19-109 C-Cure Badging System

We have completed our audit of the C-Cure Badging System. This audit was performed at the request of the UTHealth Audit Committee and was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing.*

BACKGROUND

UTHealth issues identification badges to all employees, students, visitors, observers and contractors. Identification badges include a color photograph of the individual, his or her name, and in some cases, a department name and/or school designation to indicate where that individual has a primary affiliation. All members of the university community are required to display their badge to identify themselves and their associations with the university at all times while on campus or on the premises of the university owned or leased space. Individuals requiring access to certain buildings or rooms must contract their supervisors to obtain authorization and security access. All security clearance is activated and deactivated by the University of Texas Police at Houston (UTP-H). Once an identification badge is made, the information is entered into the C-Cure badging system by Parking Services (or Human Resources depending on badge type) and the information is provided to UTP-H for access activation, which provides the appropriate individual access to each of the respective UTHealth buildings/areas.

OBJECTIVES

The objective of this audit was to determine whether controls over the badging system process are adequate and functioning as intended.

SCOPE PERIOD

The scope period was fiscal year 2019 to 2020.

METHODOLOGY

The following procedures were performed:
- Obtained a UT Badge Report of all current badges and stratified by category (employee, student, contractor, visitor, etc.).
- Selected a random sample of each category and verified supporting documentation for access request and type needed.
- Reviewed appointment dates for contractors and verified expiration date was one year or less.
- Reviewed individual's system access to determine whether access was appropriate and commensurate with job responsibilities.
- Obtained evidence that updates to the approver list are complete and sent to departments annually by UTP-H.
- Obtained a listing of high-risk areas/rooms and selected a random sample of employees with access.
- Obtained and reviewed supporting documentation of approval for access to high risk areas from designated approvers.

AUDIT RESULTS

A&AS identified areas of improvement:

- Documenting and retaining access requests
- Disabling badges for individuals separating from the university
- Identifying individuals with multiple badges

NUMBER OF PRIORITY FINDINGS REPORTED TO UT SYSTEM

None

We would like to thank the staff and management who assisted us during our review.

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Daniel G. Sherman, MBA, CPA, CIA
Associate Vice President & Chief Audit Officer

MAPPING TO FY 2019 RISK ASSESSMENT

Risk (Rating)	Student/Visitor access to secured areas (High)

DATA ANALYTICS UTILIZED

Data Analytic #1	Not Applicable

AUDITING & ADVISORY SERVICES ENGAGEMENT TEAM

AVP/CAO	Daniel G. Sherman, MBA, CPA, CIA
Audit Manager	
Auditor Assigned	Nat Gruesen, MBA, CIA, CISA, CFE
End of Fieldwork Date	May 18, 2020
Issue Date	June 8, 2020

Copies to:
Audit Committee
Charles Figari
Chief William Adcox
Eric Fernette

Issue #1	**Access Requests** According to the Handbook of Operating Procedures (HOOP) 148, Section C: Security and Building Access: • All security clearance is activated and deactivated by The University of Texas Police – Houston (UTP-H), per instructions from the supervisor and/or operating unit. • Explanation of the security and access status of the individual must be communicated to UTP-H via memo or email by the department or school. Additionally, the Handbook of Operating Procedures (HOOP) 148, Section A.3: Contractors: • Departments hosting contractors or agency temporary workers who remain on campus for a stated period of time must transmit the appropriate information to the Auxiliary Enterprises Parking Office via email signed with the sender's university issued digital ID. • The correspondence must include the individual's name, affiliation, work location and projected duration of stand and expiration date (not to exceed one year of badge issuance). Currently, request for building or office access submitted through email in a format selected by the requester. We noted there are no UTH-P guidelines for requesting access to buildings or offices, nor has an access request form been developed. A&AS reviewed the controls around the processes to grant access to areas within UTHealth for employees, contractors, students, and visitors and noted the following: **Employees** • Seven of the 25 employees' request for access could not be located/provided by UTP-H. • Two of the 25 employees' request for access could not be located; however, a request to update information was provided by UTP-H. • 5 employees' request could not be located/provided by UTP-H; however, a termination report was provided listing the employee. **Students** • For 6 of the 25 students', requests for access could not be located by UTP-H. • For 1 of the 25 students, the original request for access was not provided by UTP-H; however, a termination report was provided, which listed the individual. **Contractors** • 17 of the 25 contractors' (68%) request for access could not be located by UTP-H. • 1 contractor's original request for access could not be located; however, a request for access modification (additional access) was provided.

	Visitors • For 10 out of the 25 visitors, the original request for access could not be located provided by UTPD. • For 1 out of the 25 visitors, the original request could not be located; however, termination request was provided listing the individual.
Recommendation #1	We recommend UTP-H develop guidelines and an access request form to ensure access to UTHealth buildings and offices granted efficiently, accurately, and supported by adequate documentation. Additionally, perform an assessment of the document filing and retention process to identify whether enhancements are necessary.
Rating	Medium
Management Response	UTP-H currently has guidelines in place with Policy – H1302 Security Systems Technical Design, Operations and Administration. These guidelines will be updated to formalize a better system to efficiently and more accurately provide the required information for an audit. UTP-H will develop an access request form to be used for requests and capturing pertinent information to assist with any future audits. UTP-H will perform an assessment of the document filing and retention process to identify whether enhancements are necessary. Current plan would be to store documents at the MD Anderson Box cloud storage. Retention time would be two years.
Responsible Party	Brandon Simmons, Security Risk Operations Manager, and Rudy Martinez, Senior Threat & Risk Analyst
Implementation Date	November 1, 2020

Issue #2	**Terminated Employees/Duplicate Badges** According to HOOP 148, Section I. Policy and General Statement: Individuals may have more than one role at the university. However, individuals will only be issued one identification badge. A student may also be a part-time employee; in those cases, he/she will be issued a student badge. If the individual is a full-time employee and a part-time student, he/she will be issued an employee badge. A&AS used data analytic software to perform a comparison of the badge report of all active users to the list of terminated employees and noted the following: • 10 employees on the Termination List that still had active badges. • 5 individuals had more than one active badge. A&AS has been advised by Parking Services that the C-Cure System does not have an automated check in place to prevent duplicate badges. Currently, instructions for issuing a badge include parking and/or Human Resources staff to perform a search by name prior to entering information to ensure the individual has not already been entered into the system. However, this practice is not always followed, and therefore, duplicates do occur and need to be cleaned up periodically.
Recommendation #2	We recommend Parking Services conduct a review of all active badges to identify terminated individuals and/or multiple badges, then perform remediation as necessary. Additionally, we recommend a periodic supervisory review of all active badges be performed to identify and remediate similar exceptions.
Rating	Medium
Management Response	Parking Services will conduct quarterly review of badge data to identify duplicate badges and badges that should have been terminated, making the appropriate changes to the records in accordance with HOOP 148. These quarterly reviews will be conducted by the Badging Support Staff employee and reviewed by their supervisor.
Responsible Party	James Smiley, Director, Parking and Shuttle Services
Implementation Date	September 1, 2020