



DIVISION OF INSPECTOR GENERAL
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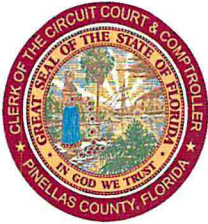
AUDIT OF SAFETY MANAGEMENT DRIVER LICENSE TRANSCRIPT DATA EXCHANGE



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Ken Burke, CPA

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December 21, 2023

Joseph Lauro, Director, Department of Administrative Services

We have conducted an audit of the Safety Management Driver License Transcript Data Exchange per management request.

We identified no Opportunities for Improvement as a result of the audit.

We appreciate the cooperation shown by the staff of the Safety and Fleet Management Division during the course of this review.

Respectfully Submitted,

Melissa Dondero
Inspector General/Chief Audit Executive

Approved:

Ken Burke, CPA*
Clerk of the Circuit Court and Comptroller
Ex Officio County Auditor

*Regulated by the State of Florida

cc: The Honorable Chair and Members of the Board of County Commissioners
Barry Burton, County Administrator
Kevin Knutson, Assistant County Administrator
Donald Moore, Division Manager, Safety and Fleet Management Division
Thomas Boyd, Safety Manager, Safety and Fleet Management Division



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INTRODUCTION

Abbreviations

Administrative Services	Department of Administrative Services
BTS	Business Technology Services
County	Pinellas County
DHSMV	Florida Department of Highway Safety and Motor Vehicles
DL	Driver License
DPPA	Driver's Privacy Protection Act
Fleet Management	Safety and Fleet Management Division
MOU	Memorandum of Understanding
OPUS	Oracle Project Unified Solution
VDQ	Vehicle Driver Qualification

Executive Summary

At the request of management in the Safety and Fleet Management Division, we conducted an audit of the Safety Management Memorandum of Understanding (MOU) with the Florida Department of Highway Safety and Motor Vehicles (DHSMV) for the driver license (DL) transcript data exchange via program DMS485. The MOU (contract number HSMV-0238-23) was fully executed by the DHSMV on December 22, 2022.

The objectives of our audit were to:

1. Ensure the compliance of Safety Management with the data security requirements in the data exchange MOU and applicable data protection statutes, codes, and policies
2. Ensure adequate policies and procedures were in place to protect personal data provided to Safety Management by the DHSMV through the DL transcript process
3. Ensure adequate security over the access of Safety Management and Business Technology Services to DHSMV data through the DL transcript process
4. Ensure adequate security over the distribution, use, modification, and disclosure of DHSMV data obtained through the DL transcript process

The internal controls governing the use and dissemination of personal data obtained from the DL transcript data exchange have been evaluated in light of the requirements of the DHSMV MOU and applicable laws and are adequate to protect the personal data from unauthorized access, distribution, use, modification, and disclosure. This includes policies and procedures for personnel to follow and data security policies and procedures in place to protect personal data. The data security policies and procedures have been reviewed by a Risk Management Information Technology Security Professional and found to be acceptable to protect personal data.

Our review revealed Safety Management used the DHSMV's DL transcript data exchange solely to support the issuance of Pinellas County DLs and annual safe driver awards. *We identified no issues regarding Safety Management's adherence to the MOU requirements.*

Background

The Safety Management function resides within the Safety and Fleet Management Division (Fleet Management) in the Department of Administrative Services (Administrative Services). Administrative Services provides the following services for all departments under the Board of County Commissioners, select appointing authorities, and select constitutional officers, as needed or required:

- Procurement and Contracting
- Facility and Real Property Management
- Safety Management
- Fleet Services

Fleet Management's fundamental purpose is responding rapidly and effectively to the transportation, equipment maintenance, and fabrication needs of Pinellas County (County) departments and agencies. Fleet Management also supports County Administration in areas where it is uniquely qualified by its skill, knowledge, and equipment. In addition, it creates value by identifying and adapting to opportunities created by social and technological progress. Fleet Management establishes a leadership position among other public and private fleet organizations by earning the confidence and respect of users, suppliers, and competitors and by materially contributing to the field of fleet management.

Safety Management coordinates safety policies and safety training. Services include training in occupational safety, equipment operation safety, cardiopulmonary resuscitation, first aid, supervisor training, and new hire orientation safety training, as well as several other areas of coverage. Examples of those areas are:

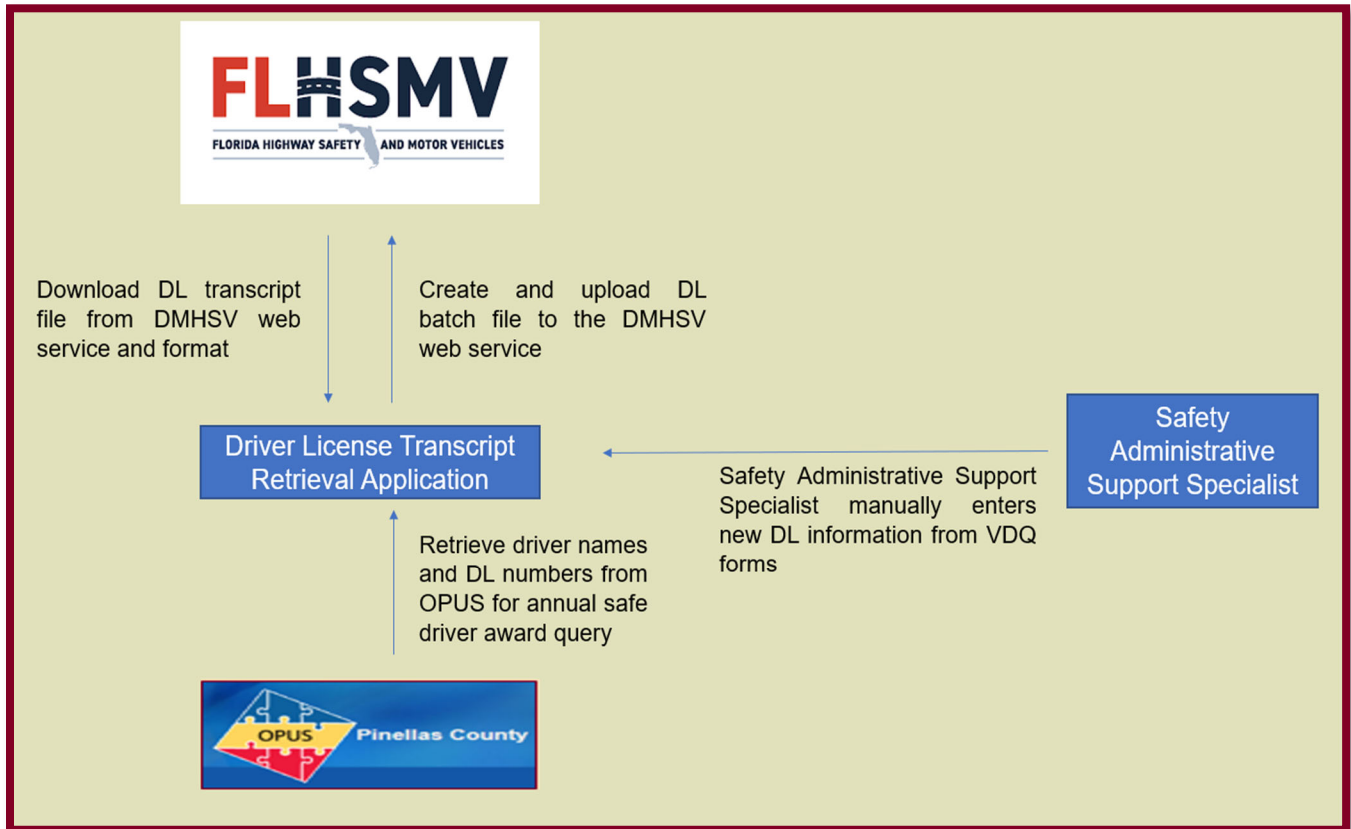
- County building fire drills and fire monitor training
- Driver awareness and defensive driver training
- Heavy truck training (Commercial Driver License)
- Inspections of County property for safety violations
- Active assailant training
- Confined space training
- Forklift training
- Aerial lift training
- Reasonable suspicion training for supervisors

During Fiscal Year 2023, Fleet Management's performance resulted in several accomplishments that helped the County's employees and citizens. Specifically, Fleet Management successfully completed implementing the Grainger KeepStock program for efficiency in facility operations. Fleet Management also hired a firm to assist with the design of an electric vehicle charging infrastructure for Fleet Management. In addition, the implementation of the OpenGov Procurement software was completed.

Safety Management obtains driver license (DL) transcripts to support the issuance of County DLs and for annual safe driver awards. Safety Management's process to obtain DL transcripts from the Florida Department of Highway Safety and Motor Vehicles (DHSMV) is as follows:

- A new County employee or existing County employee who did not previously have a County DL signs and submits a Vehicle Driver Qualification (VDQ) form to Safety Management authorizing the County to perform a DL check.
- Safety Management staff enters the driver information from the VDQ form into the Oracle Project Unified Solution (OPUS) application.
- Safety Management staff accesses the in-house DL Transcript Retrieval application developed by Business Technology Services (BTS) each Tuesday, as necessary, and inputs the applicable DL numbers to be queried.
- Once the Safety Management staff inputs the desired drivers and executes a batch command, the DL Transcript Retrieval application accesses and submits the file to the DHSMV web service.
- The DHSMV processes the Safety Management request overnight.
- Safety Management reruns the DL Transcript Retrieval application each Wednesday, as necessary, to connect to the DHSMV web service, retrieve the DL transcript file, and format it for display in the application.
- Safety Management staff reviews any drivers with a history in the DL Transcript Retrieval application.
- As applicable, Safety Management staff may speak to an employee's supervisor to discuss the driver history information.
- If Safety Management staff determines an employee qualifies for a County DL, staff accesses OPUS to print the DL.
- Regarding the annual safe driver award process, Safety Management staff can use a connection in the DL Transcript Retrieval application, which accesses an OPUS data view and returns a full list of drivers to query through the overnight process.
- All VDQ forms are shredded when no longer needed, and DL transcripts are deleted periodically.

Following is an illustration of the DL Transcript Retrieval application process used to obtain DL transcripts:



Memorandum of Understanding

DocuSign Envelope ID: 8751DECF-E8DF-4300-8ED5-E82FD5F01E09

HSMV-0238-23



**MEMORANDUM OF UNDERSTANDING
FOR DRIVER'S LICENSE AND/OR MOTOR VEHICLE RECORD DATA EXCHANGE**

The DHSMV provides services by partnering with County tax collectors and local, state, and federal law enforcement agencies to promote a safe driving environment. The department coordinates with its partners to issue DLs and identification cards, facilitate motor vehicle transactions, and provide services related to consumer protection and public safety. The DHSMV is composed of four divisions overseen by the Office of the Executive Director:

- Florida Highway Patrol
- Motorist Services
- Administrative Services
- Information Systems Administration

In carrying out its statutorily mandated duties and responsibilities, the DHSMV collects and maintains personal information that identifies individuals. Therefore, the DHSMV is subject to the disclosure prohibitions contained in 18 U.S.C. § 2721, the Driver's Privacy Protection Act (DPPA), §§ 119.0712(2) and 501.171, Florida Statutes, and other statutory provisions.

The DHSMV Motorist Services Division has a data exchange Memorandum of Understanding (MOU) with Administrative Services. The County signed the agreement on October 13, 2022, and it was fully executed by the DHSMV on December 22, 2022. The agreement (contract number HSMV-0238-23) has a term of three years.

The DHSMV data exchange MOU provides Safety Management access to a three-year bulk lookback and three-year DL transcripts for drivers having records to be used in vetting new or existing County employees in accordance with the County Driver and Safe Driver Award Policy. The DHSMV program is DMS485.

As part of the agreement with the DHSMV, Safety Management must secure all data associated with the data exchange. Section III., Legal Authority, of the MOU states the following:

“Under this MOU, the Requesting Party [Safety Management] will be provided, via remote electronic means, information pertaining to driver licenses and vehicles, including personal information authorized to be released pursuant to Section 119.0712(2), Florida Statutes and DPPA. By executing this MOU, the Requesting Party agrees to maintain the confidential and exempt status of any and all information provided by the Providing Agency [DHSMV] pursuant to this MOU and to ensure that any Third Party End Users accessing or utilizing said information shall do so in compliance with Section 119.0712(2), Florida Statutes and DPPA.”

Highly restricted personal information shall only be released in accordance with DPPA and Florida law.”

Section VI., Compliance and Control Measures, Subsection A. of the MOU states the following pertaining to the required internal control and data security audit:

“Internal Control and Data Security Audit - This MOU is contingent upon the Requesting Party [Safety Management] having appropriate internal controls in place at all times that data is being provided/received pursuant to this MOU to ensure that the data is protected from unauthorized access, distribution, use, modification, or disclosure. The Requesting Party must submit an Internal Control and Data Security Audit from a currently licensed Certified Public Accountant, on or before the first anniversary of the execution date of this MOU or within one hundred twenty (120) days from receipt of a request from the Providing Agency [DHSMV]. Government agencies may submit the Internal Control and Data Security Audit from their Agency’s Internal Auditor or Inspector General. The audit shall indicate that the internal controls governing the use and dissemination of personal data have been evaluated in light of the requirements of this MOU, and applicable laws and are adequate to protect the personal data from unauthorized access, distribution, use, modification, or disclosure. This includes both policies/procedures in place for personnel to follow and data security procedures/policies in place to protect personal data. The audit shall certify that the data security procedures/policies have been approved by a Risk Management IT Security Professional. The audit shall also certify that any and all deficiencies/issues found during the audit have been corrected and measures enacted to prevent recurrence.”

SCOPE AND METHODOLOGY

We conducted an audit of the Safety Management DL Transcript Data Exchange.

The scope of the audit covered the data exchange MOU between Safety Management and the DHSMV to obtain bulk DL transcripts. Section VI. A. of the MOU requires the completion of an internal control and data security audit on or before the first anniversary of the execution date of the MOU. Based on this MOU requirement and the applicable data protection laws referenced within the MOU, our audit scope was to assess the internal controls governing the use and dissemination of personal data obtained through the DL transcript process.

We ensured the internal controls in place were sufficient to protect the personal data from unauthorized access, distribution, use, modification, and disclosure. We ensured that any and all deficiencies and issues found during the audit were corrected and measures enacted to prevent recurrence.

In December 2020, there was a change to the method by which Safety Management obtained DL transcripts from the DHSMV. Specifically, a web service replaced the batch Secure File Transfer Protocol DL transcript service.

The audit period was December 22, 2022, through December 21, 2023. However, we did not limit the review of transactions and processes by the audit period and scope.

During the audit period, we performed the following:

- Reviewed the data exchange MOU and referenced data protection statutes, codes, and policies
- Reviewed BTS and Safety Management policies and procedures governing the protection of personal data
- Reviewed flow diagrams, reviewed the program design, and conducted meetings with BTS and Safety Management staff to identify the path of DHSMV DL transcript data through County systems and all associated entry, exit, and storage points
- Reviewed the controls in place to secure the machines and servers housing and executing the DL Transcript Retrieval application
- Reviewed the controls in place to secure the DL transcript data transmissions between the DHSMV and the County
- Reviewed the physical security controls at BTS to restrict access to computing equipment housing the DL Transcript Retrieval application and DHSMV data
- Conducted meetings with Safety Management staff to understand how the agency distributed, used, modified, and disclosed, if applicable, DHSMV DL transcript data

OBJECTIVES AND OUTCOMES

The objectives of the audit were to:

1. Ensure the compliance of Safety Management with the data security requirements in the data exchange MOU and applicable data protection statutes, codes, and policies
2. Ensure adequate policies and procedures were in place to protect personal data provided to Safety Management by the DHSMV through the DL transcript process
3. Ensure adequate security over the access of Safety Management and BTS to DHSMV data through the DL transcript process
4. Ensure adequate security over the distribution, use, modification, and disclosure of DHSMV data obtained through the DL transcript process

As a result of the audit, we determined:

1. Safety Management was in compliance with the data security requirements in the data exchange MOU and referenced data protection statutes, codes, and policies.
2. Safety Management and BTS had adequate policies and procedures in place to protect personal data provided by the DHSMV through the DL transcript process.
3. The security controls were adequate to restrict access to the DHSMV data obtained through the DL transcript process.
4. There were adequate security controls in place over the distribution, use, modification, and disclosure of DHSMV data obtained through the DL transcript process. Access to DHSMV data was controlled, and the data was used solely for Safety Management's business needs.

Our audit was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing* and the *Principles and Standards for Offices of Inspector General* and accordingly, included such tests of records and other auditing procedures, as we considered necessary in the circumstances.



1983 – 2023

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