



# Angelina “Angel” Colonnese

CLERK OF THE CIRCUIT COURT AND COMPTROLLER OF MANATEE COUNTY

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Division of Inspector General

Manatee County Parks and Natural Resources Department

## Data Exchange MOU Attestation

DHSMV Driver and Vehicle Information Database (DAVID)

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June 4, 2020

Audit No. 22010300



# Angelina “Angel” Colonneseo

CLERK OF THE CIRCUIT COURT AND COMPTROLLER OF MANATEE COUNTY

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## MEMORANDUM

TO: Charlie Hunsicker, Parks and Natural Resources Department

FROM: Lori Stephens, Inspector General *Lori Stephens*

DATE: June 4, 2020

RE: Data Exchange (DAVID) MOU Attestation Engagement

We have evaluated the Parks and Natural Resources Department’s internal controls over the use of the Florida Department of Highway Safety and Motor Vehicles’ (DHSMV) Driver and Vehicle Information Database (DAVID) for the purpose of providing an attestation to the DHSMV. The requirements for the attestation are specified in the Data Exchange Memorandum of Understanding (MOU) (HSMV-0260-17) between the Parks and Natural Resources Department and DHSMV.

Based on our evaluation of the access and use of DAVID, it appears that the Manatee County Parks and Natural Resources Department has adequate internal controls in place to properly protect the personal data from unauthorized access, distribution, use, modification, or disclosure. Opportunities for improvement identified during test work have been discussed with management and incorporated in this report.

Attached is a completed Attestation Statement to be signed by you and submitted to the DHSMV by June 15, 2020, as per the extension granted by DHSMV on May 6, 2020.

We appreciate the cooperation of the management and staff throughout this engagement and commend them for their efforts and timeliness in addressing the issues raised.

LJS/BJW/MEG

cc: Angelina “Angel” Colonneseo, Clerk of the Circuit Court and Comptroller  
Board of County Commissioners  
Cheri Coryea, County Administrator  
John Osborne, Deputy County Administrator  
Karen Stewart, Deputy County Administrator  
Mitchell Palmer, County Attorney  
Kathy Cremaschi, Finance Director

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Clerk of the Circuit Court – Clerk of Board of County Commissioners – County Comptroller – Auditor and Recorder

MANATEE COUNTY CLERK OF THE CIRCUIT COURT  
DIVISION OF INSPECTOR GENERAL

PARKS AND NATURAL RESOURCES DEPARTMENT  
DATA EXCHANGE (DAVID) MOU ATTESTATION

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MANATEE COUNTY CLERK OF THE CIRCUIT COURT  
DIVISION OF INSPECTOR GENERAL

PARKS AND NATURAL RESOURCES DEPARTMENT  
DATA EXCHANGE (DAVID) MOU ATTESTATION

The Division of Inspector General has evaluated the Parks and Natural Resources Department's use of the Florida Department of Highway Safety and Motor Vehicles' Driver and Vehicle Information Database (DAVID). The engagement was limited to an evaluation of the internal controls to protect the personal data obtained from the DAVID database from unauthorized access, distribution, use, modification, or disclosure. The engagement was conducted in accordance with the generally accepted government auditing standards (GAGAS), issued by the Comptroller General of the United States. These standards incorporate the American Institute of Certified Public Accountants' (AICPA) Statements on Standards for Attestation Engagements.

**BACKGROUND**

Chapter 705 of the Florida Statutes authorizes the County to remove lost or abandoned vessels from County waters. As a result, the County enacted Ordinance 05-16 and Resolution R-05-98 to designate the County's Environmental Program Manager and staff as the Code Enforcement Officers responsible for removing these vessels. Currently, the Environmental Program Manager and staff are in the Ecological Services Division of the Parks and Natural Resources Department (PNR).

In order to enforce the ordinance, ownership information must be obtained, so the owner can be notified and the responsibility for removal can be determined. The vessel ownership information is maintained in DAVID, the Florida Department of Highway Safety and Motor Vehicles' (DHSMV) web-based database. DHSMV grants access to DAVID through a Data Exchange Memorandum of Understanding (MOU). In June 2010, PNR entered into their first MOU with DHSMV. The current MOU is in effect from February 15, 2017 through February 14, 2023.

This MOU requires an attestation, verifying that internal controls over personal data obtained through DAVID are adequate to protect the data from unauthorized access, distribution, use, modification or disclosure, be conducted before the third anniversary of the agreement. The third anniversary of the MOU was February 15, 2020. DHSMV granted PNR an extension for the attestation until June 15, 2020.

**PURPOSE/OBJECTIVES**

The purpose/objectives of this engagement included:

- evaluating the internal controls over the personal data in order to determine whether they are adequate to protect that data from unauthorized access, distribution, use, modification, or disclosure; and
- completing the Attestation Statement provided by DHSMV.

## **SCOPE**

The scope of this engagement included examining the DAVID activity for the designated employees of PNR for the three months ending February 29, 2020, and ensuring compliance with the stipulations in Sections IV.B., V., and VI. of the MOU.

## **METHODOLOGY**

The access and use of the DAVID database were tested through verifying the DAVID searches to corresponding PNR lost/abandoned vessel investigation documentation. Internal controls and MOU compliance were evaluated through observation, review of supporting documentation, and discussion with personnel and management.

## **RESULTS**

Based on our evaluation of PNR's DAVID activity for the three months ending February 29, 2020, it appears that users have been accessing the database for business purposes only, as specified in the MOU. The users are aware of the confidential nature of the information obtained from DAVID and understand that they may not disseminate or disclose this information to unauthorized users.

During testing, we did identify a few areas where improvements could be made for protecting DAVID data and ensuring compliance with the MOU. However, as detailed below, these issues have been corrected and adequate measures enacted to prevent recurrence.

### **Security for Electronic Data**

PNR utilizes a secure County server to store all DAVID and DAVID-related information. Only authorized DAVID users are to have access to this server. We found that two PNR employees, who were not authorized DAVID users, also had access to the server. One of these employees had previously been an authorized DAVID user, but due to organizational changes within the department, no longer required access to DAVID; however, access to the server was not removed at that time. The other employee, who was newly hired, was set up with the same computer access settings, which incorrectly included access to the secure server link. While we found nothing to indicate these employees had inappropriately accessed the server, Section V.G. of the MOU states that "access to DAVID-related information, particularly data from the DAVID System, will be protected in such a way that unauthorized persons cannot view, retrieve, or print the information."

### **Corrective Measure:**

The access permissions to the secure server for the two unauthorized users were removed as of May 21, 2020. PNR's DAVID procedures were updated as of May 26, 2020, to include requesting the County's Information Technology Department to remove the secure database access permission for a DAVID user that is no longer authorized.

**Documentation of DAVID Use**

PNR created an Access Database to document investigations for lost and/or abandoned vessels; these investigations include DAVID searches. However, not all DAVID searches result in an investigation. In those instances where there was a DAVID search without an investigation, the searches were not recorded in the Access Database, and therefore, documentation supporting a business purpose was not maintained, as required.

**Corrective Measure:**

PNR management updated their procedures as of May 6, 2020, to require that all DAVID searches be documented to identify the business purpose for the search. In addition, they created a log to document all DAVID searches; this log is maintained on their secure server and went into effect as of May 20, 2020.

**Quarterly Review Reports**

According to Section VI.A. of the MOU, the Quarterly Quality Control Review Report is to be completed “within 10 days after the end of each quarter.” Of the last four required quarterly reviews, three were conducted late. Two were completed 20 days late, and one was seven days late.

**Corrective Measure:**

As of May 21, 2020, the PNR DAVID Administrator set a calendar notification for the last day of each quarter to ensure the reviews are conducted within the 10 day time period.

**CONCLUSION**

Based on our evaluation of the access and use of DAVID, it appears that PNR has adequate internal controls in place to properly protect the personal data from unauthorized access, distribution, use, modification, or disclosure.