COUNTY OF LOS ANGELES
DEPARTMENT OF AUDITOR-CONTROLLER

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J. TYLER McCAULEY
AUDITOR-CONTROLLER

June 29, 2004

TO: Supervisor Don Knabe, Chairman
            Supervisor Gloria Molina
            Supervisor Yvonne B. Burke
            Supervisor Zev Yaroslavsky
            Supervisor Michael D. Antonovich

FROM: J. Tyler McCauley
            Auditor-Controller

SUBJECT: **DHS' AFFINITY APPLICATION FOLLOW UP REVIEW**

At the Audit Committee's request, we followed up on the Rancho Los Amigos National Rehabilitation Center's (RLANRC) Affinity Application (Affinity) Review. Affinity provides patient and statistical information and is run on a minicomputer located in the data center at Harbor-UCLA Medical Center (Harbor-UCLA) that interfaces with computers located at RLANRC.

The initial review, completed in September 2000, covered areas such as input, output, processing and access controls. We also examined the system's backup and disaster recovery planning and the controls in place at the data centers to safeguard critical Affinity hardware, software, and data.

The follow up review assessed the Department of Health Services' (DHS) progress in implementing the 63 recommendations included in the initial report. The review included interviewing DHS management and staff, performing testwork, and reviewing management reports and other applicable documentation.

Status of Recommendations

Overall, DHS is taking action to implement the recommendations from the prior report. Of the 63 recommendations, 50 are fully implemented and 13 are partially implemented. DHS needs to take action to ensure all of the recommendations are fully implemented.

"To Enrich Lives Through Effective and Caring Service"

The detailed status of the partially implemented recommendations is discussed below.

Recommendation #1

RLANRC and Harbor-UCLA revise, update, and periodically test their formal disaster recovery plan.

Recommendation #2

DHS identify a backup site, or a third party facility, for each of the County medical centers' data processing facilities.

Status of Recommendation #1 and #2

Harbor-UCLA has a local emergency preparedness/disaster recovery plan in place to address the Affinity host systems for Harbor-UCLA and RLANRC. The plan is updated periodically and portions of the plan are tested as part of Harbor-UCLA's emergency preparedness drills. RLANRC also participates in emergency preparedness drills on an ongoing basis.

Affinity is included in the County's Countywide disaster recovery and business continuity planning effort, which includes the identification of backup sites for the Affinity Application. Also, by April 2005, the Health Insurance Portability and Accountability Act (HIPAA) requires DHS to establish broad security and disaster recovery protection for personal health identifiable data. This effort will include the Affinity Application.

Recommendation #5

RLANRC management coordinate with the Affinity support staff to ensure that the system does not allow concurrent sessions with the same user ID and password.

Status

DHS submitted a request to QuadraMed, the supplier of the Affinity Application, to modify the Affinity Application. QuadraMed determined that it would be too costly and inefficient to create a modification that would only benefit DHS. However, QuadraMed's Service Pack, which is scheduled for release in February 2005, contains programming to prohibit concurrent sessions with the same user ID and password.

Recommendation #15

RLANRC prepare written procedures to include in the organization's user documentation that would provide detailed information about the functions to be performed by each user and managing staff.

Status

The Affinity Application user guides are available online to staff and 99% of the user menus have been reviewed and changes have been made. RLANRC's Affinity Oversight Committee defined a standard procedure format and is in the process of establishing a completion date.

Recommendation #16

DHS Administration determine the feasibility and cost effectiveness of creating a consolidated patient database that can be accessed by each County hospital.

Status

Harbor-UCLA is the pending test site for QuadraMed's new Affinity Enterprise Data Repository (EDR) and Enterprise Workstation (EW). DHS anticipates that EDR and EW will become available for general release in July 2005. DHS intends to populate EDR with patient data from the remaining County hospitals and will make this data available to all County hospitals upon the Department's development of appropriate security controls.

Recommendation #38

RLANRC install an automatic fire extinguishing system, such as a Halon or dry pipe system, in the data center.

Recommendation #39

RLANRC install smoke detectors in each of the various data center zones, including each zone of the raised floor, to warn staff of a fire.

Recommendation #50

RLANRC take steps to ensure that leaks and flooding from pipes and lines are prevented through the use of encasing or trays along with water detection devices to annunciate high moisture detection.

Recommendation #51

RLANRC ensure that there is adequate drainage on the floor above and the areas adjacent to the data center.

Recommendation #55

RLANRC install an alarm that would notify security in the event the air conditioning is turned off, or the minimum or maximum temperature is reached in

the data center.

Status of Recommendation #38, #39, #50, #51 and #55

RLANRC's Information Management Services Department (IMS) met with RLANRC's Facilities Management Department (FMD) and the County's Internal Services Department (ISD) on February 19, 2004 to discuss the possibility of reconfiguring the existing data center with a new fire and smoke suppression system. The new system will be designed to meet the requirements of the recommendations related to the data center. ISD will prepare a cost estimate and RLANRC will forward the cost estimate to Health Services Administration (HSA) for review, approval and funding. HSA has agreed in principle to provide funding for this project.

Recommendation #47

RLANRC establish a schedule and perform regular preventive maintenance on the water detection system to ensure that it is in proper working condition.

Status

RLANRC is in the process of contracting with a vendor to perform the maintenance and anticipates having an agreement in place by June 30, 2004.

Recommendation #59

RLANRC and Harbor-UCLA secure all equipment in the data centers to decrease the risk of tipping or colliding during an earthquake, etc.

Status

Harbor-UCLA secured the equipment in the data center. RLANRC secured a portion of the equipment and intends to secure the remaining equipment by June 2004.

Recommendation #60

RLANRC and Harbor-UCLA maintain a regular cleaning schedule for the subfloors of the data centers.

Status

RLANRC's Environmental Services Department and FMD indicated that they do not have the expertise to clean the subfloors of the data center. IMS prepared a service request to have an outside vendor perform the work at RLANRC. Harbor-UCLA is installing new cabling in the subfloors and completing seismic bracing of the equipment. Harbor-UCLA is also working with ISD to obtain a vendor to clean the subfloors.

Review of Report

We discussed our report with DHS management. They indicated they are taking action to address the remaining recommendations. Their response to this report, including planned corrective actions, is attached.

We thank DHS management and staff for their cooperation and assistance during this review. If you have any questions, please contact me or have your staff contact DeWitt Roberts at (626) 293-1101.

JTM:DR:KVO

Attachment

c: David E. Janssen, Chief Administrative Officer
      Thomas L. Garthwaite, M.D., Director and Chief Medical Officer, DHS
      Fred Leaf, Chief Operating Officer, DHS
      Violet Varona-Lukens, Executive Officer
      Public Information Office
      Audit Committee

THOMAS L. GARTHWAITE, M.D.
Director and Chief Medical Officer

FRED LEAF
Chief Operating Officer

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(213) 240-8101

June 18, 2004

TO: J. Tyler McCauley
           Auditor-Controller

FROM: Thomas L. Garthwaite, M.D.
           Director and Chief Medical Officer

SUBJECT: **RESPONSE TO DHS' AFFINITY APPLICATION FOLLOW-UP REVIEW**

This is in response to the Auditor-Controller's follow-up review of the Department's Affinity system, which was conducted at the request of the Audit Committee. Overall, the Department has made significant progress in implementing the recommendations from the prior report, of which 50 are fully implemented and 13 are partially implemented. Below are the Department's comments relative to the Auditor-Controller's detailed status for each of the partially implemented recommendations.

Recommendation #1

RLANRC and Harbor-UCLA revise, update, and periodically test their formal disaster recovery plan.

Recommendation #2

DHS identify a backup site, or a third party facility, for each of the County medical centers' data processing facilities.

A/C Status of Recommendation #1 and #2

Harbor-UCLA has a local emergency preparedness/disaster recovery plan in place to address the Affinity host systems for Harbor-UCLA and RLANRC. The plan is updated periodically and portions of the plan are tested as part of Harbor-UCLA's emergency preparedness drills. RLANRC also participates in emergency preparedness drills on an ongoing basis.

Affinity is included in the County's Countywide disaster recovery and business continuity planning effort, which includes the identification of backup sites for the Affinity Application.

Also, by April 2005, the Health Insurance Portability and Accountability Act (HIPAA) requires DHS to establish broad security and disaster recovery protection for personal health identifiable data. This effort will include the Affinity Application.

DHS Response

We concur with the status.

Recommendation #5

RLANRC management coordinate with the Affinity support staff to ensure that the system does not allow concurrent sessions with the same user ID and password.

A/C Status

DHS submitted a request to QuadraMed, the supplier of the Affinity Application, to modify the Affinity Application. QuadraMed determined that it would be too costly and inefficient to create a modification that would only benefit DHS. However, QuadraMed's Service Pack, which is scheduled for release in February 2005, contains programming to prohibit concurrent sessions with the same user ID and password.

DHS Response

We concur with the status. Implementation is anticipated in April 2005.

Recommendation #15

RLANRC prepare written procedures to include in the organization's user documentation that would provide detailed information about the functions to be performed by each user and managing staff.

A/C Status

The Affinity Application user guides are available online to staff and 99% of the user menus have been reviewed and changes have been made. RLANRC's Affinity Oversight Committee defined a standard procedure format and is in the process of establishing a completion date.

DHS Response

We concur with the status. Implementation is anticipated in December 2004.

Recommendation #16

DHS Administration determine the feasibility and cost effectiveness of creating a consolidated patient database that can be accessed by each County hospital.

A/C Status

Harbor-UCLA is the pending test site for QuadraMed's new Affinity Enterprise Data Repository (EDR) and Enterprise Workstation (EW). DHS anticipates that EDR and EW will become available for general release in July 2005. DHS intends to populate EDR with patient data from the remaining County hospitals and will make this data available to all County hospitals upon the Department's development of appropriate security controls.

DHS Response

We concur with the status. Implementation is anticipated in March 2006.

Recommendation #38

RLANRC install an automatic fire extinguishing system, such as a Halon or dry pipe system, in the data center.

Recommendation #39

RLANRC install smoke detectors in each of the various data center zones, including each zone of the raised floor, to warn staff of a fire.

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Administration (HSA) for review, approval and funding. HSA has agreed in principle to provide funding for this project.

DHS Response

We concur with the status.

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A/C Status

RLANRC is in the process of contracting with a vendor to perform the maintenance and anticipates having an agreement in place by June 30, 2004.

DHS Response

We concur with the status.

Recommendation #59

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A/C Status

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DHS Response

We concur with the status.

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A/C Status

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DHS Response

We concur with the status. Implementation is anticipated in September 2004.

If you have any questions or need additional information, please let me know.

TLG:sr

c: Fred Leaf
       Sachi Hamai
       Valerie Orange
       Tecla Mickoseff