Municipal Court Operations and Software Follow-Up Audit
December 2013

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Municipal Court Operations & Software Follow-Up Audit
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Follow-Up Audit

Office of the City Auditor
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Report #13-10   *December 6, 2013*

Executive Summary

23 of 29 recommendations were fully or partially implemented

Fully Implemented

Payment Receipts

Juvenile citation processing

System administrative access

Test results Erroneous citation tracking

Autocite application controls

Partially Implemented

Seven system enhancements awaiting future versions of software

Citation tracking

Not Implemented

Load tests

The City Auditor's Office has completed a follow-up audit to the Municipal Court Operations & Software audit released in June 2012. The audit was conducted in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. The audit objectives were to determine the implementation status of 29 prior audit recommendations.

The follow-up audit results indicated that management fully implemented eleven (11) prior audit recommendations related to jail credit, payment receipts, juvenile citation processing, payment transfers, scanned documents, system administrative access, termination notifications, documentation of system test results and AutoCITE application controls.

Management has partially implemented twelve (12) prior audit recommendations. Eight of those represent system enhancements which have been approved and funded but won't be implemented until the next system upgrade. The other partially implemented recommendations relate to inmate early release, a Laserfiche audit trail, citation tracking and establishing a source code escrow.

Management did not implement six (6) audit recommendations, including the recording of miscellaneous income received in Incode, obtaining a performance bond, conducting load tests, and maximizing AutoCITE usage. Two recommendations not implemented are dependent on future system enhancements – the daily reconciliation of prior day revenue and the periodic review of citation dismissals by lead clerks.

Implementation Status Chart

Finding	Recommendation	Status	Page
Internal controls applicable to posting of jail (non-cash) credit need to be enhanced.	Reassign jail-credit posting responsibilities from Jail Bond Clerks to designated Municipal Court employees.	✔	7
	Set up a macro whereby Jail Bond Clerks can route jail time served data to a queue that alerts Municipal Court staff of cases for which jail time credit should be applied.	✔	7
	Document approvals for early inmate release by the judiciary, in order to support the value of jail credit granted.	✔	8
Original payment receipts are not limited to one copy.	Customize the payment receipt capability to one original receipt per transaction and include the actual payment date on all reprinted receipts.	✔	**8**
Critical details associated with voided payment transactions are not recorded in an audit trail.	Enhance Incode to include voided payment transactions in the citation audit trail and require entry of payment void reason to be recorded in query enabled audit trails.	✔	9
The citation tracking feature in Incode software is not utilized.	Implement and begin using Incode's citation-tracking feature.	✔	9
Some juvenile citations are waiting further processing.	Allocate necessary resources required to prioritize the juvenile citations that need further processing, in order to conclude the adjudication process.	✔	10
The identification of users altering documents is not recorded in the Laserfiche audit trail.	Install and activate the enhanced audit trails module that would enable recording of user identification for altered and overridden documents stored in Laserfiche.	✔	10

Implementation Status

✔: **Fully Implemented**
✔: **Partially Implemented**
X: **Not Implemented**

Implementation Status Chart

Finding	Recommendation	Status	Page
Citations awaiting refunds cannot be removed from the refund batch when necessary.	Amend the current refund batch process to include the ability to remove a refund item from the batch.	✓	11
A formal process does not exist to ensure that erroneous tickets are corrected timely and that there is adequate accountability over missing tickets.	Ensure that an agreed-upon process is developed to ensure that erroneous citations are adequately tracked between departments and that missing citations are returned to the Municipal Court or properly resolved.	✓	11
Audit trails for payment transfer transactions are inadequate.	Enhance Incode in order to include payment transfer account information in the account audit trails and general ledger distribution report.	✓	12
Incode allows closure of citations that have open bond amounts.	Enhance the current system in order to create a "pop up" warning when attempting to close a citation with an open bond amount.	✓	12
Pending payment report cannot be generated for a specific business day.	Enhance the pending payment report in Incode that would enable generation of the pending payment report to a specific business day.	✓	13
	Introduce daily reconciliation of the report used to balance prior day revenue activity to the pending payment report generated for the specific day.	X	13
Miscellaneous income recorded in Incode is not reported to Lawson via the interface.	The Municipal Court Director, in conjunction with the Chief Information Officer, should ensure that the interface to Lawson is amended to include miscellaneous income.	X	14

Implementation Status

✓: **Fully Implemented**
✓: **Partially Implemented**
X: **Not Implemented**

Implementation Status Chart

Finding	Recommendation	Status	Page
Data entry field controls do not exist for the defendant age field.	Introduce birth date data field controls, which would warn the data entry clerk of defendants who are less than 10 years of age.	✓	14
Confidential documentation is retained in Laserfiche without encryption and access restrictions.	Activate the document encryption features in the software and limit access of encrypted documents to the appropriate staff.	✓	15
	Adopt new naming conventions to identify scanned sensitive documents, the name to include the citation number, service type, document type and violation.	✓	15
Compensating controls for access permissions granted to lead employees are necessary.	Enhance the existing status history report in Incode, by including multiple dismissal categories when generating reports specific to users that perform citation status changes.	✓	16
	Generate the enhanced status history report on a periodic basis, in order to review citation dismissals by leads, to ensure existing judicial approval.	X	16
Incode production access permissions granted to the City's Information Technology staff exceed current needs.	Consider limiting administrative access for the City's Information Technology staff to the Incode test system.	✓	17
Removal of Incode system access to former employees needs to be expedited.	Set up a query to generate a list of terminated employees in the Lawson Business Intelligence suite, and request the Incode security administrator to generate queries on a periodic basis to review Incode user access.	✓	17

Implementation Status

✓: **Fully Implemented**
✓: **Partially Implemented**
X: **Not Implemented**

Implementation Status Chart

Finding	Recommendation	Status	Page
Removal of Incode system access to former employees needs to be expedited.	Set up a data field in the Incode security profile menu to accommodate a future date to cut-off system access for temporary employees.	✓	18
Performance bond and source code escrow for Incode software has not been established.	Require Tyler Technologies to establish source code escrow for the Incode software, with the City of Arlington listed as a beneficiary.	✓	18
	Require Tyler Technologies to provide a verifiable performance bond drawn in favor of the City of Arlington.	**X**	19
The performance (load) test did not meet contract objectives.	Seek a formal load test report from RTTS, and review the final report with assistance from Tyler Technologies in order to determine if current system configuration is capable of processing higher transaction volume in the future.	**X**	19
Documented management approval of Incode functional test results is not available.	Ensure retention of detail test results and management approval prior to the system going live.	✓	20
AutoCITE handhelds lack some internal controls required for improved accuracy and efficiency.	Introduce application controls applicable to vehicle speed, driver's gender (in newly issued State of Texas licenses), and to provide officers the capability to monitor prior warnings based on individual driver data.	✓	20
AutoCITE handheld units are underutilized.	Consider introducing written guidance, training, etc. that would maximize the utilization of current AutoCITE handheld citation writers.	**X**	21

Implementation Status

✓: **Fully Implemented**
✓: **Partially Implemented**
X: Not Implemented

Audit Scope and Methodology

The audit was conducted in accordance with generally accepted government auditing standards. The following methodology was used in completing the audit:

- Interviewed Municipal Court staff and Information Technology (IT) Department staff
- Observed features and enhancements in the Incode citation processing system
- Obtained citation processing data from the system for analysis

The audit covered court system transaction activity since August 2012.

Status of Prior Audit Recommendations

Prior Audit Finding 1
Internal controls applicable to posting of jail (non-cash) credit need to be enhanced.

Recommendation: The Municipal Court Director, in conjunction with the Arlington Police Chief, should reassign jail-credit posting responsibilities from Jail Bond Clerks to designated Municipal Court employees. Jail staff should be given the responsibility of providing Municipal Court employees documentation to substantiate the amount of jail credit that is posted to defendant accounts, in lieu of cash.

Management's Response: *Concur.   The Municipal Court Director will meet with Tyler Technologies to determine the feasibility and cost effectiveness of developing a process to improve this activity.*

>   *Target Date: October 1, 2012*
>   *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Fully Implemented.

The City Auditor's Office noted that a compensating control has been implemented. Jail credits are now posted in front of presiding judge. Jail supervisory staff and court cashiers review paperwork, primarily the approval of jail credit with a judge's signature. The City Auditor's Office reviewed a sample of 20 jail credit citations and noted two exceptions. One exception consisted of no supporting jail paperwork and another did not contain documentation for a possible early release.

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Recommendation: The Municipal Court Director should request that Tyler Technologies set up a macro whereby Jail Bond Clerks can route jail time served data to a queue that alerts Municipal Court staff of cases for which jail time credit should be applied.

Management's Response: See above.

>   *Target Date: See above*
>   *Responsibility: See above*

Implementation Status: Fully Implemented.

The Municipal Court has implemented a compensating control, as noted above, which negates the reason to implement the original recommendation.

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Recommendation: The Chief Judge of the Arlington Municipal Court should consider documenting approvals for early inmate release by the judiciary, in order to support the value of jail credit granted.

Management's Response:

Concur. *The use of an "Early Release Form," signed by a Sergeant or Jail Supervisor, was implemented on or about June 1, 2012.*

> *Target Date:*   *Completed, June 1, 2012*
> *Responsibility:*   *Stewart Milner, Chief Judge*

Implementation Status: Partially Implemented.

The City Auditor's Office reviewed a sample of five early release inmates and noted two exceptions where the judge or the jail supervisor failed to sign the release form. The exceptions noted relate to inmates assigned to jail trustee service. Jail administrators indicated that they would include management signatures on early release forms in the future.

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Prior Audit Finding 2
Original payment receipts are not limited to one copy.

Recommendation: The Municipal Court Director should request Tyler Technologies to customize the payment receipt capability to one original receipt per transaction and include the actual payment date on all reprinted receipts.

Management's Response: *Concur. Tyler will change the Extra Receipt printout to identify receipts as reprints.*

> *Target Date:*   *October 1, 2012*
> *Responsibility:*   *David Preciado, Municipal Court Director*

Implementation Status: Fully Implemented.

Original payment receipt is limited to one copy and reprints require accessing a separate menu and entry of the original receipt number. Reprints are appropriately labeled

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Prior Audit Finding 3
Critical details associated with voided payment transactions are not recorded in an audit trail.

Recommendation: The Municipal Court Director should request Tyler Technologies to enhance Incode to include voided payment transactions in the citation audit trail and require entry of payment void reason to be recorded in query enabled audit trails.

Management's Response: *Concur. The Municipal Court Director will meet with Tyler Technologies to determine the feasibility and cost effectiveness of developing a process to improve this activity.*

> *Target Date:*   *December 1, 2012*
> *Responsibility:*   *David Preciado, Municipal Court Director*
>   *Tyler Technologies*

Implementation Status: Partially Implemented.

The City Auditor's Office noted that the Municipal Court has documented that the vendor has addressed this issue. Full implementation is pending the release of version 9 of Incode, scheduled for July 2014.

Prior Audit Finding 4
The citation tracking feature in Incode is not utilized.

Recommendation: The Municipal Court Director, in conjunction with the Chief of Police, should coordinate with the City's Information Technology Department to implement and begin using Incode's citation-tracking feature.

Management's Response: *Concur. The three departments will coordinate to implement the citation-tracking feature.*

> *Target Date:*   *Based on IT Technical Review*
> *Responsibility:*   *Steve Evans, APD Management Services Director*

Implementation Status: Partially Implemented.

The Municipal Court has initiated the use of the Incode citation tracking feature. Management expects to complete data entry of citation numbers into Incode by December 2013.

Prior Audit Finding 5
Some juvenile citations are waiting further processing.

Recommendation: The Chief Judge, in conjunction with the Municipal Court Director, should allocate necessary resources required to prioritize the juvenile citations that need further processing, in order to conclude the adjudication process.

Management's Response: Concur. New juvenile dockets have been created to accommodate this work load.   They will be maintained on a permanent basis.

> Target Date: Implemented June 1, 2012
> Responsibility: Stewart Milner, Chief Judge
>   David Preciado, Municipal Court Director

Implementation Status: Fully Implemented.

The City Auditor's Office reviewed Incode data and noted that there were no longer any juvenile citations on "initial appearance" status, waiting further processing.

Prior Audit Finding 6
The identification of users altering documents is not recorded in the Laserfiche audit trail.

Recommendation: The Municipal Court Director should request the Laserfiche vendor to install and activate the enhanced audit trails module that would enable recording of user identification for altered and overridden documents stored in Laserfiche.

Management's Response: Concur. Laserfiche support vendor DocuNav can assist with installation and configuration of the Audit Trail module.

> Target Date: October 1, 2012
> Responsibility: David Preciado, Municipal Court Director
>   Docunav, Support Vendor
>   Information Technology Department support staff

Implementation Status: Partially Implemented.

Although the Municipal Court requested the desired change, the Laserfiche vendor informed the Municipal Court that its software does not have the capacity to display the identity of a user who alters a stored document. The audit trail is limited to the initial creator of the document, once changed; only the date and time of alteration is recorded.

Prior Audit Finding 7
Citations awaiting refunds cannot be removed from the refund batch when necessary.

Recommendation: The Municipal Court Director should seek assistance from Tyler Technologies to amend the current refund batch process to include the ability to remove a refund item from the batch.

Management's Response: Concur. The Municipal Court will request a new program modification to allow pending refunds of payments to be cancelled, thus removing them from a batch. Estimated completion date: 8-10 weeks after funding/design approval.

> *Target Date:*   *November 1, 2012*
> *Responsibility:*   *David Preciado, Municipal Court Director*
>   *Tyler Technologies*

Implementation Status: Partially Implemented.

The Municipal Court received a quote of $6,000 from the Incode vendor for the enhancement. Implementation is expected with version 9 of Incode software, scheduled to go live in July 2014.

Prior Audit Finding 8
A formal process does not exist to ensure that erroneous tickets are corrected timely and that there is adequate accountability over missing tickets.

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*Recommendation***:** The Municipal Court Director, in conjunction with the Arlington Police Chief, should ensure that an agreed-upon process is developed to ensure that erroneous citations are adequately tracked between departments and that missing citations are returned to the Municipal Court or properly resolved (e.g., dismissal), in a manner that warrants timely processing.

Management's Response: Concur. The Municipal Court and APD will partner to develop a process that addresses this deficiency.

> *Target Date:*   *October 1, 2012*
> *Responsibility:*   *Melinda Richardson, Court Records Supervisor*
>   *Steve Evans, Management Services Director*

Implementation Status: Fully Implemented.

The City Auditor's Office noted that the Municipal Court has established procedures to ensure that erroneous citations are corrected and returned within a reasonable amount of time. Review of tracking spreadsheets for citations with errors indicated that only an immaterial number of errors exist compared to total citation volume.

> **Prior Audit Finding 9**
> **Audit trails for payment transfer transactions are inadequate.**

Recommendation: The Municipal Court Director should request Tyler Technologies to enhance Incode, in order to include payment transfer account information in the account audit trails and general ledger distribution report.

Management's Response: *Concur. The Municipal Court will request that a "daily void report" be created in order to document all pending payments transferred or voided. Estimated completion date: 8-10 weeks after funding/design approval.*

> *Target Date: January 1, 2013*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Fully Implemented.

The City Auditor's Office noted that the Municipal Court has implemented an alternative solution in lieu of amending the software. IT staff has established a query to locate transferred payments by date. The query can be utilized to research transferred payments as necessary.

> **Prior Audit Finding 10**
> **Incode allows closure of payments that have open bond amounts.**

Recommendation: The Municipal Court Director should request Tyler Technologies to enhance the current system in order to create a "pop up" warning when attempting to close a citation with an open bond amount.

Management's Response: *Concur. The Municipal Court will request that Tyler Technologies create the necessary improvements to affect this change. Estimated completion date: 8-12 weeks after funding/design approval.*

> *Target Date: October 1, 2012*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Partially Implemented.

The City Auditor's Office noted that Municipal Court management has requested the desired change and approved the $2,500 cost to enhance the Incode software. The implementation is expected in July 2014.

Prior Audit Finding 11
Pending payment report cannot be generated for a specific business day.

Recommendation: The Municipal Court Director should request Tyler Technologies to enhance the pending payment report in Incode that would enable generation of the pending payment report to a specific business day.

Management's Response: *Concur. Tyler will be requested to add a payment date range to the Pending Payment Listing report, at additional cost and maintenance fees. Estimated completion date: 8-12 weeks after funding/design approval.*

> *Target Date: October 1, 2012*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Partially Implemented.

The City Auditor's Office noted that Municipal Court management has requested the desired change and approved the $2,500 cost to enhance the Incode software. The implementation is expected in July 2014.

Recommendation: The Municipal Court Director should introduce daily reconciliation of the report used to balance prior day revenue activity to the pending payment report generated for the specific day.

Management's Response: *Concur. The Municipal Court Director will implement a policy requiring that prior revenue activity is balanced to the enhanced Pending Payment Report.*

> *Target Date: Dependant on completion of the previous request*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Not Implemented.

Implementation is dependent upon the full implementation of the preceding recommendation. According to Municipal Court management, cashier supervisory staff is expected to begin implementing the recommendation once the software is enhanced and capable of producing the report required.

> **Prior Audit Finding 12**
> **Miscellaneous income recorded in Incode is not reported to Lawson via the interface.**

Recommendation: The Municipal Court Director, in conjunction with the Chief Information Officer, should ensure that the interface to Lawson is amended to include miscellaneous income.

Management's Response: *Concur. The Court will work with Tyler to configure "auto-posting" mode which will capture miscellaneous income as part of the extract.*

>   *Target Date:*   *October 1, 2012*
>   *Responsibility:*   *Jenny Kicker, Municipal Court Staff Accountant*

Implementation Status: Not Implemented.

The Incode vendor states that the auto posting feature in its software is intended to post all transactions to Lawson. However, the Municipal Court has disabled the auto post feature in order to review transactions and eliminate errors prior to posting to Lawson. Municipal Court management has indicated that it intends to explore utilizing the auto posting feature just for miscellaneous income.

> **Prior Audit Finding 13**
> **Data entry field controls do not exist for the defendant age field.**

Recommendation: The Municipal Court Director should seek assistance from Tyler Technologies, to introduce birth date data field controls, which would warn the data entry clerk of defendants who are less than 10 years of age.

Management's Response: *Concur. The City of Arlington references the statute Article 45.059 prohibiting charges issued to anyone under the age of 10 years and requests the deficiency in the software be corrected. Tyler will be requested to write a custom alert for Arlington to warn data entry clerks of defendants less than 10 years of age at additional cost and maintenance fees. Estimated completion date: 6-8 weeks after funding/design approval*

>   *Target Date:*   *November 1, 2012*
>   *Responsibility:*   *David Preciado, Municipal Court Director*

Implementation Status: Partially Implemented.

The City Auditor's Office noted that Municipal Court management has requested the desired change and approved the $2,500 cost to enhance the Incode software. The implementation is expected in July 2014.

> ***Prior Audit Finding 14***
> **Confidential documentation is retained in Laserfiche without encryption and access restrictions.**

Recommendation: The Municipal Court Director should request the Laserfiche vendor (Compulink) to activate the document encryption features in its software and limit access of encrypted documents to the appropriate staff.

Management's Response: *Concur. The Municipal Court will review the current capabilities of the Laserfiche scanning system and activate the encryption features of the existing system. We will evaluate the cost effectiveness of this change and then request an enhancement if deemed necessary.*

> *Target Date: January 1, 2013*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Partially Implemented.

The City Auditor's Office noted that the Municipal Court has decided not to scan sensitive documents to Laserfiche instead of encrypting them. However, the judiciary has not identified an implementation plan to remove existing sensitive documents that were previously scanned into the system.

Recommendation: The Municipal Court Director should adopt new naming conventions to identify scanned sensitive documents, the name to include the citation number, service type, document type and violation.

Management's Response: *Concur. Document naming conventions are currently in place.*

> *Target Date: Completed June 1, 2012*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Fully Implemented.

The Municipal Court has decided not to scan sensitive documents into Laserfiche. Therefore, the need to use naming conventions to identify sensitive documents has been eliminated.

> ### Prior Audit Finding 15
> ### Compensating controls for access permissions granted to lead employees are necessary.

Recommendation: The Municipal Court Director should seek assistance from Tyler Technologies to enhance the existing status history report in Incode, by including multiple dismissal categories when generating reports specific to users that perform citation status changes.

Management's Response: *Concur. Tyler will be requested to change the Status History Report to allow multiple statuses to be selected. Estimated completion date: 8-10 weeks after funding/design approval.*

> *Target Date: October 1, 2012*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Partially Implemented.

The City Auditor's Office noted that Municipal Court management has requested the desired change and approved the $2,500 cost to enhance the Incode software. The implementation is expected in July 2014.

Recommendation: The Municipal Court Director should require Court Supervisors to generate the enhanced status history report on a periodic basis, in order to review citation dismissals by leads, to ensure existing judicial approval.

Management's Response: *Concur. The Court Director will implement a policy that will ensure that the enhanced status reports are generated and reviewed on a regular basis. Estimated completion is 8-10 weeks after design and funding approval.*

> *Target Date: October 1, 2012*
> *Responsibility: David Preciado, Municipal Court Director*
> *   Tyler Technologies*

Implementation Status: Not Implemented.

Implementation is dependent upon the full implementation of the preceding recommendation. According to Municipal Court management, implementation will occur when a status history report can be run on multiple dismissal categories. The Municipal Court expects implementation upon software upgrade in July 2014.

Prior Audit Finding 16
Incode production access permissions granted to the City's Information Technology staff exceed current needs.

Recommendation: The Municipal Court Director should consider limiting administrative access for the City's Information Technology staff to the Incode test system.

Management's Response: *Concur. IT staff members Rick McCue (Incode and Laserfiche) and Wanda Edmunds (AutoCITE) perform integral roles in the daily monitoring of Court systems, assisting and resolving end-user support requests, problem determination, troubleshooting, technical system administration, and vendor services coordination. In performing those duties, both individuals need system administration access to the production systems as well as the test environment in order to provide timely issue resolution, and to keep the systems healthy and performing at peak efficiency. Access to other IT personnel will be restricted.*

> *Target Date:* June 1, 2012
> *Responsibility:* Melinda Richardson, Customer Service Supervisor

Implementation Status: Fully Implemented.

The City Auditor's Office verified that administrator access to Incode is limited to three IT employees.

Prior Audit Finding 17
Removal of Incode system access to former employees needs to be expedited.

Recommendation: The Municipal Court Director should seek assistance from the City's Information Technology staff to set up a query to generate a list of terminated employees in the Lawson Business Intelligence suite, and request the Incode security administrator to generate queries on a periodic basis to review Incode user access.

Management's Response: *Concur. Tyler will be requested to add an Expiration Date/Time to the User Maintenance in v8 of Incode [at additional cost and maintenance fees]. This Date/Time will be respected in all Incode applications including Cash Collections and Court. Estimated completion date: 6-8 weeks after funding/design approval.*

> *Target Date:* October 1, 2012
> *Responsibility:* David Preciado, Municipal Court Director

Implementation Status: Fully Implemented.

The City Auditor's Office verified that the security administrator for Incode receives automated e-mail notifications once an employee is terminated.

Recommendation: The Municipal Court Director should seek assistance from Tyler Technologies, in order to set up a data field in the Incode security profile menu to accommodate a future date to cut-off system access for temporary employees.

Management's Response: Concur. The Municipal Court Director will implement a policy and procedures to disable access to the Incode system for temporary employees that have left employment with the City.

> *Target Date: October 1, 2012*
> *Responsibility: David Preciado, Municipal Court Director*

Implementation Status: Partially Implemented.

Municipal Court management has approved $2,500 required by the vendor for the enhancement. According to management, the enhancement is expected to be included in version 9 of Incode, expected to be in production in July 2014.

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> **Prior Audit Finding 18**
> **Performance bond and source code escrow for Incode software has not been established.**

Recommendation: The Chief Information Officer, in conjunction with the Municipal Court Director, should require Tyler Technologies to establish source code escrow for the Incode software, with the City of Arlington listed as a beneficiary.

Management's Response: Concur. IT is actively working with the contracts administrator at Tyler Technologies to establish a source code escrow agreement for the Incode software where the City of Arlington is listed as a beneficiary.

> *Target Date: October 1, 2012*
> *Responsibility: Dennis John, Chief Information Officer*

Implementation Status: Partially Implemented.

Tyler Technologies (Tyler), the Incode vendor, has provided evidence pertaining to the existence of source code escrow at Iron Mountain with the City of Arlington listed as a beneficiary. However, the original contract called for a three party agreement between Arlington, Tyler and the escrow company. The City determined that the cost for such a three party agreement is excessive. The existing source code escrow agreement is between Tyler and Iron Mountain, a standard two party escrow agreement.

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Recommendation: The Chief Information Officer, in conjunction with the Municipal Court Director, should require Tyler Technologies to provide a verifiable performance bond drawn in favor of the City of Arlington.

Management's Response: *Concur. IT is actively working with the contracts administrator at Tyler Technologies to establish a performance bond drawn in the favor of the City of Arlington.*

> *Target Date:*   *October 1, 2012*
> *Responsibility:*   *Dennis John, Chief Information Officer*

Implementation Status: Not Implemented.

City and IT management decided to utilize milestone performance payments in lieu of the performance bond. The final system acceptance took place in May 2011, which requires the performance bond to be effective until May 2013. The time has lapsed without proper contract compliance. The Chief Information Officer intends to get the vendor to grant a concession in lieu of the performance bond and negotiations are ongoing.

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Prior Audit Finding 19
The performance (load) test did not meet contract objectives.

Recommendation: The Municipal Court Director should seek a formal load test report from RTTS, and review the final report with assistance from Tyler Technologies in order to determine if current system configuration is capable of processing higher transaction volume in the future.

Management's Response: *Concur.   We concur; however, under the advisement of our consultant, we opted to retain the services of a third party, Real Time Transactional Systems (RTTS), to conduct the formal load test reports. The outcome of all 56 user load tests revealed no significant issues which could affect go-live activities. Therefore, it is our recommendation that the City delay funding any projects for this version of the software and consider, instead, setting aside funds for performing end-to-end performance load tests on the Incode version ten system.*

> *Target Date:*   *On-going*
> *Responsibility:*   *David Preciado, Municipal Court Director*
> *Dennis John, Chief Information Officer*

Implementation Status: Not Implemented.

Municipal Court management intends to comply with the recommendation during implementation of Incode version 10, which will be the next version with a significant change in functionality. Version 9 of the software is expected to be implemented in July 2014. There is no set time frame for implementation of version 10.

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Prior Audit Finding 20
Documented management approval of Incode functional test results is not available.

Recommendation: The Chief Information Officer should ensure retention of detail test results and management approval prior to the system going live.

Management's Response: *Concur.   The Information Technology Department will ensure retention of future detailed test results and management approval prior to systems going live.*

> *Target Date: On-going*
> *Responsibility: Dennis John, Chief Information Officer*

Implementation Status: Fully Implemented.

The City Auditor's Office reviewed recent Incode enhancements and noted that test results and documentation of management approval are now retained by the Information Technology Department.

Prior Audit Finding 21
AutoCITE handhelds lack some internal controls required for improved accuracy and efficiency.

Recommendation: The Chief of Police, in conjunction with the Chief Information Officer, should coordinate with the AutoCITE vendor, Duncan Technologies, to introduce application controls applicable to vehicle speed, driver's gender (in newly issued State of Texas licenses), and to provide officers the capability to monitor prior warnings based on individual driver data.

Management's Response: *Concur. The departments will coordinate with vendor Duncan Technologies to implement this recommendation, dependent upon available funding for the software changes and IT resources. Duncan Solution has submitted a quote for software modification addressing vehicle speed. Software updates relating to DL gender have been received and tested. Awaiting implementation.*

> *Target Date: Based on IT Technical Review*
> *Responsibility: Steve Evans, APD Management Services Director*

Implementation Status: Fully Implemented.

The City Auditor's Office verified that Duncan Technologies has enhanced the AutoCITE software to identify a driver's gender and prohibit the input of erroneous vehicle speeds. APD has discontinued the issuance of warnings using the AutoCITE devices; hence the recommendation to enhance controls on prior warnings is no longer applicable.

Prior Audit Finding 22
AutoCITE handheld units are underutilized.

Recommendation: The Chief of Police should consider introducing written guidance, training, etc. that would maximize the utilization of current AutoCITE handheld citation writers in APD inventory.

Management's Response: *Concur. The devices are currently utilized at capacity but are only available to select staff. New technologies will be explored with the implementation of the new mobile data computers and record management system to provide electronic citation devices to all sworn staff. In the interim, reference materials for the AutoCITE units will be developed and usage of the devices emphasized.*

> *Target Date: On-going, through 3rd Quarter FY2013*
> *Responsibility: Steve Evans, APD Management Services Director*

Implementation Status: Not implemented.

APD states the effort to increase usage has been delayed due to the upcoming RMS (Tiburon) replacement. APD expects to replace AutoCITE units as necessary to ensure compatibility with the new systems. The ratio of AutoCITE citations to total citations during the initial audit was 58%. AutoCITE generated citations in Incode for the period of January to June 2013 decreased to 52% of total citations.