



**STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE**

INTEROFFICE MEMORANDUM

DATE: April 4, 2014

TO: Wansley Walters, Secretary

FROM: Robert A. Munson, Inspector General 

SUBJECT: Internal Audit's Six-Month Follow-Up Report – *Auditor General's Operational Audit No. 2014-015, Juvenile Justice Information System and Selected Administrative Activities*

In October 2013, the Auditor General (AG) released Report Number 2014-015, *Juvenile Justice Information System and Selected Administrative Activities*. This report focused on the Juvenile Justice Information System (JJIS) information technology (IT) controls and selected Department administrative activities, and a follow-up on prior audit findings included in report No. 2012-183. Florida statute requires that the Office of the Inspector General conduct six-month follow-up reports for all Auditor General Reports. The statute also requires that a copy of the six-month follow up be filed with the Joint Legislative Auditing Committee (JLAC).

In March 2014, the Bureau of Internal Audit conducted six-month follow-up activities for the aforementioned audit. Based on our follow-up review, the Department has implemented most of the corrective action plans. A few corrective action plans are pending implementation. A copy of the Status of Implementation is attached for your review.

As all issues have been either fully addressed or progress has been made in developing controls and implementing corrective action plans, we determined no further follow-up is necessary. If you have any questions, please feel free to contact Michael Yu, Audit Director at 921-5698.

RM/km

Attachment

Cc: Christy Daly, Deputy Secretary
Jason Welty, Chief of Staff
Fred Schuknecht, Director of Administration
Jackie Suttle, Acting Bureau Chief of Management Information Systems
Melinda M. Miguel, Chief Inspector General, Executive Office of the Governor
David W. Martin, CPA, Auditor General
Kathy DuBose, Director, Legislative Auditing Committee.

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Rick Scott, Governor

Wansley Walters, Secretary

The mission of the Department of Juvenile Justice is to increase public safety by reducing juvenile delinquency through effective prevention, intervention, and treatment services that strengthen families and turn around the lives of troubled youth.

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Follow-Up On Auditor General Operational Audit Number 2014-015
“Juvenile Justice Information System and Selected Administrative Activities Follow-up”
Status of Corrective Actions
As of March 31, 2014

Juvenile Justice Information System		
Finding 1: The Department did not always maintain documentation demonstrating that employees and contract providers received background screenings as a condition of employment and prior to being granted JJIS access privileges. Bureau of Quality Assurance did not adequately document that peer reviewers met the minimum qualifications for training, educations, and work experience.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management ensure that level 2 screenings are timely conducted in accordance with the requirements of State Law and Department policies and procedures and that documentation of the screening results be reviewed and maintained. It was further recommended that the Department capture the name of the user’s employer (e.g., the Department or contract provider’s name) when assigning a JJIS user account.	The Data Integrity Officers (DIOs) will create an “Access Request Form” which will be used for new accounts or permission increases. A field requiring a date for background screening and who verified the background screen will be required.	The use of the Access Request Form, created by the DIO’s is now being enforced. Please see Attachment A: “JJIS Access / Permission Request.” The DIOs have also created a central file system to store all documents submitted for each user. Attachment “B” is a screen shot that reflects Folders A-G, H-O, and P-Z, where the submitted Access Request Forms are stored by the DIO.
Finding 2: Department records did not always demonstrate that JJIS access privileges were limited to authorized users and that users had completed the required JJIS training.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management ensure that, prior to receiving access, JJIS users’ access privileges are properly authorized and that users receive appropriate JJIS training.	The DIOs will require all JJIS users to log in for training on attendance sign-in sheets. The DIOs will retain electronically all sign in sheets from training and a copy of the approved access request form.	The Department’s DIOs have created a central storage unit for training attendance sign-in sheets. See Attachment C: “Training Attendance Roster.” The DIOs are continuing to determine how to effectively track attendance at webinar trainings where multiple users participate on one site.

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Finding 3: The Department did not always timely deactivate JJIS access privileges upon the users’ separation from employment. Additionally, the Department had not deactivated JJIS access privileges for a significant number of inactive user accounts.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management take steps to ensure that JJIS user access privileges are timely deactivated upon a user’s separation from employment. Additionally, it was recommended that JJIS user accounts be timely deactivated when users no longer require JJIS access to perform their assigned job duties.	The system will be modified to automatically deactivate (lock) the user’s JJIS account after 30 days of inactivity. After 120 days of inactivity, the system modification will automatically terminate (end-date) the user’s JJIS account.	The system code changes have been tested and are scheduled to be moved into production effective April 4, 2014.
Finding 4: The Department’s change management process did not always provide for an appropriate separation of duties and the Department did not always adequately document JJIS program change authorizations.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management ensure that the responsibilities for developing and moving JJIS program changes into production are appropriately separated. Additionally, it was recommended that all JJIS program change approvals be properly documented.	The Application manager will ensure that the JJIS change approvals are properly documented. MIS future plans (pending funding availability) are to automate the change management process which includes document routing and an approval component.	The Department is continuing to implement system changes to resolve this issue. The estimated timeframe for this system change is June 6, 2014.
Finding 5: Department controls to monitor user access to juveniles’ social security numbers in the JJIS could be enhanced.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department establish procedures to periodically monitor the appropriateness of JJIS user access to juveniles’ SSNs.	Program changes were implemented to record user information, along with the date and time when a juvenile SSN is fully displayed. Reports are generated to assist in periodic monitoring of access to juvenile SSNS. Since this change was implement prior to the conclusion of the audit, no other action was required.	This recommended change was implemented prior to the conclusion of the audit and required no further action.

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Selected Administrative Activities		
Finding 6: The Department did not always timely cancel purchasing cards upon an employee’s separation from Department employment.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management take appropriate actions to ensure the timely cancellation of purchasing cards when cardholders separate from Department employment.	To ensure timely cancellation of separated department employee’s P-Cards, Finance and Accounting has coordinated with the Bureau of Personnel to receive the termination report for the department on a consistent monthly basis. This extra safeguard is in place to capture separated employees who have separated without using the notification system. While this may still cause a delay in the cancellation of the P-Card depending on when the employee separated, Finance and Accounting is also requiring the field liaisons to cut up the P-Card and submit to Finance and Accounting for destruction. This practice may assist in minimizing the number of days between separation and cancellation.	The Department has drafted a revised Purchasing Card Policy FDJJ-1407.05 which implements an immediate destruction of purchasing cards by the separating employee’s supervisor. Additionally, upon the supervisor entering the employee’s separation date into the DJJ Separation Notification System, the Department’s Purchasing Card Administrator will cancel the purchasing card immediately. Lastly, the Department’s Purchasing Card Administrator will review personnel action reports on a bi-weekly basis to ensure purchasing cards held by separating employees have been properly cancelled. Attachment D “Purchasing Card Procedures” is a draft policy that has been submitted and is currently awaiting approval for full implementation.
Finding 7: The Department could not demonstrate that sensitive data was always removed from IT data storage media prior to disposal.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management ensure that confidential and sensitive information is removed from all items with data storage capabilities prior to disposal.	The Bureau of Management Information Systems (MIS) and the Bureau of General Services will provide guidance for the procurement, operation, and surplus of all devices with data storage capability. In response to the audit finding, going forward, all office machines with data storage media shall be inspected by MIS during the disposition and disposal process to ensure that all data is removed from the device and securely sanitized before the device / media is removed from a DJJ facility. Effective immediately, MIS staff shall complete the <i>Data Storage Media Sanitization/Destruction Form</i> (Form 1260-1) to document and verify the sanitization of all data storage media. If the device is being surplus a <i>Surplus Certification of State Property</i> (Form 25) must also be completed and attached to Form 1260-1. The Department will also begin conducting statewide training via webinars and conference calls to educate staff on the proper procedures for disposing IT equipment.	The Department has fully implemented the procedures and processes outline in the Agency Response to ensure that confidential/sensitive information is removed from all media with data storage capability. This includes forming the Disposition and Disposal Workgroup, which was created to review our existing policies and procedures concerning property management and the disposition/disposal of IT equipment. Based on recommendations from the workgroup, MIS shall inspect and remove the data storage media from all computers and applicable office machines during the disposition and disposal process. The Department’s policy FDJJ1230 requiring removal of hard drives prior to surplus / final disposition has been

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		updated an implemented. Hard drives for leased copiers/scanners are retained by the Department and sanitized by MIS. The Department’s policy FDJJ1260 and Surplus Form 25 has been modified to require the documentation of cleaning / removal of hard drives. Please see Attachment E: “Surplus Certification of State Property.” In addition, the Department has purchased KillDISK Pro v7 software to perform DoD level sanitization of all data storage media prior to disposal. Lastly, the Department continues to require all DJJ employees and contract providers to complete Information Security Awareness training to educate them concerning the security and safety of Department data and resources.
Finding 8: The Department’s contract monitoring activities continue to need improvement.		
Auditor General Recommendations	Agency Response	Status of Implementation
The Department management ensure that the required administrative and programmatic monitoring of contracts is completed in accordance with established procedures.	The Department is developing and implementing an automated contract monitoring data system to ensure all Department contracts are monitored timely and outstanding compliance issues are resolved in a timely manner. It is anticipated that this system will be fully implemented in November 2013.	A pilot of the Provider Management Shared Services contract management and monitoring process is scheduled to begin April 1, 2014. Full, statewide implementation is projected to begin October 1, 2014.