

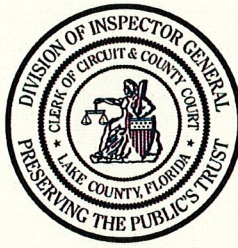
Audit of Office of Building Services - 2016 DAVID Usage

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

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Audit Conducted by:
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Report No. BCC - 156
November 16, 2017



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November 16, 2017

Tony Lopresto, Director
Office of Building Services

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

We appreciate the cooperation and assistance provided by the Office of Building Services during the course of our audit.

Respectfully submitted,

Sheena Patel
Inspector General Manager

cc: The Honorable Neil Kelly, Clerk of Circuit & County Courts
Jeff Cole, County Manager
John Molenda, Assistant County Manager

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TABLE OF CONTENTS

INTRODUCTION.....1

 Scope and Methodology 1

 Overall Conclusion..... 1

 Background..... 2

OPPORTUNITIES FOR IMPROVEMENT3

 1. DAVID Users Should Be Inactivated In The System In Accordance With The Agreement..... 3

 2. Point of Contact Should Be Kept Current With The FLHSMV..... 4

INTRODUCTION

Scope and Methodology

We conducted an audit of the Office of Building Services' 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 disclosure.

To determine whether internal controls are adequate to protect the personal data received from DAVID from unauthorized access, distribution, use, modification, or disclosure, we obtained and reviewed requirements, obtained and reviewed DAVID system reporting, interviewed staff, and compared system reporting to Building Services records.

Our audit included such tests of records and other auditing procedures, as we considered necessary in the circumstances. The audit period was January 1, 2016 through December 31, 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 disclosure. Opportunities for Improvement are included in this report.

Background

The Office of Building Services 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. The Office of Building Services uses DAVID to search for unlicensed and fraudulent contractors and the owner(s) of abandoned properties. They also use it to find contact information related to Building Services cases.

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. They also include professional use of the data only, as well as regular reviews and audits of the user activity.

OPPORTUNITIES FOR IMPROVEMENT

Our audit was neither designed nor intended to be a detailed study of every relevant system, procedure, or transaction. Accordingly, the Opportunities for Improvement may exist which were not identified during the course of our review.

1. DAVID Users Should Be Inactivated In The System In Accordance With The Agreement.

Driver and Vehicle Information Database (DAVID) users should be updated in the system upon termination of employment. We noted one Building Services employee who left employment effective June 30, 2016. This employee's user access/permissions were not updated in the DAVID system until November 3, 2016, or 89 business work days after termination of employment.

The Memorandum of Understanding (MOU) between the Florida Department of Highway Safety and Motor Vehicles (FLHSMV) and the Lake County BCC Office of Building Services states that Building Services must "Immediately inactivate user access/permissions following termination or the determination of negligent, improper, or unauthorized use or dissemination of information. Update user access/permissions upon reassignment of users within five (5) business work days."

When users who are no longer employed with Building Services are not inactivated in the system, there is the increased risk of unnoticed access to confidential information, liabilities to the County, breach of contract with the FLHSMV, and criminal sanctions. We reviewed the activity of the terminated employee and found that the employee did not log into the DAVID system at any time after the effective termination date. There was no evidence of any negligent, improper, or unauthorized use or dissemination of information after the employee's termination date.

During the review, this issue was addressed with the Point of Contact (POC) who is responsible for the system administration at the Building Services level. The POC stated she would put a process in place to ensure this does not occur again. There will be no management recommendation at this time.

2. Point of Contact Should Be Kept Current With The Florida Department Of Highway Safety And Motor Vehicles (FLHSMV).

The Driver and Vehicle Information Database (DAVID) website includes a list of Points of Contact (POC) for each agency. We noted one Building Services employee who left employment effective June 30, 2016. This employee was still listed as the POC as of November 29, 2016, or 107 business work days after termination of employment.

The Florida Department of Highway Safety and Motor Vehicles (FLHSMV) should be notified upon change to the POC. The Memorandum of Understanding (MOU) between the FLHSMV and the Lake County BCC Office of Building Services states that Building Services must “update any changes to the name of the Requesting Party, its Agency head, its POC, address, telephone number and/or e-mail address in the DAVID system within ten calendar days of occurrence.”

When users who are no longer employed with Building Services are not inactivated as POC in the system, there is the increased risk of unnoticed access to changing entity information and user settings and access, and access system data.

During the review, this issue was addressed with the Point of Contact (POC) who is responsible for the system administration at the Building Services level. The former POC separated from the Office of Building Services on February 1, 2017, shortly after the finding was noted in a memo on December 8, 2016. The issue has been discussed with management and the current POC stated that she will put a process in place to ensure this does not occur again. There will be no management recommendation at this time.