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CITIZENS SUMMARY

Findings in the audit of the Missouri Electronic Vital Records System

Background	<p>Vital records are the official documentation of births, deaths, fetal deaths, marriages, and divorces occurring in the state of Missouri. After a vital records event occurs, information is collected from medical personnel or other witnesses and submitted to the state for registration. The Missouri Electronic Vital Records (MoEVR) system is a web-based application designed to support the registration of Missouri vital record events for the Department of Health and Senior Services (DHSS) and other users such as funeral directors, attending physicians, medical examiners, and birthing facilities. The MoEVR system and other vital record repositories are administered by the Bureau of Vital Records within the DHSS Division of Community and Public Health. The MoEVR system had 8,931 users as of February 24, 2017.</p>
Data Governance	<p>The DHSS has not established a comprehensive data governance program for the MoEVR system. A data governance program helps ensure the confidentiality, integrity, and availability of the MoEVR system and vital records information. The responsibility for data governance is shared between the DHSS, the system owners; and the Office of Administration Information Technology Services Division (ITSD), who provides technical support. DHSS management did not have a process for the oversight or monitoring of critical procedures performed by the ITSD. DHSS management have not attempted to restore the MoEVR system from backup data and thus have no assurance the system data can be restored in the event of a disaster or other disruptive incident. Additionally, DHSS management did not have a sufficient understanding of the security controls in place or whether the controls for the MoEVR system met all applicable requirements and standards.</p>
Policies and Procedures	<p>Additional effort is needed to establish a security plan, including fully developing policies and procedures for MoEVR system administration. Key policies and procedures have not been documented. Items not documented include system configurations and settings, security controls implemented in the system, and procedures for correcting errors in source documents and system output. The department has not completed and documented a formal risk assessment for the MoEVR system. MoEVR system audit logs are not retained in compliance with state guidance.</p>
Terminated Users	<p>The MoEVR system is vulnerable to the risk of unauthorized vital records being processed or inappropriately viewed because user accounts of terminated users are not always removed timely. The audit found 2 former state employees (out of 72 tested) still had access 30 days or more after terminating employment from the agency that requested the user access. We also found 9 former employees (out of 35 tested) of county health departments, county hospitals, or coroners' offices still had access to the system.</p>

Data Validation	Some MoEVR system edit checks are not working correctly or effectively. We found the system does not always appropriately reference master table information and instances of improperly designed or implemented edits. We also noted edits that could be added to the system to help improve the accuracy of data inputted and reduce the risk of processing inaccurate data.
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In the areas audited, the overall performance of this entity was **Good**.*

*The rating(s) cover only audited areas and do not reflect an opinion on the overall operation of the entity. Within that context, the rating scale indicates the following:

- Excellent:** The audit results indicate this entity is very well managed. The report contains no findings. In addition, if applicable, prior recommendations have been implemented.
- Good:** The audit results indicate this entity is well managed. The report contains few findings, and the entity has indicated most or all recommendations have already been, or will be, implemented. In addition, if applicable, many of the prior recommendations have been implemented.
- Fair:** The audit results indicate this entity needs to improve operations in several areas. The report contains several findings, or one or more findings that require management's immediate attention, and/or the entity has indicated several recommendations will not be implemented. In addition, if applicable, several prior recommendations have not been implemented.
- Poor:** The audit results indicate this entity needs to significantly improve operations. The report contains numerous findings that require management's immediate attention, and/or the entity has indicated most recommendations will not be implemented. In addition, if applicable, most prior recommendations have not been implemented.

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