



**DEBRA K. DAVENPORT, CPA**  
AUDITOR GENERAL

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

**MELANIE M. CHESNEY**  
DEPUTY AUDITOR GENERAL

June 17, 2013

The Honorable Chester Crandell, Chair  
Joint Legislative Audit Committee

The Honorable John Allen, Vice Chair  
Joint Legislative Audit Committee

Dear Senator Crandell and Representative Allen:

Our Office has recently completed a 24-month followup of the Arizona Department of Public Safety—Followup on Specific Recommendations from Previous Audits and Sunset Factors regarding the implementation status of the 8 audit recommendations (including sub-parts of the recommendations) presented in the performance audit report released in March 2011 (Auditor General Report No. 11-01). As the attached grid indicates:

- 2 have been implemented;
- 2 have been partially implemented;
- 3 are in the process of being implemented; and
- 1 is not yet applicable.

Unless otherwise directed by the Joint Legislative Audit Committee, this concludes our follow-up work on the Department's efforts to implement the recommendations from the March 2011 performance audit report.

Sincerely,

Dale Chapman, Director  
Performance Audit Division

DC:sjs  
Attachment

cc: Robert Halliday, Director  
Arizona Department of Public Safety

**Arizona Department of Public Safety—Followup on Specific  
Recommendations from Previous Audits and Sunset Factors  
Auditor General Report No. 11-01  
24-Month Follow-Up Report**

**Recommendation**

**Status/Additional Explanation**

**Finding 1: Department Implemented Most Prior Audit Recommendations and Is Working to Minimize Public Safety Impact of State’s Budget Crisis.**

1.1 To ensure it can clear highways as quickly as possible, the Department should continue with its plans to establish a 90-minute clearance goal and use its new traffic incident tracking form information to analyze the times officers arrive on the scene and when the traffic incidents are cleared. The Department should then use the data it collects to make appropriate and necessary changes to its traffic incident management procedures so it can meet the 90-minute clearance goal.

**Implementation in process**

In lieu of focusing on a 90-minute clearance goal, the Department has elected to institute a Traffic Incident Management (TIM) program to ensure it can clear state highways as quickly and safely as possible. According to the Department, traffic incidents that take longer than 90 minutes to clear comprise only about 5 percent of the total number of incidents on state highways; as such, focusing on these relatively rare events is not sufficient to ensure that highways are cleared quickly, safely, and with a minimum of property damage to motorists.

The Department reports that the TIM strategies it employs focus on the broader goal of increasing mobility on state highways by working to reduce the incidence of secondary collisions, which are collisions that result from the presence of a previous traffic incident. The TIM program emphasizes responder safety; safe, quick incident clearance; and reliable interagency communication. In April 2012, the Department revised its Highway Patrol Division Priorities Order to include prioritization of TIM strategies when managing traffic incidents. In addition, the Department has begun a pilot TIM training program, and reported that it will make TIM training mandatory for all DPS responders by July 2014. In addition, the Department indicated that it is working with ADOT and other related entities, such as the Arizona Professional Towing and Recovery Association, to implement this training for all first responders.

## Recommendation

## Status/Additional Explanation

1.2 Given its reduced operations and pilot availability and because aircraft are expensive to own, operate, and maintain, the Department should formally assess the need for its current level of aviation resources, both helicopters and fixed-wing air transport aircraft.

### **Partially implemented at 6 months**

The Department's Aviation Bureau reviewed its enabling statutes, considered the Department's Aviation Mission Statement, assessed the demand for its services, and considered the mission and purpose of each of its aircraft. Based on this analysis, the Department's Aviation Bureau determined that all aircraft are needed and recommended that additional department pilot positions be filled. In conducting its analysis, the Department did not consider other factors such as whether its aviation services could be provided by another entity or, given its reduced operations, whether it would be cost beneficial to eliminate some of its aircraft. However, according to the Department, it believes the aviation services it provides are appropriate given the Department's mission, specialized staffing, and public safety and governor security statutory mandates. The Department believes that the public safety benefit provided through its aviation function outweighs the costs and therefore has chosen not to eliminate any of its aircraft.

1.3 The Department should formalize the process it uses to decide whether or not to participate on a task force.

### **Partially implemented at 24 months**

In November 2011, the Department established a policy that provides the criteria that the agency will consider when deciding whether to participate in a new task force. In addition, the Department established a form it will use to document its decision to participate on a task force. However, as of April 2013, the Department has not been requested to join a task force.

1.4 The Department should develop specific criteria for accepting investigative cases from other law enforcement agencies and document its decisions for accepting investigative cases to help it balance the requests of local jurisdictions with state-wide law enforcement needs and priorities.

### **Implemented at 24 months**

1.5 The Department should continue developing a case management system that will allow nondepartment-led investigative cases the same tracking capability as department-led investigative cases.

### **Implementation in process**

The Department has purchased a new case management records system, and the Department is undergoing the first phase of system implementation. The Department has developed a training program designed to instruct staff on the use of the system, and department staff reported that initial training sessions were conducted in April 2013. According to the Department, it plans to have 50 investigators trained on the use of the system by July 1, 2013, the date it anticipates the system will be operational. Although the first phase of system implementation does not include the capability for the Department to track nondepartment-led cases, department staff reported that this functionality will be included in subsequent implementation phases.

**Recommendation****Status/Additional Explanation**

1.6 The Department should continue to expand the case outcome codes in its case management system or, in a new system, to more accurately reflect the criminal investigation activities it conducts and case outcomes.

**Implemented at 24 months**

1.7 Once more complete management information is available, the Department should use it when assessing its investigation activities and outcomes to ensure its goals and priorities are being met.

**Not yet applicable**

As discussed in recommendation 1.5, the Department is implementing a new case management system. According to the Department, the new system, which is scheduled to be operational by July 1, 2013, will provide management reporting capabilities it can use to assess investigation activities and outcomes to ensure the Department's goals and priorities are being met.

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**Sunset Factor #4: The extent to which rules adopted by the Department are consistent with legislative mandate.**

The Department should continue with its plans, and if its committee determines that administrative rules are necessary to govern processes related to the reporting it receives from manufacturers, wholesalers, retailers, or other persons who receive any precursor or regulated chemicals, it should ensure they are promulgated.

**Implementation in process**

In February 2013, the Department received a waiver to the Governor's moratorium on rule-making, allowing it to initiate the rule-making process in accordance with this recommendation. According to the Department, staff have begun reviewing statutes in preparation for rule-making related to precursor chemicals, but have not yet established a timeline for formally initiating the rule-making process.