



OFFICE OF THE
STATE AUDITOR

News Release

For Immediate Release

February 13, 2018

**Office of the State Auditor Releases its
Information Systems Audit of the Controlled Substance Database**

Salt Lake City, UTAH –

The Office of the State Auditor (Office) today announced the release of its Information Systems Audit of the Controlled Substance Database (CSD).

The CSD was created by statute to facilitate the identification of the following issues with respect to controlled substances:

- Patterns of prescribing and dispensing;
- Practitioners prescribing in an unprofessional or unlawful manner;
- Individuals receiving prescriptions in quantities or frequencies inconsistent with generally recognized standards;
- Individuals presenting false prescriptions to a pharmacy;
- Individuals admitted to a general acute hospital for poisoning or overdose

The CSD is operated by the Division of Occupational and Professional Licensing (DOPL) within the Department of Commerce. The State's Department of Technology Services (DTS) provides technical support.

This audit was conducted to assess the quality of security and access controls for the CSD. The Office reviewed the design of 22 information technology (IT) controls related to four areas: Logical Access, Computer Operations, Change Management and Data Security. The audit report contains nine findings which were provided to the management of the CSD six months ago to allow the agency time to correct issues identified in the audit. The findings are:

1. Inadequate CSD password requirements do not comply with DOPL policy.
2. Password requirements for back-end CSD Users do not conform to required DTS policy.
3. Several unlicensed individuals received CSD accounts without proper approval.
4. CSD user accounts are not periodically reviewed for appropriateness.
5. Practitioners with expired licenses were improperly allowed to perform queries in the CSD.
6. Management has not defined activities that should be monitored.
7. Inadequate monitoring of user activity.

8. Insufficient monitoring of testing documentation for application changes prior to deployment
9. Data retention policy exposes DOPL to unnecessary risk.

State Auditor John Dougall commented, “Privacy protection is important to many Utahns. I am impressed with the proactive steps DOPL has taken to remedy issues identified in the audit. I am encouraged by DOPL’s willingness to work with the Utah Legislature regarding defining the appropriate retention schedule for personally identifiable information (PII) in the CSD. Excessive retention of PII can expose Utahns to unnecessary privacy risk.”

The report may be found on the Office’s website at auditor.utah.gov and specifically at: <https://reporting.auditor.utah.gov/servlet/servlet.FileDownload?file=0151K000003NEkWQAW> .

About the Office of the State Auditor

The Office of the State Auditor provides Utah taxpayers and government officials with an independent assessment of financial operation, statutory compliance, and performance management for state and local government.

Specific activities of the Office include performing financial audits, conducting Federal funds compliance audits, providing local government oversight, conducting agency and program performance audits, performing fraud and compliance audits, and operating the State Auditor Hotline for citizens to report suspected financial issues or improprieties. These capabilities strengthen Utah State Government and help taxpayers have confidence in the integrity of Utah’s government agencies.

The State Auditor is a Constitutional Officer of the State of Utah, elected directly by the state’s citizens every four years. The role of the State Auditor is authorized in Article VII, Section 15 of the Utah Constitution. For more information, see auditor.utah.gov.

Contact:

Nicole Toomey Davis,
Public Information Officer
Office of the State Auditor
801-678-4835
ndavis@utah.gov