Municipal Court Operations & Software
June 2012

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Office of the City Auditor

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Report #10-14   *June 29, 2012*

Executive Summary

Since implementation of the Incode software, court revenue and the number of warrants issued have increased

Efficiencies have increased among departments as a result of monitored workflow processes through established system queues

Opportunities for Improvement

Citation tracking

Source code escrow

Enhanced audit trails

Enhanced application controls in AutoCITE

As part of the 2010 Annual Audit Plan, the City Auditor's Office conducted an audit of Municipal Court Operations and Software. The audit was conducted in accordance with generally accepted government auditing standards, except for peer review. 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 objectives of the audit were to ensure that:

- pre-implementation system testing was adequately conducted to determine Incode's capacity to meet business needs and processing volume;

- AutoCITE application controls are adequate for upload and citation accuracy;

- existing juvenile processes, within Incode, are timely and meet State of Texas requirements;

- the docketing process is timely and efficient;

- mailroom processing supports timely and efficient results;

- data transferred from Incode to the Lawson financial system is accurate and timely; and,

- payment transactions consist of adequate internal controls and audit trails that ensure accurate, authorized and timely transactions.

The City Auditor's Office concluded that, overall, Incode has positively benefitted Arlington's municipal court operations and the City of Arlington, as a whole. Since the implementation of Incode, court revenue and the number of warrants issued have increased. Incode has also increased efficiency among departments by allowing each unit to monitor workflow processes through established system queues. However, opportunities to

further improve Incode and municipal court processes were noted.

Although consistent documentation and final approval of system test results were not evident, audit results indicated that Incode adequately meets the Municipal Court's business needs and is capable of processing the City's current citation volume.

Audit results indicated that AutoCITE application controls could be enhanced to improve the accuracy and efficiency of citations issued using the handheld devices. The City Auditor's Office also noted that increased use of the AutoCITE handheld units could enhance the paperless concept of the Incode citation processing software.

Utilizing additional resources to process existing juvenile citations appears to be beneficial to the court, operationally. The court docketing process, considering available courtroom capacity, is functioning as intended. Defendants are given an opportunity to attend walk-in court sessions as well as scheduled court appearances for up to one year in advance.

Mail room staff appeared to have processed citations in a timely and efficient manner. However, audit results identified the need to better coordinate a process whereby erroneous citations can be resolved in a timelier manner.

Audit results indicated that the utilization of Incode's citation tracking feature could result in a more efficient process by which outstanding/missing tickets (e.g., tickets that have been misplaced or lost, cannot be processed due to errors, etc.) can be identified and necessary follow-up action taken.

Financial reporting can be strengthened by enhancing the interface from Incode to Lawson. Also, restricting the posting of jail credit to a designated Court cashier(s) would introduce an adequate separation of duties that results in better safeguarding of funds. Improved system audit trails for payment transfers and payment voids were also considered necessary.

Audit Scope and Methodology

Documentation, correspondence and transactions from December 2009 to October 2011 were included in the scope of this audit. The audit was conducted in accordance with generally accepted government auditing standards, except for peer review. The following methodology was used in completing the audit.

- Interviewed Municipal Court management and staff members in order to gain an understanding of court operations

- Reviewed Incode software manuals and conducted test transactions in order to become familiar with Municipal Court software

- Observed Municipal Court cashiering, docketing, mail room, prosecution and judicial staff, and sampled transactions to determine if Incode software has enhanced court operations, as intended

- Observed Arlington Police traffic officers using AutoCITE handheld devices to issue citations

- Reviewed AutoCITE software in order to assess citation accuracy and accuracy of data upload to Incode

- Reviewed samples of citations issued to juveniles to ensure accurate processing within Incode

- Examined confidential court documents, stored in Laserfiche software, to determine if the documents are adequately safeguarded

- Examined non-cash credits granted to defendants to ensure proper authorization

- Reviewed Incode user profiles to ensure that system access is based on job requirements

- Assessed the adequacy of audit trails for critical Incode revenue transactions

- Examined the Incode and Lawson financial software interface to ensure accurate and complete data transfer

- Reviewed Incode testing documentation to assess processing capability and Incode's ability to meet the Municipal Court's operational needs

- Assessed adequacy of the court docketing process and efficiency of scheduling police officers for trial

- Examined outstanding bonds to ensure timely processing and proper refunding to defendants

A review of the Incode web application used to make on-line payments was not included as a part of this audit. Instead, it will be included in the Electronic Services (e-Services) Audit that is scheduled for FY 2012.

Background

The Arlington Municipal Court has been operating since the incorporation of the City of Arlington. The Arlington Municipal Court began operating as a court of record on October 1, 1993. As a court of record, the impress of the Arlington Municipal Court's seal is attached to all papers (except subpoenas) issued out of the court and used by each Municipal Judge or the Municipal Clerk to authenticate all official acts of the Clerk and the Judge.

The Arlington Municipal Court mainly processes Class C misdemeanor citations issued by the Arlington Police Department (APD) and City code enforcement officers. However, the Municipal Court also processes Class C misdemeanor citations issued by the University of Texas at Arlington, Tarrant County Community College and any other law enforcement agency within the city limits of Arlington.

The Arlington Municipal Court was initially located in the Municipal Court building on Abram Street, opposite of the current City Hall facility. In 2007, the initial Municipal Court building was demolished, and the Municipal Court was relocated to the renovated Municipal Office Tower (MOT) on Mesquite Street. As of FY2011, the Arlington Municipal Court occupies two floors in the MOT building. The first floor consists of customer service, cashiering, bailiff offices and one courtroom. The second floor consists of administrative offices and three court rooms.

The Arlington Municipal Court consists of the following units.

- Operational - The operational unit is responsible for tasks such as entering citations in the court processing system, accepting payments, setting court dates, processing documentation related to stipulations set forth by the judiciary, accounting for court revenue and processing mail received by the Court. The operational unit consists of 42 full-time and seven part-time staff members. Management staff includes a director and three operational supervisors.

- Judiciary - The judiciary presides in the main Court facility, as well as the Arlington jail arraignment facility. The judiciary consists of a Chief Judge, four full-time and three part-time judges.

- Prosecutors - Prosecutors, employees within the City Attorney's Office, represent the City at trials and negotiate plea bargains with attorneys and defendants. The Prosecutor's Office consists of a Chief Prosecutor and five associate prosecutors.

- Warrant Unit - The warrant unit, a division of the Arlington Police Department, is responsible for serving warrants issued by the judiciary on Class C citations. The warrant unit consists of an Arlington Police Sergeant and four police officers who serve as warrant officers. Five clerical staff members support the warrant unit with administrative and support duties.

- Bailiffs - One full-time, and 11 part-time bailiffs, that are retired Arlington Police Officers, provide security inside courtrooms and in public areas such as payment counters.

A total of 141,079 Class C misdemeanor adult and juvenile cases were filed at the Arlington Municipal Court in FY2011. The general process for citations is shown in the following diagram.
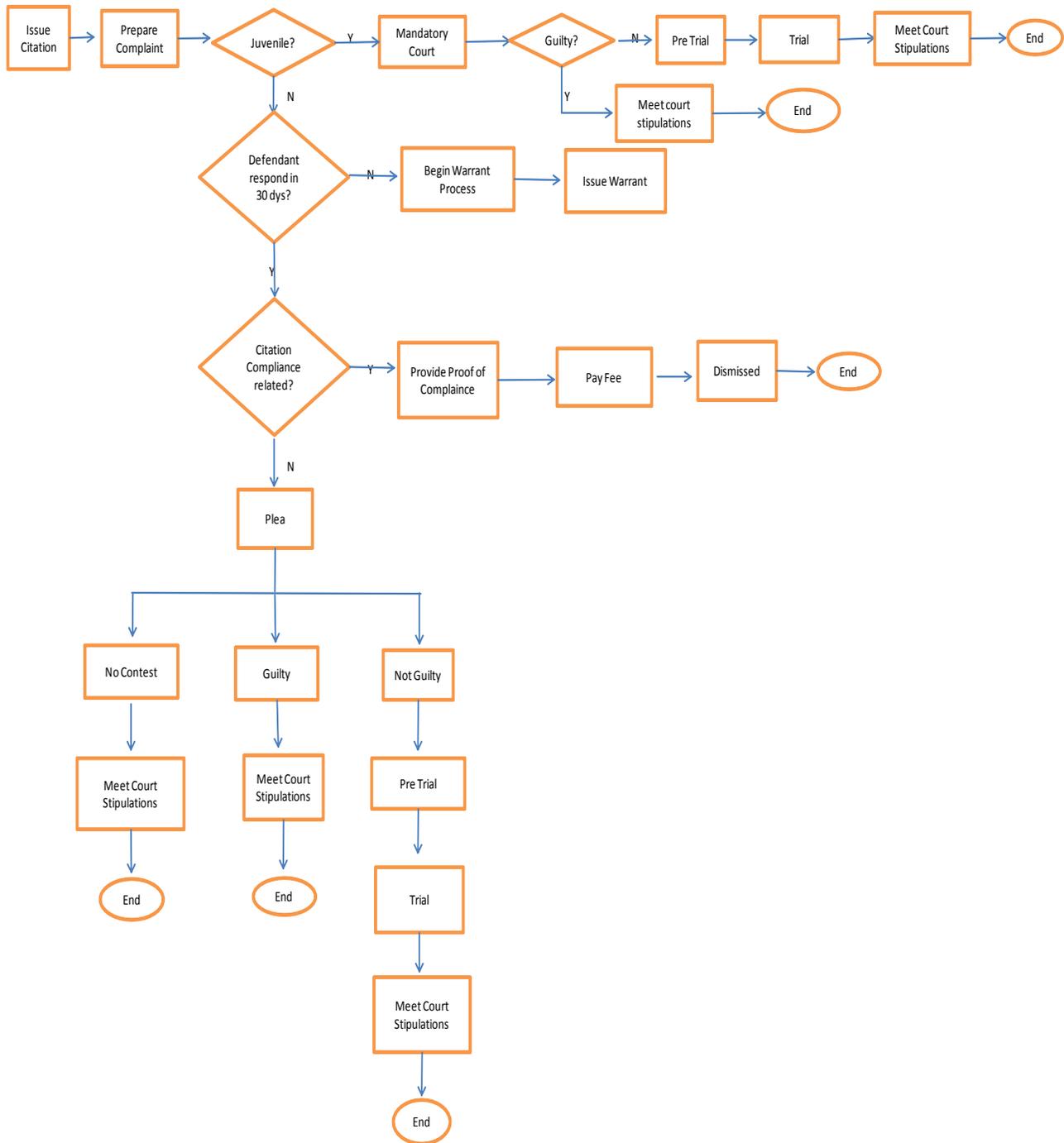
NOTE: Any defendant who fails to meet court stipulations may be issued a warrant.

The Municipal Court embarked to replace its homegrown mainframe computer citation processing application in 2002. As a result, the Court implemented Judicial Enforcement Management System (JEMS) software in August 2004. An internal audit conducted in 2005 identified multiple deficiencies in the newly implemented JEMS software. In 2006, the Municipal Court began its selection process to replace JEMS. The system selection team chose Incode, by Tyler Technologies, as the replacement software.

The implementation process began in 2006, with assistance from an outside consultant (Premis Consulting), to examine existing court processes, assist with project management and ensure adequate system controls. The City entered into a contractual agreement with Real Time Technology Solutions (RTTS) to perform a system scalability (load) test with 150 concurrent users.

Incode went live in November 2009. A total of $1.9 million was paid to Tyler Technologies and an additional $500,000 to Premis Consulting. Tyler Technologies was also contracted to perform Incode maintenance and support, at a cost of approximately $225,000 per year. DocuNav Solutions was contracted at approximately $50,000 per year for Laserfiche maintenance and support.

Incode is a client server-based citation processing system. Ninety (90) user licenses have been issued as part of the contract. Approximately 60-70 court employees concurrently use the system. Incode interfaces with the following on a daily basis.

- AutoCITE – AutoCITE software and handheld citation writers are utilized by APD officers. The handheld units consist of a built-in printer which is capable of printing citation copies that are issued to defendants. The handheld units are docked at the end of each shift in order to upload issued citations to the AutoCITE server. The AutoCITE server uploads the citations to Incode as part of the nightly data transfer. The handheld units are programmed with features such as traffic violation codes, defendants' prior citation history, and a camera and voice recorder. Approximately 140 handheld units are allocated to the police department. These handheld units generate about 40% of the City's Class C citation volume. The remaining citation volume (60%) represents paper citations that are issued by APD and other agencies. Information recorded onto paper citations is manually entered into Incode by Court personnel. The citation and associated documentation is scanned into the system.

- Incode Web Application – The Incode web application is made available for defendants to pay fines on-line by using a credit card. The web application accepts guilty or no contest pleas and the associated fines. The web application is operated by Tyler Technologies.

- Kronos – Kronos time and attendance software is used to track employee work hours and schedules. Police officers' schedules are extracted from Kronos and used in scheduling officers for court trials.

- Laserfiche - Laserfiche enterprise content management software holds all scanned images associated with citations (e.g., documents provided by defendants, judicial documents generated from Incode and evidence of fulfilled court stipulations such as driver safety courses). The images can be directly accessed from the Incode case management menu.

- Lawson - Revenue information is transferred to the City's enterprise financial system (Lawson) on a nightly basis

Incode software is designed to be a paperless citation processing system. The system is capable of running queues for specific court processes (e.g., dismissals once stipulations are met). Queues are activated by macros that can be run by court employees as the adjudication process progresses. Some macros are run automatically, such as citations for juveniles. Once a juvenile citation enters Incode, the macro is activated by the date of birth field, which schedules the juvenile for the mandatory court appearance. Common queues include requests for driver safety course, deferred adjudication, pending warrants and request for trials.

Once a citation is issued, the defendant may plead guilty, not guilty (which results in a trial setting) or no contest.

- Guilty – The defendant pays the associated fine and the violation is reported to the Department of Public Safety (DPS).
- Not Guilty – The defendant is scheduled for a pre-trial to meet with prosecutors. During the pre-trial, City prosecutors discuss evidence against the defendant and offer programs that would keep the violation from being reported to DPS. The defendant has the right to request a full trial by judge or jury.
- No Contest – The defendant pays the associated fine and requests special programs that will keep the violation from being reported to DPS.

Once pleas are entered, defendants can request the following programs, pay the associated fine or fee amount and request case dismissal once the stipulations are met.

- Driver Safety Course – A program request which requires the defendant to attend a session that emphasizes driving safety and traffic laws.
- Deferred Disposition – A program that keeps the violation from being reported to DPS, if the defendant is not cited for a similar offense within a six-month period. The defendant must pay a reduced fine and fee prior to the beginning of the six-month period.
- Community Service – Volunteering at an approved welfare agency in lieu of paying a fine is allowed for defendants who are indigent. The program requires the defendant to submit financial information and require judicial approval of indigence.
- Jail Credit – Daily credits of $50-$100 can be granted by a judge for defendants who are arrested and jailed on Arlington warrants. Jail management indicated that during CY2011, a majority (99%) of the defendants receiving jail credit were arrested on traffic warrants.

In addition to the aforementioned programs, family violence counseling, anger management, and alcohol and drug treatment is available for defendants who receive non-traffic Class C misdemeanor citations. Judicial approval is required to qualify for these programs.

Juveniles (between 10-16 years of age) and minors (between 17-21 years of age) can be cited with Class C misdemeanors. Citations issued to juveniles require mandatory court appearances to enter a plea. Once the plea is entered, juveniles are entitled to a trial, request participation in special programs such as traffic school, counseling or treatment programs for non-traffic

violations or Teen Court. Teen Court consists of other teenagers in assigned judiciary, prosecutor and jury roles, with the responsibility of determining guilt or innocence of fellow juvenile participants. Juvenile defendants are charged a fee of $20 to participate in Teen Court and must comply with the decision as it relates to fines and participation in special programs.

Juveniles that do not comply with mandatory court appearances are reported to DPS. DPS then has the ability to withhold issuance of driver licenses. The Municipal Court employs a Juvenile Coordinator to monitor the adjudication progress.

Arlington Peace and Code Enforcement Officers issue various citations to violators of State traffic laws and City ordinances. Violation types cited between December 1, 2009 and September 30, 2011 are shown below. The "Other" category includes violations ranging from defective vehicle equipment and code violations to alcohol, physical, animal and pedestrian violations. Incode records show a total of 275,100 citations for the referenced time period.
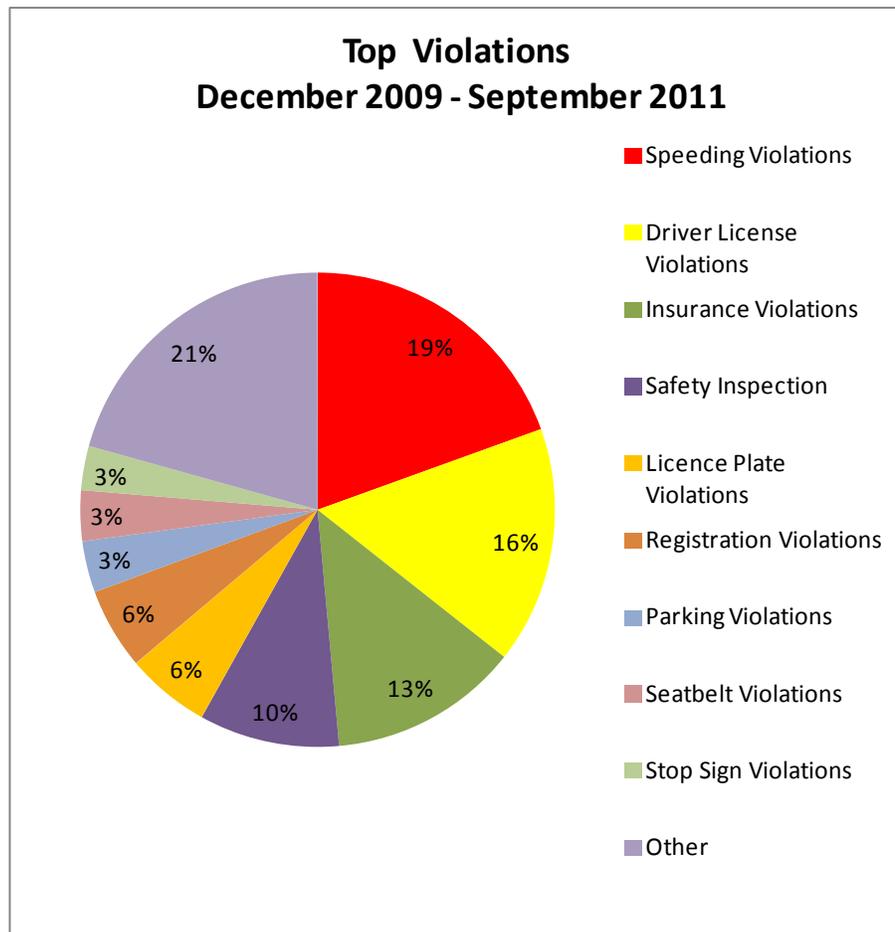


Source: Incode

The Municipal Court has seen an increase in revenue since the FY2010 implementation of Incode, as shown in the following chart.

Court Revenue
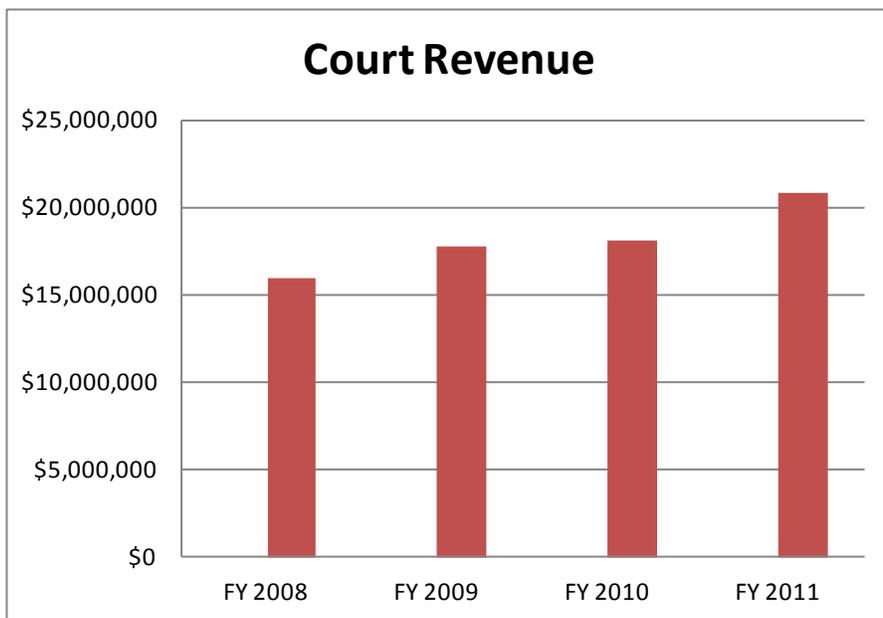
Source: Arlington Municipal Court

Citations issued and filed in the Arlington Municipal Court are shown below.

Number of Cases Filed
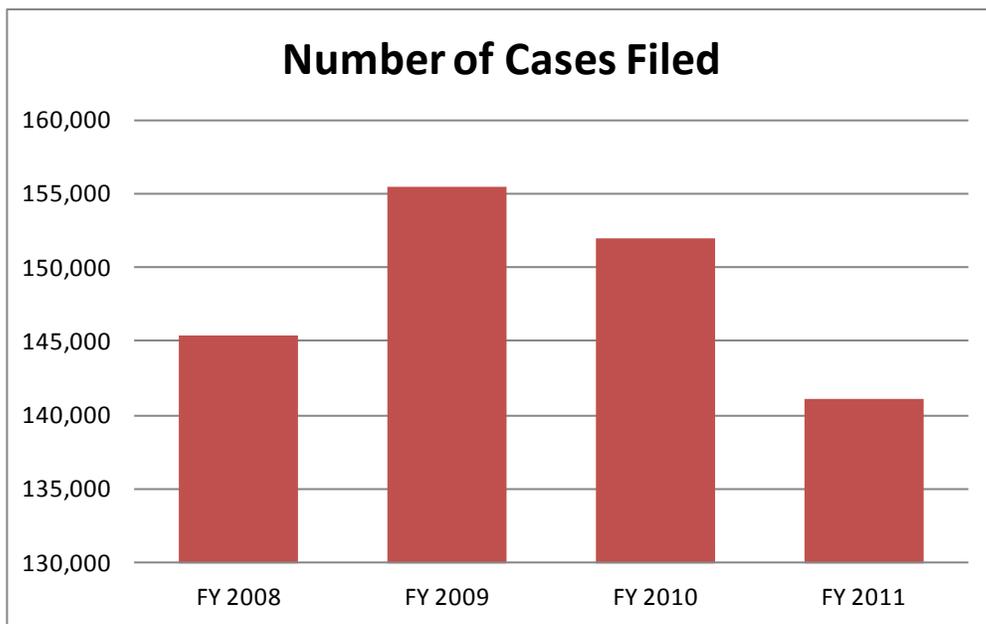
Source: Arlington Municipal Court

The number of arrest warrants issued by the Arlington Municipal Court has also increased since the implementation of Incode.

Number of Warrants Issued
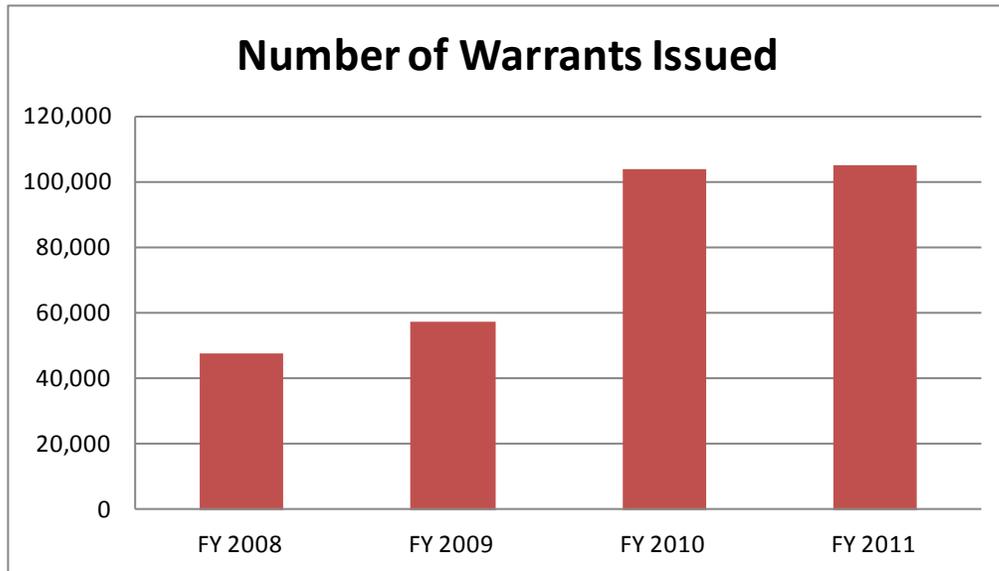
Source: Arlington Municipal Court

The Arlington Municipal Court and judiciary operating budgets from FY2008 to FY2012 are noted in the following chart. The data excludes the budget for the warrant and bailiffs. Warrant and bailiff units are included in the APD budget, which is not itemized by the individual operational units.

Court, Judiciary and Prosecution Operating Budgets
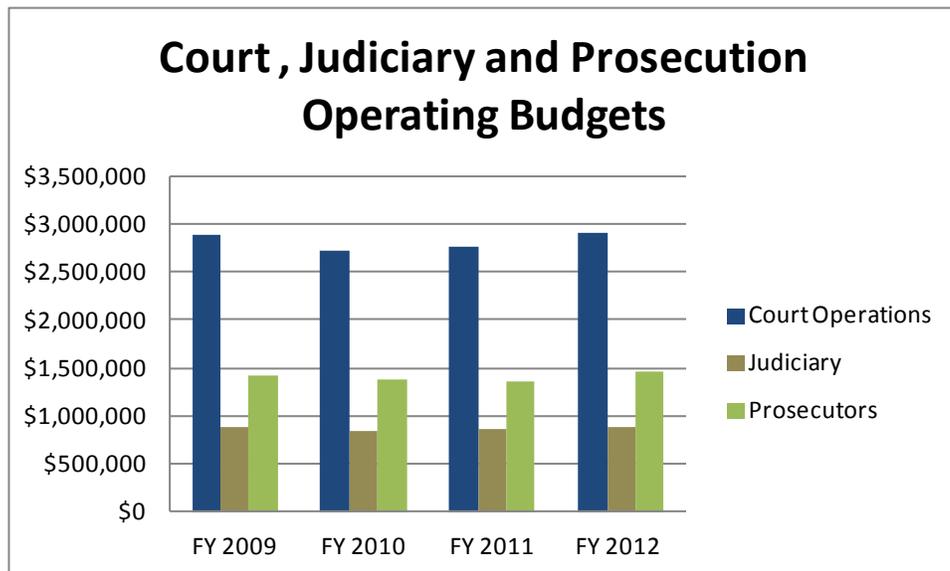
Source: Municipal Court and City Attorney's Office

Detailed Audit Findings

System application controls ensure validity and accuracy over input, processing and output functions.

The following audit findings and recommendations relate to system application controls, and are intended to help ensure that data being entered and updated within Incode is valid and that existing controls and processes accomplish the proper tasks and meet the expectations of management and Municipal Court customers.

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

Defendants with outstanding Arlington warrants are allowed to serve jail time in lieu of paying delinquent fines. Jail (non-cash) credit is applied to delinquent citations for time served against Arlington warrants, at a rate of $50 to $100 per day.

When the Arlington Jail reaches capacity, the judiciary is contacted by the jail supervisor to obtain permission for early release. Authorization for early release is given verbally, and any unpaid fines are considered satisfied in full via jail time served. The jail (non-cash) credit amount is documented in the inmate arraignment sheet and is posted to Incode, without an actual release date.

Jail Bond Clerks record inmate arrivals and departures within Tiburon, APD's inmate processing system. Bond Clerks also post cash and non-cash credits to Incode. However, jail (non-cash) credit recorded within Incode is not reconciled to Tiburon jail records. Thus, accuracy of jail credit is not verified. The City Auditor's Office identified this as a control deficiency, as the posting of jail credit and cash payments lacks an adequate separation of duties. Also, jail credit granted to early-release inmates (due to overcrowding) could not be substantiated. By allowing Jail Bond Clerks to post both cash and jail credit, there is a risk for jail credit to be inappropriately substituted for cash without timely detection, if any.

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*

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*

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*

2. Original payment receipts are not limited to one copy.

Generally accepted transaction protocols limit the number of original receipts to one copy and recommend that additional copies be labeled as duplicates or reprinted copies. Although, one original payment receipt authenticates the payment transaction to the payer, Incode allows an unlimited number of original receipts to be printed (all with the same receipt number, date and amount) once the payment is entered to Incode.

Although Incode offers a receipt reprint option using the original receipt number, the system defaults to a screen that allows the cashier to re-print extra original receipts. The reprinted receipts, printed after transactions are completed, are clearly labeled as reprints. However, the reprinted receipts do not indicate the actual date of payment. The date shown on reprinted receipts is the date of the reprint. The multiple original receipt capability and exclusion of the actual payment date on reprinted receipts is a standard system feature.

Multiple original receipts for a payment transaction may lead to abuse. In the event of a customer dispute or payment research, court managers may be unable to determine the authenticity of an original receipt. Also, the lack of an actual payment date on a reprinted receipt can be confusing to the customer. If challenged, additional time would be required to research payments in Incode and validate the actual payment date.

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. Estimated completion date: October 1, 2012

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

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

An audit trail provides a history of critical transactions (e.g., payments and voided payments) that can be queried and reviewed in the future. Voided Court payments, which require lead or supervisor access, remove the payment from the citation and exclude the voided payment from daily cash collection totals.   The posted payment is recorded in audit trails the next business day. However, details associated with the void are not listed in the audit trail. Court payment voids are retained in Incode's payment batch history. Once the batch is closed and processed by the court accountant, voided payment records are removed from the batch and not recorded in audit trails.

Incode's citation transaction history does not list the user ID of the party performing payment voids. Incode also does not require the user to enter a reason for voiding the payment, making it difficult to determine why the void was performed. In the event of misuse, court management is unable to query voided transactions by user ID. Instead, management must review transaction reports for any given day and review voided transactions by receipt number.

The current version of Incode has not been designed to include an audit trail for voided transactions, nor has it been designed to require a void reason to be entered. Combined with the absence of citation numbers in transaction history reports, it may be difficult for management to determine the validity of voided transactions.

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

4. The Citation tracking feature in Incode software is not utilized.

Citations are currently tracked within Tiburon, which is slated for replacement due to inefficiency, scalability issues, and not meeting departmental needs. Since Municipal Court staff does not have access to Tiburon, they must request ticket information from APD whenever the court receives documents related to, or a customer attempts to pay for, a citation that has not been entered into Incode.

Incode is capable of comparing citations issued to officers to citations entered into Incode and then identifying any missing or skipped citation numbers. Voided or destroyed citations would be taken into consideration when identifying missing citations. Although the Incode citation-tracking feature is available and capable of determining missing citations, the feature is not utilized.

The City's Information Technology staff indicated that Incode's citation tracking feature was presented during system implementation. However, the feature was rejected due to accreditation requirements for APD. APD indicated that they could not recall any accreditation issues related to the citation-tracking feature and were unaware of the feature.

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*

5. Some juvenile citations are waiting further processing.

Substantial progress appears to have been made in reference to the processing of juvenile citations. Between December 2009 and October 2011, approximately 16,008 juvenile citations were processed. However, additional juvenile citations with issue dates ranging from June 2005 through June 2011 are in need of further processing. Data extracts from Incode, as of August 2011, show the following to be waiting further processing: approximately 5,600 citations for juveniles who did not respond to mandatory court appearances; 2,000 citations that are on DPS

hold due to the juveniles' non-appearances; and 1,215 citations cases where the juvenile failed to provide proof of completing court-ordered programs.

Initial court appearance dates are automatically scheduled in Incode, once the citation is entered. Juveniles who receive citations are required to appear in court with parents or guardians within 30 days from the citation date. Juveniles are then offered various remedial programs such as counseling, driver safety courses and community service, depending on the offense committed. The time to complete these programs varies depending on each defendant and the availability of court-ordered programs, averaging approximately six months.

Once the established deadline has passed, the juveniles are categorized as failing to provide proof of completing court-ordered programs. The next step in the adjudication process is show cause hearings. If the juvenile has reached the age of 17, contempt of court hearings and issuance of warrants can be scheduled. Juveniles who fail to comply are then subjected to DPS notification, which prevents issuance of a driver's license.

Some processing delays are attributable to ongoing efforts in Incode to set up processes for the "Non-Secure Custody Form" and the "Notice of Continuing Obligation Form." Both forms are required to process cases currently listed as juveniles who did not respond to the mandatory court appearances. Delays are also attributable to JEMS records that were converted into Incode.

Continued delays in processing would result in warrants that are less effective once issued. Approximately 64% of the juveniles who did not respond to mandatory court appearances, and whose citations are held at DPS due to non-performance, are currently adults (beyond age 17).

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

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

Laserfiche software is utilized by the Arlington Municipal Court to store images of documents associated with citations. The software is compatible with Incode, and includes a direct link from citation records in Incode to stored images in Laserfiche.

Laserfiche allows alterations and updates to some documents, mainly documents generated from Microsoft Word. Laserfiche software audit trails record the user ID of persons creating documents and scanning images, as well as the date and time of record creation. Once documents are altered, the user can save those documents as new documents or override the existing documents.

Texas State law mandates documents that are required for Class C misdemeanor citations. Audit trails authenticate the source of documents that are used in the adjudication process. However, the Laserfiche tool pack that contains audit trails and security features has not been activated to include recording user ID in altered and overridden documents. Lack of adequate audit trails for altered legal documents prevents the determination of document authenticity and accountability for changed documents. Lack of audit trails may also result in misuse. It should be noted that signatures of the judiciary are applied to case finalities, such as convictions and dismissal documents stored in Laserfiche.

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

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

Refunds are generated for defendants because of a judicial dismissal, fine reduction and/or an overpayment. A refund initiated on a citation is electronically transferred to a refund batch in Incode, in order to be approved by a supervisor prior to processing the refund. However, if a refund error exists, the erroneous refund cannot be removed from the refund batch.

Refunds are processed by the Financial and Management Resources Department (FMR) once transmitted via the interface from Incode. Lack of removal capacity in the refund batch requires Municipal Court staff to contact Finance and request removal of the refund. Records maintained by Municipal Court supervisors show that for citations issued between June 2009 and July 2010, eleven refunds required manual removal from the Lawson data. Failure to remove the errors could have resulted in an improper customer refund.

It should be noted that other Incode queues that function as a batch have the capacity to remove an item. These other queues are capable of grouping citations into various categories for processing, such as judicial approval, prosecutor review and court-ordered remedial plans.

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

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

At the end of each shift, officers submit issued citations to APD. APD then forwards the white/original citations to the Arlington Municipal Court for data entry. Yellow citation copies are given to defendants and blue copies are retained by the officers.

Since the City cannot prosecute based on erroneous citations, erroneous citations are not entered into Incode. Instead, those citations are returned to APD for necessary corrections. Examples of citation errors include wrong citation dates, invalid offense locations, missing officer attestations, invalid offense codes, etc. The Arlington Municipal Court also notifies APD in instances where defendants attempt to pay for citations that have not been entered into Incode

Audit test results indicated that there is correspondence between the Arlington Municipal Court and APD regarding erroneous and/or missing citations. However, there was conflicting information as to dates on which information/documents were exchanged between the two departments. Documentation indicated that citation entry lag time ranged from less than 30 days to more than 150 days. Lack of a formalized process resulted in these inconsistencies, as well as a lack of documentation to support proper follow-up and/or timely resolution. Not having a

process in place to ensure that citations are input within Incode in a timely manner could result in loss of revenue to the City. It should be noted that Texas law allows up to two years for the court to accept charges from the issuing officer.

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*

9. Audit trails for payment transfer transactions are inadequate.

Choice of payment transaction within Incode includes the ability to transfer an already applied payment from one citation to another and/or to transfer a payment overage to other citations issued to the same defendant. The payment transfer feature eliminates the need to refund an erroneously applied payment before reapplying payment to the correct account. While this system feature saves time, the citation to which the payment was transferred is not included in the account audit trail or the general ledger distribution report.

The transfer amount and the ID of the user transferring funds are recorded in the account audit trail. However, the accounts to which funds were transferred is excluded. If cashiers have multiple transfers, the accounts to which funds were transferred would be very difficult to identify, therefore susceptible to misuse. Furthermore, account transfer information cannot be queried.

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*

10. Incode allows closure of citations that have open bond amounts.

Bonds are required from some defendants before the citation is processed. Bond requirements are primarily for delinquent defendants, some of which have been arrested on warrants. When defendants meet the stipulations set forth by the judiciary, bond funds are applied towards the citation and remaining amounts are refunded. Currently, bond refunds are initiated through manual review of an open bonds report that is generated from Incode once a month. Priority is given to bonds issued for citations since Incode implementation.

Audit tests indicated that Incode allows closure of a citation that has an open bond amount. However, there is no notification or subsequent process that would alert court staff to process a refund. Bonds awaiting refunds, as shown in Incode, consist of citations from JEMS and those that were converted into Incode. The bonds from JEMS consist of errors attributable to the system itself and some duplication encountered during the conversion process.

Municipal Court staff has concluded the process of researching bond refunds from JEMS. Approximately $32,890 in bond balances required research prior to refunds. A query generated on bond refunds due for citations issued since Incode implementation show $4,754 in bonds that need to be refunded.

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*

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

Incode's pending payment report lists all payments taken by cashiers, either in a form of a cash bond or regular payment. A payment remains in pending status until the transaction is posted by

the court accountant, usually by noon for the previous business day. Incode's pending payment report currently cannot be generated for a specific business day.

The pending payment report run prior to noon close-out lists payments from the current business day. The report used by the court accountant to balance and account for prior day revenue is generated based on closed cashier batches shown in Incode. If a cashier's batch from the previous day remains open on the next business day, the revenue from the open batch is not included in the report used for daily balancing. Reconciliation of the pending payment report from the prior day to the daily balancing report would enable the court accountant to detect any open cashier batches, thus accounting for all revenue specific to the prior business day.

The current report format appears to be the standard form offered by Tyler Technologies. The report, in its current form, does not provide compensating controls to verify the accuracy of prior day revenue listed in the balancing report. Inability to reconcile can lead to misuse. For example, a cashier accepting payments and not closing out the batch at the end of his/her shift could go undetected.

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*

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*

12. Miscellaneous income recorded in Incode is not reported to Lawson via the interface.

In addition to court revenue received as a result of Class C misdemeanors, revenue is collected from miscellaneous fees charged by the Municipal Court for copies, transcript fees and contempt of court fines. These miscellaneous fees are collected by court cashiers and entered into Incode as "other" or "miscellaneous income."

The financial interface is designed to transfer financial information from Incode to Lawson at the end of each business day. Revenue coded to Lawson general ledger accounts is listed in the Incode distribution listing report, and recorded within the appropriate general ledger accounts via the interface. However, the miscellaneous income is not reported to Lawson via the interface.

Data interfaced to Lawson appears to be triggered by citation numbers. Therefore, revenue not associated with an existing citation number (e.g., miscellaneous income) is excluded from the daily interface. As a result, the Financial and Management Resources Department is required to process manual journal vouchers to enter the miscellaneous income in to Lawson.

> *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* |

13. Data entry field controls do not exist for the defendant age field.

When AutoCITE citations are issued, the defendant's age is automatically populated, along with other citation data fields such as name and driver's license number. For paper citations, the defendant's date of birth is entered into Incode by Municipal Court data entry staff.

- Citations are only issued to defendants 10 years or older. However, the system accepts birthdates for defendants who are younger.

- During a review of 12 juvenile citations, it was noted that the issuing officer entered the citation issue date as the defendants' birthdays on two paper citations. As a result, two adult citations were entered and processed as juvenile citations. There was no systematic warning, and data entry staff did not notice the error. The erroneous citations were, therefore, accepted and processed.

Incode is set up to process required juvenile citation processes through several automated macros. Automated processes include mandatory initial court appearances and letters to parents and guardians. Data field controls that ensure accuracy of age data were not included in the system specifications and are therefore not included in the current version of Incode.

Erroneous birthdates cause the system-automated macro to be launched inaccurately, and could result in sending juvenile court documents to adults. The automated system macros could also erroneously schedule an adult to a juvenile court calendar. As a result, the defendant is inconvenienced and manual intervention is required to correct the error.

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*

System Access - Appropriate and logical system access controls are necessary to meet operational objectives and business requirements. Effective information technology security results in preserving the integrity of information stored on computer systems and the confidentiality of sensitive data. The following audit findings and recommendations relate to system security and are intended to help preserve such information.

14. Confidential documentation is retained in Laserfiche without encryption and access restrictions.

Confidential medical and financial records are provided to the Municipal Court by defendants seeking community service in lieu of paying fines and/or seeking to qualify for special juvenile and adult programs. Such documents observed during the audit pertained to illnesses, medications and finances, some of which contained social security numbers. Once these documents are scanned into Laserfiche by Municipal Court staff, all Incode users can access the images directly from Incode's citation menu. These documents are primarily reviewed by the judiciary and program coordinators.

The Health Insurance Portability and Accountability Act (HIPAA) requires security and privacy of health data. Documents retained in plain text are susceptible to disclosure in the event of a security breach from external and/or internal sources. Currently, access to sensitive documents is not restricted. Also, specific policy and guidance to safeguard confidential documents are not utilized in court operations.

Document encryption is activated by specific naming convention for documents, where the software can identify specific documents as needing encryption. Laserfiche's Department of Defense-compliant records module, that enables record encryption, is not activated in the software in use. Laserfiche encryption features require a new license to support the new repository for encrypted documents.

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*

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*

15. Compensating controls for access permissions granted to lead employees are necessary.

Lead Municipal Court employees support the current supervisor position, including acting as the supervisor when necessary. Lead employees are granted administrator level access permissions for cashiering and court processing functions within Incode. Since access permissions include the ability to dismiss citations, a task reserved for the judiciary staff, compensating controls and monitoring of dismissal activity by court management is necessary.

Access permissions are granted to lead employees in order to close out cases that remain open and contain a dismissal document from a judge. Dismissed cases, shown as open, are the result of errors related to the JEMS conversion or the need to keep a case open. These cases require assistance from lead employees, either due to defendant inquiry or a need for additional documentation. The lead employee is instructed to ensure that an existing dismissal document, signed by a judge, exists prior to closure.

Incode's existing status history report is capable of generating dismissed citations by Incode user ID. However, it can only generate a report for one violation type at a time, which is not considered practical given the volume of violations and citations issued by the City of Arlington.

In the event of misuse of access permissions, lack of compensating controls (e.g., routine managerial review of dismissals) may cause such misuse to go undetected. Compensating controls could also help prevent collusion. It should be noted that Texas State law requires all dismissals to be specifically authorized by the judiciary.

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

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

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

Administrative level access, with change capability, should be reserved for key management and should be exercised to meet operational needs.

The Municipal Court's current system access policy is appropriately based on permissions, according to job needs. However, four (4) Information Technology employees have administrator access to many system menus, including change permissions granted specifically to Municipal Court management and judiciary. Granting of expanded system access levels to non-court personnel could lead to misuse without timely detection, if any.

Greater access level to the Information Technology (IT) staff may have been necessary during system implementation as a means to troubleshoot errors. However, Incode has been operational since November 2009 and includes a test environment replicated to production data on a periodic basis. System troubleshooting by the vendor, as well as IT staff, is currently conducted in the test environment.

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*

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

System access is not being revoked for terminated employees in a timely manner. Review of system user access profiles show four (4) former employees with access to Incode, one of which departed the City in December 2009. Also, one instance of an access profile for a former temporary employee was observed.

The Incode Security Administrator is responsible for revoking system access if a user's employment is terminated or if the user is transferred to another department that does not utilize Incode. E-mail notification is sent to Security Administrators when employees notify the Workforce Services Department of their intent to terminate employment with the City. However, e-mail notification is sent two to three weeks prior to the actual termination date, which requires Security Administrators to remind themselves to terminate system access in the future.

Lawson requires (T1) status classifications for employees intending to terminate employment with the City. The (T1) classification is required to generate terminal pay and retirement benefits for the terminated employee. Lawson provides a (T2) designation after the employee's departure from the City and when terminal benefits are paid. As previously mentioned, notification to the Security Administrator is prior to employee departure. There is no post-departure notification process. It should be noted that Incode access is sometimes required for temporary employees that are hired through an outside agency. Temporary employees are not captured within Lawson and thus, there is no temporary employment verification status follow-up process.

The Lawson Business Intelligence (LBI) is a query tool set up to access Lawson data. The LBI suite is capable of accessing (T2) terminated employee information for any given date parameter. Queries can be customized for any City department in need of specific Lawson Data.

Failure within the self reminder process appears to be causing former employees to remain as active Incode users. Although network access to former employees is revoked, the untimely or non-revocation of Incode system access for employees transferred to other departments can lead to misuse since Incode access is based on active directory.

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*

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*

System Post Implementation – A post implementation review is intended to assess if the system objectives and requirements were achieved.   The following audit findings and recommendations relate to opportunities for improvement noted during our review of Incode's post-implementation.

18.   Performance bond and source code escrow for Incode software has not been established.

A performance bond is intended to protect the City's financial interest, in the event of failure on part of the vendor or the product itself. Section XXIX of the contract required a performance bond to be issued for the full amount of the purchase price, be valid prior to beginning any work under the contract, and be effective for two years after system acceptance. Since the final system acceptance occurred in May 2011, the performance bond should be active until May 2013.

Incode software went live in November 2009. Management indicated that in early November 2009, the City's IT Department discovered that the performance bond was not in place and vendor interactions ensued. Management further stated that at that time, the vendor delivered the majority of the contracted enhancements, the system passed functional testing and the IT Department utilized milestone performance payment protections to secure system acceptance, rather than a performance bond.

Source code escrow is required to guarantee system operability in the event of vendor being insolvent. Section XXVII of the software contract requires the source code to be placed with a third party escrow holder, with the City of Arlington named as a beneficiary. The City of Arlington is responsible for paying the annual beneficiary fee to the escrow vendor. Upon insolvency of the software vendor, the City can access the source code for the software in order to maintain and ensure operability.

Management indicated that due to tight deadlines during contract negotiations and difficulty reaching an agreement on the source code escrow, the vendor and the City agreed to undertake software escrow agreement as a separate contract.   The City's IT Department made two efforts to secure source code escrow, but those efforts failed.

Even though the system is currently operating as intended, lack of a performance bond will place the City at a disadvantage if malfunctions are experienced prior to May 2013. Also, in the event of vendor insolvency, lack of source code escrow with the City named as a beneficiary would jeopardize system operability.

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*

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*

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

Deliverables as listed in the performance (load) test contract with Real Time Technology Solutions (RTTS) is not reflected in the actual test conducted. The system implementation plan calls for a performance (load) test to be conducted by an independent party to determine the system's capacity to process large volumes of citations. The deliverables include load testing the system up to 150 concurrent users and a final report attesting to the test results.

The citation volume at the Arlington Municipal Court is expected to grow in the future, thus the need for the system to be able to process higher volumes. Test evidence retained by the Court shows a load test based on approximately 60 users and does not consist of a final report interpreting test results. Currently, the system operates satisfactorily with approximately 60 concurrent users on a daily basis. At the time of system implementation, the Arlington Municipal Court was Tyler Technologies' largest client.

RTTS' pre-assessment to determine the load test identified complications in the application communication protocols, making it difficult to conduct a standard, routine load test. As a result, a test based on Incode performance (as a function of end user concurrency and transaction mix/volume) was decided upon as an acceptable load test. Upon inquiry by the City Auditor's Office, RTTS cited complications with the setup of system user IDs and server configurations, which appear to have affected the planned load test. It is not known if these complications would prevent the production system from processing a larger citation volume.

A formal final load test report by RTTS would have identified any shortcomings and allowed the City to discuss those shortcomings with Tyler Technologies in order to initiate corrective action that would enable the system to continue being effective in the future.

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*

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

Documented testing and managerial approval of tests results is intended to provide assurance that the system is performing as intended. Review of system functional testing did not include documentation indicating that Court management personnel approved test results prior to implementation. However, the functional testing was conducted with assistance from Tyler Technologies, outside consultant Premis and the City's own Project Manager, prior to system go-live.

Systems development life cycle (SDLC) is a process used to develop an information system, training, and user ownership. Software testing standards applicable to SDLC require managerial approval of test results, authorizing the approved system to move into live production environment. Documents retained by the project manager show test scripts and evidence of test activity. However, the documentation for test results appears to be inconsistent and lacks final managerial approval.

As stated by the project manager, test results have been discussed in various meetings with Court and IT Management. Meeting minutes or any evidence of managerial approval is absent. However, the system itself is currently operating as intended.

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*

AutoCITE - In addition to findings related specifically to the Incode software, the City Auditor's Office noted opportunities to improve the City's AutoCITE function. Since AutoCITE directly impacts Municipal Court operations, AutoCITE improvements could lead to more efficient Court processes.

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

Generally accepted information technology controls for software require adequate internal controls to ensure accuracy in subsequent data processing. Adequate controls in AutoCITE would enable accurate data upload to Incode and also assist in successful prosecution of violators. At times, upgrades and enhancements to existing software can result in breakdown of existing controls, thus the need to re-introduce them.

The City Auditor's Office noted that AutoCITE handheld citation generators lack some internal controls that help to generate accurate citations.

- The handheld units lack a data field control in the speed entry field. Currently, if an officer were to enter a speed of 60 miles-per hour (MPH) in a 70 MPH speed zone, a citation would be generated, but later dismissed by the court. An adequate internal control would warn the officer of data entry errors and not generate a citation until the erroneous information is corrected.

- The handheld units are capable of capturing driver data when the driver's license is swiped into the handheld unit. However, the driver's gender as recorded on newly-issued Texas driver licenses is not automatically captured during the swipe. The ticket writing officer has to manually enter the driver's gender data in the appropriate field.

- The handheld units lack the capability to retrieve prior warning citation data, based on driver. Currently, the handheld units are capable of retrieving prior warnings based on the vehicle plate number. Retrieving prior warning data, based on driver, would make it possible to issue multiple warnings to the same driver of different vehicles. Usually, warnings are issued once for a violation by police officers.

- AutoCITE docking stations are located at the Central, East and West police stations. Officers assigned to southern parts of the Arlington are required to visit one of the other stations to upload citations to Incode, which could be time consuming.

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*

22. AutoCITE handheld units are underutilized.

The number of AutoCITE handheld citation generators used on a daily basis is low compared to the number of units on hand. Citation data within the AutoCITE software indicates that an average of 50 AutoCITE handheld units are used daily, although 154 are in police inventory. (Initially, 44 handheld units were ordered during implementation of JEMS court processing software. An additional 110 units were added to inventory prior to implementation of Incode court software). Records maintained by Court personnel show approximately 58% of the total citation volume being generated from AutoCITE units.

AutoCITE guidance is not included in APD's current standard operating procedures. Specific policy applicable to AutoCITE handheld units could: 1) identify users; 2) set guidelines on frequency of use and proper utilization of inventory; 3) establish training standards; 4) formalize oversight of use and controls; and, 5) help ensure coordination between APD, the Municipal Court and the City of Arlington prosecutors, to ensure efficiency and effectiveness of electronic citation use.

Benefits of maximum utilization of AutoCITE electronic citations include:

- reduction of efforts to manually account for paper citations within APD;
- less manpower for manual data entry of paper citations at the Municipal Court; and
- more efficient transfer of citation information to Incode, via daily upload.

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*