

**City Auditor's Office**  
***RMS Post Implementation Audit***  
***Follow-Up***

June 2020

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City Auditor's Office

June 17, 2020

Honorable Mayor and Members of the City Council:

The City Auditor's Office has completed a follow up to the Police Record Management System (RMS) Post Implementation Audit completed in June 2019. The objective was to determine the implementation status of the audit recommendations presented in the original audit report.

Management concurred or partially concurred with all five recommendations in the original report. Follow-up procedures indicate management implemented all audit recommendations.

We would like to thank staff from the Arlington Police Department for their assistance and cooperation in completing this follow-up.

*Lori Brooks Jaquess*

Lori Brooks Jaquess, CPA, CIA, CGAP, CRMA  
City Auditor

cc: Trey Yelverton, City Manager  
Jim Parajon, Deputy City Manager  
Gilbert Perales, Deputy City Manager  
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Kevin Kolbye, Assistant Police Chief  
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# Police RMS Post Implementation Audit Follow-Up

## Table of Contents

	<u>Page</u>
Background.....	2
Audit Scope and Methodology .....	2
Status of Prior Audit Recommendations Matrix.....	3



## *Background*

The City Auditor's Office completed the Police RMS Post Implementation Audit in June 2019. The purpose of the audit was to evaluate the effectiveness and efficiency of the RMS implementation, including system reliability and a comparison of expected versus actual results related to cost, scheduling and the objectives achieved. The objective of this follow up project is to determine the implementation status of the audit recommendations included in the original audit report.

## *Audit Scope and Methodology*

The scope of the project was limited to following up on management's implementation of the previous audit recommendations. Our methodology included obtaining updated status reports from management regarding the implementation of the audit recommendations and reviewing relevant supporting documentation.

The matrix on the following pages illustrates the results of the follow up procedures.

**POLICE RMS POST IMPLEMENTATION AUDIT FOLLOW UP  
STATUS OF PRIOR AUDIT RECOMMENDATIONS**

RECOMMENDATION	CONCUR/ DO NOT CONCUR	MANAGEMENT RESPONSE	RESPONSIBLE PARTY	DUE DATE	CURRENT MANAGEMENT RESPONSE/ IMPLEMENTATION STATUS	AUDIT CONCLUSION
<p><b>1. <i>The City Auditor’s Office recommends that the Arlington Police Chief ensure the RMS System Administrator coordinates with the RMS vendor to provide detailed work order information to APD staff through its work order web portal and monitor progress to ensure information is made available in a timely manner.</i></b></p>	<p>Concur</p>	<p>We have met with the vendor's executives. The vendor recently migrated to a new work order software solution, and the new solution provided limited work order information during the implementation. The vendor's migration project is complete. Moving forward, APD now has greater access to the information within the vendor's work order solution.</p>	<p>Brett Dove, Research and Development Manager</p>	<p>Complete</p>	<p><b>Completed During Audit</b></p>	<p><b>Implemented</b></p>

<p>2. <i>The City Auditor's Office recommends that the Arlington Police Chief ensure the RMS System Administrator reconciles CAD data transfers on a periodic basis; and perform error analysis, with both the vendor and CAD Administrator assistance, during data transfer failures.</i></p>	<p>Concur</p>	<p>The RMS System Administrators will collaborate with the Intergraph CAD System Administrators to enhance existing interfaces to ensure all intended data is properly transferred. CAD call data that does not transfer over is typically related to the address used in the CAD mapping system not verifying in the RMS mapping system. The reason for this is CAD uses a different mapping system that is not the city GIS ESRI map that feeds RMS. This is an issue with having separate CAD and RMS systems.</p>	<p>APD R&amp;D Unit &amp; AFD Dispatch Services CAD Team</p>	<p>August 31, 2019</p>	<p><b>RESPONSE September 24, 2019:</b>                  The CAD system is undergoing a major upgrade, and the RMS and CAD teams are reconfiguring the interfaces. Once the CAD upgrade is complete with the CAD to RMS interface, we will reassess the interface for further enhancements. The CAD team intends to complete the CAD system upgrade on 9/24/2019.</p> <p><b>UPDATED RESPONSE:</b> The CAD system recently underwent a significant upgrade, and the RMS and CAD Team spent a considerable amount of time updating the interface between the two products. In our updated R&amp;D SOP, duties for the Records Management System (RMS) Specialist includes “frequently reconciles CAD-to-RMS</p>	<p><b>Implemented</b></p>
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					data transfer logs and works with the CAD Support Team and vendors to perform error analysis and resolve interface issues.”	
<p>3. <i>The City Auditor's Office recommends that the Arlington Police Chief consider establishing a quality assurance program to ensure complete documentation related to release of inmate property is retained in the system.</i></p>	Both	<p>We concur that there could be stronger oversight on the property release process. Inmates cannot be released without all possessions released to them or seized possessions being categorized correctly to show APD retaining possession. Jail chain of command will review the current process and see what steps if any can be taken for stronger oversight but still maintain operational efficiency.</p>	Tarrick McGuire, Deputy Chief of Technical Services Division	August 31, 2019	<p><b>The Arlington City Jail has a policy that directs detention officers on returning personal items when an inmate is being released or transferred from jail. During the release or transfer process, the detention officer retrieves the inmate’s property and ensures all property is still present in the inmate’s presence. The property is signed for by the inmate and it is returned to the inmate. After reviewing the information from the audit, it was discovered that employees were</b></p>	<b>Implemented</b>

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		<p>There are policies governed by NCIC/TCIC relating to the entry of items and the timing of those items. Items cannot be listed as stolen without specific identifying information and if the victim cannot provide that information at the time of the report, the item cannot be listed on NCIC/TCIC nor can it be listed in the report. When the victim contacts Records or another police employee (usually a detective assigned the case) that information is added to the report and appropriate fields. The police department will review our current process and see if there</p>			<p>having inmates sign for their items but failed to attach the documentation in the system or property was returned and the inmate failed to sign for their property. As a result of this audit, the following process has been put into place:</p> <ul style="list-style-type: none"> <li>• Supervisors have reinforced this policy with employees to ensure compliance;</li> <li>• Sworn and non-sworn jail supervisors are conducting weekly reviews of the databases to ensure employees are following policy as expected and are uploading the signed property document into the RMS system; and</li> </ul>	



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		are areas in need of improvement.			<ul style="list-style-type: none"> <li>As a secondary measure, weekly supervisor reviews will be forwarded to the Jail Commander for their review to ensure compliance with policy.</li> </ul>	
<p>4. <i>The City Auditor's Office recommends that the Arlington Police Chief ensure that appropriate Police personnel enter information for stolen items, including motor vehicles, in a timely manner.</i></p>	Both	<p>There are policies governed by NCIC/TCIC relating to the entry of items and the timing of those items. Items cannot be listed as stolen without specific identifying information and if the victim cannot provide that information at the time of the report, the item cannot be listed on NCIC/TCIC nor can it be listed in the report. When the victim contacts Records Services or another police employee (usually a</p>	Lora Logan, Business Resource Manager	August 31, 2019	<p>There are policies governed by NCIC/TCIC relating to the entry of items and the timing of those items. Items cannot be listed as stolen without specific identifying information and if the victim cannot provide that information at the time of the report, the item cannot be listed on NCIC/TCIC nor can it be listed in the report. Supervisors review and approve reports for accuracy prior to merging the report into LERMS. If the victim</p>	<b>Implemented</b>

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		<p>detective assigned the case) that information is added to the report and appropriate fields. The police department will review our current process and see if there are areas in need of improvement.</p>			<p>contacts Records Services or another police employee (usually a detective assigned the case) to provide additional information, a supplement of that information is added to the report and appropriate fields and Dispatch is then notified to list the stolen items.</p>	
<p>5. <i>The City Auditor’s Office recommends that the Arlington Police Chief ensure RMS system administrators coordinate with the Human Resources and/or Information Technology departments to develop a reliable system for notification upon an APD (or other department) employee’s termination, to allow for timely deactivation of access profiles in RMS.</i></p>	<p>Concur</p>	<p>The RMS system administrators will coordinate with the Human Resources and the Information Technology departments to develop a reliable system for notification upon an employee's termination to allow for timely deactivation of access profiles in RMS.</p>	<p>Brett Dove, Research and Development Manager</p>	<p>August 31, 2019</p>	<p><b>For Police Department employees, the Police Department’s Fiscal Services provides a list of terminated and terminating employees, and the accounts are disabled. This is an existing process.</b></p> <p><b>For the enterprise, The Police Department receives recurring emails from the IT</b></p>	<p><b>Implemented</b></p>

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		<p>It is necessary to note that the City Auditor was not aware of the multi-step RMS deactivation processes and that not all twenty-one former staff members' RMS user accounts identified in the audit were login capable. Regardless, we can make improvements to the termination deactivation process for all RMS users, especially for New World RMS users in the Fire Department, City Attorney's Office, and City Auditor's Office.</p> <p><i>Audit Note: Although a multi-step process may exist for user deactivation,</i></p>			<p><b>Department's AD Manager system with a list of disabled accounts. The Police Department disables user accounts for members of other departments with access to Police's computer systems.</b></p> <p>IT Response: Our Information Technology Team continues to support the automated disabled account notification, Lawson activity report which is provided to our APD-R&amp;D Manager.</p> <p>The previously mentioned FY20 Budget Request, Service Management System was not funded, as requested.</p>	

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		<p><i>exceptions noted during audit testing showed the overall profile to still be active. The City Auditor's Office is aware that the immediate risk of unauthorized access is somewhat mitigated by deactivation of network access by the City's Information Technology Group.</i></p> <p>IT Response: Information Technology developed an automated notification report of disabled accounts based on Lawson activity which is sent to the APD-R&amp;D manager. IT has also submitted an FY2020 budget proposal to enhance</p>				

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		the Service Management system to notify department application administrators about required security changes when users separate or change roles.				