



Internal Audit Report

Audit Recommendations
Status Report
as of December 31, 2016



Date: January 6, 2017



LCCC Audit Recommendations Status Report As of December 31, 2016



To: The Honorable Linda Doggett, Lee County Clerk of the Circuit Court & Comptroller

From: Tim Parks, Chief Internal Audit Officer/Inspector General
Internal Audit/Inspector General Department

Date: January 6, 2017

Re: Lee County Clerk of the Circuit Court & Comptroller (LCCC)
Audit Recommendations Status Report as of 12/31/16

Our office has completed its *LCCC Audit Recommendations Status Report as of 12/31/16*, which reflects the implementation status of all outstanding audit report recommendations for the Lee County Clerk of the Circuit Court & Comptroller as of December 31, 2016. The report fulfills the IA/IG Department's accountability for reporting on issues through their resolution.

The follow-up on recommendation status was conducted during the fourth quarter of 2016. We discussed the status of the audit recommendations with the department personnel responsible for implementing the audit recommendations.

The follow-up covered the *LCCC Audit of Driver and Vehicle Information Database (DAVID) Usage*, for which a report was issued in May 2016. A summary of the recommendation status is presented in the heading of the attached report.

The follow up report contains information regarding each outstanding recommendation, including recommendation status, management actions taken, and Internal Audit Follow Up Notes. We wish to express our appreciation for the cooperation and assistance provided us by the Courts Department during this review.

Should you have any questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink, appearing to read "Tim Parks".

Tim Parks, Chief Internal Audit Officer/Inspector General
Internal Audit/Inspector General Department

TJP/GK



Lee County Clerk of Circuit Court & Comptroller Audit Recommendation Status Report As of December 31, 2016



LCCC David Usage (Project 2016.03, Issued May 2016) One recommendation –estimated for implementation by 6/30/16 and 12/30/2016		
MOU Requirements		
Observation	Recommendation	Original Management Response
<p>At the beginning of the review, the administrative/monitoring team was not aware of all the MOU requirements because they didn't have access to past MOU agreements. Not knowing the full scope of the agreement caused some weaknesses in the mandated control structure over DAVID access.</p> <p>Enhancement opportunities:</p> <ul style="list-style-type: none"> • The MOU mandates “<i>quarterly quality control reviews to ensure all current users are appropriately authorized.</i>” The Quarterly Quality Control Review Reports did not have supporting documents for the completed compliance activities. It also didn't have a comparison between the Clerk's active users list and DAVID's user list report. • Per the MOU, “<i>All personnel with access to the information exchanged under the terms of this agreement will be instructed of, and acknowledge their understanding of, the confidential nature of the information and the criminal sanctions specified in state law for unauthorized use of the data. These acknowledgements must be maintained in</i> 	<p>We recommend:</p> <ul style="list-style-type: none"> • That the Quarterly Quality Control Review Report include supporting documents upon completion. 	<ul style="list-style-type: none"> • The Operational Support team is currently responsible for performing these reviews. Procedures will be updated to reflect that supporting documentation, such as user agreements, audit logs, & account activation/deactivation requests are attached as addendums to the Quarterly Control Review Report and saved to the appropriate location on SharePoint.



Lee County Clerk of Circuit Court & Comptroller Audit Recommendation Status Report As of December 31, 2016



<p><i>a current status by the Requesting Party.”</i> Courts do not maintain formal user acknowledgements relative to the terms of the MOU.</p> <p>DAVID related policies and procedures were not effectively documented.</p>		
Estimated Implementation Date	Revised Implementation Date	Status
6/30/16	4/30/17	In Progress
Last Status Update	Current Recommendation Action	IA Follow-up Notes
10/27/16		Documentation to support the findings on the Quarterly Quality Control Review Reports was reviewed. Future testing should be conducted.
MOU Requirements		
Observation	Recommendation	Original Management Response
<ul style="list-style-type: none"> Continued from above 	<p>We recommend:</p> <ul style="list-style-type: none"> Administrative training for DAVID’s monitoring team. 	<ul style="list-style-type: none"> The Operational Support and Customer Service Manager will contact DHSMV to obtaining training. This will include a re-training on MOU compliance and administrative functions within the DAVID application.
Estimated Implementation Date	Revised Implementation Date	Status
12/30/16	4/30/17	In Progress
Last Status Update	Current Recommendation Action	IA Follow-up Notes
10/27/16		Administrative training was not obtained due to position constraints for the assigned DHSMV employee.