Internal Audit of the RMV State Pointer Exchange Services and Out of State Unit FY2024

June 10, 2026

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Background and Objectives

Audit Background

The State Pointer Exchange (SPEX) Unit focuses on preventing duplicate driver credentials through the SPEX system, while the Out of State (OOS) Unit ensures that out-of-state violations, convictions, and sanctions are accurately recorded and applied to Massachusetts driver records.

This audit engagement is recurring and will be conducted every 2 years due to the high-risk nature of the processed transactions.

Audit Objectives

The Internal Audit of the SPEX and OOS Units focused on the following Audit Objectives:

- Determine if adequate controls are in place to ensure the accuracy of OOS/SPEX transactions, and policies procedures are adhered to.
- Determine if adequate controls are in place to identify and reduce the risk of fraudulent/inappropriate transactions.

Audit Operations (AO) then evaluated the controls through randomly selected transactions from January 1, 2024 to December 31, 2024, ensuring at least 95% compliance.

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Scope and Results

Audit Scope

The Audit covered the following key processes:

- Processing work items assigned through ATLAS work queues, including OOS Violations queue.
- Interpreting OOS notification information for input into ATLAS on a MA driver record.
- Ensuring system applies appropriate sanctions and notifications related to violations entered on a MA driver record.
- Examining the correctness of execution of forms, documents and applications pertaining to suspensions.
- Review out of state notifications-both incoming and outgoing-for Commercial Driver's License (CDL) holders and non-CDL holders.

Please note, the period under review is January 1, 2024, to December 31, 2024.

Audit Results

Based on the results of the audit, AO concludes that the internal controls, policies and procedures reviewed for the SPEX/OOS unit are in place, adequate, and functioning appropriately. AO did not identify any critical findings upon the completion of this audit.

Thank you

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