



Office of
Nikki Alvarez-Sowles, Esq.
Pasco County Clerk & Comptroller

CCC Driver License Reinstatements
Report No. 2021-04

Department of
Inspector General
December 27, 2024

Christine Calianno, CGAP, CIGA, CFE
Inspector General

Erika Hendricks, CIA, CIGA, CFE
Auditor III

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Office of Pasco County Clerk & Comptroller

INTRAOFFICE MEMORANDUM

DATE: December 27, 2024

TO: Nikki Alvarez-Sowles Esq., Clerk & Comptroller

FROM: Christine Calianno, Inspector General 

DEPARTMENT: Department of Inspector General

SUBJECT: Report No. 2021-04, CCC Driver License Reinstatements

The Department of Inspector General conducted an audit of driver license reinstatements processed by the Pasco County Clerk & Comptroller's Office (Clerk & Comptroller). The purpose of this audit was to provide assurance that teammates were operating in compliance with internal policies and procedures and that internal controls over driver license reinstatements were adequate.

The audit background, objectives, scope, methodology, conclusion, and opportunities for improvement are presented in the report. We appreciate the cooperation and professional courtesy received from the Clerk & Comptroller's teams during this audit.

Cc: Heather Grimes, Chief Administrative Officer
Kimberly Thompson, Chief Operations Officer
Debbie Gay, Records & Support Services Director
Leonard Mattison, Criminal Courts Director
Jerome Jordan, Civil Courts Director
Matt Lazar, Finance Director
Tim Jamison, Information Technology Director

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EXECUTIVE SUMMARY

Background Information

As part of the Department of Inspector General's (IG) 2021 Annual Audit Plan, the IG conducted an audit of driver license reinstatements processed by the Pasco County Clerk & Comptroller's Office (Clerk & Comptroller). The purpose of this audit was to provide assurance that internal controls over driver license reinstatements were adequate, and that existing policies and procedures were being followed. The audit period was from October 1, 2020, through May 31, 2021.

Depending on the case type, either a D6 clearance¹ or an Affidavit to Reinstate Driver License² (ARDL) was required to clear the suspension on a driver license. A D6 clearance was required to reinstate a suspended driver license related to a civil traffic infraction (noncriminal charge). An ARDL was required to reinstate a suspended driver license related to a criminal case (misdemeanor and felony).

Eligibility for reinstatement included, but was not limited to:

- Satisfying court requirements, including payment in full of court costs, fines, and fees.
- Electing to attend a defensive driving course.
- Entering into a payment plan agreement.
- Order by judge.
- Seven-year dismissal (only applicable to TR – Traffic Infraction cases).
- Citation being dismissed.

Suspensions for civil traffic infractions were cleared once the driver license status was updated in the Comprehensive Case Information System (CCIS). For criminal cases, an ARDL was issued to the defendant, which was valid for 30 days. The defendant was required to present the ARDL to a Florida Driver License and Motor Vehicle Service Center to reinstate their license. Docket codes were required to be entered into Clericus to show that a D6 clearance and ARDL was issued.

It is important to note that during the audit period there was a moratorium on the suspension of driver licenses due to COVID-19. Therefore, the Clerk & Comptroller stopped transmitting daily suspension files to the Florida Department of Highway Safety and Motor Vehicles (FLHSMV) for the period March 19, 2020, through January 7, 2021.

Objectives

The audit objectives were to:

¹ A "D6 clearance" refers to a document issued by the Clerk & Comptroller that indicates a driver has fulfilled all necessary requirements to reinstate their driving license after a suspension, typically caused by failing to pay traffic tickets or appear in court for a traffic violation; essentially, it's a form confirming that the driver has cleared his or her outstanding traffic violations and can now have his or her license reinstated with the Department of Highway Safety and Motor Vehicles.

² An affidavit to reinstate driver license (ARDL) is a document that verifies that a driver has satisfied court requirements to clear a suspension.

- Determine if reinstatements for suspended driver licenses were processed in compliance with applicable laws and internal policies and procedures.
- Determine if internal controls over the process of reinstating suspended driver licenses were adequate and effective to promote consistency and ensure data reflected in the case maintenance systems were accurate and reliable.

Scope and Methodology

The audit period was from October 1, 2020, through May 31, 2021. The scope of this audit included civil infraction and criminal cases having a driver license reinstatement and the supporting documentation required to clear the suspension.

The number of transactions and cases tested was summarized below:

Driver License Reinstatement Testing*		
Type of Reinstatement**	D6 Clearance	ARDL
Total Number of Reinstatements	4,181	2,279
Total Number Tested	94	93

*Details of the sample selections are included below.

**D6 clearance applied to civil traffic infractions (noncriminal charges). ARDL applied to criminal cases (misdemeanor and felony).

Although the IG exercised due professional care in the performance of this audit, this does not mean unreported noncompliance and/or irregularities did not exist. The deterrence of fraud, waste, or abuse is the responsibility of management. Audit procedures alone cannot guarantee that fraud, waste, or abuse will be detected.

The audit was neither designed nor intended to be a detailed study of every relevant system, procedure, or transaction. This report provided an independent, objective analysis, recommendations, and information concerning the activities reviewed. It was not an appraisal or rating of management.

This audit was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*, and accordingly, included such tests of records and other auditing procedures as considered necessary in the circumstances. The IG planned and performed the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for the conclusion based on the audit objectives. The evidence and documentation obtained during the audit process provided this reasonable basis.

To achieve the objectives, the procedures performed included, but were not limited to the following:

- Reviewed internal policies and procedures for D6 clearance, ARDL issuance, and quality assurance review.
- Observed Criminal Customer Service and Call Center teammates process D6 clearances and ARDLs to identify internal control weaknesses, inconsistencies, or non-compliance with documented policies and procedures.

- Obtained, reviewed, and analyzed the *D6 Transaction Report* generated from CCIS and the *ARDL Report* generated from Clericus.
- Selected samples for testing from the *D6 Transaction Report* and *ARDL Report*.
 - Ninety-four (94) D6 clearances and 93 ARDLs were selected using the statistical random sample method, based on a 95% confidence level and a 10% margin of error.
 - The *ARDL Report* contained the case number reflected in Clericus. However, the *D6 Transaction Report* did not reflect the case number and additional steps were required to determine the case number. For D6 clearances included in the test sample, the transaction number was searched in the CCIS system to determine citation number association with transaction. The citation number was then searched in Clericus to determine the case number(s).
 - For each case in the test samples, the IG reviewed case information reflected in Clericus to determine if the driver license was reinstated in accordance with policies and procedures. Case information included docket entries, assessments, payments, and compliances. The IG also verified court requirements were satisfied at the time of reinstatement.
- Obtained, reviewed, and analyzed the *Payment Report* and *Payment Plan Report* generated from Clericus. These reports were analyzed, filtered, and compared to both the *D6 Transaction Report* and *ARDL Report* to identify unmatched case records and vice versa.
 - The IG provided a list of unmatched case records to management and requested an explanation.
 - Seventy-one unmatched case records were selected for testing based on the content of management's explanation. The IG reviewed the explanations and supporting documentation provided to verify if the explanation was valid.
- Obtained and reviewed CCIS report, *Pasco Users with DHSMV (Department of Highway Safety and Motor Vehicles) – D6 Clearance- County Permissions Report*, and identified teammates with permission to perform D6 clearances. Verified their permission was appropriate.

Audit Delays

Several factors delayed the completion of this audit:

- Teammate Shortages
The Criminal Courts Department (Criminal) experienced a shortage of teammates due to high vacancy rates and unforeseen absences due to COVID-19. Criminal did not have sufficient resources to respond to the IG's requests for additional clarification and information during fieldwork testing. As a result, the audit was placed on hold on August 27, 2021.
 - On August 30, 2022, the audit was reopened and a new point of contact within

Criminal was established for the audit. The IG forwarded prior requests for information to the new contact.

- The IG granted an extension to management for additional time to review and respond to pending questions until December 2, 2022.
- Scheduling
Six departments were involved in this audit: Administration, Civil Courts (Civil), Criminal, Financial Services (Finance), Records & Support Services (Records), and Information Technology (IT).
 - On February 27, 2023, the IG requested a meeting with all departments to discuss the opportunities for improvement (OFIs) identified during testing. The meeting was scheduled for April 25, 2023.
- Audit Priorities
Projects were reprioritized to meet the needs of County operations.
 - The transfer of the Pasco County Jail from the Pasco Sheriff's Office to the Board of County Commissioners (BCC) was an unplanned project that required the majority of IG resources during the period of May 2022 through December 2022.
 - The BCC Development Service's Private Provider Refunds audit required the majority of IG resources to collaborate with BCC management and finalize the report during the period of June 2023 through July 2023.
- Management Responses
The IG received management responses on September 12, 2023. However, some responses were incomplete or were not consistent with responses from other departments. The IG met several times with management to offer guidance and opportunities for improving management responses.
 - On December 4, 2024, the IG received final revised management responses.

Scope Limitation

When the auditor does not receive all information deemed necessary for the completion of an audit, a limitation of the scope arises. A scope limitation is a restriction on an audit that may be caused by the audit client, issues beyond the control of the audit client, or other events. This scope limitation did not allow the auditors to complete all aspects of the audit procedures due to the fields available on the reports, therefore, the conclusions made in this report may not be representative of the entire population. The following scope limitation existed:

- The *Payment Plan Report* and the *D6 Transaction Report* did not contain a key data field needed by the data analytics software to identify unmatched records. As a result, the IG could not verify if there were additional unmatched case records due to potential errors, inconsistencies, or misuse.

Authority

To conduct this audit, the IG relied on the following criteria:

- Chapter 28.246, Florida Statutes – Payment of court-related fines or other monetary penalties, fees, charges, and costs; partial payments; distribution of funds.
- Chapter 218.33(3), Florida Statutes – Local governmental entities; establishment of uniform fiscal years and accounting practices and procedures.
- Chapter 322.245, Florida Statutes – Suspension of license upon failure of person charged with a specific offense under chapter 316, chapter 320, or this chapter to comply with the directives ordered by traffic court or upon failure to pay child support in non-IV-D cases as provided in chapter 61 or failure to pay any financial obligation in any other criminal case.
- Order (Traffic Section) signed by Judge Webb, dated July 2, 1999 – License suspensions relating to cases outstanding for a period of seven (7) years or more, be recalled, canceled, and satisfied.
- *Florida Association of Court Clerks and Comptrollers Comprehensive Case Information System Security User Agreement/Application*, dated January 25, 2006.
- CR-CS130, *Seven Year Order Dismissing Civil Citations*, dated November 10, 2020.
- CR-CS133, *Clearing a Driver's License*, dated March 5, 2021.
- CR-CS134, *Quality Control Cashiering Paperwork*, dated March 5, 2021.
- Call Center's *Checking Citation Procedures*.
- Call Center's *CCIS Screens Procedures*.
- Call Center's *CCIS DL Procedures*.

Conclusion

The IG identified OFIs related to compliance with internal policies and procedures and internal controls over processing and monitoring driver license reinstatements. Strengthening internal controls will ensure suspended driver licenses are properly reinstated, and quality review is effective.

Driver license reinstatement procedures were not always followed, followed consistently, or did not reflect internal controls. Documented policies and procedures needed updating to reflect current practices, key activities, and consistencies in processes for reinstating driver licenses and processing payments for payment plans. There were also teammates with inappropriate user permission roles that had the ability to clear suspended driver licenses in CCIS. Recommendations made in this report were offered to strengthen the internal control environment. OFIs and recommendations were discussed with management and verbatim responses are included below.

The IG commends the Clerk departments for their professionalism and cooperation during this audit and would like to recognize the following:

- Criminal and Call Center teammates were knowledgeable on the complex processes related to driver license reinstatements.
- Management’s initiative for developing agency-wide policies and procedures and commitment to mitigating risks.
- Departments used Clericus to enter cases and related information such as charges, filings, assessments, and compliances. The compliance feature was used as a monitoring tool to provide lists of cases where further action may be required.

Based on documentation reviewed and audit procedures performed, the IG identified the following OFIs:

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OPPORTUNITIES FOR IMPROVEMENT AND RECOMMENDATIONS

Compliance: Compliance is adhering to approved policies and procedures, agreements, contracts, laws, rules, and regulations. Opportunities to improve compliance were identified below.

1. Processing driver license reinstatements.

CR-CS133, *Clearing a Driver's License* provided a list of reasons that a suspended driver license was eligible for a D6 clearance, which included that the customer entered into a payment plan. According to management, the payment plan was required to be signed by the customer before issuing the clearance.

Generating and signing an ARDL by the Clerk & Comptroller required one of three criteria below:

- (1) The defendant satisfied the financial obligation in full or made all payments currently due under a payment plan.
- (2) The defendant entered into a written agreement for payment of the financial obligation if not presently enrolled in a payment plan.
- (3) A court entered an order granting relief to the defendant ordering the reinstatement of the license.

Of the combined total of 198 cases tested, the majority (189) of the D6 clearances and ARDLs were verified without exception. However, in some cases the D6 clearance or ARDL was issued without meeting the established criteria. For example, teammates who handled customers over the phone issued the D6 clearance or ARDL at the time they mailed the payment plan paperwork to the customer.

For nine cases, the D6 clearance or ARDL was issued without verifying the court costs, fines, and fees were paid in full, court requirements were met, or was issued without having an accurate, completed, or signed payment plan docketed as by internal policies and procedures.

Recommendation:

Since compliance with agreements, contracts, laws, rules, regulations, policies, and procedures are required, a recommendation was not provided.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *Created procedure CR-027 Generating a Uniform Payment Plan.*
- *Procedures CR-027 Generating a Uniform Payment Plan and CR-CS133.*
- *Clearing a Driver's License will be updated to require a signed payment plan and*

down payment be received before clearing a driver's license and issuing an Affidavit to Reinstate Driver License (ARDL).

- *In addition to the use of procedure CR-CS134 Quality Control Cashier Paperwork, a monitoring process will be implemented to ensure that no driver license is cleared prior to receiving a signed and docketed payment plan. This will consist of creating docket codes to identify unacknowledged versus signed payment plans, and by generating a report that identifies cases where a driver license was cleared prior to receiving a signed payment plan.*
- *Criminal will provide training to teammates handling payment plans to ensure compliance with written procedures and processes for CR-027 Generating a Uniform Payment Plan and CR-CS133 Clearing a Driver's License.*

Target Implementation Date:

- *Completed May 26, 2022*
- *March 2025*
- *March 2025*
- *March 2025*

Control: The primary purpose of internal controls is to help safeguard an organization and further its objectives. Internal controls function to minimize risks and protect assets, ensure accuracy of records, promote operational efficiency, and encourage adherence to policies, rules, regulations, and laws. Opportunities to improve internal controls were identified below and recommendations were provided.

2. Improving existing procedures for processing payments for reinstating driver licenses and payment plans.

Inconsistencies in processing payments for payment plans and reinstating driver licenses resulted in numerous unmatched records on either the *D6 Transaction Report*, *ARDL Report*, *Payment Report*, or *Payment Plan Report*.

There were 1,722 unmatched records. In some instances, the record appeared on the *D6 Transaction Report* or *ARDL Report* but did not appear on the *Clericus Payment Report* or *Payment Plan Report*. In other instances, the record appeared on the *Clericus Payment Report* or *Payment Plan Report* but did not appear on the *D6 Transaction Report* or *ARDL Report*. A list of these unmatched records was provided to Criminal management for review and to provide an explanation.

Seventy-one unmatched case records were selected for testing based on the content of management's explanation. The IG reviewed the explanations and supporting documentation provided to verify if the explanation supported why the record did not appear on the reports. All were verified without exception. The most common reason was the case was paid in full at the time of clearance, which was prior to the suspension requirement date.

Various reasons were noted that resulted in unmatched records:

- The D6 clearance was issued during the audit period, but a payment was made either before or after the audit period.
- The suspension was cleared without proper supporting documentation.
- The suspension was not cleared when proper supporting documentation was docketed to the case.
- The ARDL fee was assessed and collected but the payment was not applied to the ARDL fee.
- The ARDL was issued without assessing the ARDL fee.
- The ARDL was issued and docketed to the wrong case number in Clericus.
- The ARDL was issued and the ARDL fee assessed, but the fee was not collected.
- For 14 cases, it was not determined why the record did not appear on the payment reports.

The ARDL report did not include a data field to identify the teammate who issued the ARDL.

Recommendations:

- Review the reports provided during the audit to determine why some payments were not included in the Payment Reports.
- Review the report features in Clericus to determine whether a field for username can be added to the ARDL report.
- Improve quality control practices to ensure that data reflected in the case management system is accurate and reliable.
- Establish policies and procedures that provide guidance related to waiving ARDL fees and clearing suspended driver licenses at the request of an outside agency.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *The payment reports were created and provided to IG for the purpose of audit testing. They are not reports that are used by Criminal for quality assurance. To ensure compliance moving forward Criminal will continue to utilize CR-CS134 Quality Control Cashiering Paperwork to identify any unmatched records.*
- *The ARDL report was created and provided to IG for the purpose of audit testing. However, Criminal will revise the ARDL form to include the Microsoft Windows login username of the deputy clerk that is generating the form.*
- *Criminal has improved quality control practices by:*

- *Establishing procedure CR-CS134 Quality Control Cashiering Paperwork on March 05, 2021. The procedure requires that any documents processed by a cashier must be provided to a secondary cashier that will perform a quality review to ensure all documents and transactions were processed accurately. This includes but is not limited to receipts, affidavits, certificates, driver license clearances, and motions.*
- *Implementing the DL Sanction tool (tool) via CCIS. The tool introduced the ability and requirement to electronically clear criminal cases, which eliminates errors associated with providing a paper ARDL form and assessing the ARDL fee on in-state licenses. Additionally, teammates from Criminal and the Call Center that process DL Clearances attended training on the tool. The training included a review of the new DL Sanction Service User Guide which provides detailed instructions on how to utilize tool. The user guide includes sections such as Overview, Permissions, DL Sanctions, Driver License Inquiry, Updating Sanctions, Transaction Reports, and Frequently Asked Questions. The training was instrumental in improving teammates understanding of driver license suspensions and clearances.*
- *Establish policies and procedures that provide guidance related to waiving ARDL fees and clearing suspended driver licenses at the request of an outside agency.*

Target Implementation Date:

- *Completed March 5, 2021*
- *February 2025*
- *Completed:*
 - *March 5, 2021*
 - *April 15, 2024*
- *March 2025*

IT Management Response:

- *Agree*

Corrective Action Plan:

- *N/A IT Call Center – IT Programming will respond to any requests from the Criminal Department.*
- *Call Center will utilize the latest version of the ARDL with the username field.*
- *To improve quality control practices and ensure the Call Center will utilize the updated IT-TRCS006 – DL clearance Quality Assurance processes.*
- *N/A IT Call Center does not receive requests from outside agencies regarding ARDL fees and clearing suspended licenses.*

Target Implementation Date:

- *February 2025*
- *January 2025*

3. Improving existing procedures for driver license reinstatements and quality control reviews.

The IG observed D6 clearances, ARDL's issued, and quality control review performed by Criminal Customer Service and Call Center teammates in both Dade City and New Port Richey. The following was noted:

- Documented policies and procedures related to the driver license reinstatement process, including seven-year dismissals, and quality control review were vague, did not reflect current processes or all relevant steps, or did not exist. Some key controls were not required or addressed in the documented procedures.
- Locations that processed driver license reinstatements used different procedures. This resulted in inconsistencies between departments in how driver license reinstatements were processed, and how quality control review was performed.

Recommendations:

- Achieve policies and procedures that are consistent among multiple departments, align with current processes, and reflect all key processes.
- Periodically review policies and procedures to ensure they are up to date.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *Formal documented procedures will be updated as follows:*
 - *CR-CS133 Clearing a Driver's License*
 - *Include all steps for processing D6 clearance.*
 - *Include process for issuing ARDL for out of state driver license.*
 - *Provide guidance when payment or payments plans are permitted on cases eligible for seven-year dismissal. Link to CR-CS130 Seven Year Order Dismissing Civil Citations.*
 - *CR-CS134 Quality Control Cashier Paperwork*
 - *Include all steps for performing quality reviews.*
 - *Include requirement for review process to include dual control.*
 - *CR-CS130 Seven Year Order Dismissing Civil Citations*
 - *Include all steps for performing seven-year dismissals.*
 - *Provide guidance when payment is permitted on cases eligible for seven-year dismissal.*
- *As process changes are identified and implemented, Criminal updates and publishes any applicable advisory bulletins and/or procedures to the appropriate departments/divisions.*

Target Implementation Date:

- *Dates as follows:*
 - *March 2025*

- *March 2025*
- *March 2025*
- *Immediately*

IT Management Response:

- *Agree*

Corrective Action Plan:

- *Formal documented procedures will be updated as follows:*
 - *IT-TRCS001 – D6 CCIS Clearance for individuals with a Florida driver’s license*
 - *IT-TRCS002 - D6 Clearance not on Driver’s License – Used To clear a D6 suspension triggered by specific compliance codes.*
 - *IT-TRCS004 Out-of-State D6 Clearance – Preparing Clearance Letter for Criminal Traffic and Traffic Infraction cases*
 - *IT-DCCC-0014 Affidavit for Reinstating Driver License (ARDL) Procedures for Out of State DL’s – used for Misdemeanor and Felony cases.*
 - *Seven-year dismissals are not processed in the Call Center. Call Center Teammates assist customers with questions about this topic by referring to the Criminal Department CR-CS130 Seven-Year document.*

For consistency, the above documents have been compared with Criminal Department procedures. The primary difference is the level of detail in the screenshots.

- *Criminal updates and publishes any applicable advisory bulletins as process changes are identified and implemented. These bulletins are sent by email to all Call Center teammates. If it affects the Call Center, the supervisors email teammates a follow-up email and update. The Call Center also receive bulletins from FCCC that can trigger updates to our procedures. They are discussed during the monthly Regulatory Tracking meeting to ensure compliance and procedural updates.*

Target Implementation Date:

- *March 2025*
- *Immediately*

4. Monitoring and updating CCIS user permissions for clearing a driver license.

The *Pasco Users with DHSMV – D6 Clearance- County Permissions Report* was provided to IG by IT and included all teammates with permissions to perform D6 clearances. It reflected 86 teammates had permission to reinstate suspended driver licenses in CCIS. Formal documented policies and procedures for reviewing and updating user permissions in CCIS did not exist. Additionally, the *Florida Association of Court Clerks and Comptrollers Comprehensive Case Information System Security User Agreement/Application* did not provide guidance for removing access to former/transferred teammates.

As a result, 32 of 86 teammates' user permissions to reinstate driver licenses were not appropriate, no longer required, or were not updated in a timely manner. These users included teammates from Administration (one), Civil (15), Criminal (nine), Finance (two), IT (four), and Records (one). This increased the risk for unauthorized reinstatements of driver licenses.

Recommendations:

- Develop and implement a policy and procedure that ensures access to CCIS is reviewed and monitored on a regular basis. Require the review to be documented.
- Review and update the CCIS Security Agreement/ Application to ensure information permissions are presented clearly and provide additional guidance for removing access for terminated teammates or teammates that transfer to another division or department.
- Update user access to reflect the appropriate permissions in CCIS.

IT Management Response:

- Agree

Corrective Action Plan:

- *In Phase I, Information Technology will provide all departments with user data regarding D6 Clearance/DL Sanctions permissions for CCIS in a spreadsheet. The departments will review the spreadsheet and confirm their teammates' permissions are accurate. The department director will email the Security Technician to request the removal or correction of any outdated access. After the initial review, the report will be distributed during the 2nd month of each quarter for ongoing verification by directors and administration. In Phase II, the report will be expanded to include all teammate CCIS permissions, and the practices will be developed into formal review procedures.*
- *The Clerk IT Security Technician will create a CCIS Access form to reflect all available CCIS access permissions. This form will be used with the CCIS Security Agreement/ Application to track changes to the teammate's CCIS permission as their access, roles, and assignments change. Instructions and formal procedures will be developed to support this process.*
- *CCIS Permissions noted in the audit and the initial department reviews have been updated.*

Target Implementation Date:

- *Phase I, D6 Clearance Report 9/22/2022*
Phase II Procedural documentation 12/31/2024
- *12/31/2024*
- *Completed 10/26/2022*

Administration, Civil, Criminal, Finance, and Records Management Response:

- Agree

Corrective Action Plan:

- *Clerk IT will provide user data for CCIS in a spreadsheet to all departments. The departments will review the spreadsheet and confirm their teammates' permissions are accurate. The department director will email the Security Technician to request the removal of any outdated access. After the initial review and update, the report will be distributed quarterly for ongoing verification by directors and administration.*
- *The Clerk IT Security Technician will update the CCIS Access Request form to reflect the currently available access permissions and Administration will follow the guidance of Clerk IT to ensure proper removal or updates for transferred and terminated teammates.*
- *Permissions have been updated.*

Target Implementation Date:

- *Phase I, D6 Clearance Report 9/22/2022*
Phase II Procedural documentation 12/31/2024
- *12/31/2024*
- *Completed 10/26/2022*

Observations: Observations noted during the audit process that were outside the scope of the audit, but important enough to bring to management's attention were identified below.

1. Monitoring and updating compliance due dates in Clericus.

For both civil and criminal traffic cases, the following was noted:

- Suspension letters and suspensions were not always processed in compliance with the timeliness standard of the due dates reflected in Clericus. Some of these cases had delays in compliance reviews due to the backlog of cases that were not suspended as a result of the moratorium on the suspension of driver licenses during COVID-19.
- Compliance dates were not always entered into Clericus. According to management, pre-conversion cases would not have compliance tabs unless they were manually entered.
- Payment plans were not always reviewed in a timely manner to ensure they were in good standing. Some of these cases had delays in compliance reviews due to the backlog of cases that were not suspended as a result of the moratorium on the suspension of driver licenses during COVID-19.

Florida Statute 322.245 (1) addressed the suspension of a driver license upon failure of a person charged with specified offenses to comply with all of the directives of the court within the time allotted by the court. It included that the clerk of the traffic court shall mail the person, at the address specified on the uniform traffic citation, a notice of such failure, notifying him or her that, if he or she does not comply with the directives of the court within

30 days after the date of the notice and pay a delinquency fee of up to \$25 to the clerk, his or her driver license will be suspended. The notice shall be mailed no later than 5 days after such failure.

Recommendation:

Since compliance with agreements, contracts, laws, rules, regulations, policies, and procedures are required, a recommendation was not provided.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *A weekly Criminal Compliance Report was created and ensures that compliance due dates related to driver license suspensions are completed timely for felony, misdemeanor, criminal traffic, and civil traffic cases. The report allows for better planning of resources and offers the ability to forecast volume swings.*
- *The Criminal Department has reallocated resources to provide the necessary support to manage suspension-related compliances.*

Target Implementation Date:

- *Completed May 2021*
- *Completed April 2023*

2. Verifying docketed images.

Two cases had the incorrect image docketed. The transaction report from CCIS was docketed as the DL Check. Management stated this was an auto-docketing error.

Recommendations:

- Update the images docketed above to reflect the correct document.
- Evaluate the auto-docketing and validation processes to ensure images are docketed accurately and thoroughly reviewed for quality control purposes.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *Docket corrections completed.*
- *Criminal evaluated the auto-docketing and validation process and determined the cause was due to human error. Criminal had already created procedure CR-CS134 Quality Control Cashiering Paperwork that includes a process of the reviewer verifying that the document is docketed with the correct code, and that the name and case number match.*
- *To ensure images are docketed accurately and thoroughly reviewed for quality control purposes, Criminal will provide additional training to teammates on procedure CR-CS134 Quality Control Cashiering Paperwork.*

Target Implementation Date:

- *Completed September 9, 2022, and April 5, 2023*
- *Completed March 5, 2021*
- *Completed October 2024*

3. Creating and docketing *Satisfactions of Certified Judgments.*

Upon full payment of all outstanding court costs, fines, and fees, a *Satisfaction of Judgment for Costs and Fees* must be created for the case. Once the satisfaction is created, the docket code (SJCC) automatically triggers Official Records to record the satisfaction.

For 20 cases that had all court costs, fines, and fees paid in full, a satisfaction was not docketed to the case.

Recommendation:

Establish policies and procedures to ensure satisfactions are created and docketed timely.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *A backlog clean-up project that included 9,770 cases requiring satisfactions was performed prior to and during this audit. Action Plan #300.*
- *A weekly quality assurance report titled “Cases That Need Satisfactions” was created and is used to ensure satisfactions are completed timely.*
- *Created procedure CR-189 Creating and Recording Satisfaction of Judgment.*

Target Implementation Date:

- *Completed August 2023*
- *Completed February 2023*
- *Completed May 5, 2023*

4. Processing seven-year dismissals.

In accordance with an order signed by Judge Webb and dated July 2, 1999, license suspensions relating to cases outstanding for a period of seven years or more (seven-year dismissals), were recalled, canceled, and satisfied.

At the time of audit, there was a backlog of seven-year dismissals from 2013 that had not been reviewed. Management indicated that seven-year dismissals were processed as time permitted.

Recommendation:

Since compliance with agreements, contracts, laws, rules, regulations, policies, and procedures are required, a recommendation was not provided.

Criminal Management Response:

- *Agree*

Corrective Action Plan:

- *Corrective action completed by implementation of a weekly quality assurance report that provides for better management of workload.*
- *Completed 7-year dismissal backlog.*
- *Created procedure CR-CS130 Seven Year Order Dismissing Civil Citations.*

Target Implementation Date:

- *Completed February 2023*
- *Completed January 2023*
- *Completed November 10, 2020*



For additional information contact the Public Records Liaison.

publicrecordsrequest@pascoclerk.com

(352) 523-2411 or (727) 847-2411; ask for the Public Records Liaison

Public Records Liaison, P.O. Box 338, New Port Richey, FL 34654-0338

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