



DEBRA K. DAVENPORT, CPA  
AUDITOR GENERAL

STATE OF ARIZONA  
OFFICE OF THE  
**AUDITOR GENERAL**

WILLIAM THOMSON  
DEPUTY AUDITOR GENERAL

November 7, 2003

The Honorable Robert Blendu, Chair  
Joint Legislative Audit Committee

The Honorable John Huppenthal, Vice Chair  
Joint Legislative Audit Committee

Dear Senator Blendu and Representative Huppenthal:

Our Office has recently completed a 24-month followup of the Department of Public Safety—Criminal Investigations Division regarding the implementation status of the 13 audit recommendations (including sub-parts of the recommendations) presented in the performance audit report released in September 2001 (Auditor General Report No. 01-22). As the attached grid indicates:

- 4 of the 13 recommendations have been implemented;
- 8 of the 13 recommendations are in the process of being implemented; and
- 1 recommendation has not been implemented.

Unless otherwise directed by the Joint Legislative Audit Committee, this report concludes our follow-up work on the Department's efforts to implement the recommendations resulting from the September 2001 performance audit.

Sincerely,

Debbie Davenport  
Auditor General

Attachment

cc: Colonel Dennis Garrett, Director  
Department of Public Safety

**DEPARTMENT OF PUBLIC SAFETY**  
**Criminal Investigations Division**  
**24-Month Follow-Up Report To**  
**Auditor General Report No. 01-22**

**FINDING I: The Division Lacks Formal Evaluation Processes for Task Force Participation**

<b>Recommendation</b>	<b>Status of Implementing Recommendation</b>	<b>Explanation for Recommendations That Have Not Been Implemented</b>
<p>1. The Division should develop and implement a formal process to help it determine whether it should join a task force. The process should be documented and include such things as the level of criminal activity, the task force's mission and goals, and the projected costs and benefits of participation.</p>	<p>Implementation in Process</p>	
<p>2. The Division should seek to acquire complete formal agreements for each task force that it participates on by again requesting that those participating agencies that have not completed formal agreements do so. These agreements should be located in a central file in DPS' Legal Section.</p>	<p><b>Implemented at 24 months</b></p>	
<p>3. The Division should develop and implement a supervision policy specific to task forces. This policy should include, at a minimum, the frequency and type of supervision required for investigators assigned to task forces.</p>	<p><b>Implemented at 18 months</b></p>	

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Criminal Investigations Division  
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Auditor General Report No. 01-22**

**FINDING I: The Division Lacks Formal Evaluation Processes for Task Force Participation (Concl'd)**

<b>Recommendation</b>	<b>Status of Implementing Recommendation</b>	<b>Explanation for Recommendations That Have Not Been Implemented</b>
<p>4. The Division should develop and implement formal assessment and review procedures for the purpose of determining whether to continue task force participation. The reviews should be conducted yearly and be appropriately documented. To aid in these reviews, the Division should obtain adequate management information, such as management reports from the task force governing boards, and activity information from its case management system.</p>	<p><b>Implemented at 18 months</b></p>	

**DEPARTMENT OF PUBLIC SAFETY**  
**Criminal Investigations Division**  
**24-Month Follow-Up Report To**  
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**FINDING II: The Division Needs To Improve Its Case Management Practices**

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Division should develop specific criteria for accepting cases to help it balance the requests of local jurisdictions with state-wide enforcement needs and priorities.	<b>Not Implemented</b>	In its initial response to the report, the agency indicated that it would not implement the recommendation.
2. The Division should ensure adequate case oversight and appropriate documentation by: <ul style="list-style-type: none"> <li>a. Enforcing policies requiring supervisory review every 30 days.</li> <li>b. Enforcing policies on supervisory review of the paper case file to ensure it contains appropriate documentation.</li> <li>c. Enforcing its policy that closed case files be sent to the Records Unit.</li> </ul>	Implementation in Process   Implementation in Process   Implementation in Process	

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**FINDING II: The Division Needs To Improve Its Case Management Practices (Cont'd)**

<b>Recommendation</b>	<b>Status of Implementing Recommendation</b>	<b>Explanation for Recommendations That Have Not Been Implemented</b>
<p>3. The Division should improve its case management information regardless of whether it purchases a new system or continues with the current one by:</p> <p>a. Enforcing the policy requiring all division investigators to enter case information into the Division's automated system.</p> <p>b. Making the necessary programming changes to allow non-DPS cases the same internal tracking capability as DPS cases.</p> <p>c. Expanding the case outcome codes to more accurately reflect current activities the Division conducts.</p> <p>d. Re-establishing a formalized training program to ensure a better understanding of the system and proper use of codes.</p>	<p>Implementation in Process</p> <p>Implementation in Process</p> <p>Implementation in Process</p> <p><b>Implemented at 24 months</b></p>	

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**FINDING II: The Division Needs To Improve Its Case Management Practices (Concl'd)**

<b>Recommendation</b>	<b>Status of Implementing Recommendation</b>	<b>Explanation for Recommendations That Have Not Been Implemented</b>
4. Once critical case information for the entire Division is available, the Division should assess its activities and outcomes to ensure its priorities are being met.	Implementation in Process	