



## 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 initial 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.

After the original audit was filed, FL HSMV requested a follow-up audit report to ensure control action plans had been implemented to comply with all requirements.

**Scope/Methodology:** Physical and logical access to FL HSMV records by internal and external personnel were included in the scope of the original audit. 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.

In the follow-up audit, OIG conducted meetings with management to discuss how to implement proper controls given action plan feasibility and cost-effectiveness. OIG also obtained evidence of implemented controls.

**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.

OIG noted one medium risk control gap and one medium risk control design weakness related to group role and permission reviews. At the follow-up audit, we noted that management had implemented appropriate action plans to mitigate the risk presented by these control factors.

Further, we noted three low-risk control findings which were immediately corrected by management:

- FL HSMV had recently updated their required training; this training was conducted and tracked by management upon discovery.
- We noted two low risk control deficiencies regarding termination of access, which management corrected via a job script to ensure access is removed timely.

**Recommendations & Actions:** Management will continue to work on three low risk control enhancement recommendations, which will strengthen the control environment. Implementation of these action plans will enhance internal control effectiveness related to information security.

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

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