

Memorandum



CITY OF DALLAS
(Report No. A19-002)

DATE: December 7, 2018
TO: Honorable Mayor and Members of the City Council
SUBJECT: Audit of Surveillance Camera Oversight

The Office of the City Auditor's internal control design assessment showed the City of Dallas (City) does not have appropriate internal controls for managing and maintaining closed-circuit television (CCTV) camera systems¹ at City owned and leased facilities. As a result, the City's use of CCTV camera systems for: (1) public safety and security;² (2) monitoring operational activities; and, (3) safeguarding property and equipment may not be effective. Specifically, the City does not have formal policies and procedures (written, approved, and dated) for the management and maintenance of CCTV camera systems, such as defining formal data retention requirements.

The basis for the internal control design assessment was the *Audit of Surveillance Camera Oversight Survey* (Survey) which was developed using the U.S. Department of Homeland Security's (DHS) *CCTV: Developing Privacy Best Practices* report as a benchmark (see textbox and Attachments I and III). This benchmark was selected as the City, like DHS, has the responsibility to protect the City's property and the individuals on the property.

Best Practices

The U.S. Department of Homeland Security's (DHS) *CCTV: Developing Privacy Best Practices* report states, "As demand and awareness for [closed-circuit television (CCTV)] grows, so too does the importance of drafting a thorough set of policies to address privacy and civil liberties." This report specifies the following eight principles for CCTV best practices, which are applicable to federal, state, and local government entities, but are not limited to law enforcement activities (see Attachment I):

1. Purpose Specification
2. Transparency
3. Individual Participation
4. Data Minimization
5. Use Limitation
6. Data Quality and Integrity
7. Security
8. Accountability and Auditing

Source: DHS

¹ Camera systems include a network of cameras, where data is centrally stored (server, digital video recorder (DVR), etc.) and/or monitored; even if the cameras are located at multiple locations within: (1) a facility; or, (2) at multiple facilities. **Source:** Office of the City Auditor

² Public safety and security cameras are used to monitor access points and/or public areas at City of Dallas owned and leased facilities.

Audit of Surveillance Camera Oversight Survey Results

As of March 31, 2018, the Survey results indicated that, for 13 of the 15³ judgmentally selected departments:

- Eleven departments do not have formal policies and procedures for the management and maintenance of CCTV camera systems. The Department of Aviation and the Dallas Public Library reported having formal policies with associated procedures; however, all eight best practice principles and/or all elements of the principles recommended by DHS' *CCTV: Developing Privacy Best Practices* report were not included (see Table II in Attachment II).
- Ten departments do not formally document retention requirements for CCTV camera systems' data in their retention schedules filed with the City Secretary's Office (see Table II in Attachment II). Twelve departments, however, indicated that there are established practices to retain CCTV camera systems' data ranging from 24 hours to more than three months.
- Eleven departments did not alert the public about the presence of CCTV camera systems by posting signage at 37 of 65 facilities, or 57 percent (see Tables II and III in Attachment II)

Selected Survey Information	
Number (No.) of Departments	13
No. of Closed-Circuit Television Camera Systems	33
No. of facilities with CCTV camera systems	65
No. of total CCTV cameras	1,676
No. of CCTV cameras used for:	
• Public safety and security	1,036
• Monitoring operational activities	216
• Safeguarding property and equipment	411
• Other – managed and maintained by landlords	13
Source: Office of the City Auditor's analysis of survey responses from 13 judgmentally selected departments	

In addition, ten departments did not ensure 161 of 1,676, or ten percent of CCTV cameras at 20 facilities, were operating properly and ten departments did not backup data for 24 of 33, or

³ The Office of the City Auditor judgmentally selected the following 15 departments to respond to the *Audit of Surveillance Camera Oversight Survey* (Survey): (1) Aviation; (2) Building Services; (3) Communication and Information Services; (4) Court and Detention Services; (5) Dallas Fire-Rescue; (6) Dallas Police; (7) Dallas Public Library; (8) Dallas Water Utilities (DWU); (9) Housing and Neighborhood Revitalization; (10) Office of Public Affairs and Outreach; (11) Park and Recreation; (12) Public Works; (13) Sanitation Services; (14) Sustainable Development and Construction; and, (15) Trinity Watershed Management (TWM). (**Note:** Effective September 15, 2018, TWM was dissolved as an operating department. The TWM's water-related responsibilities are now managed by DWU while environmental activities are now managed by the Office of Environmental Quality. The TWM's Survey response was applicable to the audit timeframe which included TWM's operations from October 1, 2016 through March 31, 2018).

Each department was asked to provide Survey responses for five closed-circuit television (CCTV) camera systems or include all systems if less than five camera systems were managed and maintained. Two departments, Housing and Neighborhood Revitalization and the Office of Public Affairs and Outreach responded that they either do not have CCTV camera systems or that the cameras in use were only for broadcasting television programming. These two departments were excluded from the final Survey analyses (see Tables I and II in Attachment II for a list of the 13 departments which responded to the Survey).

73 percent of systems, at 31 facilities.⁴ A majority of these 161 CCTV cameras and 24 CCTV camera systems were used by departments to safeguard property and equipment. Therefore, the departments' ability to rely on the CCTV camera systems to discourage theft or to provide recorded data as evidence for: (1) missing assets; (2) investigations; and, (3) criminal and civil litigation, may be limited and may result in financial losses (see Table III in Attachment II).

The Department of Sustainable Development and Construction (SDC) also reported the use of three CCTV camera systems operating 13 cameras at three leased facilities. The lease agreements associated with these CCTV camera systems do not include important provisions to protect the City's data. In addition, SDC did not know whether: (1) recorded data is retained by the landlords; and if so, for how long; and, (2) data is backed up and properly retained.

Administrative Directive 4-09, *Internal Control* (AD 4-09), requires the City to establish a system of internal control in accordance with the *Standards for Internal Control in the Federal Government by the Comptroller General of the United States* (Green Book). The AD 4-09 also requires each department to establish and document a system of internal control procedures specific to its operations, mission, goals, and objectives. Green Book Principle 12, *Implement Control Activities*, states:

Management should implement control activities through policies, including documentation of responsibilities through policies. Management documents in policies for each unit its responsibility for an operational [process]' objectives and related risks, and control activity design, implementation, and operating effectiveness. [12.01, 12.03]

Texas Administrative Code 13 TAC §7.125(a)(1) and (a)(5), *Retention Schedule for Records Common to All Local Governments and Retention Schedule for Records of Public Safety Agencies*, states:

Surveillance videos for, but not limited to, security of property and persons are required to be kept as long as administratively valuable. In addition, video and audio recordings of prisoners in cells or other areas of a jail or holding facility, and audio recordings of prisoner phone calls are required to be kept for 30 days.

Texas Administrative Code 13 TAC §7.75 (a)(2), *Security of Electronic Records*, states, "Local governments must implement and maintain an electronic records security program for office and storage areas that...provides for backup and recovery of records to protect against information loss."

⁴ Because the audit was limited to an internal control design assessment, additional audit procedures to identify whether: (1) mitigating controls were in place when cameras were not operational; or, (2) data was not backed up, were not performed.

I. We recommend the City Manager ensures:

- The City has appropriate internal controls for the management and maintenance of CCTV camera systems by developing formal city-wide policies and procedures (e.g., Administrative Directive), that incorporate standards or best practices such as the DHS' *CCTV: Developing Privacy Best Practices* principles and relevant elements, including defining the formal data retention requirements for CCTV camera systems' data
- Responsible departments comply with the newly established requirements in the city-wide policies and procedures

Auditor Follow-Up Comments

The City Manager disagreed with the recommendation in this report to ensure the City has appropriate internal controls for the management and maintenance of CCTV camera systems by developing formal city-wide policies and procedures and ensuring departments comply with the newly established requirements in the city-wide policies and procedures.

City management has responsibilities for the establishment of internal controls as required by City of Dallas (City) Administrative Directive 4-09, *Internal Control* (AD 4-09) which incorporates the Green Book. According to the Green Book:

*Internal control comprises the plans, methods, **policies, and procedures** used to fulfill the mission, strategic plan, goals, and objectives of the entity. Internal control serves as the first line of defense in safeguarding assets. In short, internal control helps managers achieve desired results through effective stewardship of public resources.*

The AD 4-09 was one of several criteria used by the Office of the City Auditor in conducting this audit.

City management's disagreement appears to be based upon the Office of the City Auditor's use of the U.S. Department of Homeland Security's (DHS) *CCTV: Developing Privacy Best Practices* report as criterion and the age of this report. City management's concern regarding this specific criterion was raised during the Mid-Point Meeting. In response, the Office of the City revised the recommendation to only reference the criterion rather than state the City's policies and procedures should be based-upon this criterion.

Please see Attachments I, II, and III for background and other relevant information related to the audit and Attachment IV for Management's Response to the recommendations made in this report.

We would like to acknowledge management's cooperation during this audit. If you have any questions or need additional information, please contact me at 214-670-4517 or by email at carol.smith@dallascityhall.com. You may also contact Theresa Hampden, Interim First Assistant City Auditor, at 214-670-4968 or by email at theresa.hampden@dallascityhall.com.

Sincerely,



Carol A. Smith, CPA, CIA, CFE, CFF
Interim City Auditor

Attachments

- C: T.C. Broadnax, City Manager
Christopher J. Caso, Interim City Attorney
Kimberly Bizer Tolbert, Chief of Staff
Majed Al-Ghafry, Assistant City Manager
Jon Fortune, Assistant City Manager
M. Elizabeth Reich, Chief Financial Officer
Joey Zapata, Assistant City Manager
Gloria Lopez Carter, Director – Department of Court and Detention Services
Chief David Coatney – Department of Dallas Fire-Rescue
Mark Duebner, Director – Department of Aviation
Mary Jo Giudice, Director – Dallas Public Library
Chief U. Reneé Hall – Dallas Police Department
Kelly High, Director – Department of Sanitation Services
Terry Lowery, Director – Department of Dallas Water Utilities
Hugh Miller, Interim Chief Information Officer – Department of Communication and Information Services
David Noguera, Director – Department of Housing and Neighborhood Revitalization
Robert Perez, Interim Director – Department of Public Works
Gwendolyn Schuler, Executive Manager – Office of Public Affairs and Outreach
Kris Sweckard, Director – Department of Sustainable Development and Construction
Errick Thompson, Director – Building Services Department
Willis Winters, Director – Department of Park and Recreation
William Finch, Deputy Director – Department of Communication and Information Services
Sarah Standifer, Assistant Director – Department of Dallas Water Utilities

Background, Objective, Scope, and Methodology

Background

Closed-Circuit Television Camera System Uses

The City of Dallas (City) uses closed-circuit television (CCTV) camera systems at City owned and leased facilities to: (1) ensure public safety and security; (2) monitor operational activities; and, (3) safeguard property and equipment. At City owned facilities, the City manages and maintains the CCTV camera systems. At City leased facilities, according to the Department of Sustainable Development and Construction, landlords manage and maintain the CCTV cameras systems.

The U.S. Department of Homeland Security's *CCTV: Developing Privacy Best Practices*

In December 2007, the U.S. Department of Homeland Security Privacy Office (DHS Privacy Office) convened a two-day public workshop that included leading academics, international government officials, researchers, law enforcement representatives, technologists, community leaders, and policy experts to examine best practices for government use of CCTV camera technology. Subsequently, the DHS Privacy Office issued a report titled *CCTV: Developing Privacy Best Practices* which outlines best practice principles for implementing CCTV camera systems while respecting privacy and civil liberties.

The eight best practice principles and the associated elements considered relevant to this audit are shown below:

Minimum Best Practice Elements

At a minimum, policies should include the following elements:

- Definition of appropriate use
- Access rights for those whose images are identified and retained
- Security controls governing the camera footage and images
- Appropriate limits on the location of cameras
- Monitoring for inappropriate uses
- Retention policies
- Adequate training of personnel with access to the systems
- Internal and external auditing

Source: The U.S. Department of Homeland Security

Principle 1 - Purpose Specification –

“Each government agency should specifically articulate the authority that permits its use of CCTV and specifically articulate the law enforcement purpose(s) for which CCTV is intended to be used.”

- *“Set clear, objective standards to evaluate [the] effectiveness of the CCTV system.”*
- *“Design the system to ensure that it achieves its objective.”*

Audit of Surveillance Camera Oversight

Principle 2 - Transparency - *“Each government agency considering the use of CCTV should be as transparent as possible and provide notice to the public regarding its use of CCTV. There should be no secret use of CCTV. Each agency should have a written CCTV policy that governs the collection, use, maintenance, and disclosure of all camera footage or images.”*

- *“Use signage to alert the public to the presence of cameras.”*

Principle 3 - Individual Participation - *“Each government agency considering the use of CCTV should involve the public to the greatest extent possible in its decision to employ CCTV. To the extent practical, the agency should provide notice through appropriate signage in areas where CCTV is employed and provide mechanisms for appropriate access and redress regarding the use of camera footage or images.”*

- *“Permit public access to images pertaining to themselves to the extent possible.”*

Principle 4 - Data Minimization - *“Each government agency should only use CCTV to the extent relevant and necessary to accomplish the specified purpose(s) and only retain the camera footage or images for as long as is necessary to fulfill the specified purpose(s). The camera footage or images should be disposed of in accordance with a specified records disposition schedule.”*

- *“Design the scope and capabilities of a public video surveillance system to minimize its negative impact on constitutional rights and values.”*

Principle 5 - Use Limitation - *“Each government agency should use CCTV solely for the purpose(s) specified in the notice given to the public. Disclosing camera footage or images outside the agency should only be pursuant to a written policy and for a valid public safety or law enforcement purpose.”*

- *“Prohibit sharing of public video surveillance data with third parties and set appropriate limits on sharing public video with other governmental agencies.”*
- *“Require additional specific approvals to use more intrusive technologies.”*
- *“Require additional specific approvals to use stored footage for a secondary purpose – a law enforcement purpose other than the original purpose for which the system was designed and installed.”*

Principle 6 - Data Quality and Integrity - *“Each government agency should, to the extent practical, ensure that the camera footage or images are accurate, relevant, timely, and complete, within the context of its use.”*

- *“Provide safeguards for use of stored video surveillance data, such as requiring digital watermarks.”*
- *“Provide safeguards, such as training for personnel with access to a public video surveillance system.”*

Audit of Surveillance Camera Oversight

Principle 7 – Security - *“Each government agency should protect the CCTV system through appropriate security safeguards against risks such as loss, unauthorized access or use, destruction, modification, or unintended or inappropriate disclosure.”*

- *“Provide appropriate sanctions against misuse and abuse of public video surveillance systems, as well as remedies for those harmed by such misuse or abuse.”*
- *“Create technological and administrative safeguards to reduce the potential for misuse and abuse of the system.”*

Principle 8 - Accountability and Auditing - *“Each government agency should be accountable for complying with these principles, providing training to all employees and contractors who use the CCTV system, and auditing the actual use of the CCTV system to demonstrate compliance with these principles and all applicable privacy protection requirements.”*

- *“Conduct periodic audits to assess the system’s effectiveness, its impact on the community, and its adherence to the system’s stated primary purpose.”*
- *“Define and enforce penalties for system violations.”*
- *“Apply to any law enforcement use of privately collected video data the same standards that apply to public video data.”*

The U.S. Department of Homeland Security’s (DHS) *CCTV: Developing Privacy Best Practices* report was used by the Office of the City Auditor as a benchmark to assess the internal control design for managing and maintaining CCTV camera systems at City owned and leased facilities. The DHS report included two privacy impact assessments: one for federal DHS Programs, and one for state and local government entities. The DHS updated the *Privacy Impact Assessment for the Use of CCTV by DHS Programs* in July 2012, which includes subsequent updates as recent as August 2018. The DHS uses CCTV camera systems because DHS has legal authority under 40 U.S.C. §1315 to protect the buildings, grounds, and property owned, occupied or secured by the federal government, and the individuals on the property. The DHS’ CCTV camera systems are used to obtain real-time and recorded visual information in and around federal worksites and facilities to aid in crime prevention and criminal prosecution, enhance officer safety, secure physical access, promote cost savings, and assist in terrorism investigation or terrorism prevention. Also, the DHS’ CCTV camera systems can capture images of people, license plates, and any other visual information within range of the camera.

Like DHS, the City has the responsibility to protect the City’s property and the individuals on the property. The City uses CCTV camera systems for public safety and security, monitoring operational activities, and safeguarding property and equipment. The City’s CCTV camera systems can capture images of people, license plates, and any other visual information within range of the camera. Certain cameras can zoom in on both vertical and horizontal movement (pan, tilt, zoom cameras). Therefore, the DHS’ *CCTV: Developing Privacy Best Practices* including the privacy impact assessment for state and local government entities is relevant guidance for the City in developing appropriate internal controls.

Objective, Scope, and Methodology

This audit was conducted under the authority of the City Charter, Chapter IX, Section 3 and in accordance with the *Fiscal Year 2017 Audit Plan* approved by the City Council. The audit objective was to determine whether the City adequately/effectively manages and maintains its networks of surveillance cameras. Surveillance cameras such as body cameras, traffic cameras, trail cameras, etc. were excluded from the audit. The audit scope included management operations of CCTV camera systems from October 1, 2016 through March 31, 2018. However, certain other matters, procedures, and transactions outside that period were reviewed to understand and verify information during the audit period. This performance audit was conducted in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based upon our audit objective. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objective.

To achieve the audit objective, we:

- Reviewed:
 - Policies and procedures
 - State of Texas privacy laws
 - State of Texas records retention requirements
 - Relevant Administrative Directives
- Researched best practices
- Interviewed personnel from identified departments and offices
- Designed the *Audit of Surveillance Camera Oversight Survey* (Survey)

In addition, the Office of the City Auditor judgmentally selected 15⁵ departments to respond to the Survey. Each department was asked to provide information on five CCTV camera systems or include all systems if less than five camera systems were managed and maintained. Two departments, Housing and Neighborhood Revitalization and the Office of Public Affairs and Outreach responded that they either do not have CCTV camera systems or that the cameras in use were only for broadcasting television programming. These two departments were excluded from the final Survey analyses (see Tables I and II in Attachment II for a list of the 13 departments which responded to the Survey).

⁵ Judgmentally selected departments were: (1) Aviation; (2) Building Services; (3) Communication and Information Services; (4) Court and Detention Services; (5) Dallas Fire-Rescue; (6) Dallas Police; (7) Dallas Public Library; (8) Dallas Water Utilities (DWU); (9) Housing and Neighborhood Revitalization; (10) Office of Public Affairs and Outreach; (11) Park and Recreation; (12) Public Works; (13) Sanitation Services; (14) Sustainable Development and Construction; and, (15) Trinity Watershed Management (TWM). (**Note:** Effective September 15, 2018, TWM was dissolved as an operating department. The TWM's water-related responsibilities are now managed by DWU while environmental activities are now managed by the Office of Environmental Quality. The TWM's Survey response was applicable to the audit timeframe which included TWM operations from October 1, 2016 through March 31, 2018). **Source:** The Office of the City Auditor

Table I

Closed-Circuit Television Cameras Used by Selected Departments Summarized from the *Audit of Surveillance Camera Oversight Survey* as of March 31, 2018

City Department	Public Safety and Security	Monitoring Operational Activities	Safeguarding Property and Equipment	Other ¹	Total CCTV Cameras
Aviation	741	0	0	0	741
Building Services	184	0	21	0	205
Communication and Information Services	0	0	83	0	83
Court and Detention Services	0	38	84	0	122
Dallas Fire-Rescue	0	0	30	0	30
Dallas Police	81	0	27	0	108
Dallas Public Library	0	0	87	0	87
Dallas Water Utilities	0	129	0	0	129
Public Works	23	0	0	0	23
Park and Recreation	0	0	79	0	79
Sanitation Services	7	25	0	0	32
Sustainable Development and Construction	0	0	0	13	13
Trinity Watershed Management	0	24	0	0	24
Total	1,036	216	411	13	1,676

Source: Office of the City Auditor’s analysis of survey responses provided by the departments [for five closed-circuit television (CCTV) camera systems or all systems if departments manage less than five]

Note: ¹ The CCTV camera systems are managed and maintained by landlords.

Audit of Surveillance Camera Oversight

Table II

Internal Control Design Assessment of City Departments' Policies and Procedures As of March 31, 2018

City Department	Policies and Procedures Present	No. of DHS Best Practice Principles Present	CCTV Camera Systems Retention Schedules Present	CCTV Camera Signage Posted at All Facilities
Aviation	Yes	Three ¹	Yes	No
Building Services	No	n/a	No	No
Communication and Information Services	No	n/a	No	Yes
Court and Detention Services	No	n/a	Yes	No
Dallas Fire-Rescue	No	n/a	No	No
Dallas Police	No	n/a	Yes	No
Dallas Public Library	Yes	Five ²	No	No
Dallas Water Utilities	No	n/a	No	No
Public Works	No	n/a	No	No
Park and Recreation	No ³	n/a	No	No
Sanitation Services	No	n/a	No	No
Sustainable Development and Construction	No	n/a	No	No
Trinity Watershed Management	No	n/a	No	Yes

Source: Office of the City Auditor's analysis of survey responses provided by the departments

Notes: ¹ **Best practice principles that were present included:** Security, Transparency, and Use Limitation. However, these principles in the Department of Aviation's policy and associated procedures do not include all elements recommended by the U.S. Department of Homeland Security (DHS). For example, the Security Principle does not address "*remedies for anyone harmed by system misuse or abuse.*" **Best practice principles that were not present included:** Purpose Specification, Individual Participation, Data Minimization, Data Quality and Integrity, and Accountability and Auditing.

² **Best practice principles that were present included:** Purpose Specification, Transparency, Individual Participation, Data Minimization, and Use of Limitation. However, these principles in the Dallas Public Library's policy and associated procedures do not include all elements recommended by DHS. For example, the Transparency Principle does not address the "*use of signage to alert the public of the presence of cameras.*" According to the Dallas Public Library, it has signage in certain library locations, but not consistently throughout the areas where CCTV cameras are in use. **Best practice principles that were not present included:** Data Quality and Integrity, Security, and Accountability and Auditing.

³ The Department of Park and Recreation has a "directive" for security camera systems; however, the directive is applicable to the Park Maintenance Services Division only. Also, the directive does not address all eight DHS best practice principles and/or all elements of the principles.

Audit of Surveillance Camera Oversight

Table III

**Selected Information Summarized from the
Audit of Surveillance Camera Oversight Survey as of March 31, 2018**

CCTV Camera Purposes	Total Evaluated CCTV Cameras			Total Evaluated Systems			Total Evaluated Facilities		
	No.	CCTV Cameras Not in Operation ¹ No.	Percent ²	No.	CCTV Camera Systems Without Data Backup No.	Percent ³	No.	CCTV Camera Facilities Without Signage No.	Percent ⁴
Public Safety and Security ⁵	1,036	16	10	7	3	13	12	12	32
Monitoring Operational Activities	216	46	29	9	8	33	12	7	19
Safeguarding Property and Equipment	411	97	60	14	13	54	38	15	41
Other – managed and maintained by landlords	13	2	1	3	Unknown	Unknown	3	3	8
Total	1,676	161	100	33	24	100	65	37	100

Source: Office of the City Auditor's analysis of survey responses provided by the departments

Notes: ¹ The CCTV cameras were not in operation as of March 31, 2018. The causes or the duration of the non-operating cameras were not determined.

² Percent of the total number of CCTV cameras not in operation (161).

³ Percent of the total number of CCTV camera systems without data backup (24).

⁴ Percent of the total number of CCTV facilities without signage (37).

⁵ For "Total Evaluated Systems", a department has a system that is used for both public safety and security and for safeguarding property and equipment. As a result, the auditor included the survey response under public safety and security.

Audit of Surveillance Camera Oversight Survey⁶

City of Dallas Office of the City Auditor Survey – Audit of Surveillance Camera Oversight (Phase I Survey)

2018

What the Phase I Survey is about: This survey is part of the *Audit of Surveillance Camera Oversight*. The purpose of the survey is to obtain an understanding of selected City of Dallas (City) Departments' management and maintenance processes for surveillance camera system(s) including each department's policies and procedures. For this survey:

- Surveillance cameras include any closed-circuit television (CCTV) cameras used by the City at facilities leased or owned by the City. Surveillance cameras such as body cameras, traffic cameras, trail cameras, etc. are excluded from the scope of this survey.
- Departments should consider a network of cameras as one system if data is centrally stored (server, digital video recorder {DVR}, etc.) and/or monitored; even if they are located at multiple locations: (1) within a facility; and, (2) multiple facilities.

Who should complete the Phase I Survey: A director or designated personnel who is knowledgeable about the department's:

- Management and maintenance processes for surveillance camera system(s)
- Policies and procedures should complete the survey

How to complete the Phase I Survey:

- Complete the survey by responding to each applicable question and include any comments or documentary evidence (if necessary) to support your comments.
- The responses and documentary evidence should be as of **March 31, 2018**; any changes or work performed after this date will not be included in the analysis.
- On the Signature Page, please provide the name, phone number, and e-mail address of the person who completed the survey. The survey should be dated by the person who completed the survey.

When: Complete and return the survey to the Office of the City Auditor by **May 29, 2018**.

Where to send the Phase I Survey: After completing the survey, please send an electronic copy to Richard Siu at richard.siu@dallascityhall.com.

Additional Questions: Please contact Richard Siu, Project Manager, at 214-670-5176 or Thandee Kywe, Audit Manager, at 214-939-2524 with any questions.

CONFIDENTIAL AUDIT WORKING PAPER – NOT FOR PUBLIC RELEASE

⁶ Since the Phase I Survey established the City of Dallas did not have appropriate internal controls,¹ the Phase II Survey was not initiated.

City of Dallas Office of the City Auditor Survey –
 Audit of Surveillance Camera Oversight (Phase I Survey)

Section I – General Questions

Please complete Attachment I.

Section II – Policies and Procedures *(for departments that own the system(s))*

For the system(s) that are not owned by the City of Dallas (City), skip to Section III.

No.	Questions	Yes	No	N/A	Comments
1.	Does the department have formal (written, approved, and dated) policies and procedures for the management and maintenance of surveillance cameras system(s)? If yes, please provide a copy of the formal policies and procedures as of March 31, 2018. If no, skip to the Signature Page (page 7) if the department does not have formal policies and procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Do the formal policies and procedures include the following items?				
	a. System(s)' purpose	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. Clear and objective standards to evaluate the effectiveness of the system(s) to achieve its purpose	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Use of signage to alert the public of the presence of cameras	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

CONFIDENTIAL AUDIT WORKING PAPER – NOT FOR PUBLIC RELEASE

City of Dallas Office of the City Auditor Survey –
 Audit of Surveillance Camera Oversight (Phase I Survey)

2018

No.	Questions	Yes	No	N/A	Comments
2.	Do the formal policies and procedures include the following items? <i>(Continued)</i>				
	d. Compliance with, Federal, State of Texas, and local regulations (e.g., privacy laws)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	e. System(s)' limits to minimize the potential negative impact on constitutional rights and values (e.g., use of "blindings" or software "blur" spots on pan, tilt, zoom {PTZ}, cameras to protect privacy areas from being viewed)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	f. Data sharing limits (within the department, and/or other departments, third parties, or other government agencies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	g. Data sharing approval requirements (within the department, and/or other departments, third parties, or other government agencies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	h. Use of safeguards for stored data (e.g., digital watermarks, encryption, face blurring)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	i. System(s) user training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	j. System(s) data retention and deletion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	k. Sanctions against system(s) misuse and abuse	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

CONFIDENTIAL AUDIT WORKING PAPER – NOT FOR PUBLIC RELEASE

City of Dallas Office of the City Auditor Survey –
 Audit of Surveillance Camera Oversight (Phase I Survey)

2018

No.	Questions	Yes	No	N/A	Comments
2.	Do the formal policies and procedures include the following items? <i>(Continued)</i>				
	a. Enforcement of sanctions for system(s) violations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. Remedies for anyone harmed by system(s) misuse or abuse	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Technical and administrative controls to reduce the potential for system(s) misuse or abuse (e.g., use of passwords, physical access restrictions, management approvals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	d. Periodic review to assess the system(s)' effectiveness, its impact on the community, and its adherence to the system(s)' primary purpose (including unauthorized access or inappropriate use – <i>please specify review frequency in the Comments section</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	e. Periodic audits of the system(s) to ensure compliance with all policies and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	f. System(s) maintenance (including cameras, monitors, servers or other storage devices)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

CONFIDENTIAL AUDIT WORKING PAPER – NOT FOR PUBLIC RELEASE

City of Dallas Office of the City Auditor Survey –
 Audit of Surveillance Camera Oversight (Phase I Survey)

Section III – Third Party System(s) *(for departments that do not own the system(s))*

No.	Questions	Yes	No	N/A	Comments
1.	Are the system(s) owned and managed by an external entity such as:				
	a. Third-party vendor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. Landlord?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Other? <i>(please specify in the Comments section)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Do the contracts, service level agreements, lease agreements, or other legal documents include the following: <i>Please provide a copy. (If possible, an electronic copy.)</i>				
	a. Roles and responsibilities between the external entity and the department?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. System(s)' access? (e.g., limited to authorized users only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Limitations of liability? (e.g., the City is not liable for system(s)' data shared with other entities/parties without the City's permission)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	d. Protection of system(s)' data? (e.g., use of password and/or system(s)' data storage location is physically secured)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	e. System(s) maintenance? (e.g., response time to maintenance issues)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	f. City's right to audit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

CONFIDENTIAL AUDIT WORKING PAPER – NOT FOR PUBLIC RELEASE

City of Dallas Office of the City Auditor Survey –
 Audit of Surveillance Camera Oversight (Phase I Survey)

No.	Questions	Yes	No	N/A	Comments
2.	Do the contracts, service level agreements, lease agreements, or other legal documents include the following: <i>(Continued)</i>				
	g. Performance criteria such as 95 percent uptime for cameras and data is held for 30 days?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Does the department have formal (written, approved, dated) policies and procedures to monitor the performance of the external entities? <i>Please provide a copy of the formal policies and procedures.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Does the department monitor the external entities to ensure compliance with contract terms, service level agreements, lease agreements, or other legal documents regarding:				
	a. Collection of system(s)' data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	b. Use of the system(s)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	c. Disclosure of system(s)' footage or images (data)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	d. System(s) maintenance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.	How often does the department monitor the external entities?				
6.	Does the department document and keep on file the monitoring results for the above questions (#4 and #5)? <i>Please provide the two most recent monitoring results that were completed prior to March 31, 2018.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

CONFIDENTIAL AUDIT WORKING PAPER – NOT FOR PUBLIC RELEASE

City of Dallas Office of the City Auditor Survey –
Audit of Surveillance Camera Oversight (Phase I Survey)

2018

Signature Page

Print Name	Print Title	Email Address	Date

By completing the Signature Page, I confirm to the best of my knowledge and belief that the responses provided in this survey are accurate.

ATTACHMENT IV

Management's Response

Memorandum

RECEIVED

NOV 27 2018

City Auditor's Office



CITY OF DALLAS

DATE: November 27, 2018
TO: Carol A. Smith, Interim City Auditor
SUBJECT: Response to Audit Report:
Audit of Surveillance Camera Oversight

Our response to the audit report recommendation is as follows:

Recommendation I

We recommend the City Manager ensures:

- The City has appropriate internal controls for the management and maintenance of CCTV camera systems by developing formal city-wide policies and procedures (e.g., Administrative Directive), that incorporate standards or best practices such as the DHS' *CCTV: Developing Privacy Best Practices* principles and relevant elements, including defining the formal data retention requirements for CCTV camera systems' data
- Responsible departments comply with the newly established requirements in the city-wide policies and procedures

Management Response / Corrective Action Plan

Agree Disagree

We disagree with your recommendation because the document with which you suggest compliance and on which you based the audit, the Department of Homeland Security Privacy Office's (DHS) *CCTV: Developing Privacy Best Practices (Privacy Best Practices)*, is overly broad and is related to the protection of privacy and civil liberties rather than internal controls for the management and maintenance of CCTV camera systems. Further, Privacy Best Practices is not risk based, does not include an analysis of the costs and benefits of such a program, and is more than 10 years old. Further, Privacy Best Practices are written using a framework known as the Fair Information Practice Principles (FIPPs) which are from the U.S. Privacy Act of 1974 [5 U.S.C. §552a]. The International Journal of Public Administration describes published guidelines, including Privacy Best Practices, as voluntary rather than prescriptive.

"Our Product is Service"
Empathy | Ethics | Excellence | Equity

The extent of the issues found in the audit may not warrant additional controls. In total, less than 10 percent of cameras were found to be inoperable on a single day; however, of the cameras used for public safety and security, less than 2 percent were found to be inoperable. No reason was determined for the inoperability of the cameras, such as that the cameras were broken and scheduled for repair. Also, the audit cites no violations of state law, and does not attribute any losses to any issue raised in the audit.

The audit also raised the issue of CCTV camera systems at three leased facilities. Subsequent research shows that the camera equipment was already present at the leased facilities prior to the lease and that the camera equipment and data are owned by the landlord and not the City.

Despite our disagreement with the recommendation, the City of Dallas takes safety and security seriously. In fact, we recently consolidated all security operations in the Department of Court and Detention Services. We have charged that department with conducting security risk assessments to best allocate our limited resources to protect the public and our employees and property using an enterprise approach.

Based on this audit report, Court and Detention Services will take several actions in this area, including researching and evaluating criteria relevant to our CCTV systems, as well as researching policies and procedures of other large municipalities. We will also analyze the costs involved and benefits to be gained by implementing such policies and procedures and the subsequent compliance monitoring. Based on the results of our research and analysis, we will consider developing appropriate formal city-wide policies and procedures, such as an Administrative Directive.

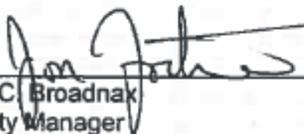
In addition, Court and Detention Services will work with departments to determine if the cameras found to be inoperable have been repaired, and if not, whether they should be repaired or removed.

Implementation Date

Not Applicable

Responsible Manager

Not Applicable



T.C. Broadnax
City Manager

C: Chris Caso, Interim City Attorney
Kimberly B. Tolbert, Chief of Staff
M. Elizabeth Reich, Chief Financial Officer

"Our Product is Service"
Empathy | Ethics | Excellence | Equity