Summary Reporting System (SRS)
Final Audit Report

FILING AUDIT

For

ORANGE COUNTY

NOVEMBER 7-10, 2011

Prepared by:
Office of the State Courts Administrator
Supreme Court of Florida

EXECUTIVE SUMMARY
Orange County Summary Reporting System (SRS) Audit
November 7-10, 2011

Purpose: To gauge compliance with reporting requirements of the Summary Reporting System (SRS), pursuant to section 25.075, Florida Statutes. Compliance is determined by an error percentage rate of less than 5 percent.

COMPLIANCE WITHIN DIVISION AUDITED

	Unit of Count Error	Error %	Comp	Case Type Error	Error %	Comp	Time Frame Error	Error %	Comp	Reporting Error	Error %	Comp	Overall Compliance
Circuit Criminal (Table 1)													
Filings - Defendants (n=79)	4	5%	X	0	0%	✓	4	5%	X	0	0%	✓	X
Filings - Counts (n=115)	6	5%	X	0	0%	✓	7	6%	X	0	0%	✓	X
Domestic Relations													
Filings - (n=107)	0	0%	✓	0	0%	✓	0	0%	✓	0	0%	✓	✓
Circuit Civil (Table 2)													
Filings - (n=153)	0	0%	✓	1	1%	✓	0	0%	✓	0	0%	✓	✓
Probate													
Filings - (n=23)	0	0%	✓	0	0%	✓	0	0%	✓	0	0%	✓	✓
Juvenile Delinquency													
Filings - (n=21)	0	0%	✓	0	0%	✓	0	0%	✓	0	0%	✓	✓
Juvenile Dependency													
Filings - (n=3)	0	0%	✓	0	0%	✓	0	0%	✓	0	0%	✓	✓
County Criminal (Table 3)													
Filings - (n=134)	2	1%	✓	0	0%	✓	15	11%	X	15	11%	X	X
County Civil													
Filings - (n=175)	0	0%	✓	0	0%	✓	0	0%	✓	0	0%	✓	✓

Audit Team: Audit conducted by the Office of the State Courts Administrator staff Bradley Rich, Kimberly Curry, and Miriam Jugger. Questions about this report may be directed to Bradley Rich, Kimberly Curry, or Miriam Jugger at (850) 922-5094 or (srsnews@flcourts.org). *The OSCA has created columns to recognize compliance and non-compliance for each area of review (Unit of Count, Time Frame, Case Type and General Reporting) for case filings by division. If the cumulative error rate is less than 5%, the division is considered in compliance with the threshold used by the OSCA as a measurement of compliance for that specific area in that specific division, (for example, if the Unit of Count discrepancy category is less than 5% in the Probate division, that discrepancy category is considered within compliance). Compliance is reflected by a ✓. If the error rate is 5% or more, the division is considered to not be in compliance with the threshold used by the OSCA as a measurement of compliance for that specific area reviewed in that specific division. Non-compliance is reflected by an X. There is also an overall compliance column at the end of the table. It reflects whether or not the division is in overall compliance with regard to reporting for an entire area of a division. If a division is not in compliance with any one area of review, then it is considered non-compliant, (for example, an X in the Probate division under the Unit of Count area denotes that the division is not in overall compliance in the Probate area).*

Introduction

The Office of the State Courts Administrator (OSCA) conducted an audit of Orange County's Summary Reporting System (SRS) November 7-10, 2011. The emphasis of the audit was to gauge compliance with reporting requirements articulated in the 2002 *Florida State Courts System Summary Reporting System Manual* (SRS Manual), which is necessary in fulfilling the requirements of section 25.075, Florida Statutes.

For each court division selected for the audit, members of the audit team reviewed a pre-determined and randomly-selected sample size of case files. Specific information was documented from each case file related to events involving initial or new case filings.

After the events were documented, the information in the case files were compared with the information contained on the audit trails. If any of the significant case events either failed to appear on the audit trails or were over reported or under reported on the audit trails, a *Unit of Count* discrepancy was recorded. Additionally, if any of the case events were reported on the audit trails in the incorrect month, a *Time Frame* discrepancy was recorded. Furthermore, if any significant case events were reported in the wrong case type, or were otherwise improperly classified, a *Case Type/Category* discrepancy was recorded. Finally, any errors that fall outside of the aforementioned criteria were recorded as *General Reporting* discrepancies.

The error percentages were calculated based on the number of discrepancies discovered in each division sampled compared to the total number of cases reviewed in each division (see *Executive Summary*). If the calculated error percentage was less than 5 percent for the data elements (*Unit of Count, Case Type/Category, Time Frame, and General Reporting*), the evidence supplied in this audit supported the conclusion that the division was compliant with SRS reporting procedures for this particular case event.

This report documents the discrepancies detected during the audit, presents the conclusions of the audit findings, and gives instructions for the submission of any amended data requirements. Case specific discrepancy tables are provided at the end of this report which further delineates the audit findings.

Minor Discrepancies in Orange County's SRS Data

The case files audited from each court division were supplied by the clerk's staff and have filing dates ranging from January 1, 2010 to December 31, 2010. The following section details the discrepancies for any categories that exceeded the less than 5 percent error margin used as measurement for the determination of compliance. Although the audit of SRS data for Orange County revealed that effective procedures have been implemented for accurately reporting filings data in most of the divisions reviewed, the findings demonstrate that the Circuit Criminal and County Criminal divisions reflected some areas of non-compliance with the reporting requirements articulated in the SRS Manual. Those areas are addressed below.

Circuit Criminal Division

In the cases supplied for the Circuit Criminal division, 79 filings were reviewed along with 115 counts.

◆ Unit of Count Errors

In reviewing the case files and comparing the information in the files with the audit trails, four (4) Defendant and six (6) Count *Unit of Count* type errors were discovered in the Circuit Criminal division. The discrepancies involved in reporting of data on the audit trails resulting in these cases not being reported or being submitted as over-counts for SRS reporting purposes.

With regard to overall SRS reporting compliance for the reviewed cases, the five (5%) percent error rate for Defendants and the five (5%) percent error rate for Counts exceeds the less than 5 percent error rate used by the OSCA as a measurement for determination of compliance. See Table 1 for case specific discrepancy information.

◆ Time Frame Errors

In reviewing the case files and comparing the information in the files with the audit trails, four (4) Defendant and seven (7) Count *Time Frame* errors were discovered in the Circuit Criminal division. A review of the files reflected the case was reported with an incorrect filing date. This discrepancy may be attributed to a data entry error.

With regard to overall SRS reporting compliance for the reviewed cases, the five (5%) percent error rate for Defendants and the six (6) percent error rate for Counts exceeds the less than 5 percent error rate used by the OSCA as a measurement for determination of compliance. See Table 1 for case specific discrepancy information.

County Criminal Division

In the cases supplied for the *County Criminal* division 134 filings were reviewed.

◆ Time Frame and General Reporting Errors

In reviewing the case files and comparing the information in the files with the audit trails, fifteen (15) *Time Frame* errors were discovered in the County Criminal division. A review of the files reflected the case was reported with an incorrect filing date. The discrepancies may be attributed to data entry errors.

In reviewing the case files and comparing the information in the files with the audit trails, fifteen (15) *General Reporting* errors were discovered in the County Criminal division. A review of the files indicate that incorrect document file dates were used as the initial case filing date. The discrepancies appear to be systematic.

With regard to overall SRS reporting compliance for the reviewed cases, the eleven (11%) percent error rate for *Time Frame* and the eleven (11%) percent error rate for *General Reporting* exceeds the less than 5 percent error rate used by the OSCA as a measurement for determination of compliance. See Table 3 for case specific discrepancy information.

Conclusion

Although reporting inconsistencies were identified in some divisions of court, most of the issues appear to be minor. As a sum of errors, a number of cases reflected issues relating to Unit of Count, Case Type, General Reporting, and Time Frame errors in the *Circuit Criminal, Circuit Civil, and County Criminal* divisions. It should be noted that the errors discovered during this audit are fairly common and easily corrected with training.

To provide an overview of correct reporting procedures, a brief review of SRS reporting procedures as outlined in the SRS Manual and FDLE' Criminal Justice Data Element Dictionary is recommended for appropriate staff in each division whereas errors were discovered. It is also recommended that periodic monitoring of monthly SRS data is conducted by division heads as a quality control measure.

All discrepancies found within any division (see *Executive Summary* and Tables 1-3) are requested to be corrected and submitted to the OSCA via amended SRS/OBTS reports. Amendments are being submitted to the OSCA pursuant to the usual data amendment procedures.

The OSCA is appreciative of the assistance provided by clerk's staff during the audit process. The Honorable Lydia Gardner and her staff are commended for their diligent and supportive efforts.

Table 1
Orange County SRS Audit
Circuit Criminal Division Discrepancies

Case Number	Office of the State Courts Administrator	Orange County Reported	Filings Error
10-CF-1687 Jackson, C.	Drugs Information File Date: 03/19/10 Arrest Date: 02/02/2010	**Not on Audit Trail**	Unit of Count
10-CF-4777 Kozloski, L.	Drugs + 1 Count Information File Date: 05/13/10 + 2 Counts Other + 2 Counts Misdemeanor Arrest Date: 04/07/10	Drugs + 1 Count Information File Date: 05/13/10 + 2 Counts Other + 2 Counts Misdemeanor Arrest Date: 04/07/10 **On Audit Trail Twice**	Unit of Count (Over Count)
10-CF-16399 Soto, A.	Drugs Information File Date: 12/20/10 Arrest Date: 11/17/10	**Not on Audit Trail**	Unit of Count
10-CF-14033 Vazquez, H.	Other Crimes Against Persons Information File Date: 10/29/10 + 1 Count Misdemeanor Arrest Date: 09/29/10	Other Crimes Against Persons Information File Date: 10/29/10 + 1 Count Misdemeanor Arrest Date: 09/29/10 **On Audit Trail Twice**	Unit of Count (Over Count)
10-CF-11755 Belaston, C.	Robbery Information File Date: 09/14/10 + 3 Counts Other Crimes Against Persons + 1 Count Burglary Arrest Date: 08/17/10	Robbery **Information File Date: 02/01/11** + 3 Counts Other Crimes Against Persons + 1 Count Burglary Arrest Date: 08/17/10	Time Frame
10-CF-10299 Boyd, G.	Other Crimes Against Persons + 1 Count Information File Date: 07/19/10 Arrest Date: 08/05/10	Other Crimes Against Persons + 1 Count **Information File Date: 03/07/11** Arrest Date: 08/05/10	Time Frame
10-CF-6197 Copeland, K.	Drugs Information File Date: 05/14/10 + 1 Count Misdemeanor Arrest Date: 05/04/10	Drugs **Information File Date: 09/29/10** + 1 Count Misdemeanor Arrest Date: 05/04/10	Time Frame
10-CF-6351 Peace, E.	Other Crimes Against Persons + 1 Count Information File Date: 05/07/10 Arrest Date: 05/21/10	Other Crimes Against Persons + 1 Count **Information File Date: 03/22/11** Arrest Date: 05/21/10	Time Frame

Table 2
Orange County SRS Audit
Circuit Civil Division Discrepancies

Case Number	Office of the State Courts Administrator	Orange County Reported	Filings Error
10-CA-17330	Other Civil File Date: 07/30/10	**Contract/Indebtedness** File Date: 07/30/10	Case Type

Table 3
Orange County SRS Audit
County Criminal Division Discrepancies

Case Number	Office of the State Courts Administrator	Orange County Reported	Filings Error
10-MM-5601 Grady, M.	Misdemeanor Information Filed: 05/21/10	**Not on Audit Trail**	Unit of Count
10-MM-3616 Moreno, D.	Misdemeanor Information Filed: 05/05/10 Arrest Date: 04/07/10	**Not on Audit Trail**	Unit of Count
10-MM-226 Salas, E.	Misdemeanor Information Filed: 02/04/10 Notice to Appear Filed: 01/07/10	Misdemeanor **File Date: 02/03/10**	Time Frame/ General Reporting
10-MM-9285 Grisby, II, T.	Misdemeanor Information Filed: 08/18/10 Sworn Complaint Filed: 09/03/10	Misdemeanor **File Date: 10/14/10**	Time Frame/ General Reporting
10-CO-1042 Anseman, D.	County Ordinance Notice to Appear Filed: 04/26/10	County Ordinance **File Date: 05/14/10**	Time Frame/ General Reporting
10-MM-3613 Siplen, F.	Misdemeanor Information Filed: 04/20/10 Arrest Date: 04/07/10	Misdemeanor **File Date: 07/19/10**	Time Frame/ General Reporting
10-MM-11517 Jones, H.	Misdemeanor Information Filed: 11/14/10 Arrest Date: 10/11/10	Misdemeanor **File Date: 12/13/10**	Time Frame/ General Reporting
10-MM-6611 Taylor, S.	Misdemeanor Arrest Date: 06/14/10	Misdemeanor **File Date: 07/15/10**	Time Frame/ General Reporting
10-MM-4217 Williams, F.	Misdemeanor Notice to Appear Filed: 04/20/10	Misdemeanor **File Date: 07/23/10**	Time Frame/ General Reporting
10-MM-5401 Merriweather, D.	County Ordinance Arrest Date: 05/20/10	County Ordinance **File Date: 06/15/10**	Time Frame/ General Reporting
10-MM-12897 Davis, M.	Misdemeanor Arrest Date: 11/13/10	Misdemeanor **File Date: 12/17/10**	Time Frame/ General Reporting
10-MM-13722 Hayward, W.	Misdemeanor Arrest Date: 12/06/10	Misdemeanor **File Date: 12/30/10**	Time Frame/ General Reporting
10-MM-2376 Hernandez, R.	Misdemeanor Arrest Date: 03/06/10	Misdemeanor **File Date: 04/06/10**	Time Frame/ General Reporting
10-MM-2974 Hill, A.	Misdemeanor Arrest Date: 03/22/10	Misdemeanor **File Date: 04/21/10**	Time Frame/ General Reporting
10-MM-8120 Whitley, J.	Misdemeanor Arrest Date: 07/20/10	Misdemeanor **File Date: 08/19/10**	Time Frame/ General Reporting
10-MM-12059 Campos-Reyes, J.	Misdemeanor Arrest Date: 10/23/10	Misdemeanor **File Date: 11/12/10**	Time Frame/ General Reporting
10-MM-13204 Patterson, T.	Misdemeanor Arrest Date: 11/20/10	Misdemeanor **File Date: 12/22/10**	Time Frame/ General Reporting