



## Inspector General Insights

**Background:** An audit concerning the Florida Highway Safety and Motor Vehicle (FL HSMV) Data Exchange is performed by the Office of Inspector General (OIG) on a routine basis to review internal controls and ensure compliance with the memorandum of understanding.

**Objective:** The objective of the data exchange audit included the following:

1. Ensure effective policies and procedures are in place for the FL HSMV data exchange.
2. Evaluate internal controls governing the use and dissemination of personal data considering the requirements of the memorandum of understanding and applicable laws.

**Scope/Methodology:** Physical and logical access to FL HSMV records by internal and external personnel were included in scope. OIG conducted interviews with management, documented the high-level process and controls, and performed physical and logical control testing regarding information security of FL HSMV records.

**Observations:** OIG worked with management to document 16 primary controls supporting 4 key process objectives related to the FL HSMV information security.

Information security policies have not changed since they were reviewed in 2021 by a Risk Management IT Security Professional (CISA) from Illumant and rated 'Reasonably Compliant'. A similar review is planned for 2023.

During our examination the following findings were observed:

Finding Type	Risk Level	Count
Control Gap	Medium	1
Control Deficiency – Inadequate Design	Medium	1
Control Deficiency – Not Operating Effectively	Low	3
Control Enhancement Recommendations	Low	3
	<b>Total</b>	<b>8</b>

OIG noted 1 medium risk control gap and 1 medium risk control design deficiency related to group role and permission reviews. The software used by the Courts ("ShowCase") does not have an audit trail which tracks the history of group role/permission changes; ShowCase tables only track the "Last Modified Date".

OIG obtained a SQL query report on March 10, 2023 and reviewed the group roles/permissions with access to secured images. We were able to confirm that only one out of twenty-one group roles had been updated since June 10, 2020. Most group roles with access to secured images have not changed since 2015.

We noted 1 low risk control deficiency regarding an additional requirement of the updated memorandum of understanding. While other confidentiality training provided by the Clerk's office is

conducted, employees with access to ShowCase are now required to complete specific training provided by FL HSMV prior to being granted access to the system. This new FL HSMV required training was immediately conducted and tracked by management upon discovery.

We noted 2 low risk control deficiencies regarding termination of access. Management immediately corrected a job script to ensure access is removed timely.

Furthermore, OIG has made 3 low risk control enhancement recommendations to strengthen the control environment.

**Recommendations & Actions:** OIG will be working with management to implement 2 medium and 6 low risk action plans. Implementation of these action plans will enhance internal control effectiveness related to information security.

**Conclusion:** Information security internal controls are operating effectively to provide reasonable assurance that FL HSMV records are protected from unauthorized access, use, or modification.

OIG provides limited assurance that FL HSMV records are protected from distribution or disclosure while control deficiency action plans are being implemented.

Total # 2022-2023 Transactions	Amounts Audited or Reviewed	Questioned Costs	Taxpayer Savings	# Observations / Recommendations
39,913	N/A	N/A	N/A	8