



Audit Report

LCCC Comprehensive Case Information System (CCIS)

Inspector General Department



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LINDA DOGGETT : CLERK OF COURT

Tim Parks, Chief Internal Audit Officer/Inspector General



LCCC Comprehensive Case Information System (CCIS)



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

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

Date: June 9, 2020

Re: LCCC Comprehensive Case Information System (CCIS)

Dear Ms. Doggett,

The Inspector General Department has completed an audit of LCCC Comprehensive Case Information System (CCIS). Bharat Vallarapu, CISA, CIA, CRISC, CRMA, Senior Internal Auditor conducted this review.

This audit activity conforms to the Institute of Internal Auditor's (IIA) *International Standards for the Professional Practice of Internal Auditing (Red Book)* and the Association of Inspectors General (AIG) *Principles and Standards for Offices of Inspector General (Green Book)*.

The audit client's response is attached to this report. We wish to express our appreciation for the cooperation and assistance provided us by management and staff during this review.

This report will be posted to the Clerk of Courts website, www.leeclerk.org, under Inspector General Audit Reports. A link to this report has been sent to the appropriate parties.

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

Sincerely,

A handwritten signature in blue ink that reads "Tim Parks".

Tim Parks, CIA, CIG, CIGI, CGI
Chief Internal Audit Officer/Inspector General
Inspector General Department

TJP/GK



LCCC Comprehensive Case Information System (CCIS)



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LCCC Comprehensive Case Information System (CCIS)



Executive Summary

The audit of the Lee County Clerk of Circuit Court & Comptroller (LCCC) Comprehensive Case Information System (CCIS) was included in the 2020 LCCC Annual Audit Plan as a carryover from 2019. An entrance conference was held with LCCC's CCIS Administrator to discuss the application and access management for the LCCC's office and other government agencies. The audit scope included review of CCIS IT policies and procedures related to access management and usage at LCCC business operations. The Administrator has a critical role to grant and remove access to the CCIS for LCCC and other government agency user roles.

Our conclusion is the controls surrounding the LCCC CCIS are satisfactory. The documentation of internal controls pertaining to overall CCIS access management and related CCIS IT policies were adequately managed by the LCCC Administration Department.

We offer recommendations to add value and enhance the efficiency and effectiveness of the system of internal controls. We believe that enhancing and formalizing procedures related to CCIS D6 usage and user access reconciliations would strengthen overall CCIS governance.

Background

The Comprehensive Case Information System (CCIS), offered by Florida's Clerks of Court, is a secured single point of search for statewide court case information. Users of CCIS include the judicial community, state and local law enforcement, state agencies and the Florida Legislature.

Objective, Scope, and Methodology

The objective of the CCIS audit was to evaluate the internal controls around CCIS access implementation for the LCCC users and other participating government user roles.

To accomplish the objectives we:

- Reviewed applicable laws and regulations.
- Interviewed appropriate LCCC employees and management.
- Reviewed policies and procedures, the CCIS User Agreement, and related documents.

The audit scope included review of the internal controls surrounding access and IT controls related to the CCIS system to ensure compliance with the agreement and good IT practices.

The audit methodology was comprised of four steps:



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- Preliminary Risk Assessment: Meeting was held with management to discuss the audit objective and scope.
- Planning: Audit procedures were developed based upon research, audit objective, scope, and the preliminary meetings.
- Field Work: Management and employees were interviewed for insight on operations. Evaluations and tests were conducted on operations and procedures to address and complete the audit fieldwork. The auditor discussed and verified preliminary observations and findings.
- Wrap-up: An Exit Conference will be held with management to discuss and obtain responses to the initial audit issues.

Observations and Recommendations

CCIS User Access Reviews

There were 181 valid Active CCIS users that included LCCC users (107) and other agency users (74) at the start of this review. There was no periodic review to ensure that the users all required continued access to CCIS.

As a good practice, the CCIS Administrator should be reviewing user access on at least a yearly basis to ensure the access is relevant and needed.

Access reviews of LCCC and other agency users helps to verify all accounts have been correctly assigned. Without the user reviews it is difficult to ensure user accounts reflect job positions changes or invalid user accounts.

Yearly CCIS user access reconciliations will help to:

- Safeguard user login and password controls and reduce the risk of unauthorized users.
- Prohibit use of CCIS functions not related to official business.

Recommendation

We recommend that the CCIS Administrator perform user access reconciliations of all CCIS users on at least an annual basis (LCCC and other government agencies).

Monitoring and Logging of CCIS D6 functions

The CCIS User Administrator has access options in CCIS access matrix to give permissions to DHSMV Tools for D6 Suspensions. A D6 suspension is a type of FL driver's license



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suspension that is ordered by a Florida court or is a mandated action by the LCCC when a person violates certain Florida statutes.

CCIS options available for the User Administrator include:

- DHSMV D6 clearance - With this permission the user can perform driver's license D6 clearance and reinstatement.
- D6 Re-open - With this permission the user can reopen all D6's that have been restored within the last 24 hours.
- D6 Transaction Report - With this permission the driver license D6 Clearance and Reinstatement Transactions Report can be produced.
- Child Support Suspension - With this permission the user can suspend driver licenses for individuals who fail to remit child support payments.
- Driver's License Transcript Search - With this permission the user can search for a DHSMV Driver's License Transcript.
- Driver's License Transcript Report - With this permission the users can print a DHSMV Driver's License Transcript.
- DHSMV Driver's License Suspension Request - With this permission the user can submit DL suspensions which are required by Florida Statute when certain court fees and fines are not paid and are 30 days overdue (i.e. traffic fines).

Although some end users depend on DHSMV access to perform their business functions, it was noted that incorrect usage of the CCIS option is problematic, as there were no written policies and procedures to document how and when to use or not to use that functionality. Additionally, there were no procedures for monitoring/logging of the LCCC users with DHSMV functions, or for reporting if there was detected misuse, unexplained D6 changes, or otherwise incorrect use of the CCIS portal.

As a best practice, Quality Control Reviews of CCIS monitoring/logging should be conducted to enhance the control posture of the CCIS D6 usage.

Recommendation

We recommend policies and procedures related to CCIS D6 usage be created and periodic quality control reviews be performed by LCCC management (Court and DoIT) of CCIS D6 usage.

CCIS AUDIT RESPONSE

TO: TIM PARKS, CHIEF OF INTERNAL AUDIT/ INSPECTOR GENERAL
FROM: LINDA DOGGETT, CLERK OF COURTS & COMPTROLLER
SUBJECT: CCIS AUDIT
DATE: MAY 12, 2020
CC: KEVIN KARNES, CHIEF OF COURTS DEPARTMENT
MEREDITH MILLER, CCIS ADMINISTRATOR

Mr. Parks,

I appreciate the Inspector General's thorough and professional audit of the Clerk of Court's use and administration of the Florida's Clerks of Court Comprehensive Case Information System (CCIS). The audit process and resulting recommendations in the audit report are extremely valuable as they provide solid information and the opportunity to make important improvements in this area.

I agree with both of the recommendations in the audit report. As a result, our CCIS Administrator is now actively developing a process to perform user access reconciliations that will be done at least annually. Additionally, our Court Department has identified a task to develop policies and procedures related to CCIS D6 usage as well as the necessary quality controls. The goal is to complete the policies and procedures by the end of August 2020.

Thank you, once again, for the valuable audit and recommendations.

Linda Doggett
Lee County Clerk of Courts & Comptroller