



NORTH CAROLINA COMMUNITY COLLEGE SYSTEM
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COMPLIANCE AUDIT

BADGE ACCESS CONTROLS ANNUAL AUDIT

JULY 6, 2021

INTRODUCTION

Background

As part of its Annual Internal Audit Plan, the System Office undergoes an internal audit engagement reviewing badge access controls for the Caswell Building and employees of the North Carolina Community Colleges System Office. The goal of the audit is to determine if there are any active Caswell Building badges belonging to employees who have separated from employment with the System Office. An additional goal of the engagement is to determine if there are any active badges not assigned to specific employees. The engagement yielded findings related to active and uncollected badges for employees and contractors no longer active with the System Office.

Similar engagements were completed in 2018 and 2019. Recommendations were made to management to keep a copy of the separation checklist on file separate from the employee personnel files, and to have the separation checklist completed for all employees regardless of the reason for separation.

Entrance Conference

A communication was sent to Milton Tart, Building Services Coordinator, requesting a complete listing of active badges with access to the Caswell Building. Mr. Tart shared a report in an Excel spreadsheet. A separate communication was sent to April Tibbs, Human Resources Technician, requesting a list of all System Office employees. Mrs. Tibbs provided the requested report.

Objective, Scope, Methodology

The objective of this audit is to determine if there are any active badges that provide access to the Caswell Building belonging to employees or contractors that have separated from employment with the System Office. This audit will also determine if recommendations made in the prior audit were put into place and if the new controls are working properly.

The scope of the audit is all active badges providing access to the Caswell Building, as well as all employees and contractors working for the System Office as of the date the active badge report is received from the Building Services Coordinator. The follow-up portion of the audit included a review from the end of the most recent badge access audit through the start of the current audit to determine if new controls and recommendations from the prior audits have been enacted. Employee separations occurring after the prior audit completion date were reviewed to determine if updated separation checklists were completed properly. Any findings noted during any part of the audit were investigated further.

The methodology for the audit was to review the employee list obtained from Human Resources against the list of active badges, obtained from the Building Services Coordinator. Any names noted on one list but not the other were investigated further, to determine if a current employee has a badge that is not showing up on the badge report, or if a badge is still active for an employee that has separated from employment with the System Office.

FINDINGS

- Two (2) employee badges were still active despite the employee being separated from employment. Both were instances whereby Building Services missed the communications requesting the deactivation. As a result of this audit, an email was sent to Department of Administration (DOA) to have the badges deactivated; per a response email from DOA, the deactivation was completed on 2/5/2021.
- Two (2) badges belonging to former contractors were still active. As a result of this audit, an email was sent to DOA to have the badges deactivated; per a response email from DOA, the deactivation was completed on 2/5/2021.
- Two (2) badges belonging to members of the State Board of Community Colleges (SBCC) were still active despite the members resigning. The Building Services Coordinator was able to provide emails sent to DOA during 2020 showing requests to have the badges deactivated. However, the badges were not deactivated by DOA. A subsequent email was sent to DOA on 2/4/2021 to have the badges deactivated; per a response email from DOA, the deactivation was completed on 2/5/2021.

RECOMMENDATIONS

Due to the findings noted above, the following recommendations are presented to assist in ensuring compliance with the System Office's badge access policy:

Recommendation 1

Obtain a follow-up email from DOA confirming the requested badges have been deactivated.

Management Response

We agree that this is a prudent step to confirm that the badges that are no longer needed have been deactivated. The employee assigned to manage badges will obtain the confirmation email from the Department of Administration.

Recommendation 2

Building Services should send a follow-up confirmation email to the person who requested the deactivation to confirm it is complete.

Management Response

We recommend that the employee assigned to manage badges send a confirmation email to the person requesting deactivation after receiving the confirmation response from the Department of Administration.