STATE OF MICHIGAN
DEPARTMENT OF COMMUNITY HEALTH

RICK SNYDER
GOVERNOR

JAMES K. HAVEMAN
DIRECTOR

May 12, 2014

Mr. Doug Ringler
Office of Internal Audit Services
Office of the State Budget
George W. Romney Building
111 South Capitol, 6th Floor
Lansing, Michigan 48913

Dear Mr. Ringler:

In accordance with the State of Michigan, Financial Management Guide, Part VII, attached are the preliminary summary table identifying our responses and corrective action plans to address recommendations contained within the Office of the Auditor General's Performance Audit of Selected General and Application Controls of the States Electronic Birth & Death Records.

Questions regarding the summary table or corrective action plans should be directed to me at (517) 373-1508 or Myersp3@michigan.gov.

Sincerely,

Signature Redacted

Pam Myers, Director
DCH Office of Audit

Enclosure

Cc: Office of the Auditor General   House Appropriations Committee
     House Fiscal Agency   House Standing Committee
     Senate Fiscal Agency   Senate Appropriations Committee
     Executive Office   Senate Standing Committee
     DCH, James K. Haveman   DCH, Nick Lyon
     DCH, Timothy Becker   ` DCH, Steve Fitton
     DCH, Karla Ruest

PERFORMANCE AUDIT OF SELECTED GENERAL AND APPLICATION
CONTROLS OF THE STATE'S ELECTRONIC BIRTH & DEATH RECORDS

DEPARTMENT OF COMMUNITY HEALTH

APRIL 14, 2014

AUDIT RESPONSE

Approved: Signature Redacted
_____
Tim Becker, Senior Deputy Director
Department of Community Health, Operations Administration

Date: 04/14/2014

AUDIT REPORT SUMMARY

DEPARTMENT: Community Health

AUDIT PERIOD: October 1, 2010 through August 31, 2013

REPORT DATED: January 22, 2014

DISPOSITION OF AUDIT RECOMMENDATIONS

CITATIONS COMPLIED WITH	CITATIONS TO BE COMPLIED WITH	CITATIONS DCH DID NOT AGREE WITH
	Finding 1	
	Finding 2	
	Finding 3	
	Finding 4	

Audit Response
Performance Audit
Selected General and Application Controls
of the State's Electronic Birth & Death Records
Department of Community Health
October 1, 2010 through August 31, 2013

Finding 1:   <u>File Share Server Security and Access Controls</u>
The OAG recommended that DCH, in conjunction with DTMB, fully establish effective security and access controls over the file share servers that contain the State's electronic birth and death records.

<u>Response:</u>
The creation of encrypted and monitored space for a new location to store the sensitive data/files is complete. DCH is now in the process of determining access levels for each of the new locations. A DTMB Business Analyst is working with DCH to identify sensitive data/files that require access control and is utilizing access control forms to grant and control access rights to the directories, files, and data. The work moving the files to the new storage locations will continue. DTMB is also working with the Data Center Operations Server teams and Office of Automation to schedule periodic audit reports to be run defining all access rights granted for the DCH Vital Records directories.

DCH, in conjunction with DTMB, anticipates compliance by 6/30/2014.

Finding 2:   <u>Operating System Security and Access Controls</u>
The OAG recommended that DTMB fully establish and implement effective security and access controls over the operating system for BRS and EDRS servers.

<u>Response:</u>
BRS/EDRS Data-at-Rest and Data-in-Flight have all been encrypted.

The implementation of the Lightweight Directory Access Protocol (LDAP) for enterprise wide, system level identity management is currently in process. DTMB is investigating the requirements and evaluating the work associated with this effort. The transitioning to an automated configuration management tool is moving forward and DTMB is currently setting up the environment and reviewing tools for possible purchase.

DTMB anticipates compliance by 12/31/2014.

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Finding 3:   Database Management System Security and Access Controls
The OAG recommended that DCH, in conjunction with DTMB, fully establish effective security
and access controls over the BRS and EDRS databases.

Response:
DCH and DTMB Customer Support are in the process of creating dedicated database instances for
BRS and EDRS sub-systems. They are isolating the BRS and EDRS system tables, creating new
authorization rules that will be enforced, reported and limited to DCH Vital Records resources only
and DCH approved DBAs.

DCH, in conjunction with DTMB, anticipates compliance by 12/31/2014.

Finding 4:   EDRS Access Controls
The OAG recommended that DCH fully establish and implement formal access control policies and
procedures over EDRS.

Response:
All DCH employees with system access are now required to sign an access agreement. The Access
Request Form is currently being updated to better reflect the system privileges to be granted each
user. Notations on granting access will be made right on the user access forms.

DCH is also developing a new procedure document to describe the entire access granting
process/procedures which will include periodic review of user access for appropriateness.

DCH anticipates compliance by May 1, 2014.