



January 6, 2017

Mr. John F. Buyce, Audit Director  
Office of the State Comptroller  
110 State Street  
Albany, NY 12236

Re: 2016-F-12 Final Audit Report

Dear Mr. Buyce:

This letter is in reference to the New York State Comptroller's audit report number 2016-F-12, Accountability for Traffic Ticket Surcharges (2014-S-26) Follow Up and the four audit recommendations proposed by the Comptroller.

As stated in your report, the Department "consistently accounted for and reported all traffic ticket surcharge revenue received" through the Traffic Violations Bureaus and the Department's Traffic Violation Division and has fully implemented Recommendation 1. The Department submits the following updates for Recommendations 2-4:

**Recommendation 2:** *Develop a more proactive approach to monitoring and analyzing the data management system, including conducting routine system reviews and establishing controls to ensure modifications are working as intended.*

The Department will continue to develop new methods for using its data management system to continue to ensure that traffic tickets are appropriately tracked and monitored, and that any motorist concerns are promptly addressed. Specifically, the Department is developing an automated report that will look at all violation codes and the corresponding programmatically applied surcharge amounts and then compare those amounts with the surcharge amounts that the system is proposing to charge the motorist. If the surcharge amounts do not match, the affected ticket will appear on the report and any discrepancies will be corrected and analyzed to see if programming changes need to be made to ensure the error does not reoccur. In addition, the Department has already initiated periodic proactive reviews of all surcharge amounts and their corresponding violation codes.

**Recommendation 3:** *Analyze system and source documentation (e.g., traffic tickets) for traffic stops that resulted in multiple traffic tickets subject to the surcharge cap to identify and correct any instances where motorists were charged an incorrect surcharge.*

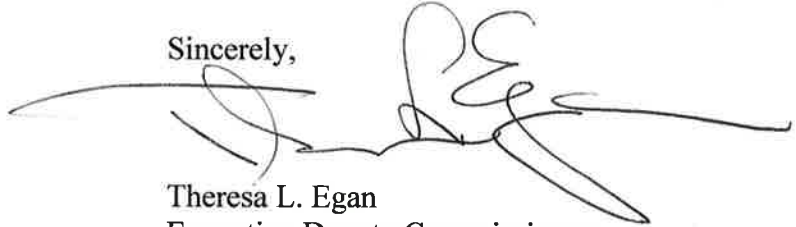
The Department will continue to take proactive steps to ensure that motorists are correctly charged for violations, and if not, quickly remedy the discrepancy. We anticipate that by September 29, 2017, we will add a time stamp field to the Department's data system in order to identify motorists who receive multiple tickets from the same officer on the same day issued during multiple stops.

**Recommendation 4:** *Work with ITS to implement system and data changes necessary to ensure surcharges are properly and consistently applied.*

The Department will continue to collaborate with ITS to ensure that surcharges are properly and consistently applied. Specifically, the Department is actively working to address the three outstanding work orders. The Ticketing System Data Analysis staff will perform the data pulls by March 1, 2017, which will provide sufficient time to demonstrate that the changes on the three outstanding work orders are functioning as intended. The wait time before the data pulls are performed is necessary to ensure there are enough examples that meet the use cases to confirm the fix worked.

If you have any questions concerning our response to this audit, please contact Jannette Potera, Director of Audit Services.

Sincerely,

A handwritten signature in black ink, appearing to read 'T. Egan', with a long horizontal flourish extending to the left and right.

Theresa L. Egan  
Executive Deputy Commissioner