AUDITOR'S REPORT

JWEB SETCIC INTERFACE WITH
THE COUNTY'S FINANCIAL SYSTEM
AS OF AUGUST 7, 2019

October 4, 2019

Michael Post, C.P.A., M.B.A.
Harris County Auditor

Leslie Wilks Garcia, C.P.A., C.F.E.
First Assistant County Auditor

Errika Perkins, C.P.A., C.I.A.
Chief Assistant County Auditor
Audit Division

MICHAEL POST, C.P.A., M.B.A.
HARRIS COUNTY AUDITOR

October 4, 2019

Mr. Bruce High   Ms. Leslie Wilks Garcia
Executive Director & Chief Information Officer   First Assistant County Auditor
Universal Services   1001 Preston, 8th Floor
406 Caroline, 4th Floor   Houston, TX 77002
Houston, TX 77002

RE: Justice WEB (JWEB)-based SouthEast Texas Crime Information Center (SETCIC) Interface with Harris County's Financial System (IFAS), as of August 7, 2019

The Audit Services Department performed procedures relative to the JWEB SETCIC automated interface with the Harris County financial system (IFAS). The objective of the engagement was to selectively test the completed acceptance testing documentation to evaluate whether the departmental testing supports that the implementation of the JWEB SETCIC interface to IFAS was in compliance with Harris County Accounting Procedure O.15, *New System Interfaces to IFAS*.

Our procedures included the following:

- Evaluated the test plans/scripts used by Universal Services (US) and the Auditor's Office Grants and Accounts Receivable Accounting Department (Grants and AR) for the implementation of the new JWEB SETCIC interface to IFAS.

- Selectively tested the completed departmental user acceptance testing documentation to evaluate whether it supported that the required billing information was passed accurately and completely from JWEB SETCIC to IFAS through the automated interface and it was in compliance with the Harris County Accounting Procedure titled O.15, *New System Interfaces to IFAS*.

- Selectively tested system rights and privileges granted to US, Grants and AR personnel relative to the interface from JWEB SETCIC to IFAS.

- Followed up with US, and Grants and AR Management after the go-live date to determine whether the JWEB SETCIC interface to IFAS was working as intended.

Mr. Bruce High   Ms. Leslie Wilks Garcia
Executive Director and Chief Information Officer   First Assistant County Auditor

The work performed required our staff to exercise professional judgment in completing the scope procedures. As the procedures were not a detailed inspection of all transactions, there is a risk that fraud, errors, or omissions were not detected during this engagement. The official, therefore, retains the responsibility for the accuracy and completeness of their financial records and for ensuring sufficient controls are in place to prevent and detect fraud, errors, or omissions.

The enclosed Auditor's Report does not include any issues or recommendations as none were identified during our procedures. We appreciate the time and attention provided by you and your staff during this engagement.

                              Sincerely,

                              Michael Post
                              County Auditor

cc: District Judges
         County Judge Lina Hidalgo
         Commissioners:
                 R. Jack Cagle
                 Rodney Ellis
                 Adrian Garcia
                 Steve Radack
         Kim Ogg
         Vince Ryan
         William J. Jackson

TABLE OF CONTENTS

OVERVIEW

The SouthEast Texas Crime Information Center (SETCIC) application was placed in production on September 1, 1984. It is part of the Justice Information Management System (JIMS), and is primarily an open warrant application that allows law enforcement agencies in the southeast Texas region to share information and apprehend people with outstanding criminal warrants. Developed and maintained by Universal Services (US), the JIMS SETCIC application provides a central repository for consolidated warrant information. Per US, there are currently 140 agencies participating in SETCIC with their respective contracts with Harris County.

There are two levels of participation in SETCIC - full service and inquiry only. Full-service agencies enter warrants and make inquiries. They pay an annual fee and a small charge for each warrant entered and each warrant located by another agency. Inquiry-only agencies inquire on people and warrants, but do not make any warrant entries. There is no charge to inquiry-only agencies.

As part of the mainframe shutdown project, US has converted the mainframe-based JIMS SETCIC application to the Windows-based JWEB SETCIC application.

The program creates a text file with SETCIC billings (i.e., annual fees and/or charges to the law enforcement agencies for warrants posted and located.) The billing is done only once a month, usually on the 5th working day. An Accounts Receivable batch will be generated in IFAS based on the billing information. After the Accounts Receivable batch is reviewed by the Grants and AR Department for any errors, the billings will be posted to the IFAS general ledger as "Accounts Receivable" with corresponding "Revenue" coding. Grants and AR will print out the invoices, and present them to US for delivery to the JWEB SETCIC users.

The interface was migrated into the production environment on August 7, 2019.

SUMMARY OF AUDIT RESULTS

Based upon the procedures performed, test plans and scripts used by the Grants and AR Department were adequate; the user acceptance test documentation supported that the required revenue relative to warrants added/located, and/or annual fees billed to each law enforcement agency, were accurately and completely passed to IFAS through the automated interface; system rights and privileges relative to the interface were granted appropriately; and the interface was working as intended post implementation. The interface between JWEB SETCIC and IFAS is in compliance with Harris County Accounting Procedures O.15, *New System Interfaces to IFAS*.