



Audit of Probation Services - DAVID Access Controls

Division of Inspector General **Neil Kelly, Clerk of the Circuit and County Courts** **Audit Report**

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Tony Deaton, Chief Probation Officer, Probation Services Division

We have conducted our audit of the internal controls over the Board of County Commissioner's Probation Services Division access to the Driver and Vehicle Information Database (DAVID) of the Florida Department of Highway Safety and Motor Vehicles (FLHSMV), as requested by the Probation Division.

We appreciate the cooperation and assistance provided by the Probation Division and also other local county and governmental entities contacted during the course of our audit.

Respectfully submitted,

Bob Melton

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Inspector General

cc: Honorable Neil Kelly, Clerk of Circuit & County Courts
David Heath, County Manager
Brian Sheehan, Director, Community Safety and Compliance Department

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INTRODUCTION

Scope and Methodology

We conducted an audit of Probation Services Division's internal controls over access to the Driver and Vehicle Information Database (DAVID) of the Florida Department of Highway Safety and Motor Vehicles (FLHSMV). Our audit objective was to determine whether internal controls are adequate to protect the personal data received from DAVID from unauthorized access, distribution, use, modification, or disclose.

To determine whether internal controls are adequate to protect the personal data received from DAVID from unauthorized access, distribution, use, modification, or disclose, we obtained and reviewed requirements, interviewed staff, obtained and reviewed DAVID system reporting, compared system reporting to division records, and observed office practices and security.

Our audit included such tests of records and other auditing procedures, as we considered necessary in the circumstances. The audit period was April 1, 2015 through March 15, 2016. However, transactions, processes, and situations reviewed were not limited by the audit period.

Overall Conclusion

We conclude that overall, the internal controls to protect the personal data received from the Driver and Vehicle Information Database (DAVID) are adequate to protect the data from unauthorized access, distribution, use, modification, or disclose. Opportunities for Improvement are included in this report.

Background

The Probation Services Division has a signed Memorandum of Understanding (MOU) with the Florida Department of Highway Safety and Motor Vehicles (FLHSMV) for access to the Driver and Vehicle Information Database (DAVID). The database provides up-to-date information relating to driver records and vehicle information. It is for use by law enforcement and criminal justice officials.

As the information provided in the database is confidential, the MOU has requirements to ensure the security of the information. These requirements include, but are not limited to, inactivation of terminated staff, requiring users to acknowledge the confidentiality of the information and criminal sanctions if that confidentiality is violated, professional use of the data only, as well as regular reviews and audits of the user activity.

OPPORTUNITIES FOR IMPROVEMENT

Our audit disclosed certain policies, procedures and practices that could be improved. Our audit was neither designed nor intended to be a detailed study of every relevant system, procedure or transaction. Accordingly, the Opportunities for Improvement presented in this report may not be all-inclusive of areas where improvement may be needed.

1. DAVID users should be updated in the system upon termination of employment.

Driver and Vehicle Information Database (DAVID) users should be updated in the system upon termination of employment. The Memorandum of Understanding (MOU) between the Florida Department of Highway Safety and Motor Vehicles (FLHSMV) and the Lake County BCC Probation Services Division states that the Probation Services Division must “update user permissions upon termination or reassignment of users within 5 working days and immediately update user access permissions upon discovery or negligent, improper, or unauthorized use or dissemination of information.” We noted that 3 of the 5 Probation services employees who left employment with the Division in the past year were not updated in the DAVID system within the required 5 day period. One employee remained active in the system as long as 175 days after termination as shown in the table below.

Employee	Employment Termination Date	DAVID Inactivation Date	Days Until Inactivation
Employee A	12/30/15	01/04/16	5
Employee B	07/07/15	12/29/15	175
Employee C	09/01/15	02/09/16	161
Employee D	02/01/16	03/11/16	39
Employee E	03/11/16	03/14/16	3

When users who are no longer employed with the Division and have no business use for access into the system, are not inactivated, it could lead to unnoticed access to information of confidential nature, liabilities to the County, breach of contract with the State, and criminal sanctions. We reviewed the activity of the terminated employees noted in the table above and found no activity in the DAVID system after the employment termination date. There was no evidence of any negligent, improper, or unauthorized use or dissemination of information by these employees after the termination date.

We noted that this issue occurred due to a large amount of turnover within the department resulting in all assigned POCs leaving the Division in a short amount of time. This issue was addressed with the newly assigned POC and has been corrected. As such, there will be no management recommendation at this time.