Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2007	**Crime Reporting Statistics**		**Issued:** **4/14/2022**	
1A	The Police Chief should require staff to clarify reporting procedures to ensure consistency in disposition coding, eliminating other options that may lead to incorrect coding, and add quality review procedures to identify potentially incorrect or unreported offenses. Additionally, work with other jurisdictions to develop a method to communicate arrests made for each other's warrants so that NIBRS clearances are complete.	Aug 2022: The department reported that its new records management system (RMS) transition is still in progress, with on-site training starting this month. The mandatory data collection points will be incorporated into staff training. In addition, the department reported that it has presented the FBI/CJIS Advisory Policy Board with an August meeting discussion topic on warrants, arrests and communication to allow the most accurate NIBRS clearances. Jan 2023: The department is in the process of recertifying as a NIBRS agency after its transition to a new records management system. May - Dec 2023: The department continues to work with its software vendor on technical corrections to the system mapping and reporting procedures and working on recertification with the State. April 2024: The department achieved NIBRS certification in Jan 2024 and has submitted its Nov 2022-Jan 2024 crime data to AZDPS for validation. The department continues to make improvements to its validation process and we will review updates to the process during the next follow-up. Sept 2024: The department reported that it is current on all reportable data. It is reviewing submission processes with its vendor and state partners. Formal quality assurance protocols will be developed when this review is completed. Jan 2025: Quality assurance protocols are under development. June 2025: The Department has created a reporting compliance Dashboard in its new Records Management System to identify potential errors and developed guidance for clearing the errors and warnings.	Implemented	☑

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1B	The Police Chief should require staff to establish processes to routinely compare SPD incident data to data reported by DPS/NIBRS and evaluate the significance of any differences, such as unreported prior year incidents.	Aug 2022: The department reported that, after its new RMS transition and certification is completed, staff will determine a sustainable review process to compare submitted data and DPS/FBI reported data. Jan 2023: The department is in the process of recertifying as a NIBRS agency after its transition to a new records management system. After certification, the department plans to identify and implement an ongoing process to compare data. May 2023: The department reported that with the transition to the new RMS, it has been unable to upload data to the DPS repository. Once the transition process is completed, the department will evaluate submission results and identify processes to ensure accuracy and completion. Aug - Dec 2023: The department continues to work with the software vendor and DPS to ensure data is correct in both systems. April 2024: The department achieved NIBRS certification in Jan 2024 and has submitted its Nov 2022-Jan 2024 crime data to AZDPS for validation. The department continues to make improvements to its validation process and we will review updates to the process during the next follow-up. Sept 2024: Development of formal processes for ongoing evaluation are in progress. Jan 2025: Quality assurance protocols are under development. June 2025: The Department established a procedure to review coding of violent crimes for accuracy in key elements. Crime reports are prioritized for review based on severity of the crime. Procedures to ensure data transmitted to DPS is accurate and complete have not yet been developed.	Part Impl'd	☑

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1C	The Police Chief should require staff to complete its review of the statute mapping table and document the reasons and approvals for variances from the DPS statute list.	Aug 2022: The department reported its staff has completed several statute reviews for the new RMS and they are still making corrections and clarifications before the system goes live. Jan 2023: The department is continuing to validate data in the new records management system. May 2023: The department reported that this work continues to be in progress. Aug 2023: The department reports this work is in progress. The department is working with the software vendor as issues are identified during the testing and certification process. Dec 2023: The department continues to work with the software vendor on NIBRS certification with DPS. April 2024: As part of the validation process, the department is evaluating the accuracy of statute mapping. We will review this process in the next follow-up. Sept 2024: The department reported this recommendation is close to completion. Jan 2025: The department has completed the validation process and established procedures to document changes.	Implemented	☑

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1D	The Police Chief should require staff to document override reasons in the case comments, including the reason for the override.	Aug 2022: The department reported its staff is documenting the override reasons in the current RMS and the new RMS will minimize the number of corrections needed. As well, the department stated the new RMS has a robust auditing system for changes. Auditors will review implementation as the new system transition is completed. Jan 2023: The department reported that it is continuing to monitor processes and determine expected procedures in the new records management system. May - Dec 2023: The department is in the process of NIBRS certification for its new RMS and will reassess override documentation requirements once that is complete. April 2024: The department reports that the new RMS has improved data validation and logging capabilities to track overrides. We will review code override control processes in our next follow-up. Sept 2024: the department is working on creating an internal auditing process to ensure corrections are done accurately. Jan 2025: This work is in progress. June 2025: The Department reported that the new Records Management System logs code changes and edits go through an approval process before submission.	Implemented	☑

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2A	The Police Chief should require staff to create written procedures for the quality review process.	Aug 2022: The department reported that staff will develop written quality review procedures specific to the new RMS. Jan 2023: The department reported that work continues to be in progress. May 2023: The department reported that written procedures are being continuously evaluated as they navigate the new RMS. Aug 2023: This work is ongoing as the department continues to identify processes in its report management system. Dec 2023: The department continues to develop its quality control guidelines and will finalize them after completion of the NIBRS certification process. April 2024: The department continues to develop its written procedures as it works through its validation processes. Sept 2024: Development of formal processes for ongoing evaluation are in progress. Jan 2025: This work is in progress. June 2025: The Department has created a reporting compliance dashboard in its new Records Management System to identify potential errors and has developed guidance for clearing the errors and warnings.	Implemented	☑

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2B	The Police Chief should require staff to evaluate whether the monthly review of duplicate clearances can be eliminated.	Aug 2022: The department reported staff will review the necessity of this task once the new RMS has been implemented. Jan 2023: The department reported it is working through the certification process with its new RMS. Through this process, it hopes to identify whether this monthly review for duplicate clearances is still relevant. May 2023: The department is in the process of NIBRS certification for its new RMS and will be evaluating clearance reporting. Aug 2023: No changes reported. The department will evaluate once certification process is completed. Dec 2023: NIBRS certification continues to be in progress. April 2024: Now that recertification has been completed, the department is working to update its validation procedures. Sept 2024: The department has confirmed that the RMS uses the arrest or exceptional clearance date, whichever comes first, as the clearance date. Clearance updates do not override the originally reported clearance date.	Implemented	☑
2C	The Police Chief should require staff to establish a UCR code change management process that includes documented requests along with review and approval of the completed change.	Aug 2022: The department reported that internal changes are now being documented through the Cherwell work order system, and a review and verification process will be incorporated. Vendor changes in the new RMS are being documented through vendor communications to the department. Jan 2023: The department is documenting the original request through the work order system, but a review and verification process has not yet been incorporated.	Part Impl'd	☑
2D	The Police Chief should require staff to provide information on the department's website about the City's crime statistics, whether through internally developed reporting or links to state and federal crime statistics websites. Consider developing a report on current crime statistics illustrating both the previous SRS and the current NIBRS data.	Aug 2022: Auditors confirmed that the department has added links to the DPS dashboard and the FBI Crime Data Explorer on the department's Transparency and Accountability web page.	Implemented	☑