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April 26, 2023

JLAC RECEIVED
5-2-23

Dave Kerner
Executive Director
Department of Highway Safety and Motor Vehicles
2900 Apalachee Parkway #B443
Tallahassee, Florida 32399-0500

Re: Auditor General Report No. 2023-046
Department of Highway Safety and Motor Vehicles Operational Audit- Bureau of Motorist
Services Support Quality Assurance Program and Prior Audit Follow-up

Mr. Kerner:

In accordance with Section 20.055(6)(h), Florida Statutes, we are providing an
assessment of the implementation or current status of the recommendations in the
Auditor General's Report No. 2023-046.

If you need additional information, please contact me at (850) 617-3104.

Sincerely,

Mike Stacy
Inspector General

cc: Kathy Dubose, Coordinator, Joint Legislative Auditing Committee

**Florida Department of Highway Safety and Motor Vehicles
Office of Inspector General**

Source of Audit: Auditor General
Report Number: 2023-046
Report Title: Bureau of Motorist Services Support Quality Assurance Program and Prior Audit Follow-up

Finding No. 1: Quality Assurance Program Reviews

Department controls for the QA Program, responsible for reviewing driver's license and motor vehicle title and registration transactions, need enhancement to better evidence the proper planning and oversight of QA reviews, distribution of review reports, and notification of potential fraudulent or otherwise questionable transactions.

Recommendation

We recommend that QA Program management establish QA Program review policies and procedures that reflect current operating practices and applicable Federal regulations, State law, and Department policies and procedures for driver's license and motor vehicle title and registration transactions. We also recommend that QA Program management ensure that QA Program records evidence the proper planning and oversight of all QA Program reviews, distribution of review reports, and management notification of potentially fraudulent or otherwise questionable transactions.

Agency Response

During the operational audit, the Quality Assurance Program noted room for improvement and revised the review guidelines provided to our members prior to starting a review; however, the Quality Assurance Program concurs with the finding and will formalize Quality Assurance Program Procedures to reflect our current operating practices. These procedures will include proper evidence of the planning, review steps, and findings to ensure reviews are conducted in accordance with management's expectations. Additionally, these procedures will evidence the finalization and distribution of review findings and the applicable actions taken to ensure Department records are accurate.

Six-month Response:

The Quality Assurance Program developed QA procedures which include evidence of the planning, review steps, and applicable finding resolutions. Additionally, the procedures include evidence of the finalization and distribution of review findings and the applicable actions taken to ensure Department records are accurate.

Status: Closed

Finding No. 2: User Authentication Controls

Certain security controls related to Online Registration and Identity Operating Network (ORION) and Florida Real Time Vehicle Information System (FRVIS) user authentication need improvement.

Florida Department of Highway Safety and Motor Vehicles
Office of Inspector General

Recommendation

We recommend that Department management enhance certain security controls related to ORION and FRVIS user authentication to ensure the confidentiality, integrity, and availability of Department data and related IT resources.

Agency Response

Management concurs with finding 2. The Department will evaluate alternatives that can enhance security controls related to ORION and FRVIS user authentication and implement where possible.

Six-month Response:

In consultation with FLDS, the Department is continuing to investigate alternatives to enhance security controls related to ORION and FRVIS user authentication.

Status: Open

Finding No. 3: Change Management Controls

Department change management controls need improvement to demonstrate that ORION and FRVIS program code changes do not bypass the established Department change management process.

Recommendation

We recommend that Department management enhance change management controls to ensure that Department system records evidence that all ORION and FRVIS program code changes did not bypass the established Department change management process.

Agency Response

Management concurs with finding 3. The Department will explore alternatives related to a tool that will provide evidence of code changes in ORION and FRVIS. Once acceptable alternatives are identified, the Department will need to request additional appropriations in order to implement and maintain a solution. Management will continue to review and refine our manual processes as well as draft an LBR proposal for consideration.

Six-month Response:

The Department is continuing to research tools and methodologies that will provide evidence of code changes in ORION and FRVIS. As we discussed during the audit, the separation of duties associated with the promotion of code changes mitigates the risk identified during the audit. Due to other priorities, there has not been staff availability to research what tools might serve this purpose. We expect that once a tool is identified, the Department will need to seek an appropriation in order to implement it.

Status: Open

Florida Department of Highway Safety and Motor Vehicles
Office of Inspector General

Finding No. 4: Access Privilege Controls

ORION and FRVIS user access privileges were not always promptly deactivated after users separated from Department employment and Department access privilege reviews need enhancement.

Recommendation

We recommend that Department management establish procedures for and ensure that Department records evidence periodic reviews of the appropriateness of all ORION and FRVIS user access privileges. We also recommend that Department management enhance controls to ensure that ORION and FRVIS user access privileges are deactivated immediately upon a user's separation from Department employment.

Agency Response

Management concurs with finding 4. The Department will develop formalized procedures to ensure Department records evidence periodic reviews of appropriateness of all ORION and FRVIS user access privileges. Additionally, the Department has implemented processes in ORION and FRVIS requiring deletion of access for Department members within 24 hours of receipt of a separation notice from the Department's Technical Assistance Center.

Six-month Response:

The Department developed formalized procedures to ensure the Department records evidence of periodic reviews of all ORION and FRVIS user access privileges. Historically, the Department has conducted annual FRVIS audits, and the Department will begin annual ORION audits of user access privileges by July 2023. As previously stated, the Department implemented processes to delete ORION and FRVIS access for Department members within 24 hours of receipt of a separation notice from the Department's Technical Assistance Center. The Department developed formalized procedures to document this process. ISA supports the program office's policy of deleting access within 24 hours of receipt of a separation notice as it is consistent with the agency's policy of removing access within three business days or less as required in the Department's Information Security Policy Manual.

Status: Closed

Finding No. 5: Mobile Device Security Controls

Security controls over mobile device utilization continue to need improvement to ensure the confidentiality, integrity, and availability of Department data and information technology resources.

Florida Department of Highway Safety and Motor Vehicles
Office of Inspector General

Recommendation

We recommend that Department management enhance certain security controls related to Department and non-Department employee use of mobile devices to ensure the confidentiality, integrity, and availability of Department data and related IT resources.

Agency Response

Management concurs with finding 5. The Department will continue to improve security controls related to mobile devices.

Six-month Response:

The Department has improved its security controls related to mobile devices. An automated report is generated weekly to notify technical teams of any unencrypted devices on the network. The issue related to the lack of visibility for the approval of VPN accounts was generated from the legacy ticketing system that is no longer utilized by the Department. The current ticketing system, which was also queried as part of the audit, did not have these issues and we expect that this will continue should future audits be performed related to VPN approvals.

Status: Closed