Report No. 2016-087, the Department did not always timely cancel purchasing cards upon a cardholder's separation from Department employment.</p>	<p>We again recommend that Department management promptly cancel purchasing cards upon a cardholder's separation from Department employment.</p>	<p>The Department Purchasing Card Administrator will update Department policy to require supervisors to contact the Purchasing Card Administration within five business days after an employee's separation date in People First. The Department will also implement a metric to monitor compliance among the CHDs and Central Office.</p>	<p>Completed.</p> <p>Department management completed the corrective action as it deemed appropriate.</p> <p>The Department's Purchasing Card Administrator updated DOHP 56-44, <i>Purchasing Card Guidelines</i>, to require supervisors to contact the Purchasing Card Administration within five business days after an employee's separation date in People First. The Department also implemented a metric to monitor compliance among CHDs and Central Office. The Department of Financial Services approved the updated policy.</p>