REPORT HIGHLIGHTS

Why We Did This Audit

Concerns were raised during the presentation of our audit report on keycards that similar issues with the County's photo IDs may exist. The County was in the process of implementing a new ID system during our audit. Our goal is to help management identify issues that can be addressed during implementation. The scope of our audit is on the Courthouse Complex and the ID cards which allow for the bypassing of the screening stations.

What We Found

We performed onsite testing of screening stations and were able to bypass security using other staff's IDs. The Sheriff's Office is responsible for staffing the screening stations. There are policies and procedures for their staff, but they do not include guidance on checking if physical attributes match the ID holder. Annual refresher training is not currently provided for the officers who staff the screening stations.

Facilities plans on implementing a pedestal screening system using funding from the American Rescue Plan Act which will require policies and procedures.

The new system import of data under Phase One includes employee names, clock numbers, department name and job title which should resolve issues found in the old system's 37,000 records, however, policies and procedures are still under development. Phase Two will add separation and transfers for employees.

Best practices call for background checks prior to issuances of IDs. The County is compliant for employees. Contractors with after-hours access should have an annual check. The County's current policy is to perform a vendor background check upon ID issuance only.

Human Resources' policy for separation of employees does not state what departments should do with IDs.

In our fieldwork, we had to consult multiple areas of the County to receive answers to our questions and in interviews with ID issuing departments they were asking for direction and policies and procedures.

IDs issued to non-employees including contractors and State employees are problematic due to a lack of data importation which forces a reliance on manual entry and deactivation. Policies and procedures are still under development.

What We Recommended

- The Sheriff's Office should update its policies or training materials to alert PSOs to review physical attributes of the person presenting the ID to match the ID, hold mandatory refresher training for PSOs, and establish policies and procedures for conducting periodic unannounced testing of the screening stations. (Rec. #1 & #2)
- Facilities should serve as the County's overall authority for the new ID system. (Rec. #7)
- Facilities should develop and update policies and procedures for overall system operation (including consideration of the creation of an AMOP), contractor and non-employee ID process, new pedestal system (working with the MCSO), background checks for contractors and the daily data importation. (Rec. #3, #8, #9, #10 & # 11)
- Facilities should provide the Audit Services Division with documentation that the automatic deactivation of separated employees and updating of transferred employees is occurring as planned. (Rec. #4)
- Facilities should develop and document a process to periodically verify that the County's human resources information system data updates are being captured in the new system. (Rec. #5)
- Facilities should work with Human Resources to update the separating employee form. (Rec. #6)