



Audit of Probation Services Division - 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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Tony Deaton, Chief Probation Officer, Probation Services Division

We have conducted our audit of the internal controls over the Board of County Commissioners' Probation Services Division's 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 Services Division 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
Bill Veach, Deputy County Manager

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INTRODUCTION

Scope and Methodology

We conducted an audit of the 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 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 Division 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 disclose. An Opportunity for Improvement is 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 applying 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, Opportunities for Improvement may exist which were not identified during the course of our review.

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 change in employment status. The Memorandum of Understanding (MOU) between the Florida Department of Highway Safety and Motor Vehicles and the Lake County Board of County Commissioners Probation Services Division states that Probation Services should “Immediately inactivate user access/permissions following termination or...Update user access/permissions upon reassignment of users within five (5) business work days.”

We noted one employee who left employment with the Probation Services Division effective September 2, 2016. This employee’s user access/permissions were not updated in the system until October 19, 2016, or 32 business work days after termination of employment.

When users no longer employed with the Division are not inactivated in the system, there is the increased risk of improper access to confidential information, misuse of information, and breach of the contract with the FLHSMV. 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 system Point of Contact (POC) who is responsible for system administration at the Probation Services level. It appears the issue has been corrected. There will be no management recommendation at this time.