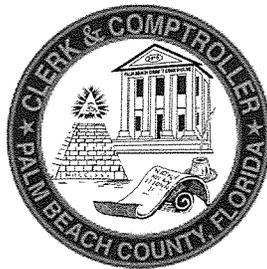


**CLERK & COMPTROLLER
PALM BEACH COUNTY
LIMITED REVIEW OF CRIMINAL COURT
DATA CONVERSION FROM BANNER
COURTS SYSTEM TO SHOWCASE SYSTEM**



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**Division of Inspector General
Audit Services Unit**

June 21, 2012



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The Honorable Sharon R. Bock, Esq.
Clerk & Comptroller

We conducted a limited pre-implementation review of the criminal court data conversion from the Banner Courts System to the Showcase System.

Our objective was to provide an independent review of the conversion of select criminal court data elements from the Banner Courts System into the Showcase System.

Our review was neither designed nor intended to be a detailed study of every process, procedure, transaction or system in each area. Accordingly, the observations and recommendations included in this report are not all-inclusive.

The limited review determined that the conversion of select criminal court data elements was successfully completed. Minor differences were noted in our testing of the conversion of case balances and the number of cases, citations, charges and bonds for which management had not previously identified.

We appreciated the cooperation of management and staff during the course of this review.

Respectfully submitted,

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Introduction

Background

The Clerk & Comptroller Office entered into a contract with Lender Processing Services, Inc. (LPS) in 2009 to implement the Aptitude Solutions' ShowCase integrated court case management system. The system includes workflow, calendaring, imaging, indexing, and search capabilities. Also, the system allows the Clerk's office to scan and save all documents electronically, including filings, pleadings, dispositions, citations and invoices.

The Clerk & Comptroller's office, which serves nearly 1.3 million residents in the nation's 29th most populous county, will use ShowCase to support the set up and processing of 500,000 new cases received each year.

The ShowCase System will provide the public with the following capabilities:

- Case inquiry (including record security for juvenile, sealed and expunged cases) with image viewing and printing,
- Ability to set civil traffic court dates online, and
- Ability to make online payments for civil traffic tickets.

The ShowCase System will provide essential information to Palm Beach County criminal justice partners including Court Administration, Sheriff's office, Public Defender's office, and the State Attorney's office. It is also integrated with state mandated reporting systems.

The ShowCase modules supporting Criminal Court Services was implemented on February 21, 2012, replacing the Banner Courts System implemented in 2004. Criminal Court Services is responsible for handling all Circuit- and County Court criminal matters including felony and misdemeanor offenses and traffic crimes and infractions in four different locations throughout Palm Beach County. The ShowCase modules supporting Civil Court Services and Official Records are expected to be implemented later in 2012.

Criminal Court Services is led by Louis Tomeo – Director, with four direct reports and approximately 190 support positions. In addition, staff located in three branch offices are involved in processing criminal cases on the Showcase system.

Scope and Methodology

The Clerk’s Audit Services Unit of the Division of Inspector General conducted a pre-implementation review of the criminal court data conversion from the Banner Courts System to the ShowCase System.

Our overall objective was to provide an independent review of the conversion of select criminal court data elements from the Banner Courts System into the Showcase System. Our intent was to identify any differences in the transfer of data involving:

- Number of cases – in total and by court type
- Number of citations
- Number of charges
- Number of bonds
- Case balances

As of November 8, 2011, using automated extraction tools, we identified 6.1 million court cases in the Banner Courts System. Using the court codes identifying criminal cases as previously provided by Criminal Court Services (December 2010), we estimated that approximately 3.84 million criminal court cases were included in that number.

We initially performed our testing using constructed tables within the Showcase production database. Our review was not based on the raw data in Showcase. Clerk IT constructed the tables from the Showcase database. The tables are intended for use by Clerk and justice partner staff for inquiry and reporting purposes. Court Operations and IT staff utilized the tables during user testing in the months preceding and simultaneously during our review. This user testing resulted in numerous changes to the production database, generally on select weekends, which required us to extract refreshed data on multiple occasions during the course of our review. On January 19, 2012, after the last major database change, a separate testing environment was established for audit use.

Decisions made by the Clerk's Data Conversion team, which included representatives from Court Operations and Information Technologies, during the conversion process had a significant impact. Differences between the manner in which Banner Courts and Showcase handled data elements resulted in differing numbers of dockets, cases and other items. The decisions were captured in a comprehensive 29-page Conversion Decisions document. Our review required us to become knowledgeable with the decisions and their impact on specific data elements validated within our scope.

For example, one decision requires TR (traffic) cases in Banner Courts, which include criminal traffic charges, to be converted to CT (criminal traffic) cases in Showcase to more accurately depict the nature of related charges. Another decision limits conversions to those cases which have associated charges; many cases in Banner Courts do not have associated charges and thus are not being converted.

As we identified anomalies and differences in the data conversion between Banner Courts and Showcase, we determined whether the differences were attributed to previously known conditions that were included in the Conversion Decisions document or due to other factors not previously identified that required resolution. Differences we identified were communicated to the Data Conversion team for research and resolution if they did not appear to be caused by items identified in the Conversion Decisions document. The differences referred for resolution are presented in the details of this report.

The scope excluded any cases or other data elements not identified as associated with criminal court type cases. We also excluded several other categories of data because of the time limitations for our review. For example, we did not attempt to review the number of defendants, associated parties, dockets, warrants, or case events for appeals, bonds, or D6 events. We also limited our financial data review to case balance comparisons.

In order to conduct this review and meet the objectives, we performed numerous extractions of court data from the current Banner Courts System and new ShowCase System using Audit Command Language (ACL) and other software tools. Data analysis and comparison was performed from November 8, 2011 to February 14, 2012. Our efforts were coordinated closely with the Clerk's Data Conversion team. We performed other procedures that were deemed necessary under the circumstances.

Conclusion

The limited review by the Clerk's Audit Services Unit determined that the conversion of select criminal court data elements from the Banner Courts System into the Showcase System was successfully completed. Minor differences were noted in our testing of the conversion of case balances and the number of cases, citations, charges and bonds for which management had not previously identified, as highlighted below.

- Testing of the number of criminal cases converted from Banner Courts to Showcase required reconciling data extractions and accounting for adjustments based on decisions made by management as recorded in the Conversion Decisions document. We identified 95 unexplained cases out of the 3.87 million criminal cases converted. The differences resulted primarily due to inaccurate data entered into cases in prior years.
- Testing of the number of citations converted identified a difference of 10 citations out of the total 2.6 million citations recorded from 2007 through 2011.
- Testing of the number of charges converted identified a difference of 41 charges out of the total 2.5 million charges recorded from 2007 through 2011.
- Testing of the number of bonds converted identified minor differences not accounted for in the Conversion Decisions document.
- Management had previously identified 5,202 cases with case balance differences between Banner Courts and Showcase. Our review identified 35 cases on management's listing which we observed had identical balances in the two systems' extracts. We identified 25 additional cases out of the 795,717 cases set up in 2011 and 2010 with balances that differed between the two systems.

These data conversion differences were provided to management for their review and correction.

Review Team:

Alan Bray, Deputy Inspector General & Audit Manager

Michael Bodle, Senior Auditor

Data Conversion Testing Results

The review was neither designed nor intended to be a detailed study of the entire criminal court data conversion process. Accordingly, the results of our testing and recommendations presented in this report may not be all-inclusive of areas where improvement may be needed.

1. Number of Criminal Court Cases Converted

Overall, our limited review indicated that the criminal court case conversion process was successfully completed, with only minor differences noted in the number of cases converted from Banner to Showcase.

Methodology and Results:

We initially extracted all cases from Banner on November 8, 2011 using the table CDBCASE. The extract included 6.07 million cases of all court types, of which 3.84 million cases were criminal court types to consider for conversion. We also extracted cases from Showcase using the Tcase table, which included 4.95 million cases.

More than 1.1 million cases in the Showcase extract were categorized as MI (Miscellaneous) cases. Our review of the Conversion Decisions document identified MI as a case category created to cover miscellaneous receipts not associated to a specific case in Banner. Because Showcase requires association of receipts to cases, this category was used to create artificial case records for those miscellaneous receipts. Since such cases did not exist in Banner, the MI cases in Showcase were excluded from our comparisons.

The Conversion Decisions document stated that cases were not converted to Showcase if the case in Banner did not have associated charges. In discussions with the Data Conversion team, we agreed that use of the CDRCCPT table in Banner would produce only those cases that had associated charges. Therefore, all subsequent extracts from Banner were based on that CDRCCPT table.

We observed multiple records in the CDRCCPT table for several cases and determined that a separate record was included in the table for each charge on a specific case. To ensure each case was only counted once, the multiple records were eliminated from the extract.

To facilitate comparisons, we segregated extracted data by court type and year. This was required due to the large number of TR (traffic) cases (2.7 million) and CT (criminal traffic) cases (446,000). When the segregation was completed and the first comparisons of summary results were prepared, we observed significant differences between the number of cases in Banner and Showcase in 2011. Further review of the extracts and consultation with the Data Conversion team disclosed that the database environments had not been synchronized as expected and some 2011 data was missing from the Showcase environment. The final testing environment prepared for audit use corrected the synchronization issue.

To compare and reconcile the number of Banner court type TR cases with the number of Showcase TR cases, we had to factor in one of the items listed in the Conversion Decisions document. Specifically, certain TR cases converted from the mainframe into the Banner Court system in 2004 included criminal charges that were deemed more accurately recorded as CT cases. The decision stated that TR cases with criminal charges carried over from the mainframe would be changed to CT cases during Showcase conversion. We suspected that there may have been TR cases also created in Banner from 2007 through 2011 that likewise had criminal charges. We discussed this matter with the Data Conversion team and found that the programming used to identify TR cases for conversion to CT cases in fact was correctly applied to the Banner-created TR cases.

We ran an extract of TR cases created from January 1, 2007 through December 31, 2011 and identified 530 cases that appeared to meet the criteria for conversion from TR to CT cases. However, testing of a small sample demonstrated that they did not have criminal charges. We discussed this finding with IT and arrived at a more refined selection criterion for this extract. As a result, IT and Audit Services agreed that in 276 of those cases, the identified charges were likely not criminal although the cases were included as appropriate to change to CT cases. The listing of the 276 cases was provided to Operations for review and correction of the data in the Banner Courts system.

When comparing cases by court type, we noted a significant difference between the number of AP (Appeals) cases in the Banner extract and Showcase extract. We noted that the TCase Balance table in Showcase had a number of AP cases that matched the number in Banner. We discussed the difference between the two Showcase tables with the Data Conversion team. They researched the difference and according to IT, the TCase Balance table in Showcase contained approximately 750 cases with no active appellant or appellee. IT explained that condition caused the cases to not appear in the TCase table. The list of such cases was referred to Operations by IT for correction. To move forward while Operations reviewed those cases, we used the TCase Balance extract for comparison of AP cases with the Banner extract.

One further complication arose during our reconciliation of TR and CT cases between the two systems. When the Banner TR cases with criminal charges were identified and selected for conversion to CT cases, the Data Conversion team knew that some of the resulting CT case numbers would have already been used in the normal course of business. To allow conversion without duplication of CT case numbers, the conversion routine included a search for existing CT numbers. When existing numbers were found, the TR cases were instead converted to a new court type TT (a newly created court type to identify those converted TR cases with criminal charges, but which could not be converted to CT). In our review and comparisons, we found that there were 1,459 TT cases in Showcase.

Conclusion:

In summary, our comparisons and reconciliation of criminal case conversions for TR cases required extracting data from the appropriate Banner table, eliminating multiple case records, removing TR cases with criminal charges, and then reconciling the remaining number of cases to the Showcase extracts. For CT cases, the TR cases identified as having criminal charges in Banner were added to the CT case numbers after eliminating those which had been converted to TT cases. The AP case numbers were compared using a different table for extracting data from Showcase.

After accounting for these adjustments based on the Conversion Decisions document, our review identified a difference of 95 cases out of the 3.87 million cases converted from Banner to Showcase, summarized as follows.

Differences Between Number of Cases in Banner Courts and Showcase								
Time Frame	CT	IN, MM, MO	TR	CF	CO	AP	TT	Total Differences
< 2004	56	0	1	1	0	0	0	58
2004	1	0	0	0	0	0	0	1
2005	5	0	0	0	0	0	0	5
2006	4	0	3	0	0	0	0	7
2007	4	0	0	0	1	0	0	5
2008	1	0	0	0	0	0	0	1
2009	1	4	0	0	0	0	0	5
2010	1	2	1	0	0	0	0	4
2011	1	7	0	0	1	0	0	9
Differences	74	13	5	1	2	0	0	95
Total Cases	449,953	359,656	2,741,477	227,934	92,042	210	1,495	3,872,767

The unexplained 95 cases were reported to the Data Conversion team during the review. The differences resulted primarily due to inaccurate data in Banner cases. Specifically, many fields in Banner allow invalid data to be entered. For example, case numbers can be entered with invalid years and Uniform Case Numbers (UCNs) can be entered with data that differs from the case ID number also stored in Banner for the same case. The potential for these data entry errors was well known by the Data Conversion team. Significant efforts had been made in recent months prior to the data conversion process to scrub the data in Banner Courts and successfully reduce the number of erroneous case entries in Banner.

2. Number of Citations Converted

Overall, our limited review indicated that the citation conversion process was successfully completed, with only minor differences noted in the number of citations converted from Banner to Showcase.

Methodology and Results:

The source for citation information in Banner Courts was the CDRCCPT table, which contained citation numbers for cases with charges. The source for citation

information in Showcase was the Tcitation table. Data in the Banner Courts extract was sorted by citation number to allow direct comparison to Showcase data.

Our initial testing identified a significant number of mismatches between the data extracted from the two tables. The potential causes of these mismatches were discussed with IT. One apparent reason was that our data included records with maintenance codes, which indicated the data had been changed. Specifically, Banner retained the original record with a maintenance code of C or D, and added a new record with the updated information. In some cases, the citation number was changed during the update. IT stated only the most recent record, which was not marked with a maintenance code entry, was considered for conversion. Therefore, all records with maintenance code entries (over 159,000 records) were eliminated from the Banner extract in developing our listing of citations for conversion.

Prior to eliminating the maintenance code records from the Banner extract, we conducted a test comparison of year 2011 citations associated with TR and CT cases with these files included. This test identified 20 citations in which changes to the Banner record has produced a "current" record with an incorrect citation number (i.e., the citation number in the record did not match the citation number on the citation image). These incorrect citation numbers were carried forward into Showcase because the conversion process properly brought forward the most current citation information in Banner. This listing of citation anomalies was provided to the Data Conversion team for review and correction as needed.

Subsequent testing of 2008 citations associated with TR cases identified another 16 instances in which the citation number carried forward from the "current" record did not match the citation number on the citation image. While this would not be considered a conversion failure, these particular citations did not appear correctly in Showcase. Future attempts to search Showcase for these citations using the correct number appearing on the citation itself will be unsuccessful. However, this issue involved a very small number of citations and it related to the free form data entry capabilities that existed in Banner.

IT advised us that another cause for the mismatches was that a correction to the Tcitation table had not been implemented as scheduled. After the table correction was implemented, we extracted data again from the Tcitation table for comparison with the Banner extracts.

Due to the large citation volumes, we segregated the extracted data to facilitate comparisons. In this case, citations associated with CT and TR cases were considered together in annual groupings to avoid artificial mismatches caused by the conversion of TR cases in Banner to CT cases in Showcase. Citations associated with all other types of cases were also compared in annual groupings.

Our review disclosed that the Tcitation table contained over 166,000 records with no citation number, which were not considered in our comparisons. We also noted that a small number (508) of citation records in the Tcitation table were repeated. For example, citation 112575W2 appeared in the Tcitation table nine times and citation 6188WDZ1 appeared eight times. We reviewed case files in Showcase for these two citations and found the multiple listings were reflected in the case files, but there were no multiple charges or actions identified with the multiple listings. We concluded that the multiple listings were not relevant to the comparisons and thereby eliminated these 508 records from the Tcitation extract.

Conclusion:

In summary, when all the factors above were taken into consideration, we identified only 10 citations that differed between Banner and Showcase out of 2.6 million total citations from 2007 through 2011. Further review of the 10 citations in the Showcase case files indicated that the citations were referenced in the associated case files and had not appeared in the Tcitation table when the extract was taken.

Recommendation:

- A. IT should provide Court Operations with a Banner extract of all citation records containing a maintenance code entry of C or D for criminal court cases.
- B. Operations should review the extracted citation numbers with the corresponding citation images and the citation numbers shown in the Showcase records, and make corrections where required.

Management Responses:

- A. IT Management: Banner has data that was changed ("C") or deleted ("D") that it keeps track of. This data is not active data and was not converted by design. Clerk IT will generate a report of all records with a C or D maintenance code and

provide to Operations. It should be noted that there are approximately 160,000 records in Banner that contain the C or D maintenance code.

Case Number	Citation	Maintenance	Statute	Sub
2011CF000019AXX	7579GMOX	C	893.13	6A
2011CF000019AXX	7579GMOX		893.147	1B
2011CF000028AXX	5611GPH7	C	893.13	1E1
2011CF000028AXX	5611GPH7		893.13	1A
2011CF000033AXX	6272GPH1	C	893.13	6A
2011CF000033AXX	6272GPH1		893.147	1B
2011CF000063AXX	1087WAF8	C	322.34	2B
2011CF000063AXX	1087WAF8		322.34	2A
2011CF000078AXX	3614WAE5	C	316.193	3C1
2011CF000078AXX	3614WAE5		316.193	14
2011CF000092AXX	1867RSY1	C	893.13	6A
2011CF000092AXX	1867RSY1		893.147	1

In the example above the records with "C" Maintenance are no longer valid because the data was changed and so the records were not converted.

Target Completion Date: 7/31/12

- B. Operations' Management: The IT report contains over 160,000 cases from the Banner extract. This effort will require significant manual observation of citation images and data. Provided that Operations' resources are available, staff will review as time permits.

Target Completion Date: Open - as resources become available

3. Number of Charges Converted

Overall, our limited review indicated that the charge conversion process was successfully completed, with only minor differences noted in the number of charges converted from Banner to Showcase.

Methodology and Results:

The source for charge information in Banner Courts was the CDRCCPT table, which contained records for cases with charges in Banner. The source for charge information in Showcase was the Tcharge table. Data in the Banner Courts extract was sorted by case number to allow comparison to Showcase data.

We pulled extracts on January 17, 2012 after the updated Showcase database environment was provided for our review. Due to the large volume of charges, we segregated the data by year and by court type. We identified the differences between Banner and Showcase for each court type for each year. Then, we summarized the differences in each year.

Conclusion:

In summary, we identified a difference of 41 charges recorded from 2007 through 2011 out of the total 2.5 million charges converted from Banner Court to Showcase. Specifically, the number of differences included seven in 2011, four in 2010, zero in 2009, four in 2008 and twenty-six in 2007. We informed management of the number of differences in an update meeting on January 19, 2012. A decision was made to discontinue any further review due to the small number of differences identified.

4. Number of Bonds Converted

Overall, our limited review disclosed that the bond conversion process was successfully completed, with only minor differences noted in the number of bonds converted from Banner to Showcase.

Methodology and Results:

We extracted bond data from the CCBBOND table in Banner and the TBond table in Showcase to conduct our comparisons.

We determined in discussions with management that the types of bonds to be verified was not limited to cash and surety bonds but also included property bonds,

supersedeas cash bonds, and supersedeas surety bonds. Our review identified the following observations.

1. There was only one property bond and it appeared in Banner and Showcase. There were only three supersedeas cash bonds and they appeared in both systems.
2. There were ten more supersedeas surety bonds in Showcase than in Banner Courts. It was determined that all but one of the differences arose because of the way Showcase handles blanket bonds. The single remaining bond was determined to be a problem with the Showcase TBond extract, not with the case file.
3. Surety bond differences were identified as issues with the TBond extract and not with the case files. The bonds not appearing in the extract were tested and all were properly found in the case files.
4. Cash bond differences were identified that arose due to the treatment of blanket bonds, TBond extract issues, and two specific issues involving 26 cash bond records that did not appear in the TBond extract as highlighted below.
 - a. Twenty-two of these cash bond records were listed in Banner Courts as abandoned bonds. The Conversion Decision document specified that abandoned bonds were not to be converted.
 - b. The remaining four cash bonds were associated in Banner Courts with cases that did not have charges shown in the CRACHRU view in Banner Courts. These four bonds were communicated to management for review.
5. We noted that there were multiple records in the TBond table for bonds. For comparison purposes, we selected only those records with bond numbers and bond amounts. Our initial review of the multiple records indicated that they occurred when a record was created without a bond number for bond closure.
6. We identified 75 instances in which a cash bond record without a bond number or amount was included in the Tbond extract with no corresponding

record for the same case with a bond number or amount. We reviewed a representative sample of these cases and found the charges involved were downfiled from felony to misdemeanor cases (e.g., from a CF case to a MM case). In each of these instances, the correct bond information was in both the Showcase and Banner records for the downfiled misdemeanor case.

Conclusion:

Overall, our limited review disclosed that the bond conversion process was successfully completed, with only minor differences noted in the number of bonds converted from Banner to Showcase. Tbond extract discrepancies represented the majority of the minor differences noted. However, there were four cash bonds identified in Banner which did not appear in Showcase, presumably because the associated cases in Banner had no charges and thus were not converted.

Recommendation:

- A. Management should review the four cases reported February 12, 2012 to determine whether the bonds associated to them should appear in Showcase, and make corrections as appropriate.

Management Response:

- A. IT Management: These are the 4 cases

CDBCASE_ID	CCBBOND_ID
2004MM004842AXX	00054887
2005MM017117AXX	00066127
1997CT020317AXX	00004001
2001CT020362AXX	00033703

Operations' Management: Of the four cases identified, three did not convert to Showcase. The bond for the one case that did convert (2005MM17117) was previously discharged in the mainframe system. The remaining three cases did not have charges associated. Therefore, the cases did not convert pursuant to the conversion rule which states that cases without charges will not convert to Showcase. The mainframe, however, reflects that the three cases have a zero

balance, which indicates that they were paid out and deducted in the mainframe system.

Target Completion Date: Completed

5. Criminal Court Case Balances Converted

Overall, our limited review indicated that the case balance conversion process was successfully completed for cases initiated in 2011 and 2010, with only minor differences noted in the case balances converted from Banner to Showcase.

Methodology and Results:

Case balance validation required significant audit effort and could only commence after the latest database environments were provided for our review. Specifically, significant time would have been required to extract and summarize the 94,615,525 CBRACCD records, representing all data for all years within Banner Courts, and eliminate those records related to collection agency fees and bond transactions. We extracted the 94.6 million records for potential comparisons to Showcase.

We focused our initial efforts on the 2011 TR cases to determine whether we could arrive at case balances comparable to Showcase records. We discussed our initial results with IT and provided a sample of cases with differences in balances between Banner and Showcase. IT informed us their previous testing had identified 5,202 cases in which the balances differed between Banner and Showcase. We obtained the listing of the 5,202 cases to compare with our results.

Due to the extensive efforts required to filter balance data within Banner Courts, we focused our review on case balances in 2011 and 2010. Case balance data for those two years comprised 27,052,042 CBRACCD records, which we extracted, analyzed and summarized to use in our comparisons with Showcase. Our extracts from Showcase identified a total of 385,959 cases in 2011 and 409,758 cases in 2010. We compared the balances for all cases in these two years and identified all cases with balances that differed between Banner Courts and Showcase. We then compared our results with the listing of 5,202 cases provided by IT. We identified only minor differences between our results and the IT listing.

Specifically, we identified 16 case balance differences in 2011 and 19 in 2010 that were included on the IT listing but were not identified as discrepancies in our listing, summarized as follows.

<u>2011</u>	<u>2010</u>
Fifteen TR cases	Fourteen TR cases
One MM case	Three CT cases
	One CF case
	One MM case

In addition, we identified 12 case balance differences in 2011 and 13 in 2010 that were included in our extracts but were not identified as discrepancies on the IT listing, as summarized below.

<u>2011</u>	<u>2010</u>
Ten TR cases	Nine TR cases
Two CF cases	Two CF cases
	One CT case
	One IN case

Conclusion:

Management had previously identified 5,202 cases with case balance differences between Banner and Showcase. Our review identified 35 cases on the IT listing for which we observed had identical balances in our extracts. We also identified 25 additional cases out of the 795,717 cases set up in 2011 and 2010 with balances that differed between the two systems. These 60 differences between IT's results and our results were provided to management for their review and correction.

Recommendations:

- A. Management should confirm that the 35 cases no longer showing differences in balances were among those corrected during the course of their data scrubbing.
- B. Management should identify the cause of the differences in the 25 cases we identified in our review and make corrections where appropriate.

Management Responses:

- A. Operations' Management: It is a known issue that over 5,000 cases had case balance issues between the Banner and Showcase systems. Management has completed their review of the 35 cases and 25 cases with mismatched balances and made any necessary corrections.
Target Completion Date: Completed

- B. Refer to Management Response A. above.