

An Audit of Salt Lake County Criminal Justice Services Data Access and Protections

Audit Findings and Recommendations



Agenda



Audit Team and
Management



Introduction to the
Audit



Key Opportunities for
Improvement



Recommendations for
Improvement



Conclusion and Next
Steps



Audit Team and Management

Audit Team

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Audit Management

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Richard Jaussi, Chief Deputy Auditor, MBA
Roswell Rogers, Senior Advisor
Shawna Ahlborn, Audit Division Administrator

Audit Committee

Marty Van Wagoner, CPA, MBA

The audit team consisted of experienced professionals who ensured thorough examination and reasonable assurance of compliance with audit standards.



About this Audit Report:

- The Audit of Criminal Justice Services Data Access and Protections reviewed the period January 1, adequate, to December 31, 2023.
- The objectives were to provide reasonable assurance that the internal controls in place are adequate and effective and data access and protections comply with applicable ordinances, policies, and procedures.
- The audit identified opportunities for improvement in operational effectiveness through strengthening processes for network and application access termination, surplusing hard drives, and ensuring consistent data entry.
- Criminal Justice Services agreed to 10 of 12 recommendations.



Key Audit Findings



Network Access

Opportunity to strengthen network access termination processes.

Opportunity to strengthen the timeliness and consistency of application access removal.

Application Access



Data Entry

Opportunity to improve the consistency of data entry within case management system.

Opportunity to Improve Data Quality

CJS internal policy required results be entered into the case management system.



Risk Ranking

Management disagreed with the risk ranking.



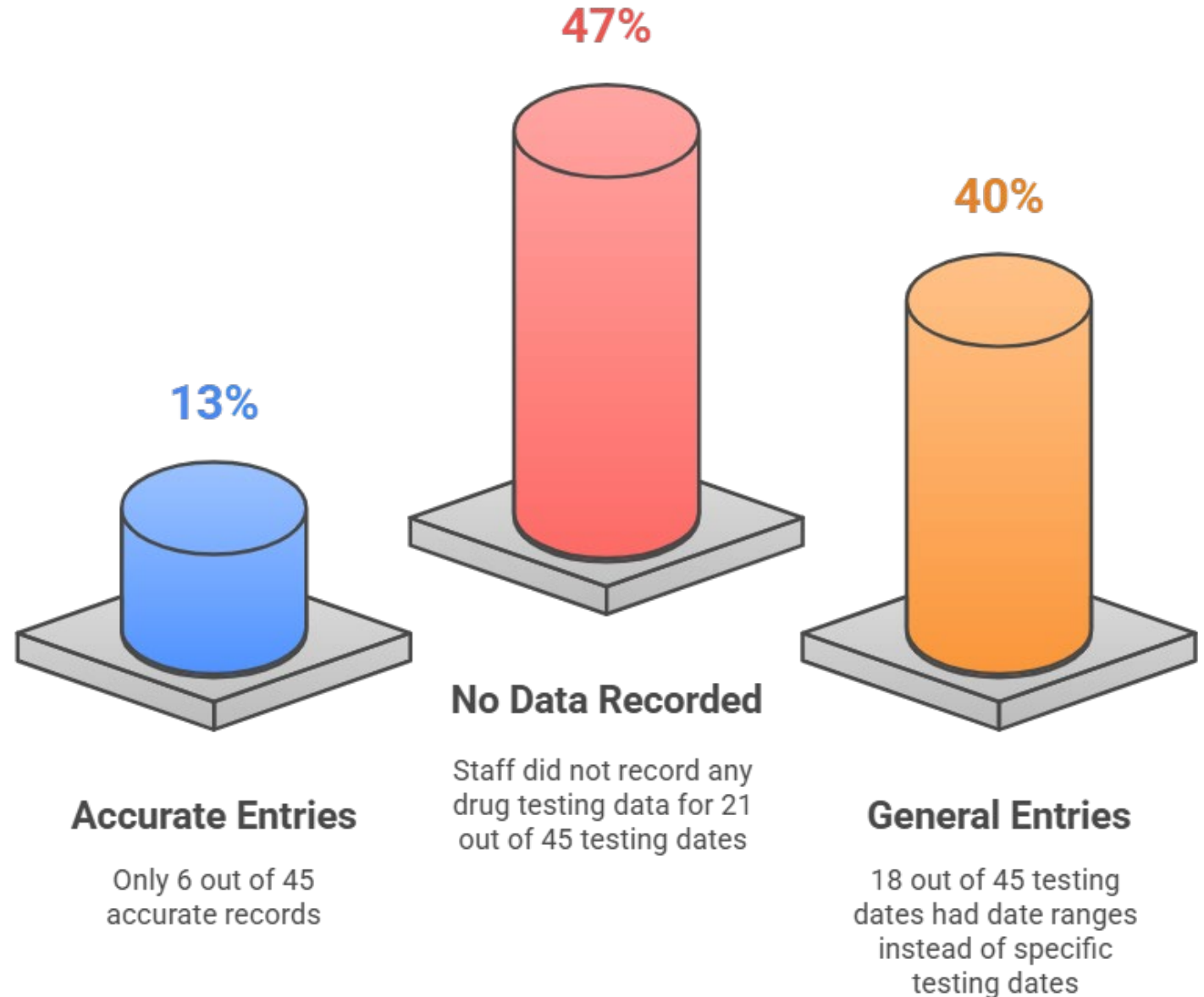
Policy Changes

Management agreed to update internal policies and monitor compliance.

Opportunity to Improve Data Quality

CJS internal policy required results be entered into the case management system.

Client Drug Testing Data Entry Accuracy





Audit Risk Ratings

Classification	Description
1 – Low Risk Finding	<p>Low risk findings may have an effect on providing reasonable assurance that internal controls in place are adequate and effective, and data access and protections comply with applicable ordinances, policies, and procedures.</p> <p>Recommendations may or may not be given to address the issues identified in the final audit report. If recommendations are given, management should try to implement the recommendations within one year of the final audit report date if possible. Follow-up audits may or may not focus on the status of implementation.</p>
2 – Moderate Risk Finding	<p>Moderate risk findings may have an effect on whether there is reasonable assurance that internal controls in place are adequate and effective, and data access and protections comply with applicable ordinances, policies, and procedures.</p> <p>Recommendations will be given to address the issues identified in the final audit report. Management should implement the recommendations within one year of the final audit report date if possible. Follow-up audits will focus on the status of implementation.</p>
3 – Significant Risk Finding	<p>Significant risks are the result of one or more findings that may have an effect on whether there is reasonable assurance that internal controls in place are adequate and effective, and data access and protections comply with applicable ordinances, policies, and procedures.</p> <p>Recommendations will include necessary corrective actions that address the significant risks identified in the final audit report. Management should implement the recommendations within six months of the final audit report date if possible. Follow-up audits will focus on the status of implementation.</p>
4 – Critical Risk Finding	<p>Critical risks are the result of one or more findings that would have an effect on whether there is reasonable assurance that internal controls in place are adequate and effective, and data access and protections comply with applicable ordinances, policies, and procedures.</p> <p>Recommendations will include necessary corrective actions that address the critical risks identified in the final audit report. Management should implement the recommendations as soon as possible. Follow-up audits will focus on the status of implementation.</p>

The Importance of Clear Internal Policies



1

Define Policies

Establish clear and accurate guidelines.

2

Align with Operations

Ensure policies match actual practices.

3

Update Regularly

Keep policies current with changes.

4

Outline Exceptions

Specify any flexibility or exceptions.

5

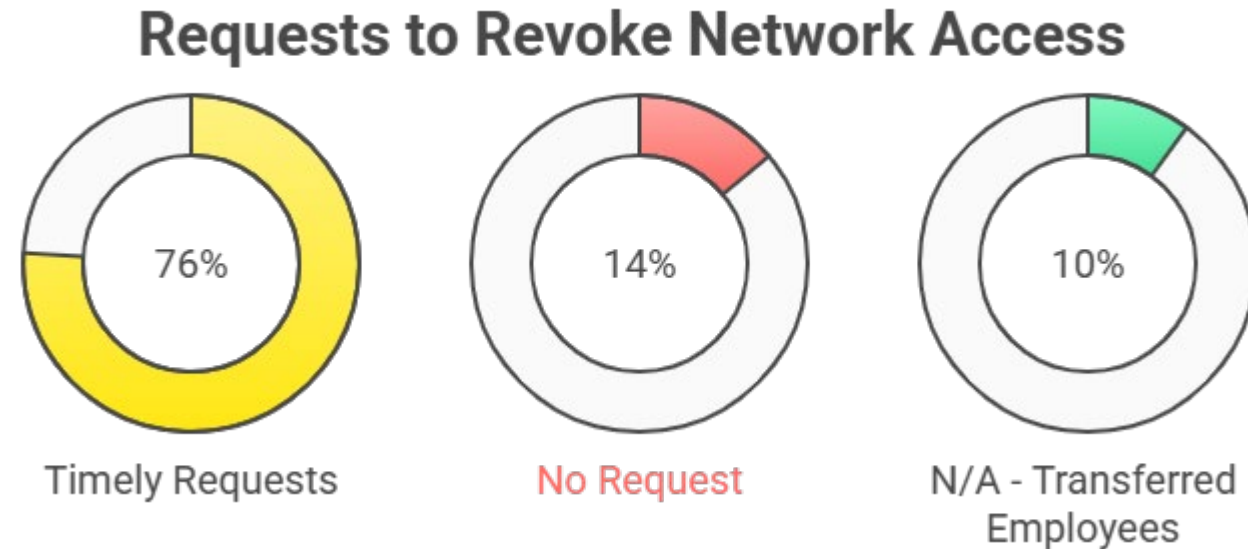
Ensure Clarity

Use language that supports understanding.

- Define expectations for staff and auditors
- Provide a basis for compliance reviews
- Unwritten exceptions can't be audited
- Well-documented policies streamline operations and audits

Opportunity to Improve Network Security

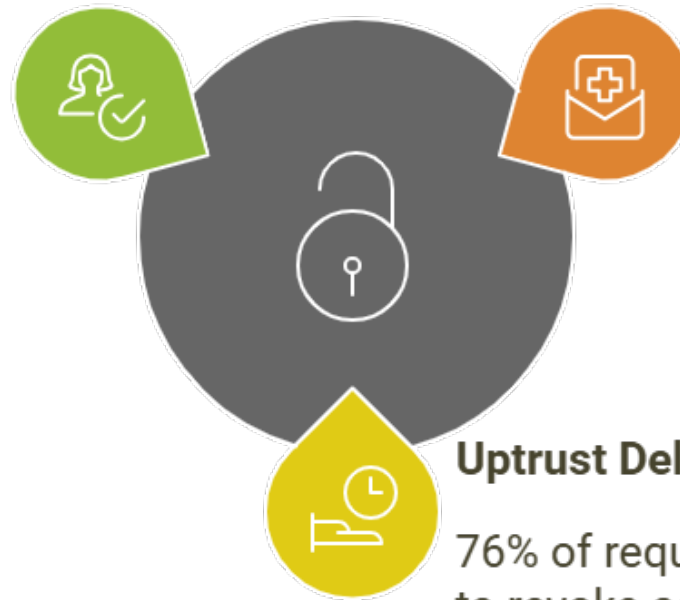
When employees terminate, agencies submit a service request to the Information Technology Division (IT) to revoke the employee's network access.



Opportunity to Improve Application Security

Utah Web Infrastructure for Treatment Services (UWITS)

No request was
made to revoke
access for the one
terminated
employee with
access



Offender Management System

No requests
were made to
revoke access
for terminated
staff

Uptrust Delays

76% of requests
to revoke access
were not made
timely.

Recommendations for Improvement

We recommended to Management the following:



Enhanced internal policies and procedures for revoking employee network access upon termination



Enhanced internal policies and procedures for revoking employee access to applications upon termination



Updates to internal policies to clarify requirements for entering in case notes

Audit Posted on Auditor's Website

<https://www.saltlakecounty.gov/auditor/audit-services-division/audit-reports/>



***THANK
YOU***