



CITY AUDITOR'S OFFICE

FY 2023/24 Follow Up on Status of Audit Recommendations

June 20, 2024

REPORT NO. 2411

CITY COUNCIL

Mayor David D. Ortega
Tammy Caputi
Tom Durham
Vice Mayor Barry Graham
Betty Janik
Kathy Littlefield
Solange Whitehead



June 20, 2024

Honorable Mayor and Members of the City Council:

Enclosed is the *FY 2023/24 Follow Up on Status of Audit Recommendations* report, which was included on the Council-approved FY 2023/24 Audit Plan. This report presents the auditor-determined status of about 140 audit recommendations from audits issued between July 2021 and May 2024. This annual report encompasses a 3-year history plus about 10 months of the current fiscal year's audit recommendations.

This fiscal year auditors conducted follow-ups on 11 audits, with a total of about 70 recommendations. Compared to prior years, a higher percentage of recommendations are in various stages of implementation "in-progress", primarily due to changes in key personnel or systems that impact the ability to implement the recommendations. Overall, for audits issued this year and in the prior 3 years, 97% of audit recommendations have been substantially addressed or are in the process of being addressed, with their status noted as implemented, partly implemented, or in progress.

The report attachments provide summarized recommendation status by department or division and by audit report. Detailed status reports for all audit follow-ups completed this fiscal year are also attached.

If you need additional information or have any questions, please contact me at (480) 312- 7851.

Sincerely,

Lai Cluff, CIA

Acting City Auditor

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RESULTS

This annual *Follow Up on Status of Audit Recommendations* was included on the Council-approved FY 2023/24 Audit Plan. This annual report encompasses a 3-year history plus about 10 months of the current fiscal year, with approximately 140 audit recommendations issued between July 2021 and May 2024.

Implemented, In Progress or Partly Implemented

As shown in the graphic, for the recommendations issued this year and the last 3 fiscal years, about 53% of audit recommendations have been implemented, 12% are partly implemented, and another 32% are in progress.

Compared to prior fiscal years, the percentage of recommendations in-progress has increased. Two primary factors contributing to higher in-progress status: a) personnel changes in key positions responsible for implementing the recommendations, and b) information technology system changes that postpone implementation until full system implementation.

Figure 1. Implementation Status, with 3-year history.

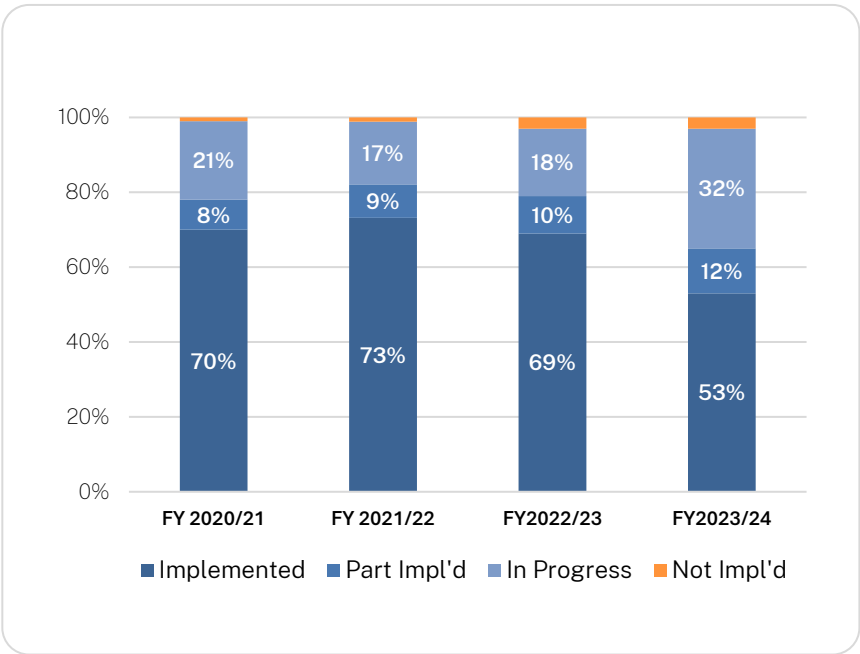
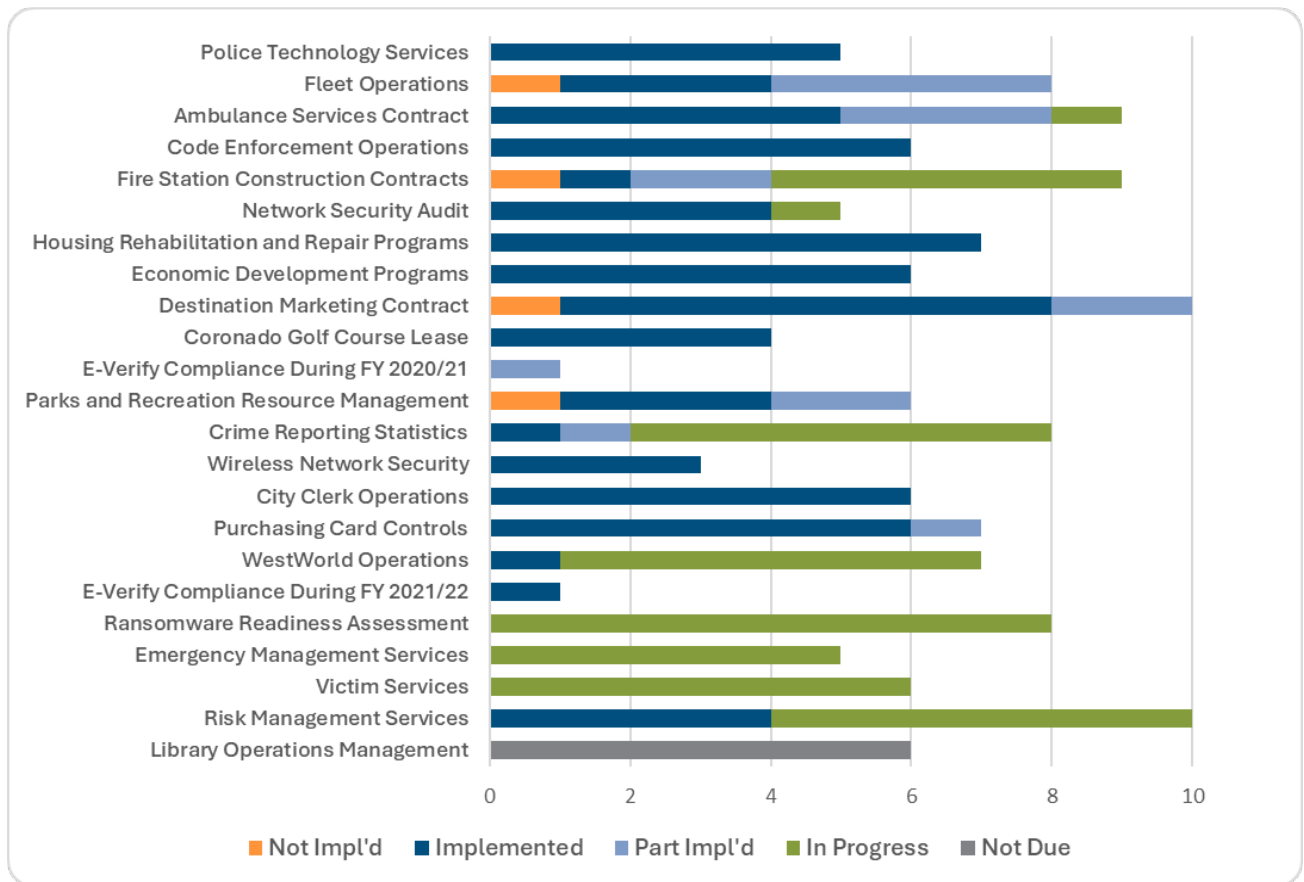


Figure 2 on page 4, provides an overview of recommendation statuses by audit, for audits completed in the current fiscal year and the three prior fiscal years.

(continued on next page)

Figure 2. Recommendation Status by Audit, FY 2020/21 thru FY 2023/24



FY 2023/24 Follow-ups

During this fiscal year auditors performed follow-ups of audit recommendations from 11 audits issued between 2021 and 2023, which included about 70 individual recommendations.

Four audit follow-ups were closed out as completed this fiscal year:

- Wireless Network Security, Audit No. 2203
- Purchasing Card Controls, Audit No. 2205
- City Clerk Operations, Audit No. 2207
- E-Verify FY 2021/22, Audit No. 2302

The attachments below include:

- A summary of the statuses by audit report and by fiscal year for audits issued in the last 3 fiscal years and the current year.
- Detailed status descriptions for each audits reviewed this fiscal year.

Additionally, starting this fiscal year, recommendation status are also available through an interactive dashboard available on our website: [City of Scottsdale - City Auditor \(scottsdaleaz.gov\)](https://scottsdaleaz.gov) → [Recommendation Dashboard](#)

Attachments:

[A - Status by Audit Report and Fiscal Year](#)

[B - Detailed Status Report](#)

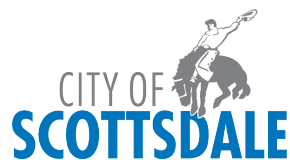
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Elizabeth Brandt, Senior Auditor
Mel Merrill, Senior Auditor
Shelby Trimaloff, Exec Asst to City Auditor
Lai Cluff, Acting City Auditor

The City Auditor's Office conducts audits to promote operational efficiency, effectiveness, accountability and integrity.

Attachment A: Status by Audit Report and Fiscal Year

FY Published	Audit#	Audit Name	Impl'd	In Progress	Part Impl'd	Not Impl'd	Not Applicable	Not Due	Total
2021									
	2003	Police Technology Services	5						5
	2008	Fleet Operations	3		4	1			8
	2009	Ambulance Services Contract	5	1	3				9
	2106	Network Security Audit	4	1					5
	2107	Fire Station Construction Contracts	1	5	2	1			9
	2108	Code Enforcement Operations	6						6
	2109	Housing Rehabilitation and Repair Programs	7						7
	FY Totals		31	7	9	2			49
2022									
	2007	Crime Reporting Statistics	1	6	1				8
	2113	Coronado Golf Course Lease	4						4
	2114	Economic Development Programs	6						6
	2202	E-Verify Compliance During FY 2020/21			1				1
	2203	Wireless Network Security	3						3
	2206	Destination Marketing Contract	7		2	1			10
	2207	City Clerk Operations	6						6
	2208	Parks and Recreation Resource Management	3		2	1			6
	FY Totals		30	6	6	2			44
2023									
	2205	Purchasing Card Controls	6		1				7
	2209	WestWorld Operations	1	6					7
	2302	E-Verify Compliance During FY 2021/22	1						1
	2303	Ransomware Readiness Assessment		8					8

Attachment A: Status by Audit Report and Fiscal Year

FY Published	Audit#	Audit Name	Impl'd	In Progress	Part Impl'd	Not Impl'd	Not Applicable	Not Due	Total
	2307	Emergency Management Services		5					5
		FY Totals	8	19	1				28
2024	2305	Victim Services		6					6
	2306	Risk Management Services	4	6					10
	2402	E-Verify Compliance During FY 2022-23						1	1
	2403	Identity and Access Management						12	12
	2406	Library Operations Management						6	6
	2407	Bridge Infrastructure Assessments						8	8
		FY Totals	4	12				27	43
		Grand Total	73	44	16	4		27	164

Attachment B - 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	<p>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.</p>	<p>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 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. Aug 2023: This work continues to be in progress. Dec 2023: The department continues to work with the software vendor on NIBRS certification with Arizona DPS. April 2024: The department achieved NIBRS certification in Jan 2024 and has submitted its Nov 2022-Jan 2024 crime data to AZDPS for 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.</p>	In Progress	<input type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
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.	<p>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 2023: The department continues to work with the software vendor and DPS to ensure data is correct in both systems. Dec 2023: The department continues to work with the software vendor on NIBRS certification with Arizona DPS. April 2024: The department achieved NIBRS certification in Jan 2024 and has submitted its Nov 2022-Jan 2024 crime data to AZDPS for 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.</p>	In Progress	<input type="checkbox"/>
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.	<p>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.</p>	In Progress	<input type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
1D	The Police Chief should require staff to document override reasons in the case comments, including the reason for the override.	<p>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 2023: The department is in the process of NIBRS certification for its new RMS and will reassess override documentation requirements once that is complete. Aug 2023: The department continues to test its new report management system and evaluate documentation procedures. Dec 2023: The NIBRS certification continues to be in progress. 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.</p>	In Progress	<input type="checkbox"/>
2A	The Police Chief should require staff to create written procedures for the quality review process.	<p>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.</p>	In Progress	<input type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2B	The Police Chief should require staff to evaluate whether the monthly review of duplicate clearances can be eliminated.	<p>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.</p>	In Progress	<input type="checkbox"/>
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.	<p>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.</p>	Part Impl'd	<input checked="" type="checkbox"/>
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.	<p>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.</p>	Implemented	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2107	Fire Station Construction Contracts	Issued:	3/24/2021	
1A	<p>The Public Works Director should require CPM to review construction phase services acquired through the Design Consultant to evaluate which services are necessary to be contracted rather than performed internally and the level of the services required. Also, establish guidelines to ensure required services are consistently covered from project to project.</p>	<p>Sept 2021: The City Engineer reported that he is working on developing a list of services that can be used as a template when acquiring design services. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer reported that she will prepare a template to serve as a guide when acquiring construction phase services. Jan 2023: The City Engineer reported this is still in process. May 2023: No changes were reported. Aug 2023: Management did not provide an update. Dec 2023: The City Engineer reported that the department is working on a guide for construction design services for project management. April 2024: The department is working on a guide for architectural/engineering service during construction.</p>	In Progress	<input type="checkbox"/>
1B	<p>The Public Works Director should require CPM to ensure the scope of work described in change orders is consistent with the supporting details.</p>	<p>Sept 2021: The City Engineer reported his staff has been reminded to ensure the change order description is consistent with the scope of work. Also, he reported he is reviewing change orders for completeness and accuracy, and staff procedures are being updated. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will instruct staff to procure construction phase services with a change order to the existing design contract and to accurately describe the scope of work being added. Jan 2023: The City Engineer reported this is still in process. May 2023: The City Engineer provided direction to project management staff that change orders should accurately describe the scope of work being added.</p>	Implemented	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
1C	The Public Works Director should require CPM to revise department policies and procedures to align with Procurement Code requirements for the authorization of large change orders and clarify policies to ensure contracts are not split to avoid requirements.	Sept 2021: The City Engineer reported that procurement policies have been reviewed and are expected to be updated by the Purchasing department. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will follow up with the Purchasing Director on the Procurement Code requirements. Jan 2023: The City Engineer reported they are working with Purchasing and the City Attorney's office on this Procurement Code requirement. Feb 2023: The City Engineer provided an executed memorandum from the City Manager delegating signature authority for large design and construction change orders requiring his approval by Procurement Code. This authority was delegated to the Public Works Director.	Part Impl'd	<input checked="" type="checkbox"/>
1D	The Public Works Director should require CPM to evaluate the design contracting process to include construction phase services in the contract's scope of work, rather than adding it later as a change order.	Sept 2021: The City Engineer reported that CPM prefers to add the construction phase services when the design is nearly complete to ensure the design consultant has performed satisfactorily prior to awarding more work.	Not Impl'd	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2A	<p>The Public Works Director should require CPM to establish approval and communication procedures for change orders funded by force account or contingency funds. Also, work with Purchasing and the City Attorney's Office to clarify contract language to define the term "force account" along with its allowable uses and to limit allowable change order add-ons.</p>	<p>Sept 2021: The City Engineer reported the department is working with the City Attorney's office and Purchasing to update contract templates to include a definition of a City contingency or Force Account. He also noted procedures have not yet been updated to cover changes funded by the Force Account or contingency funds. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will develop a procedure for applying force account funds. Jan 2023: The City Engineer reported this is still in process. May 2023: No changes were reported. Aug 2023: Management did not provide an update. Dec 2023: The City Engineer reported that CPM is working on creating a Contingency Use Authorization Form. Auditors will verify the implementation at the next follow-up. Updates to contract definitions and allowable uses, as well as department procedures are still needed. April 2024: The department is in the process of creating a contingency use authorization form.</p>	In Progress	<input type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2B	The Public Works Director should require CPM to establish department policies and procedures to ensure substantial completion contractual requirements are consistently applied and evaluate whether adjustments to contractual requirements may be needed.	<p>Sept 2021: The City Engineer reported the department is working to update its procedures. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will instruct staff to complete the substantial completion certificates at the appropriate time during construction. Jan 2023: The City Engineer reported this is still in process. May 2023: The City Engineer directed staff via email communications that Substantial Completion forms must be completed by Construction Administration and submitted to project management staff for issuance to the contractor. Policies and procedures relating to substantial completion continue to be under review and have not yet been updated. Aug 2023: Management did not provide an update. Dec 2023: The department is now using a template form for issuing substantial completion certificates. Development of internal procedures for evaluating substantial completion and ensuring that they align with standard contract requirements continue to be in progress. April 2024: The department reported that substantial completion-related procedures will be included in a future revision of the Project Management and Construction Administration manuals.</p>	In Progress	<input type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2C	The Public Works Director should require CPM to establish policies and procedures for project managers to document causes for delays as they occur, including communications with the contractor regarding the causes and length of delays.	Sept 2021: The City Engineer reported the department is working to update its procedures. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will instruct staff to properly document contract time extensions. Jan 2023: The City Engineer reported this is still in process. May 2023: The City Engineer directed project management staff to notify the contractor in writing as projects approach the end of the contract time, and require any time extension requests to be submitted in writing and formally approved or rejected by Construction Administration staff. Policies and procedures have not yet been updated.	Part Impl'd	<input checked="" type="checkbox"/>
2D	The Public Works Director should require CPM to clarify and/or enforce policies and procedures related to the design process, including monitoring deadlines and tracking review comments.	Sept 2021: The City Engineer reported the department is working to update its procedures. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will review this finding further for clarification and action. Jan 2023: The City Engineer reported this is still in process. May 2023: No changes were reported. Aug 2023: Management did not provide an update. Dec 2023: This recommendation is in progress. April 2024: The City Engineer reported that a procedure will be issued to ensure that the design tracking sheet is being used.	In Progress	<input type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2E	The Public Works Director should require CPM to update department policies and procedures clarifying records retention requirements and establishing quality control steps to ensure project files are complete at project closeout.	Sept 2021: The City Engineer reported the department is working to update its procedures. Mar 2022: The new City Engineer reported that she is reviewing the audit's recommendations to determine the next steps. June 2022: The department reported the status remains the same as in March. Oct 2022: The City Engineer will review this finding further for clarification and action. Jan 2023: The City Engineer reported this is still in process. May 2023: No changes were reported. Aug 2023: Management did not provide an update. Dec 2023: The City Engineer reported that a comprehensive update of department policies and procedures is needed. We will review progress at the next follow-up, with development of the construction administration manual being high priority due to anticipated retirements of key personnel. April 2024: The City Engineer is working to update procedures to clarify record retention and project close out.	In Progress	<input type="checkbox"/>
2203	Wireless Network Security		Issued:	6/10/2022
1A	The IT department should formalize the wireless network's hardening standards, including minimum acceptable encryption protocols, ports and services, event logging and retention, and patching and vulnerability management. As well, establish a log retention period and annually review and update policies and procedures.	Aug 2022: The department reported they have scheduled standards review meetings to begin documenting formal hardening standards and an enterprise wireless configuration policy. Jan 2023: The department reported it is continuing to formalize hardening standards and expect its completion by June 2023. May 2023: A draft policy, which includes hardening standards, is being reviewed and refined by the department. It expects this work to be completed by June 30, 2023. Aug 2023: The department has created a new policy which includes wireless network hardening standards. We have reviewed this policy and it is available on the City's internal Sharepoint site.	Implemented	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
1B	The IT department should clarify and refine the definitions and policies for enterprise and “public” wireless networks.	<p>Aug 2022: The department reported that these areas will be included in the configuration policy being developed as noted in response to 1A. Jan 2023: The department reported that this work continues and is expected to be completed by June 2023. May 2023: A draft policy for Enterprise and "public" wireless networks is being reviewed and refined by the department. It expects this work to be completed by June 30, 2023. Aug 2023: The department's new Enterprise Wireless Local Area Network Policy includes definitions for enterprise and "public" wireless networks. However, the definition for "public" wireless needs additional information regarding the types of networks in this category and acceptable uses for staff. As well, security policies should also be established for the public wireless network. Dec 2023: Wireless network policies have been updated to clarify that public networks should not be used for city business unless using a city laptop with encrypted connection. Corresponding patching, vulnerability management, and logging policies were added.</p>	Implemented	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed				
2	The IT department should implement the technical improvements recommended in the BerryDunn detailed report.	<p>Aug 2022: The department reported it has reduced the number of SSIDs and is not reusing passphrases between SSIDs. The department will be reviewing the business justifications of existing enterprise wireless and developing a process for new requests. Further technical improvements will be encompassed in the configuration policy noted in response to 1A. Jan 2023: The department reported this work remains in process and is expected to be completed by December 2023. May 2023: The department reported that this work continues and is still expected to be completed by December 2023. Aug 2023: The department is continuing to work on implementing the recommendations. Dec 2023: The department is making progress on the technical recommendations and also reported that they are working on developing a formal process for staff to request new SSIDs. April 2024: The department reported that the recommended improvements have been completed and the work order process for requesting new SSID's has been documented.</p>	Implemented	<input checked="" type="checkbox"/>				
<table border="0" style="width: 100%;"> <tr> <td style="width: 10%;">2205</td> <td style="width: 60%;">Purchasing Card Controls</td> <td style="width: 20%;">Issued:</td> <td style="width: 10%;">8/19/2022</td> </tr> </table>					2205	Purchasing Card Controls	Issued:	8/19/2022
2205	Purchasing Card Controls	Issued:	8/19/2022					
1A	The Purchasing Director should ensure program expectations are consistently communicated and enforced so that P-card purchases are adequately documented. Evaluate whether uploading receipts into the purchasing card system may facilitate documentation submission and review.	<p>Jan 2023: The Purchasing director reported he has met with department directors to communicate the audit findings and program expectations. In-person training was provided to cardholders with repeat noncompliance. The department continues to evaluate the option for uploaded receipts to the Procard system. May 2023: Meetings were held between the Purchasing Director and department directors to discuss Purchasing Card program expectations. After reaching out to the provider to further review the receipt upload functionality, the department decided not to use this feature because of concerns related to document retention and reliance on cardholder access to devices for scanning and uploading the receipts.</p>	Implemented	<input checked="" type="checkbox"/>				

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
1B	The Purchasing Director should enforce documentation and review requirements, including escalating to card suspension or termination based on policy. Evaluate ways to make the monthly compliance monitoring more accurate, efficient, and timely by automating the process as much as possible.	<p>Jan 2023: The Purchasing department refined and continues to improve its tracking tools to monitor P-card compliance. They have followed up on any still-missing documentation identified during the audit. As well, the department reported it has increased notifications to approvers, mandated training, and suspended several accounts. May 2023: The department has updated its tracking spreadsheet to make it easier to view trends over time and clarified its non-compliance codes; however, the log still lacks process automation to improve accuracy and efficiency. Additional improvements are on hold at this time due to vacancy in their technology position. Sept 2023: This recommendation continues to be in progress. Dec 2023: The department has evaluated options for automating monitoring processes and reported that the current P-Card system is not robust enough to facilitate further automation. The vendor is planning to implement a new P-Card system in the upcoming year. As well, the City will be migrating to a new ERP system, which may allow for improvements to the monitoring process in the future.</p>	Part Impl'd	<input checked="" type="checkbox"/>
1C	The Purchasing Director should enforce review deadlines for supervisory reviews and identify and address noncompliance.	<p>Jan 2023: The Purchasing department reported it is monitoring supervisory reviews and investigating options for additional AR 220 guidelines for cardholder approvers. May 2023: The department is running a report of late electronic approvals in the P-Card system to monitor supervisory reviews. Supervisors with late approvals are notified via email; however, there is no escalation policy related to recurring issues.</p>	Implemented	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2A	The Purchasing Director should establish procedures for promptly deactivating P-cards and verifying that all necessary documentation has been received when a cardholder leaves city employment or transfers to another department.	Jan 2023: The Purchasing department reported it is monitoring retirement and resignation notices provided by the HR department and contacting the cardholder to schedule the deactivation. The department is looking into notification procedures for internal transfers and involuntary separations. May 2023: Notification of internal transfers and involuntary separations continues to be under review. Sept 2023: The employee exit checklist was updated to include transfers. The checklist requires supervisors to collect P-cards and return them to Purchasing prior to transfers and terminations.	Implemented	<input checked="" type="checkbox"/>
2B	The Purchasing Director should monitor compliance with annual training requirements.	Jan 2023: To facilitate its tracking of training completion, the Purchasing department has adjusted all P-card training to have the same annual expiration date (February) rather than on the various cardholders' anniversary dates.	Implemented	<input checked="" type="checkbox"/>
2C	The Purchasing Director should promptly deactivate user access to the purchasing card system when they are no longer authorized and ensure system access limits administrative-level access to the fewest users that is operationally feasible.	Jan 2023: During the audit, the Purchasing department completed its review of access rights and made modifications to the number of users with administrative-level access. It plans to continue this review quarterly. The department is looking into system access deactivation when a user leaves the City as this may remain active even when the P-card has been closed. May 2023: Auditors will review procedures for deactivating user access when these are available. Sept 2023: The department has created a Purchasing Card Administrator Manual, which includes procedures for deactivating and deleting users.	Implemented	<input checked="" type="checkbox"/>

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2D	The Purchasing Director should annually review P-cards with little or no use, asking departments to evaluate whether there is a continuing need or a feasible alternative solution.	Jan 2023: The Purchasing department reported that, along with training requirements, this will be reviewed with the departments annually in February. Auditors will review this process in the next follow-up. May 2023: This review has not yet been completed. The department expects it will be completed at the end of the fiscal year. Sept 2023: The department completed an annual review of P-card usage and worked with departments to identify accounts with little or no activity that could be closed or have a reduced spending limit.	Implemented	<input checked="" type="checkbox"/>
2207	City Clerk Operations	Issued:	6/15/2022	
1A	The City Clerk should develop a records management training program that includes in-person and computer-based training options and provide the training to, at a minimum, the departmental Records Coordinators and other staff with records management responsibilities. As well, the training program should address how to apply requirements to electronic documents, such as those in the City's document management system.	Sept 2022: The City Clerk's office reported that a revised training program is being developed that will include an in-depth, in-person component to be conducted at least twice yearly. One component will address records management in the City's document management system. This training is scheduled to be implemented by December 2022. Additionally, a computer-based training option will be developed to provide a high-level overview of records management functions and responsibilities. This option is planned to be implemented by March 2023. Jan 2023: The City Clerk reported that this work is still underway, and they met with the HR department to plan how to implement the training through Scottsdale University, the online training management system. May 2023: An in-person training has been developed and provided to the City's Records Coordinators. A 30-minute computer-based training has also been created, and the department is working with HR and IT to test the presentation before rolling it out. Aug 2023: The online training is now available and records coordinators have been directed to complete the training.	Implemented	<input checked="" type="checkbox"/>

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1B	The City Clerk should create a process to ensure annual or biannual reviews of Records Inventories, including tracking review request dates, responses, and date the inventory was last reviewed. Also, ensure the records inventories are reviewed for accuracy and to address any discrepancies with State Library retention requirements.	Sept 2022: The City Clerk's office reported that records inventories are being reviewed to ensure compliance with State Library retention requirements. Besides noting a Last Updated date when changes are made, the City Clerk staff will be noting a Last Reviewed date when an inventory is reviewed but not changed. This process is planned to be implemented by December 2022. Auditors observed that recent review dates were not yet noted on Sharepoint inventory documents. Jan 2023: Auditors verified that the update and review information is now being captured in the most recently available records inventory documents.	Implemented	<input checked="" type="checkbox"/>
1C	The City Clerk should require the Records Manager to contact departments that do not submit Certificates of Records Destruction at least annually to determine if additional guidance is needed. Also, review the submitted certificates for accuracy before filing them with the state. Further, consider creating a City form to collect the required record destruction data or attaching Scottsdale-specific instructions to the State Library form to clarify the process to be followed.	Sept 2022: The City Clerk's office developed an instructional cover page with guidance on how to correctly fill out the destruction request documents. Additionally, the office reported they are reviewing all destruction requests to ensure the forms are correctly filled out and the retention period has been met. Further, by January 2023, they will follow up on an annual basis with any departments not submitting destruction requests. Jan 2023: The City Clerk reported that in January 2023, they emailed departments that had not submitted destruction requests in the last 12 months. He provided an example email, which included the requirements and illustrated where to find the form and submit it.	Implemented	<input checked="" type="checkbox"/>
1D	The City Clerk should resume records inspections and update the Records Inspection Report form to include offsite records storage and electronic records management.	Sept 2022: The City Clerk's office reported that the inspection report form was updated to include offsite records storage and electronic records management. Also, records inspections resumed in August 2022. Auditors reviewed one of the recent inspection reports.	Implemented	<input checked="" type="checkbox"/>

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1E	The City Clerk should collaborate with Information Technology to automate, where feasible, the key tasks required for timely, accurate and compliant records management.	Sept 2022: The City Clerk's office reported that they are working with Information Technology staff to create an online solution where Records Officer information can be stored and records destruction requests submitted. This portal has been developed and is being tested. They anticipate implementation by February 2023. Jan 2023: The City Clerk reported that the online portal was implemented in November 2022. Only the designated Records Officers will have access to the portal, so the departments will need to update the Clerk's office when their records coordinator changes. Auditors reviewed the communication of the new process sent to the records coordinators.	Implemented	<input checked="" type="checkbox"/>
2	The City Clerk should consider providing on-demand computer-based trainings for Board and Commission staff liaisons as an alternative or supplement to the current individual training.	Sept 2022: The City Clerk's office reported that in-person and virtual training sessions are currently held to review items related to AR 121 Legal Postings and the Open Meeting Law. Additionally, by February 2023, a computer-based training option will be developed to provide a high-level overview of board and commission functions and responsibilities. Jan 2023: The City Clerk reported this work is still underway and expected to be completed in March 2023. May 2023: A computer-based training for board and commission liaisons is being developed. Aug 2023: The department reported that the computer-based training is being recorded and tested. It is expected to be completed within the next few months. Dec 2023: Auditors confirmed the computer-based training has been completed and provided to board and commission staff liaisons.	Implemented	<input checked="" type="checkbox"/>

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Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2209	WestWorld Operations	Issued:	11/4/2022	
1A	WestWorld management should develop a sliding scale for discounting facility rates based on the amount of other related guaranteed revenues and prepare and retain analyses that support additional discounts provided.	<p>May 2023: The new WestWorld General Manager is evaluating strategies for addressing the audit recommendation and will be developing a plan this summer to include research of similar facilities and identify the best approach to incorporate indirect costs in event cost evaluations. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: The department is evaluating WestWorld rates and fees and has requested funding for a rates and fees study in the upcoming year. April 2024: Additional funding for a rates and fees study was not authorized through the FY 2024/25 budget process. A new General Manager was hired in March and will be working on rates and fees evaluation.</p>	In Progress	<input type="checkbox"/>
1B	WestWorld management should evaluate ways to include the routine event services into facility rates, such as telephone and internet, or require guaranteed minimums, such as horse stall counts, to streamline the operational and billing processes.	<p>May 2023: The new WestWorld General Manager is evaluating strategies for addressing the audit recommendation and will be developing a plan this summer to include research of similar facilities and identify the best approach to incorporate indirect costs in event cost evaluations. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: Management reported that they recently tested combining some basic equestrian event fees into the overall facility use fee, such as telephone, internet, and restroom cleaning. Initial feedback was positive, and the department plans to further evaluate the impact of this potential change on overall rental rates. April 2024: A new General Manager has been hired and will be working on an evaluation of inclusive facility rates.</p>	In Progress	<input type="checkbox"/>

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Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
1C	WestWorld management should conduct a more thorough RV rate analysis including other event facilities and the local market area. As well, evaluate whether RV fees are needed to address no-shows and extensive cleanup activities.	<p>May 2023: Effective FY 2023/24, RV rates will increase from \$35 per night to \$50. The new WestWorld Business Manager will evaluate implementing no-show and clean-up fees. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: The department reported they have transitioned RV rentals to ActiveNet, the Parks & Recreation reservation system, which is expected to streamline the reservation process and improve cash handling. Auditors will follow-up on evaluation of no-show and cleanup fees at the next update. April 2024: Moving RV reservations to ActiveNet has allowed the department to charge no-show and excessive cleanup fees. Current WestWorld RV Rules and Regulation reflect the updated policies and fees.</p>	Implemented	<input checked="" type="checkbox"/>
1D	WestWorld management should use full-cost calculations when developing facility rates and fees. These full-cost rates should then be evaluated against the competitive market rate limitations before recommending rates and fees for City Council approval.	<p>May 2023: The new WestWorld General Manager is evaluating strategies for addressing the audit recommendation and will be developing a plan this summer to include research of similar facilities and identify the best approach to incorporate indirect costs in event cost evaluations. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: The department reported that this recommendation will be evaluated as part of the requested rates and fees study. April 2024: Additional funding for a rates and fees study was not authorized through the FY 2024/25 budget process. A new General Manager was hired in March and will be working on rates and fees evaluation.</p>	In Progress	<input type="checkbox"/>

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Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2A	WestWorld management should calculate and report facility utilization rates as percentage of available capacity to allow for more comprehensive monitoring of usage and assist with planning and marketing efforts.	May 2023: The new WestWorld General Manager reported that the recently hired Business Manager is investigating technology solutions to assist in implementing this recommendation. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: The department reported that this recommendation will be evaluated once a new General Manager is selected. It will be reviewed along with the rates and fees analysis and a strategic plan for WestWorld. April 2024: A new General Manager was hired in March and this recommendation is in progress.	In Progress	<input type="checkbox"/>
2B	WestWorld management should obtain and implement technology systems with input and processing controls for facility management and event scheduling. Ensure that the systems include reporting capabilities to streamline the billing process.	May 2023: The new WestWorld General Manager reported that the recently hired Business Manager is investigating technology solutions to assist in implementing this recommendation. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: RV reservations and Feed & Bedding point of sale have been moved to a new system and the department expects that this change will result in process improvements. Identifying solutions for improving facilities management and event scheduling continue to be in progress. April 2024: The department reported the transition of RV reservations and Feed & Bedding to ActiveNet has streamlined processes. They continue to work on improving scheduling and are also looking into automated parking systems.	In Progress	<input type="checkbox"/>
2C	WestWorld management should ensure the WestWorld website is updated to provide better customer service. Specifically, provide an online RV reservation system as well as adding maps of rentable event spaces along with key features and rental fees.	May 2023: The new WestWorld General Manager reported that the recently hired Business Manager is investigating technology solutions to assist in implementing this recommendation. Aug 2023: Due to recent changes in WestWorld management, this recommendation remains in progress. Dec 2023: The development of a new website is in progress. RV reservations have been migrated to the ActiveNet system and Community Services is in the process of implementing online reservation functions. April 2024: The development of a new website is in progress.	In Progress	<input type="checkbox"/>

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2302	E-Verify Compliance During FY 2021/22		Issued: 3/10/2023	
1	The Purchasing Department should continue reminding contractors of the requirement to use the E-Verify employment eligibility system.	Dec 2023: Auditors notified contract administrators of the exceptions found in the audit. The Purchasing Department reported that they are continuing to communicate E-Verify requirements and work with contract administrators to support compliance.	Implemented	<input checked="" type="checkbox"/>
2303	Ransomware Readiness Assessment		Issued: 6/15/2023	
1A	Maintaining Information Technology Continuity of Operations and Disaster Recovery Plans. (Specific recommendations are confidential)	Dec 2023: The department is working to develop a centralized prioritization strategy of critical systems and applications across all city departments. IT is working with city departments to verify asset inventories, identify critical systems, communication lines, backup strategies, and other information to develop its cybersecurity strategies and incident response playbooks. April 2024: The department continues to work towards implementing this strategy and estimates completion in October 2025.	In Progress	<input type="checkbox"/>
2A	Adoption and implementation of an enterprise Security Architecture Plan. (Specific recommendations are confidential)	Dec 2023: A cybersecurity strategy plan is in development. The department has created roadmap, with goals for the implementation of audit recommendations. April 2024: The department continues to work towards implementing this strategy and estimates completion in October 2025.	In Progress	<input type="checkbox"/>
3A	Incident Response Plan (Specific recommendations are confidential)	Dec 2023: IT Security is working on an overall IT incident management framework. April 2024: Efforts are ongoing and the department is currently evaluating applications that can be used to help manage response plans.	In Progress	<input type="checkbox"/>
4A	Alignment of responsibilities and communication between central IT and city departments. (Specific recommendations are confidential)	Dec 2023: The department reported they are working with Communications, Risk Management, and city leadership to establish communications processes that will be included in the IT Security Incident Management Plan. April 2024: This work is in progress and the department estimates completion by end of the fiscal year.	In Progress	<input type="checkbox"/>

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5A	Accurate and complete asset inventories and logs. (Specific recommendations are confidential)	Dec 2023: The department reported that various IT units are working on implementing the recommendations. It is in the process of verifying asset inventories and is developing an application portfolio program to track all digital assets. Help desk ticketing and major incident processes are under review. April 2024: Efforts are ongoing.	In Progress	<input type="checkbox"/>
6A	Access management (Specific recommendations are confidential)	Dec 2023: The department has acquired a new application for privileged access management, including third-party access and is working to develop the related policies. April 2024: This work is in progress.	In Progress	<input type="checkbox"/>
7A	Backup and restoration procedures. (Specific recommendations are confidential)	Dec 2023: The department reported that reviews of central backup strategies and local department backup processes are in progress. The new Enterprise Systems Engineering Manager will be performing a comprehensive review of the IT backup environment. April 2024: The department continues to work on evaluating and updating its backup policies, including extending backups timeframe for all essential city data and testing it for restoration.	In Progress	<input type="checkbox"/>
8A	Communications during a ransomware event. (Specific recommendations are confidential)	Dec 2023: The department reported that it is working with the Office of Communications to review and update AR102 - Social Media and Social Networking to address the recommendation. Training needs will be evaluated once the AR has been updated. April 2024: Updates to AR 102, Social Media and Social Networking, are being reviewed and expected to be finalized by 6/30/2024.	In Progress	<input type="checkbox"/>
2305	Victim Services		Issued:	9/6/2023
1A	The Deputy City Attorney should work with the Police Department to ensure that preconviction rights forms are being consistently completed and/or provided to Victim Services in a timely manner.	April 2024: Victim Services has asked the Police Department supervisors to ensure the preconviction rights form is properly completed. It is also developing a training video to assist with this effort.	In Progress	<input type="checkbox"/>

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1B	The Deputy City Attorney should by default, accept unsigned requests to invoke victim rights on forms provided by Police, until otherwise directed by the victim.	April 2024: The department will not be accepting unsigned forms due to logistical challenges. Instead, it is working with the Police Department to improve form completion.	In Progress	<input type="checkbox"/>
1C	The Deputy City Attorney should work with Information Technology staff to implement system changes capturing advocacy activities in a manner that would allow management to routinely verify completion of required services, such as hearing notifications.	April 2024: The department indicated that changes cannot be implemented until the new SPARKs system is deployed, which is expected to be in the fall of 2024.	In Progress	<input type="checkbox"/>
1D	The Deputy City Attorney should offer web-based options for victims to provide or update contact information and complete other victim services forms.	April 2024: The department has requested City IT add this capability to the website.	In Progress	<input type="checkbox"/>
2A	The Deputy City Attorney should work with technology staff to establish validation procedures to ensure data transfers are complete and data entry errors are minimized. As well, evaluate ways to streamline the notification process through automation.	April 2024: The department indicated that changes cannot be implemented until the new SPARKs system is deployed, which is expected to be in the fall of 2024.	In Progress	<input type="checkbox"/>
2B	The Deputy City Attorney should identify all data fields containing privileged information, evaluate appropriate access to such data for compliance with statutory requirements, and make changes to user roles and access rights accordingly.	April 2024: The department reported that they will turn off access to users in the developer/programmer role when it is no longer needed. In future status updates auditors will review whether data fields containing privileged data have been identified and role-based access policies align with statutory requirements.	In Progress	<input type="checkbox"/>

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Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2306	Risk Management Services		Issued: 11/3/2023	
1A	The Risk Management Director should adopt a risk-based safety inspection plan that considers resource availability, risk exposures, third-party inspections, and historical trends. Make necessary updates to Administrative Regulations and the City Safety Plan to ensure consistent policies regarding ownership of periodic inspection responsibilities. Also, adopt documentation standards for reporting inspection results and post-inspection activities to address recommended remediation.	May 2024: The department reported it is adopting a risk-based approach to inspections that will consider facility size, occupancy, housed chemicals or substances, type of work, and risk profile. It continues to work on updating the building inspections AR and the City Safety Plan.	In Progress	<input type="checkbox"/>
1B	The Risk Management Director should provide additional guidance to departments on monthly inspection requirements, including feedback on the quality of inspection tools/ checklists being used. Identify facilities with gaps in inspection coverage and work with departments to ensure routine inspections are completed. Establish monitoring procedures to routinely verify that inspections are being completed.	May 2024: The department is developing a consolidated checklist for monthly inspections, will be providing it electronically through a new software application. Also, the department continues to work on updating Administrative Regulation for facility safety inspections.	In Progress	<input type="checkbox"/>
1C	The Risk Management Director should establish quality review procedures for Job Safety Analysis to ensure that 1) similar job hazards are consistently and adequately addressed across different city departments, 2) JSAs are aligned with the identified OSHA requirements for that position, 3) high-risk jobs have been identified, safety analyses have been completed and are regularly reviewed and updated.	May 2024: The department reported updating the Job Safety/Hazard Analysis form that requires Safety Manager or Safety coordinator review. This new form is being rolled out to departments. We will review the form and quality review process when they are available at a future status update.	In Progress	<input type="checkbox"/>
2A	The Risk Management Director should adopt a structured approach for reviewing workers' compensation injuries, including ensuring that requested root-cause analysis are completed.	May 2024: An city-wide Injury Review Board comprised of representatives from various departments reviews workers' compensation injuries has been established. The board determines which claims need a root cause analysis completed.	Implemented	<input checked="" type="checkbox"/>

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2B	The Risk Management Director should establish procedures to ensure complete ICA claim number data.	May 2024: An automated reports identifies claims without an ICA claim number. When a number is missing, the department forwards an ICA form to the applicable employee to notify them of their rights.	Implemented	<input checked="" type="checkbox"/>
2C	The Risk Management Director should formalize policies and procedures for workers' compensation claims processing. Also, establish processes for routine quality reviews of claims and document the review.	May 2024: The department has updated policies for workers' compensation claims processing.	Implemented	<input checked="" type="checkbox"/>
2D	The Risk Management Director should establish a citywide emergency action plan based on OSHA standards and include guidance to department on evacuation procedures training and drills. Also, increase engagement of the City Safety Committee by coordinating more frequent meetings to facilitate collaboration.	May 2024: This work is in progress. Risk has established a committee to begin drafting an emergency action plan.	In Progress	<input type="checkbox"/>
3A	The Risk Management Director should ensure accurate annual reporting of OSHA work-related injuries and evaluate the effectiveness of programs using OSHA incident rates by department.	June 2024: The department's FY 2023/24 annual report calculated the OSHA incident rate for the city and Risk reports that it will work to ensure all OSHA related data is accurately reported. We will follow-up the availability of department-level incident rates in the next status update.	In Progress	<input type="checkbox"/>
3B	The Risk Management Director should capture workers' compensation claim denial data to monitor compliance with ICA requirements.	May 2024: The department has developed a monthly report to track denial of claims. Prior to a claim denial, workers' compensation team reviews the claim during weekly meeting to ensure that the correct determination is being made.	Implemented	<input checked="" type="checkbox"/>
3C	The Risk Management Director should work with the Police Department to evaluate options for assigning a dedicated safety officer. Also, establish standardized training and guidance for departmental safety officers.	June 2024: The department is continuing to discuss options for assigning a dedicated Police safety officer. Standardized training and guidance for departmental safety officers has not yet been developed.	In Progress	<input type="checkbox"/>

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Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2307	Emergency Management Services		Issued: 6/16/2023	
1A	The Emergency Manager should provide the Emergency Operations Plan for City Council review and approval at least every five years, as specified in City Code. Additionally, the EOP should be reviewed annually by the Emergency Manager and the City Manager to ensure the plan, including EOC roster and other details, are up to date.	Dec 2023: Emergency Management has completed an initial review of the EOP, updating all specific names to position titles. The review process continues and the department plans have an updated EOP to the City Manager in Feb 2024. April 2024: The department is making progress towards updating the EOP, including establishing a review team that will meet biweekly.	In Progress	<input type="checkbox"/>
1B	The Emergency Manager should conduct an annual review of all departmental COOPs to ensure that they have been completed and/or updated and to provide direction and feedback to assist with process improvements. As well, Emergency Management should ensure departments are training staff on their COOP and testing and exercising the plan.	Dec 2023: Auditors verified that the department has updated the master contact lists for COOPs. They now receive a termination report from HR to promptly update the COOP contacts. The department reported that they still need to create a plan to periodically review and exercise the COOPs. April 2024: Emergency Management is in the initial stages of creating an Administrative Regulation to guide COOP process and has reached out to Emergency Managers to identify best practices for managing the COOP process.	In Progress	<input type="checkbox"/>
2A	The Emergency Manager should establish procedures to more effectively monitor that training program requirements are being met.	Dec 2023: For newer employees assigned basic NIMS training through Scottsdale University, the department is sending quarterly email reminders to complete assigned training. For existing employees and emergency response personnel, the department continues to look for an effective method of monitoring compliance with training requirements. April 2024: The department continues to send out reminder emails to employees and supervisors regarding training requirements. A newly hired EM Coordinator will be working on developing a process for tracking advanced NIMS training requirements not handled through Scottsdale University.	In Progress	<input type="checkbox"/>

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2B	The Emergency Manager should further develop plans for implementing other phases of its training plan. Additionally, the department should create a training plan for educating residents and businesses on emergency preparedness.	Dec 2023: Auditors confirmed that the department has conducted several Emergency Preparedness briefings to residential groups and worked with the SPD Public Private Partnership Committee in Sept of 2023. Informational briefings are conducted upon request and availability of staff. The training plan has not yet been updated or expanded. April 2024: In order to expand training efforts, the department is working towards certifying staff to teach advanced NIMS/ICS courses. Additionally, staff have assisted SUSD in providing training to District administrators.	In Progress	<input type="checkbox"/>
3	The Emergency Manager should evaluate and further define its role in the special event planning process, including basing level of involvement on the event's risk exposures. Additionally, the department should develop standardized guidance and/or forms for special event contingency planning to help guide the event teams.	Dec 2023: Emergency Management is working to develop special event policies and guidance, including meeting with Public Safety to discuss city-wide special events planning processes. April 2024: Emergency Management continues to participate in large special event planning meetings and will be working towards developing policy/procedural guidance for event producers.	In Progress	<input type="checkbox"/>