STATE OF FLORIDA
DEPARTMENT OF JUVENILE JUSTICE

INTEROFFICE MEMORANDUM

DATE: November 30, 2015

TO: Christina K. Daly, Secretary

FROM: Robert A. Munson, Inspector General

SUBJECT: Internal Audit's Six-Month Follow-Up Report – *Auditor General's Operational Audit No. 2015-190, Juvenile Justice Information System (JJIS) Information Technology Operational Audit*

In June 2015, the Auditor General (AG) released Report Number 2015-190, *Juvenile Justice Information System (JJIS) Information Technology Operational Audit*. This report focused on evaluating selected information technology (IT) controls applicable to the JJIS, as well as the status of corrective actions regarding selected audit findings included in the Auditor General's Report Number 2014-015. 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 November 2015, 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. One remaining activity pertaining to procurement of an automated tool for managing changes to the JJIS production environment is pending implementation due to budgetary constraints. 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 717-2468.

RM/my/km

Attachment

Cc: Fred Schuknecht, Chief of Staff
Scott Morgan, Director of Management Information Systems
Melinda M. Miguel, Chief Inspector General, Executive Office of the Governor
Sherrill F. Norman, Auditor General
Kathy DuBose, Director, Legislative Auditing Committee.

Department of Juvenile Justice
OIG Bureau of Internal Audit
Follow-Up On Auditor General Operational Audit Number 2015-190
"Juvenile Justice Information System (JJIS) Information Technology Operational Audit"
Status of Corrective Actions
As of November 2, 2015

Juvenile Justice Information System		
Finding 1: The Department had not established a JJIS application security plan that included an overview of the security requirements for the JJIS and a description of the controls in place or planned for meeting those requirements.		
Auditor General Recommendations	**Agency Response**	**Status of Implementation**
The Department should establish a JJIS application security plan that provides an overview of the JJIS security requirements and the controls in place or planned for meeting those requirements.	The Department has drafted a security plan specific to JJIS based on NIST Special Publication 800-53 and FIPS PUB 199 Guidelines.	The Department's Juvenile Justice Information System (JJIS) Application Security Plan was developed and implemented prior to the conclusion of the audit. Attached, as exhibit "A" is a copy of the application security plan.
Finding 2: Department records did not always demonstrate that JJIS access privileges granted to users were appropriately authorized and that users had completed the required JJIS training prior to being granted JJIS access privileges. Similar instances were noted in the Auditor General's report No. 2014-015.		
Auditor General Recommendations	**Agency Response**	**Status of Implementation**
The Department should ensure that access privileges granted to users are appropriately authorized and that users complete the required JJIS training prior to being granted JJIS access privileges.	The following processes are in place: The Data Integrity Officers (DIOs) will require all users to sign training sheets. The DIOs will retain electronically all sign-in sheets from training and a copy of the approved access request form. The JJIS access privileges process / controls were implemented October 28, 2013. Half of the users selected in the sample were accounts created prior to the implementation date of October 28, 2013. The process was implemented on October 28, 2013. The DIO Supervisor has addressed the correct process with DIO staff.	The Data Integrity Officer Supervisor re-addressed this issue with his staff through a weekly Data Integrity Officers (DIOs) conference call. DIOs were reminded to follow the process implemented effective October 28, 2013. Attached as exhibit "B-1" is a copy of the Interoffice Memorandum dated 10/28/2013 that implemented the use of JJIS Access Permissions Request forms and retention of JJIS Training sign-in sheets. Additionally, attached as exhibit "B-2" are screen snapshots of the network drive denoting the location of retained JJIS Access Permissions Request forms and JJIS training sign-in sheets.

Finding 3: The Department did not have procedures for, and did not perform, comprehensive periodic reviews of the appropriateness of JJIS access privileges granted to users.		
Auditor General Recommendations	**Agency Response**	**Status of Implementation**
The Department should establish and implement procedures for performing comprehensive periodic reviews of the appropriateness of JJIS access privileges granted to users.	The Data Integrity Officer Supervisor (DIO) is in the process of establishing quarterly permission reviews by program offices. The DIOs will work with MIS to restructure the permissions report to get accurate permission data from the Juvenile Justice Information System. The Data Integrity Officers will document quarterly reviews that are completed. The DIO supervisor is in the process of developing policies / procedures for quarterly reviews. The estimated time frame for implementation is 10/01/2015.	On June 9, 2015 via Interoffice Memorandum to DIOs, the DIO Supervisor established and implemented the quarterly permission review process by program office. Attached as exhibit "C-1" is a copy of the Interoffice Memorandum establishing the quarterly permission review process by program office. Attached as exhibit "C-2" are copies of the first quarterly review reports as well as a screen snapshot of the network location where Department staff will store the quarterly review reports.

Finding 4: The Department had not established a mechanism to provide reasonable assurance that all program changes moved into the JJIS production environment were properly authorized, tested, and approved.		
Auditor General Recommendations	**Agency Response**	**Status of Implementation**
The Department should establish a mechanism to provide reasonable assurance that all program changes moved into the JJIS production environment are properly authorized, tested, and approved.	The Department currently has a manual process, which tracks all program changes and code movement from each environment. The development environment consists of Development, Quality Testing, and Production. However, the Department recognizes that this manual process can be improved with the use of automated tools. An automated change management tracking system has been developed to track incoming requests, assignments, and changes throughout the development life cycle. The estimated time frame for implementation is June 2015. Furthermore, the Department will research the feasibility and cost-effectiveness of implementing an automated tool for	The Management Information Systems (MIS) Application Tracking System is a standalone application that was developed by MIS internal staff. The first request was entered into the system on May 12, 2015. The system is designed to track user requests, routing/approval process flow, and change management. The system creates tasks, subtasks, and database packages. It also generates reports and has the ability to upload attachments. MIS is continuing to research the pricing and feasibility of an industry-leading product for monitoring file changes to the production environment. However, a budget has not yet be established for the procurement of this product.

	managing changes to the JJIS production environment, which will augment the automated change management tracking system. No date is being set for implementing these changes at this time. Research is necessary to document the requirements, identify an automated tool, and identify funds necessary for the purchase and maintenance associated with the automated tool.	Attached as exhibit "D" is MIS Request Details Report for Request Number 222. Note the status is "completed" from the MIS Application Tracking System and demonstrates the request going through the entire workflow process.

Finding 5: The Department lacked written procedures to ensure that *JJIS Incomplete Registration Process Reports* were timely reviewed.

Auditor General Recommendations	Agency Response	Status of Implementation
The Department should develop written procedures specifying the frequency of review and ensure that *JJIS Incomplete Registration Process Reports* are reviewed and transactions are completed in a timely manner.	The Data Integrity Officer Supervisor is in the process of developing written procedures for the DIOs to perform a monthly review of the JJIS Incomplete Registration Process Reports and to correct any outstanding registrations for their assigned areas. The Data Integrity Officer Supervisor is working on a written policy/procedure for the DIOs to conduct monthly reviews. The estimated time frame for implementation is 07/01/2015.	Effective June 9, 2015, the DIO Supervisor directed staff by Interoffice Memorandum to begin performing monthly reviews of JJIS Incomplete Registration Process Reports and correct any outstanding registrations for their assigned areas. Attached as exhibit "E" is a copy of the Interoffice Memorandum dated June 9, 2015 concerning JJIS Incomplete Registration Process Reports; and an e-mail dated November 5, 2015, which is an example of the periodic audit of incomplete registrations.

Finding 6: Certain security controls related to JJIS user authentication, data storage and transmission, monitoring of system activity, and appropriateness of access privileges needed improvement.

Auditor General Recommendations	Agency Response	Status of Implementation
The Department should implement appropriate security controls related to JJIS user authentication, data storage and transmission, monitoring of system activity, and appropriateness of access privileges to ensure the continued confidentiality, integrity, and availability of JJIS data and related IT resources.	We concur. The Department will continue to address security controls where appropriate.	MIS continues to address and implement security controls where appropriate as provided in the Department's previous response.