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Department of Public Safety
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Judicial Bureau Approval to Issue Vermont Civil Violation Complaints via Electronic Communications for the TraCS / Spillman Configuration

Standard Operating Procedure

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1. Purpose

This document is intended to standardize the approval process for Vermont Law Enforcement Agencies (VT LEA) and Vermont Law Enforcement Officers who intend to issue Vermont Civil Violation Complaints (VCVC) via electronic communications, specifically using the TraCS mobile application, and the Spillman Records Management System. Valcour Records Management System users must refer to *JB Approval to Issue e-Tickets (Valcour)* for specific guidance. The totality of this process will informally be known as “e-ticketing” or “e-citation”. This document also serves to outline the process between the Department of Public Safety (DPS) and the Judicial Bureau (JB) to regulate how the JB is notified of new VT LEAs and VTLEOs who engage in e-ticketing.

The document also serves as the testing protocol for DPS and the JB to ensure successful transmission and receipt of electronic VCVC data. DPS is tasked with ensuring VCVC data is captured in the TraCS mobile application, stored in the relevant databases, and transmitted to the JB. The JB is tasked with confirming the receipt of electronically submitted VCVC data, acting on the data as if it received a handwritten VCVC, and transmitting the data to the Department of Motor Vehicles (DMV) for further processing. DPS will establish and maintain TraCS user accounts, while the JB will determine when a VT LEA and VT LEO can submit VCVCs electronically without constant oversight. Upon receiving JB approval, a Vermont Law Enforcement Agency and / or Officer is authorized to adopt issuing VCVCs electronically into their normal operations.

2. Contact Information

The Department of Public Safety e-ticket technical staff can be emailed at:

DPS.eTicket@vermont.gov

The Judicial Bureau e-ticket staff can be emailed at:

JUD.eTicket@vermont.gov

3. General Overview

The general overview of the e-ticket process can be quickly referenced from Diagram 2, while specific responsibilities of the VT LEO are depicted in Diagram 1. Both diagrams are located at the end of the SOP. Pre-conditions noted in Section 5 must be met prior to engaging in the e-ticket process. Once met, the VT LEA is ready to test their ability to transmit e-tickets via TraCS. VT LEOs with TraCS user accounts will issue live e-tickets to Defendants and transmit them per the training received from the VT LEA PoC. Those e-tickets will be scrutinized by e-ticket technical staff from DPS and the JB to determine quality and reconcile any issues. Once a VT LEO consistently submits 3 to 5 e-tickets without incident, the JB will consider that VT LEOs ability to transmit e-tickets successful, and approval to issue e-tickets without requiring confirmation of receipt will be granted.

4. Persons involved

The e-ticket process is managed by the Department of Public Safety with the Judicial Bureau acting as a key stakeholder. There are several roles involved in generating, processing, and resolving an electronic ticket. Below is a common list of the roles and responsibilities.

Entity	Position	Role
VT LEA	Head of Department (Police Chief, Sheriff or equiv.)	<ul style="list-style-type: none"> • Authorizes e-ticketing procurement, installation, connectivity, and user training • Notifies DPS and JB about readiness to initiate e-ticketing
VT LEA	e-ticket Point-of-Contact (PoC)	<ul style="list-style-type: none"> • Coordinates e-ticketing procurement, installation, connectivity, and user training • Troubleshoots the hardware to confirm it is in working condition • Contacts DPS to request VT LEA account established in TraCS • Installs TraCS onto VT LEA computers • Sends list of VT LEOs to DPS to be added as TraCS users • Contacts JB to notify of a new e-ticket VT LEO
VT LEA	e-ticket user (Vermont Law Enforcement Officer)	<ul style="list-style-type: none"> • Completes TraCS training offered by DPS and or PoC • Enters e-ticketing information in TraCS • Issues e-ticket to Defendant • Submits e-ticketing information within accepted parameters
VT DPS	e-ticket technical staff	<ul style="list-style-type: none"> • Establishes VT LEA account in TraCS upon notification by PoC • Associates VT LEO profile to VT LEA account in TraCS • Notifies PoC of VT LEA account creation in TraCS • Notifies PoC of VT LEO account association in TraCS TraCS • Ensures e-ticket data quality between TraCS and Spillman servers • Spillman for completeness, there is an error log for Spillman (duplicates and repasses) • Ensures e-ticket data adheres to JB data acceptance criteria • Collaborates with JB and PoC to resolve initial e-ticket issues • Notifies JB of technical issues with on-going e-tickets • Notifies the JB of new VT LEAs issuing e-tickets
VT JB	e-ticket technical staff e-ticket court operations staff	<ul style="list-style-type: none"> • Acknowledges PoC intent to initiate e-ticketing • Monitors receipt of initial 3-10 e-tickets issued by VT LEA • Communicates initial e-ticket issues to DPS and PoC • Collaborates with DPS and PoC to resolve initial e-ticket issues • Issues approval to VT LEA and VT LEO to issue e-tickets • Notifies DPS of VT LEA and VT LEO approval to issue e-tickets • Ensures e-tickets are received, processed, and dispositioned in Odyssey as if they were handwritten VCVCs • Notifies DPS of technical issues with on-going e-tickets

5. Pre-Conditions

Use of this SOP requires several technological and administrative pre-conditions before approval to electronically issue Vermont Civil Violation Complaints is gained.

All Vermont Law Enforcement Agencies (VT LEAs) must ensure the following pre-conditions from *VT LEA Onboarding to TraCS* have been met prior to notifying the Department of Public Safety (DPS) and the Judicial Bureau (JB) of their intent to initiate e-ticketing:

- 1) The VT LEA Head of Department (Police Chief, Sheriff, or equivalent), has notified DPS that they have satisfactorily procured and installed electronic ticketing hardware for the Spillman Records Management configuration.
- 2) The VT LEA Point-of-Contact must have installed TraCS on to the computer(s) used to issue e-tickets.
- 3) DPS e-ticket technical staff must have established a TraCS account for the VT LEA on to the computer(s) used to issue e-tickets.
- 4) The VT LEA Point-of-Contact must attest that their VT LEOs have been trained to use TraCS, to reduce data transmission error.

Note: See *VT LEA E-Ticketing Procurement* for procurement guidance, *Vehicle Installation Guidance (Spillman)* for hardware installation guidance, and *VT LEA Onboarding to TraCS* for specific hardware and software requirements, and to configure TraCS with DPS.

The Department of Public Safety (DPS) must have the following:

- 1) Attestation from the VT LEA Head of Department (Police Chief, Sheriff or equivalent) to DPS indicating that they have procured and installed electronic ticketing hardware. (see *VT LEA Onboarding to TraCS*)
- 2) Technical staff available to correspond with VT LEA Point-of-Contacts who request the ability to electronically transmit VCVCs electronically.
- 3) Technical staff available to review and validate receipt of electronically submitted VCVCs. Specifically, this involves reconciling data quality of individual e-tickets between the TraCS and Spillman databases, communicating e-ticket errors with the JB and VT LEA PoC, and working with all parties (if needed) to fix any errors found.
- 4) Technical staff available to train the VT LEO on using TraCS, if requested.

The Judicial Bureau (JB) must provide the following:

- 1) Staff available to review and validate receipt of electronically submitted VCVCs. Specifically, this involves confirming the receipt of e-tickets, communicating e-ticket errors to DPS and the VT LEA PoC, and working with all parties (if needed) to fix any errors found.

6. Gain approval to issue electronic VCVCs

The sequence of events to gain approval to issue e-tickets are noted in the following pages. There are two phases for Spillman-using VT LEAs to gain approval, the first is Onboarding and the second is Testing. Completion of the first phase is explained in the Standard Operating Procedure *VT LEA Onboarding to TraCS*. Highlights of the first phase also serve as pre-conditions to gaining approval.

There is no required email format for communication between the VT LEA, the JB, and DPS, however communications between the entities do require specific information to be passed along. For guidance, some actions are accompanied with sample emails and templates.

6.1. DPS ensures pre-conditions met

The start of the approval process begins with the VT LEA Point-of-Contact (PoC) notifying the Department of Public Safety e-ticketing technical staff that their department wishes to adopt e-ticketing as a part of their operations. This notification, The Information Package, is sent via electronic mail to dps.help@vermont.gov and must attest to the following:

1. The VT LEA Head of Department has authorized procurement the requisite hardware
2. The VT LEA Point-of-Contact has procured and/or received the requisite hardware
3. The VT LEA Point-of-Contact has installed the requisite hardware
4. The VT LEA Point-of-Contact has installed TraCS on their e-ticket issuing computer
5. The VT LEA Point-of-Contact will ensure TraCS training is provided to their VT LEO prior to issuing e-tickets
6. The VT LEA Point-of-Contact will resolve data entry related issues with their VT LEOs

Additionally, the e-mail must contain the following information:

7. Associated VT LEA Information
 - a. VT LEA Point-of-Contact name and email address
 - b. VT LEA Name (e.g. Williston Police Department)
 - c. VT LEA Address and Phone Number that will appear on warning letterhead
 - d. 4-digit Judiciary Code assigned to the VT LEA (e.g. 9000)
8. Associated VT LEO Information
 - a. First Name, Last Name
 - b. 5-character VT LEO Number (e.g. A####)
 - c. DPS Network Username
 - d. Expected date the VT LEO will begin e-ticketing

Sample email:

"<Salutation>,
<VT LEA> would like to start issuing Vermont Civil Violation Complaints electronically. Below (or attached), please find the authorization from our Head of Department, attestation of readiness, Law Enforcement Agency information and associated Law Enforcement Officer information.

Thank you,
<VT LEA PoC>"

The goal is to communicate to DPS that the VT LEA's e-ticketing hardware has been procured, installed, and in working condition so that the ability to transmit an e-ticket can be demonstrated.

6.2. DPS sends The Information Package

The Information Package contains all the information required to monitor the quality of new e-tickets. DPS will forward The Information Package to the Judicial Bureau e-ticket staff at JUD-eTicket@vermont.gov.

Sample email:

"<Salutation>,
The Department of Public Safety has been approached by <VT LEA>, they'd like to start issuing Vermont Civil Violation Complaints electronically. Below (or attached), please find the following information:

VT LEA Information

- a. VT LEA Point-of-Contact name and email address
- b. VT LEA Name (e.g. Williston Police Department)
- c. 4-digit Judiciary Code assigned to the VT LEA (e.g. 9000)

Associated VT LEO Information

- a. First Name, Last Name
- b. 5-character VT LEO Number (e.g. A#####)
- c. Expected date the VT LEO will begin e-ticketing"

Thank you,
<DPS e-ticket staff>"

The goal is to inform the Judicial Bureau of new VT LEOs who are issuing e-tickets, so that the JB e-ticket staff may monitor ticket quality and correct any errors that may arise.

6.3. JB receives The Information Package

The Judicial Bureau e-ticket technical staff may choose to acknowledge DPS and the VT LEA PoC upon notification that a VT LEA or VT LEO intends to begin issuing e-tickets.

Sample email

"<Salutation>,"

The Judicial Bureau has received your notification regarding <VT LEO> intent to issue Vermont Civil Violation Complaints electronically. <VT LEO> may begin issuing VCVCs electronically, so that we can monitor the first 3 to 5 tickets for quality. The Judicial Bureau will notify DPS, the <VT LEO>, and <VT LEA PoC> when <VT LEO> can issue e-tickets without monitoring.

Thank you,

<JB e-ticket staff>"

6.4. VT LEO uploads VCVC data

After DPS notifies the Judicial Bureau about new e-ticket issuers, the VT LEO will issue VCVCs electronically using their e-ticket application. It is the VT LEO's obligation to ensure the e-tickets are uploaded within 48 hours, to ensure timely quality controls and processing e-tickets are met. If connected to a network wirelessly, e-tickets can be uploaded as soon as they are completed. However, in cases where e-tickets are cached, these must be uploaded as soon as the VT LEO can connect to a network (either wirelessly or at their barrack / department / station. Initial troubleshooting is resolved with the VT LEA Point-of-Contact/ Definitive guidance from DPS and the JB e-ticket staff may be sought.

6.5. DPS monitors e-tickets from the VT LEO

DPS' role is to ensure that VT LEA accounts are setup, that VT LEOs are associated to their VT LEA, and VT LEOs have the ability to generate an e-ticket using TraCS. As the VT LEO issues e-tickets, DPS will monitor e-tickets rejected from the Spillman database and for issues with TraCS communicating to the Spillman database. TraCS collects and passes electronic VCVC information on to the Judicial Bureau, while Spillman stores e-ticket information. During the monitoring period and beyond, DPS will return faulty e-tickets to the VT LEO for completion. In some cases, DPS may resolve faulty e-tickets and pass them to the JB. In other cases, the JB e-ticket staff may request DPS assistance to resolve e-ticket errors.

6.6. JB monitors e-tickets from the VT LEO

The Judicial Bureau's role is to ensure that e-tickets submitted by VT LEOs are accurately parsed by their Odyssey case management system. This system creates the Defendant's case for the JB, records the Defendant's plea and the case disposition. The information from this system is then transmitted to the DMV to update the Defendant's driving records. As the VT LEO issues e-tickets, the JB will monitor e-tickets rejected from Odyssey and for mismatches between the Defendant's actions versus the VT LEO and DPS (e.g. receiving a fine payment for an e-ticket before it has been received by the JB). During the monitoring period and beyond, the JB will fix faulty e-tickets and request DPS assistance to resolve upstream e-ticket errors.

6.7. JB approves e-ticketing for VT LEO

The Judicial Bureau will approve a VT LEO to issue Vermont Civil Violation Citations electronically upon successful transmission of no less than 3 e-tickets into their Odyssey case management system, over the period of one week. Depending on the history and quality of e-ticket transmissions, the JB may extend the monitoring period. The JB will notify the VT LEO, VT LEA PoC, and DPS e-ticket staff of a VT LEO approval to issue e-tickets. The JB and/or DPS may elect to record the VT LEO approval date as an additional column in The Information Package.

Sample email:

"<Salutation>

The Judicial Bureau has successfully received all the most recently submitted e-tickets. It is no longer necessary for us to confirm receipt of e-tickets from <VT LEO>. <VT LEO> is fully authorized to submit Vermont Civil Violation Complaints electronically. From this date onward, the Judicial Bureau will notify DPS e-ticket staff of any VCVCs submitted electronically that is rejected or aberrant, for further resolution.

Congratulations,"

6.8. VT LEO issues VCVCs electronically

Once the VT LEO, VT LEA PoC, and DPS e-ticket staff receive approval notification from the Judicial Bureau, the VT LEO may adopt e-ticketing as a part of their normal operations.

Revision History

Date	Version	Description	Author
26-Apr-2019	0.1	Draft created	C. Scott, IT BA
29-Apr-2019	0.2	Created sample emails	C. Scott, IT BA
03-May-2019	0.3	Formatted cover page	C. Scott, IT BA
07-May-2019	0.4	Drafted all test-related activities	C. Scott, IT BA
09-May-2019	0.5	Revised Basic Flow – added roles and responsibilities	C. Scott, IT BA
10-May-2019	0.6	Revised Basic Flow – reviewed for logic, added information	C. Scott, IT BA
13-May-2019	0.7	Revised Basic Flow – combined VT LEA and VT LEO pathway into one	C. Scott, IT BA
15-May-2019	0.8	Revised Basic Flow – finalized activities and sub-activities	C. Scott, IT BA
16-May-2019	0.9	Developed & added activity diagram	C. Scott, IT BA
17-May-2019	0.95	Draft finalized, formatted font	C. Scott, IT BA
21-May-2019	0.99	Inserted charts and diagrams	C. Scott, IT BA
28-May-2019	1.0	Revised for flow and grammar	C. Scott, IT BA
26-July-2019	1.1	Received JB edits and incorporated	C. Scott, IT BA

Chart 1: The E-Ticket Information Package

This Chart is completed by the VT LEA Point-of-Contact and is used to notify DPS and the JB of new VT LEA/LEOs to e-ticketing, with associated Officer information.

DPS will forward this information to the JB. Each Point-of-Contact should maintain a digital copy.

E-TICKET INFORMATION PACKAGE				
Vermont Law Enforcement Agency Information				
Agency Name			Point-of-Contact Name	
Agency Judiciary Code (4-digit)			Point-of-Contact Email Address	
Officer Last Name	Officer First Name	Officer Number	DPS Username	E-ticket begin date MM/DD/YY

Diagram 1: VT LEO issue e-tickets

This diagram is adapted from *Process Electronic VCVC* and highlights the relevant activities the law enforcement officer must complete to successfully issue an e-ticket.

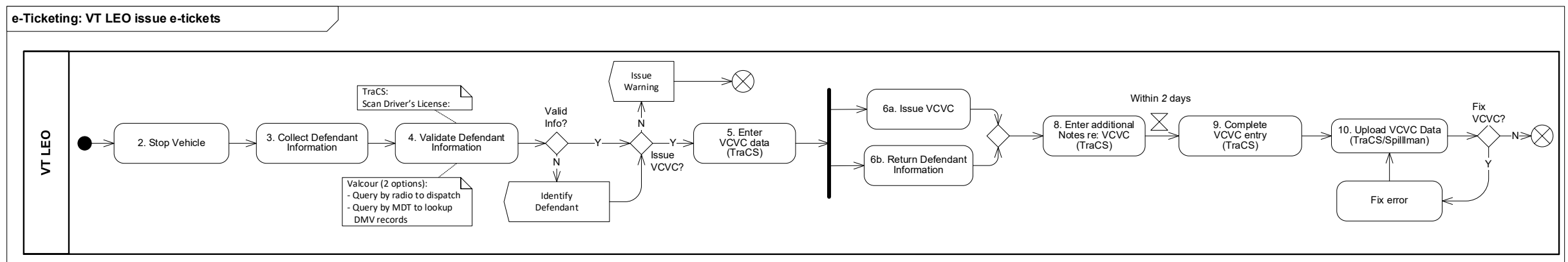


Diagram 2: JB Approval to Issue E-tickets

This diagram described the overall approval process, as described in this SOP.

