

Mission:

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

**Ron DeSantis**

Governor

Scott A. Rivkees, MD

State Surgeon General

Vision: To be the Healthiest State in the Nation

December 18, 2020

Scott A. Rivkees, MD
State Surgeon General
4052 Bald Cypress Way
Tallahassee, Florida 32399

Dear Dr. Rivkees:

Enclosed is a report summarizing our review of *User Access to the Health Management System at the Department of Health in Escambia County*, Report No. R-2021-002. The report references two comments for management's use. While these comments did not rise to the level of a reportable finding that required management to develop a corrective action plan, we feel it is important management address these issues internally to prevent more serious issues from potentially developing in the future.

One of the two comments was classified as exempt from public records in accordance with Section 282.318(4)(g), Florida Statutes, and thus is labeled as **CONFIDENTIAL and not available for public distribution. The exempt issue was only disclosed to individuals appropriate to the activity that was reviewed.**

The review was conducted by Ashlea K. Mincy, CIGA, Assistant Director of Auditing, and supervised by Mark H. Boehmer, CPA, Director of Auditing.

If you wish to discuss the report, please let me know.

Sincerely,

A handwritten signature in blue ink that reads "Michael J. Bennett".

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

MJB/akm
Enclosure

cc: Melinda M. Miguel, Chief Inspector General, Executive Office of the Governor
Lisa Norman, CPA, Office of the Auditor General
Mark Lander, Interim Deputy Secretary for County Health Systems
Marie B. Mott, JD, MS, RDN, CSSD, LDN, Administrator, DOH-Escambia
Mark H. Boehmer, CPA, Director of Auditing



FLORIDA DEPARTMENT OF HEALTH
OFFICE OF INSPECTOR GENERAL

USER ACCESS TO THE HEALTH MANAGEMENT SYSTEM
AT THE DEPARTMENT OF HEALTH IN ESCAMBIA
COUNTY

Report # R-2021-002 • December 18, 2020

Purpose of this project:

Examine user access to the *Health Management System* (HMS) at the Department of Health (Department, DOH) in Escambia County (DOH-Escambia) to determine if users are current approved employees, contractors, or interns, with access that is appropriate to job responsibilities, and have had required background screenings.

What we examined:

DOH-Escambia HMS user access as of October 15, 2020. We verified whether those users had previously undergone required background screening.

Summary of results:

DOH-Escambia, overall, has implemented good processes to promptly remove user accounts to HMS when access is no longer needed. We did, however, identify some former employees' user accounts that were not timely deactivated. As these accounts were identified during our review, DOH-Escambia implemented additional controls to ensure accounts are promptly terminated.

DOH-Escambia employees' background screening information was not consistently documented in People First and rescreening was not processed timely.

Additional details follow below.

MANAGEMENT COMMENTS AND RECOMMENDATIONS

Our review identified the following opportunities to improve effectiveness and efficiencies in operations. While these issues did not rise to the level of a reportable finding that requires a corrective action plan, we feel it is important management address these issues internally to prevent more serious issues from potentially developing in the future. No response to these issues is required.

MANAGEMENT COMMENTS

Section 110.1127(2)(a), Florida Statutes (F.S.), requires as a condition of employment or continued employment, all persons or employees in positions of special trust or responsibility or sensitive location, as designated by the Department, to undergo employment screening in accordance with Chapter 435, F.S., using level 2 screening standards, including fingerprinting.

Section (I)(A), DOH 60-5-15, *Background Screening* (Policy), requires that Department employees and contracted employees selected for, or assigned to positions of special trust, responsibility, or sensitive location, and purchasing card holders and approvers, must undergo a level 2 background screening, and receive clearance from the servicing human resource (HR) office, before being hired.

The Policy also requires all employees in sensitive positions, which the law requires to be screened, must undergo a five-year screening (level 1) for continued employment, which includes, an in-state correspondence check through FDLE, and a check of the Sjodin National Sex Offender Public Website (NSOPW).

Furthermore, the Policy requires the servicing HR office to input the background screening dates in People First. The *Date Submitted* field should be the date fingerprints are taken and the *Date Completed* field should be the date the results are received.

We reviewed People First records for current DOH-Escambia users. Thirty-two (32) employees either did not have level 2 screening dates in People First or were past due for rescreening.

- 21 records indicated the employee was past due for rescreening.
- Seven records only included level 1 screening dates and not level 2 dates. This may have been an input error, recording a level 1 instead of a level 2 classification.
- Four records did not indicate a screening date in People First.

The past due rescreenings are a result of actions taken Department-wide to limit contact during the COVID-19 pandemic. Department management is currently working on a plan to safely re-implement rescreening.

We recommend DOH-Escambia review and evaluate all background screening records in People First, update applicable People First records, and ensure employees are timely screened.

Another management comment was classified as exempt from public records in accordance with Section 282.318(4)(g), F.S., and thus is labeled as **CONFIDENTIAL and not available for public distribution. The exempt issue was only disclosed to individuals appropriate to the activity that was reviewed.**

SUPPLEMENTAL INFORMATION

Section 20.055, F.S., charges the Department's Office of Inspector General with responsibility to provide a central point for coordination of activities that promote accountability, integrity, and efficiency in government.

Ashlea K. Mincy, CIGA, Assistant Director of Auditing, conducted the review under the supervision of Mark H. Boehmer, CPA, Director of Auditing.

Our methodology included reviewing applicable law, rules, policy, and procedures; interviewing appropriate management and staff; reviewing applicable documentation regarding background screening; and reviewing users' current job assignments.

This project was not an audit, as industry-established auditing standards were not applied. Internal Audit Unit procedures for the performance of reviews were followed and used during this project.

We want to thank management and staff at DOH-Escambia for the information and documentation they provided, and for their cooperation throughout the project.

Copies of all final reports are available on our website at www.floridahealth.gov (search: internal audit).
If you have questions or comments, please contact us by the following means:

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