

MARICOPA COUNTY SHERIFF'S OFFICE CASE MANAGEMENT AUDIT



Bureau of Internal Oversight

Audit and Inspections Unit

Final Audit Report

Audit #A2016-0001

September 19, 2016

Bureau of Internal Oversight

Executive Summary

	To: Lieutenant Rick Morris Division Commander Bureau of Internal Oversight	From: Connie Phillips Senior Auditor Bureau of Internal Oversight
	Audit #: A2016-0001 Final Report	Date: September 19, 2016

Effective case management is critical for mitigating operational risk. One in 25 organizations has made the news due to poor records management practices and 27% of businesses have suffered a loss of business or reputation.¹ Poor law enforcement case management often results in more than attention-grabbing headlines. The consequences can be tragic. The beginning of 2015, the New Mexico State Police revamped its internal criminal case management system after officers failed to follow up on the rape of a young girl, allowing her rapist to victimize another girl. State Police Chief Pete Kassetas admitted, “It was a failure on the part of my personnel, which was compounded by systematic flaws in how we do business.”²

The Phoenix Police Department’s new records management system made headlines shortly after its launch in October 2015. The new system has been blamed for a significant drop in felony cases submitted to the Maricopa County Attorney’s Office, as well as costly delays, lost reports, a reduction in efficiency, and released suspects.³

For law enforcement organizations, tracking is one of the most important methods of ensuring accuracy, accountability, and effectiveness of investigations. Had there been a reliable and useful case management system with strong controls in place during the contract with the City of El Mirage (2005 to 2007), the Maricopa County Sheriff’s Office (MCSO, Office) could have avoided the re-examination of 400-plus cases due to failed case management.

Our assessment of case management control for the MCSO Patrol Bureau, specifically Districts 2 and 7, and the Lake Patrol Division, revealed that overall the internal controls were inadequate to ensure standardized processes within and between districts/divisions, integration and coordination of supporting systems, and timely and appropriate collection and sharing of information.

During our audit, we noted inconsistent treatment of the following areas within and between the three patrol districts we examined:

- Processing of electronic Incident Reports (IRs)
- Processing of IRs created in error
- Storage and retention of IRs
- Report format
- Utilization of Case Tracking and other databases

¹ Association for Information and Image Management (AIIM), “Plotting the Change.”

² “Lost Case Prompts New Mexico State Police to Overhaul Case Management System” by Patrick Lohmann, *Albuquerque Journal*, May 14, 2015.

³ Dave Biscobing, “Phoenix PD submitting fewer felony cases to county prosecutors; Sources, city disagree on cause,” <http://www.abc15.com> (April 5, 2016).

In accordance with MCSO policy, each patrol district determined and implemented its own method of documenting and monitoring the progress of cases. We found that without a documented standard approach to case management, there was a lack of continuity in operations, ownership of processes, and consistency of training. Additionally, this ad hoc approach to processes and procedures increased the risk of issues with consistency of output. Implementing a turn-key business model approach that utilizes the same processes and procedures Office-wide would provide stability and conformity across divisions especially with frequent staff changes occurring in the Patrol Bureau.

Attempts at developing case management systems have been made over the years. Several stand-alone processes and systems were created, some of which were automated or had components that were automated. This reflected a practice of installing whatever was most affordable or seemed best at the time. Multiple systems were deployed with little or no interaction and communication between them, creating information silos – islands of isolated data which should be accessible throughout the organization but are not. These various systems did not talk to each other and contained redundant data that did not provide an integrated view of cases. Developing a supporting case management system that provides centralized case information, is flexible, reliable, and easy-to-use ensures that case data is accessible to the right MCSO personnel at the right time.

More than half of law enforcement agencies in the United States maintain a paper-based process as the first step in capturing incident data.⁴ The Patrol Bureau maintains a combination of a paper-based incident reporting process alongside partially automated reporting and tracking databases. MS Word templates are filled out, printed, approved by exchanging the paper original or emailing back and forth, printed again showing approval signature, rekeyed into RMS, scanned into an image management system, and filed in a cabinet with attachments. By removing email as a document management system and taking paper out of the process, implementing a paperless IR process streamlines the many processes involved and provides additional case management control.

The Patrol Bureau can strengthen controls over open case inventories and the data for monitoring and analyzing patrol caseloads. To improve controls, supervisory/command staff should perform weekly reconciliations of open case inventories with Case Tracking reports, provide documentation that reviews and reconciliations were performed, and update case records to reflect proper case status. Appropriate computer technology/software application training should be provided to all patrol personnel.

Although the Patrol Bureau case management system has some basic elements needed to be useful, it remains intensely manual, paper-driven and plagued by delay and poor visibility with isolated parts of the process automated by legacy systems or spreadsheets. Automating case management provides the best mechanism for supporting the appropriate creation, dissemination and retrieval of information. A paperless incident reporting process allows employees across divisions and multiple sites to share data in real time, optimizing resources and reducing potential for human error.

⁴ Presynct Technologies, Inc. Version 4.0 (December 21, 2015). *Paperless Incident Reporting: A Modular Approach to Records Management*.



Table of Contents

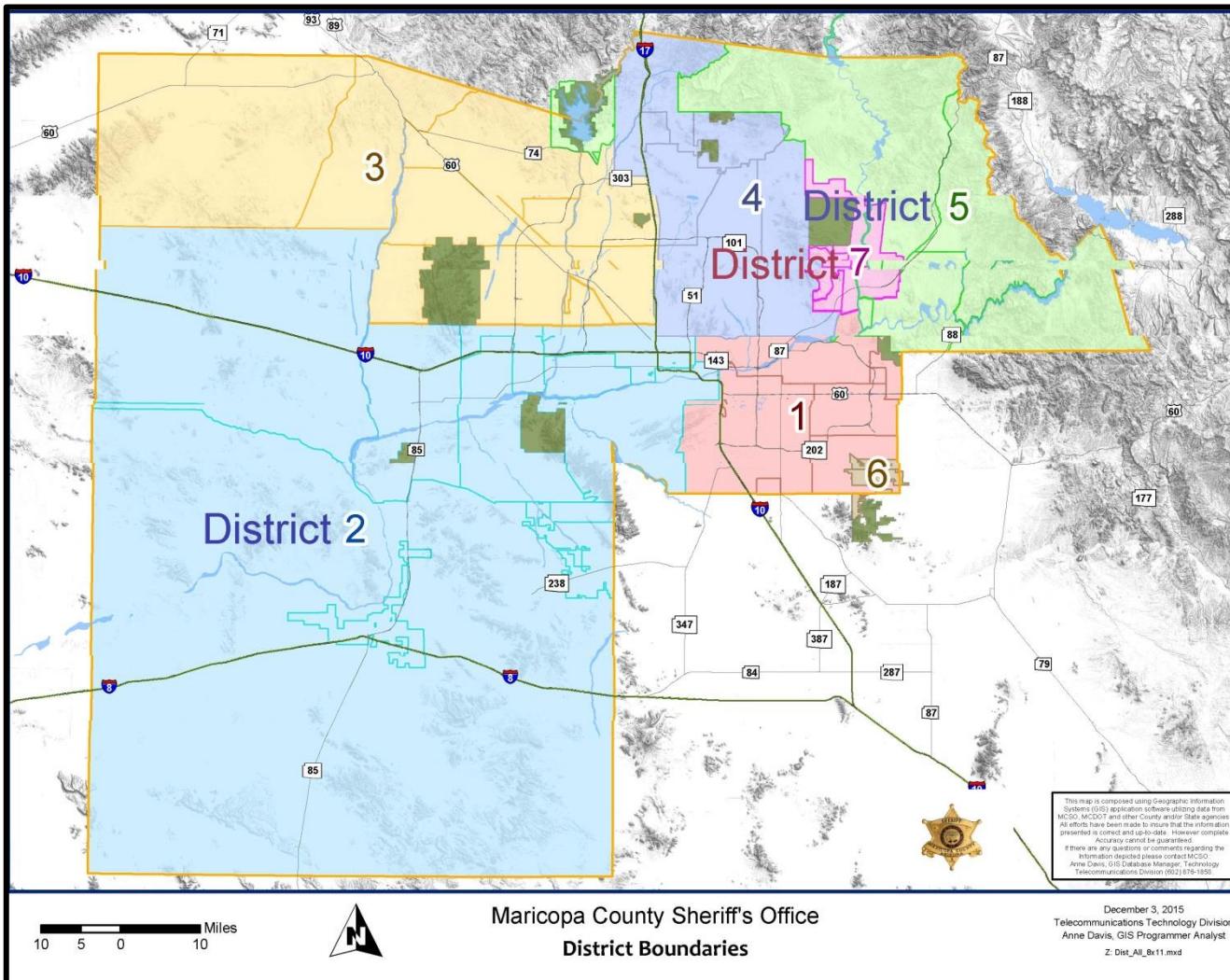


Introduction	1
Objectives	5
Scope	5
Methodology	5
Findings, Recommendations, and Bureau Response	6
Summary of Recommendations	12
Attachment A – Corrective Action Plan	

Introduction

The Maricopa County Sheriff's Office (MCSO, Office) formed the Patrol Bureau to provide basic patrol, investigative, and detention services to contract towns and cities and unincorporated communities within Maricopa County. The Patrol Bureau consists of seven districts, each having responsibility for a portion of the county's 9,226 square miles. Each patrol district is further broken down into "beats."

Figure 1 – MCSO Patrol Districts



Of the MCSO's 570 sworn personnel, nearly 400 are assigned to the Patrol Bureau. Each district in the Patrol Bureau is commanded by a captain. Depending on the size of the district, one or more lieutenants report to the captain. Squad sergeants supervise squads or teams of patrol deputies who are assigned specific shifts that provide patrol coverage of district beats.

Those MCSO detectives not assigned to the Detectives and Investigations Bureau are assigned to each patrol district and are supervised by detective sergeants. Detective decentralization is intended to enhance efficiency and allow for better communication with patrol deputies and the communities they serve. There are approximately fifty detectives and detective sergeants assigned to the Patrol Bureau.

The following is a brief description of the three patrol districts that were the focus of our review.

Patrol District 2

District 2 is represented by light blue in **Figure 1** above and covers the largest geographical area of the seven patrol districts. It encompasses nearly 6,000 square miles and includes unincorporated areas such as Laveen, Rainbow Valley, Tonopah, as well as other county islands in Phoenix, Avondale, Goodyear, Glendale, and Buckeye.

District 2 also provides law enforcement services through Intergovernmental Agreements (IGAs) with the Town of Gila Bend, the City of Litchfield Park, and the community of Mobile located in the City of Goodyear. The IGAs require that District 2 provide information regarding its calls for service, crime, and criminal activity and response times in monthly town reports.

Because of the large area and diverse population served, District 2 deputies respond to a wide variety of civil and criminal incidents involving both misdemeanors and felonies. On average, there are approximately 18,000 calls for service and over 12,000 on-view⁵ incidents per year.

Patrol District 5 (Lake Patrol)

Lake Patrol is represented by green in **Figure 1** above and covers the recreational areas of Tonto National Forest and Lake Pleasant Regional Park including, but not limited to, Saguaro, Canyon, Apache, Bartlett and Horseshoe Lakes as well as the Lower Salt and Verde River recreational areas, Four Peaks, Superstition, Mazatzal, Camp Creek and Seven Springs recreational and wilderness areas. Lake Patrol encompasses over 1,000 square miles.

Lake Patrol deputies must possess a variety of skills and abilities such as operating a four-wheel-drive vehicle, an all-terrain vehicle, a patrol boat, a jet ski, and an air boat. All Lake Patrol deputies are certified Emergency Medical Technicians and several are Paramedics. In addition, Lake Patrol has a nationally recognized dive team responsible for search and recovery missions requiring diving expertise.

The most common incidents Lake Patrol deputies respond to are traffic-related misdemeanors involving liquor violations. Activity in Lake Patrol is seasonal in nature and can be categorized as follows:

- Winter – search and rescue, missing persons, DUI Task Force, suicides, and suspicious activity
- Summer – boating violations, traffic-related (criminal speed, DUI), underage drinking, and fighting

On average, there are approximately 1,600 calls for service and over 18,000 on-view incidents per year.

District 7

District 7 is represented by dark pink in **Figure 1** above and provides law enforcement services through IGAs to the Town of Fountain Hills and the unincorporated areas of Tonto Verde and Rio Verde. The commander of District 7 provides weekly briefings to town leaders as well as monthly statistics in the town report.

Fountain Hills is a small affluent resort community totaling 18.2 square miles. As such, District 7 does not respond to the volume of incidents that other districts do. A spike in vandalism usually occurs when school lets out for the year. District 7 typically sees an increase in the number of burglaries when winter visitors vacate their residences for the summer or when the burglary is discovered upon their return.

District 7 deputies responded to approximately 5,600 calls for service and 6,000 on-view incidents per year.

⁵ The term “on-view” refers to incidents that deputies observe while on patrol duty as opposed to those called into the dispatch center.

Incident Reports

Patrol deputies are called upon to respond to a myriad of incident types ranging from those requiring an “Information Only” report to extremely dangerous and complex situations resulting in cases referred for possible prosecution. Deputies write Incident Reports (IRs) “that capture details regarding crimes, victims, offenders, suspects, locations, and the nature of injuries and losses. [IRs] provide the foundation for ongoing investigations and prosecutions, and supplemental reports (e.g., victim and witness statements, investigative notes, and evidence inventories) often contribute to the incident’s case file.”⁶ MCSO Policy GF-5, *Incident Report Guidelines*, Effective Date 11-07-15 requires “... employees and reserve deputies to generate *Incident Reports* (IRs) in order to document criminal and select non-criminal incidents.” Policy GF-5 goes on to list reasons for generating IRs, as follows:

- A. Providing a means whereby employees and reserve deputies can conduct and record a preliminary investigation of a criminal offense;
- B. Providing complete and accurate information for follow-up investigation and criminal prosecution;
- C. Improving control of the report flow process within the Office, thereby improving report access, statistical recording, and trend tracking;
- D. Aiding in recall of events for future reference; and
- E. Providing a permanent official record for preservation of pertinent information.

IRs take many different forms. The following are the most common IRs we found in the three patrol districts examined:

- *Incident Report* – MS Word template
- *Arizona Traffic Ticket and Complaint*
- *Arizona Crash Report*
- *Arizona Boating Accident Report*
- Various attachments and supplemental reports

No matter what format is used, all reports should be complete and accurate.

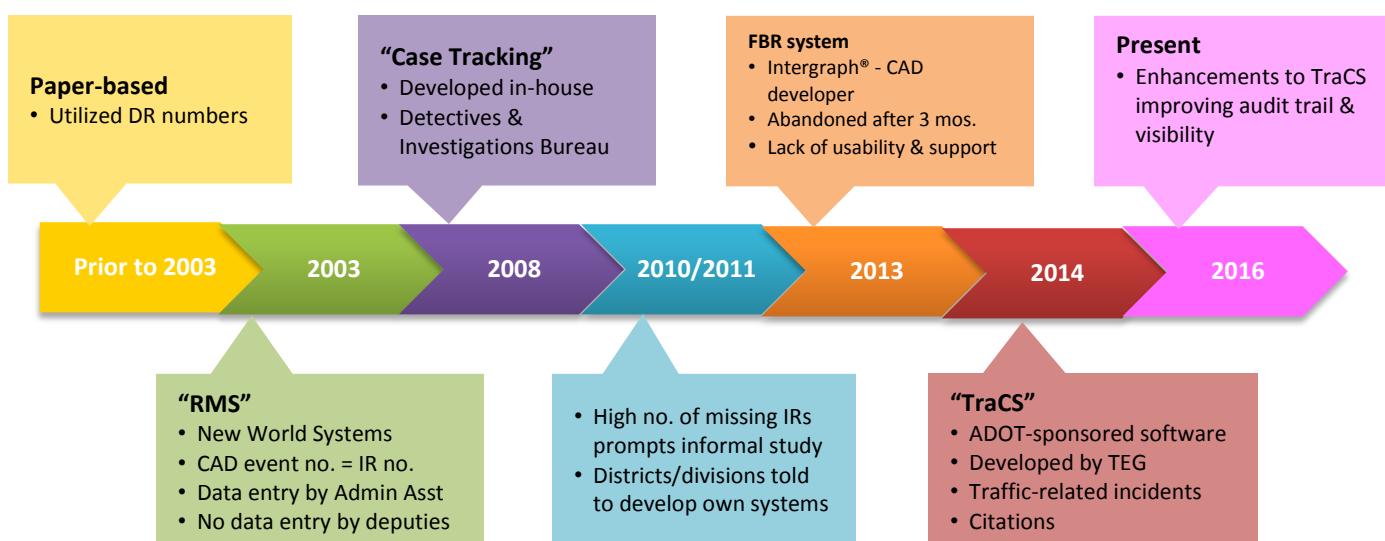
Case Management

IRs are the basis and a critical component of the case management process. The following are elements of the case management process in general terms:

- The initial investigation
- Case screening – solvability factors
- Management of ongoing investigations
- Police-prosecutor relations
- Ongoing monitoring of the process

⁶ David J. Robert and Karen Lissy, “Incident-Based Reporting – The Foundation of Effective Police Operations and Management,” Technology Talk, *The Police Chief* 80 (September 2013): 64 – 65.

The timeline below illustrates the progression of MCSO case management through the years.



MCSO has developed multiple systems and databases to assist with managing cases. Below is a brief description of the various systems and the roles they play in case management.

MCSO Case Management Process Components	
Computer-Aided Dispatch (CAD)	Developed by Intergraph® and implemented in 2012. Issues unique, sequential IR numbers upon request that begin with "IR." Each event is given a separate call control number beginning with "MC."
TraCS	Stand-alone system developed by TEG and sponsored by the Arizona Department of Transportation (ADOT). Deputies utilize it to issue citations and traffic-related tickets and complaints, hand-written or electronic, from their Mobile Data Computers (MDCs) and desk-top computers.
Arizona Department of Game and Fish (AZGFD)	<i>Arizona Boating Accident Report</i> is submitted online through AZGFD's system.
MS Word	Template form for IR "Face Sheet" and other forms/reports.
MS Excel	Ad hoc spreadsheets used to track IRs.
Case Tracking	MS Access database developed in-house originally for only detectives in the Major Crimes Division to assign, update, and track cases. Its usage eventually spread to other divisions.
FileBound	Web-based automated document storage system maintained by the Records Division where IRs and other pertinent case documents are scanned and stored.
"W" Drive	Each district scans IRs onto the shared drive and retains as permanent records.
RMS	Developed by New World Systems. Robust case management system but is difficult to use and is MS-DOS based. Communicates with CAD and feeds into CopLink. Only Administrative Assistants enter data.

Some of the above databases are utilized either alone or in some combination thereof. Two of the databases are not widely used due to mistrust of reliability and accuracy, lack of training, and/or level of user difficulty.

Objectives

Our audit objectives were to determine if the MCSO had adequate controls to ensure:

1. Standardized reporting, updating, and tracking of all IRs
2. Integration and coordination of supporting systems
3. Collection and sharing of information is appropriate and timely

Scope

The Bureau of Internal Oversight (BIO) conducted a process audit of case management in Districts 2, 5 (Lake Patrol) and 7 in the Patrol Bureau. The audit was performed as part of our 2016 Annual Audit Plan. For the purposes of our audit, we considered an Incident Report “any documentation recorded on a departmental form, or other approved medium ... and maintained as a permanent record.”⁷

Our audit did not include an examination of internal control over the functions and activities related to special subject investigations conducted by the Detectives and Investigations Bureau. We did not review specific crime solving practices. These are highly specialized tasks which are outside the scope of this audit.

This report and its recommendations are based on information taken from a sample of transactions and do not represent an examination of all related transactions and activities. We sampled 10% of IRs from the following months in 2015 for the three patrol districts we examined:

Patrol District	Sample Month	No. of IRs Total	No. in Sample (10%)
	2015		
District 2	November	423	42
Lake Patrol	June	240	24
District 7	January	149	15
Totals		812	81

Methodology

Our audit was based on the approach of The Institute of Internal Auditors (IIA) and included a review and analysis of internal control procedures as they related to the MCSO Patrol Bureau case management process. We utilized several methodologies to achieve the audit objectives. These evidence gathering techniques included, but were not limited to, the following:

- Collecting information and documentation,
- Conducting interviews with appropriate MCSO employees,
- Researching similar audits and best practices,
- Observing facilities and processes,
- Reviewing internal manuals and procedures,
- Performing selected tests and other procedures, and
- Analyzing and evaluating the results of tests performed.

⁷ Davis, Joseph N. (2004) *Painless Police Report Writing*, quoted in Cpl. Timothy P. Marta, “Police Reporting” (March 6, 2004), 3. http://www.cji.edu/site/assets/files/1921/police_reporting.pdf.

The BIO is free from organizational impairments to independence in our reporting as defined by the IIA *International Standards for the Professional Practice of Internal Auditing*. We report directly and are accountable to the Operations Command Chief Deputy. Organizationally, we are outside the staff or line management function of the units that we audit. We report the results of our audits to the Operations Command Chief Deputy and reports are available to the public.

Findings, Recommendations, and Bureau Response

1. Patrol Bureau case management processes are informal and lack standardization.

The processes used for reporting incidents and updating and tracking cases are not standardized within or between patrol districts. MCSO Policy GJ-6, *Criminal Investigations Organization and Administration*, Effective Date 01-05-07 states, “PROCEDURES, 4.D.1. The detective supervisor shall establish and maintain a case control system ...” Additionally, MCSO Briefing Board Number 14-28, April 3, 2014 mandates that “[u]ntil an office-wide Incident Report Tracking System is implemented, it is the division commander’s responsibility to have a system in place to track submitted IRs...” These policies effectively leave case management to the discretion of each patrol district and promote variation in case management methodology.

In the course of our audit, we noted inconsistent processing of electronic IRs. For example, one district printed all IRs regardless in which system they appeared; another district printed all IRs except for the ones entered in TraCS; the third district printed some IRs recorded in TraCS, but not others.

In our samples of IRs, there were three instances where IR numbers were generated in error. All were processed very differently. In one instance, an IR was completed in MS Word and contained a full explanation in the narrative section, was signed and dated by the deputy and supervisor, scanned into the “W” (shared) drive, entered into Case Tracking, scanned into FileBound, entered in the squad sergeants’ tracking spreadsheet, and entered into RMS. In the same district, another IR in error was completed in MS Word, was signed and dated by the deputy and supervisor, and scanned into FileBound but not into the shared drive. In the third instance, an IR was completed in MS Word, signed and dated by the supervisor, and scanned into the shared drive and FileBound.

It is Office-wide standard operating procedure to retain a copy of the IR by scanning it into the shared drive. However, 8 out of the 81 IRs tested were not located on the shared drive. Seven of the 8 IRs were electronic and 1 was taken in error.

Two different formats for Case Status/Clearance Report forms were utilized. One of the benefits gained by standardizing processes is time saved by not having to reinvent every document for every project.

The use of the Case Tracking database program is inconsistent and its use is neither standardized nor required. While the Detectives and Investigations Bureau currently enters case assignments into Case Tracking, patrol deputies and detectives have not “officially” been brought into the system. That is, they are not required to use the system and do not receive information about the system, updates, and changes. Further, it has traditionally been up to individual districts to decide how Case Tracking would be utilized and its use has never been standardized. We found that some patrol detective sergeants used Case Tracking only when assigning cases. Many rely instead on a variety of individual systems such as spreadsheets, notebooks, or simply their memories for managing cases and tracking progress.

Patrol personnel frequently change positions within the organization, both at command and deputy staff levels. Due to the lack of formal written procedures, patrol staff utilized methodologies with which they were familiar. Therefore, procedures used varied greatly between individuals, depending on background and level of experience. For example, those deputies who had previously been assigned as detectives were more likely to utilize the Case Tracking database for reporting, updating, and tracking cases since that database program was originally designed for use by the Detectives and Investigations Bureau.

The result is a lack of continuity in operations, ownership of processes, and consistency of training. An ad hoc approach to processes and procedures also increases the risk of issues with consistency of output.

One of the goals of Six Sigma and other techniques and tools for process improvement is to identify and remove variability in business processes. According to Lean thinking, standardized work routines help minimize waste and inefficiencies; time is saved by no longer having to reinvent how every case is reported, updated, and tracked for every reassignment or promotion in the Patrol Bureau.

The following is a list of benefits associated with implementation of standardized work routines:⁸

1. Employee involvement and empowerment,
2. Consistency (reduction of variation) among staff members performing the work,
3. Improved productivity without added stress,
4. Improved, consistent quality,
5. Reduction or elimination of errors and mistakes (causes of defects),
6. Work process stability,
7. Increased employee safety,
8. Improved cost management as wastes are removed,
9. Availability of a great tool for staff training, and
10. Visual management – managers and supervisors can see when processes are not operating normally.

Recommendation: As the process owner, the Patrol Bureau should develop uniform written policies and procedures for the reporting, updating, and tracking of all IRs across districts and divisions. Policies, such as Policy GJ-6, should be amended accordingly to reflect a standardized process for case management.

Clear, precise, written instructions should be provided for each function to minimize the negative impact that frequent changes in patrol staffing may have.

Bureau Response: The Patrol Bureau concurs with this finding. Enhancements to the TraCS program continue to be developed and implemented. The IR Face Sheet template, currently an MS Word document, will soon be automated through TraCS. An administrative broadcast will be sent to all MCSO employees detailing the process once this feature has been successfully added to TraCS. The Patrol Bureau will send applicable policy changes to the Policy Section of the Compliance Division to be issued as Briefing Board notifications to all employees. The Patrol Bureau will coordinate with the Training Division any training related to IR process changes. Notifications alerting employees to changes in policies and processes together with documentation and mandatory training helps to ensure Office-wide standardization.

⁸ Stegall, M. Susan (2012, October 31). “10 Benefits of Using Standardized Work Routines” [Stegall’s Healthcare Industry Blog]. Message posted to <http://www.msstegall-consulting.com/blog-0/bid/237495/10-Benefits-of-Using-Standardized-Work-Routines>.

2. Stand-alone databases create information silos.

There exists no Office-wide case management system that can provide a single consolidated picture of a case. Some cases can run for months or years and involve several individuals. Cases change hands over time, different people work on different aspects and no single individual has an accurate view of the case as a whole.

Over the years, MCSO has developed multiple stand-alone databases in order to meet its basic case management needs. Stand-alone databases create information silos. Case management is only partially automated and there is disjoint between those pockets of automation.

Initially, FileBound was utilized as an electronic filing cabinet that stored all IRs. The Records Division scanned IRs into FileBound. However, electronic records in TraCS are now the exception. Patrol districts have been directed not to print electronic IRs recorded in TraCS, including crash reports, citations, and traffic tickets. This directly contradicts MCSO Policy GF-4.⁹ Consequently, there is no one place where all IRs are housed and determining the location of an IR becomes a guessing game.

The resulting lack of centralized case data makes information retrieval challenging as well as time consuming. It is often difficult for case agents and supervisors to organize and manage efficiently with the danger that an important record, note, or file will be unavailable, lost, or overlooked when it is needed. In addition, this directs resources away from key responsibilities, wastes time entering the same information multiple times, and increases the risk of errors being introduced into the data. Ninety-six percent (78 out of 81) of the IRs examined were found in multiple systems.

According to professional literature, best practice dictates that good case management joins up and coordinates the various supporting systems thereby reducing the need for repeated data entry and manual hand-offs. A good case management system is flexible, reliable, easy-to-use, and centralized (that is, structured around one database or system of linked databases). Emails, meeting notes, case documents and correspondence related to a case must be easily accessible to the right MCSO personnel at the right time.

Recommendation: MCSO should develop a centralized case management system that performs at least as well as the stand-alone systems, or staff will continue to use and develop ad hoc systems instead. The various disparate case management systems should be integrated on a single shared platform so that information may be accessed and queried directly in a timely manner and ensure that controls are embedded directly into the case management process.

Although the proposed enhancements to TraCS improve usability and provide additional accountability, TraCS was never meant to be a robust incident reporting process solution. MCSO should determine the feasibility of acquiring a records management system that shares the same developer with TraCS (i.e., TEG) in order for the supporting systems to effectively communicate.

Bureau Response: The Patrol Bureau concurs with this finding. A records management system that is compatible with the TraCS system is currently under consideration. A product demonstration by the same developer as TraCS is scheduled for the month of September 2016. Implementation of a new records management system would take place in fiscal year ending June 30, 2018.

⁹ MCSO Policy GF-4, *Office Reports*, Effective Date 03-24-06, “PROCEDURES, B.1. ... The DR Section will ensure that written reports are received for all issued IR numbers ...”

3. Internal control over the collection and sharing of case information is weak.

MCSO's manual processes of collecting and sharing case data are subject to a variety of vulnerabilities. The paper-based case management processes undermine productivity and impede the flow of information. This often results in keying errors and the burden of manual routing, which frequently leads to lost IRs. One-page IRs are especially at-risk because they often slide underneath, and become attached to, IRs that are paper-clipped together.

MCSO policy¹⁰ requires that the originals of all IRs and supplements be submitted to the Records Division. As such, IRs are transported by vehicle from dispersed locations and, at times, from great distances. This is both inefficient and costly and provides an additional opportunity for losing IRs.

Errors and inefficiencies occur when data from IRs is manually input multiple times in multiple systems. When IRs are initially hand-written on the Arizona Traffic Ticket and Complaint form, they are subsequently input into the TraCS system. We discovered an IR that had the correct event number written on the manual IR; however, the incorrect event number appeared on the electronic version in TraCS. The correct event number becomes especially important when searching for IRs in both the TraCS and RMS systems.

Sharing or communicating case information relies on telephone and/or email. The current process is for the patrol district to provide notification by telephoning the Office area most likely responsible for the type of incident reported. Then the IR is manually routed, faxed, or emailed. In one instance, we found case notes indicating that the Arson investigator was not notified timely and was, therefore, unable to perform an investigation of the scene. Upon follow-up, we discovered that this was not an isolated incident.

Law enforcement has been looking to technology for automation of case management processes on an ever-increasing basis. In its White Paper, "Paperless Incident Reporting: A Modular Approach to Records Management," (Version 4.0, December 21, 2015) PreSync Technologies, Inc. describes how "[a] paperless incident report business process leverages workflow and increases productivity and operational efficiency. Information gets to where it needs to be in the shortest amount of time. Authorized access control and authentication electronically provides greater privacy protections." It goes on to list benefits of eliminating paper from the process, as follows:

- **Data exchange** – Incident data can be shared with other databases, such as, CopLink; this is important as a crime-solving tool.
- **Security** – Role-based access and user authentication ensure that appropriate security levels and permissions are enforced.
- **Audit trails** – Every occurrence of access can be tracked with a date and time stamp in a log file.
- **Electronic distribution** – Reports are distributed electronically using configurable distribution matrices and email link of attachments, creating a paperless environment.
- **Configurable** – Form fields and data formats can be configurable to organizational preferences.
- **Business intelligence** – Fully-integrated management reporting provides statistical analysis with charts or graphs.
- **Segmentation** – Distinct locations (departments, divisions, cities, etc.) can be configured at install, allowing for data separation within large organizations.

¹⁰ Ibid., "All original IRs and supplements shall be forwarded to the DR Section within 10 calendar days of completion ..."

- **Confidentiality** – Individual reports can be marked “Confidential” so that only authorized users with confidential access permission can view sensitive data.
- **Efficiency and reduced operating costs** – Paper, printing, and postage costs are eliminated for report distribution.
- **Professional image** – Digital IRs present a professional image to colleagues, citizens, the community, and others.
- **Fast report turnaround** – Reports are immediately available.
- **Accessible** – Users have instant access to information 24/7 regardless of where they are physically located.

Recommendation: MCSO should implement an automated case management system and “... (1) stop using [the] e-mail system as a document management system, and (2) take paper out of the process.”¹¹ By developing a paperless incident reporting process, MCSO can leverage workflow and increase productivity so that information gets to where it needs to be in the shortest amount of time.

Bureau Response: The Patrol Bureau concurs with this finding. The new records management system (see Bureau Response in Finding 2 above) would fully automate the case management process, thus eliminating reliance on emails and paper as primary document management tools.

4. Patrol Bureau open case inventory controls were weak.

In one of the patrol districts we examined, the primary responsibility for case management fell on the first-line supervisors, or squad sergeants. At least weekly, they were to monitor their squad’s IR activity utilizing management reports available in Case Tracking. In reality, only a few sergeants were doing this because of workload burdens, lack of management support, weak computer skills, and/or unfamiliarity with the Case Tracking database. Cases had been allowed to accumulate and remain in open status. Open cases in this particular patrol district exceeded 900 as of May 31, 2016.

Weak control over IR tracking increases the risk of lost, misplaced, or forgotten cases especially with frequent staff changes. Patrol deputies and their supervisors may be familiar with cases currently being worked; however, without a good case tracking mechanism in place, caseload knowledge departs along with the patrol deputy or sergeant. Low priority cases get pushed to the bottom of the list where they are often overlooked or forgotten. In addition, cases that should be cleared but remain in open status give an inaccurate picture of caseload and other case-related numbers.

In 1992, the Committee of Sponsoring Organizations of the Treadway Commission (COSO) published *Internal Control – Integrated Framework* which was updated in 2013. Reconciling/comparing is an operating control activity and is one of the five main components of a good system of internal control. A sound control environment is another component of the COSO framework and includes proper training and development of people.

Recommendation: At least weekly, squad sergeants/command staff should perform comparisons and reconciliations of open cases with status reports from Case Tracking, investigate and resolve differences, and

¹¹ Gartner, Inc. published a Research study, *Top Five Tactical Content Management Actions to Consider in 2009*, ID Number G00165584, that addresses the issues organizations face in managing their enterprise content.

initial and date records to document that a review and reconciliation was performed. Each case record in Case Tracking should be updated to reflect proper case status.

Appropriate computer technology/software application training should be provided to all patrol personnel. Each squad sergeant/command staff should be held accountable for monitoring and maintaining an accurate open case inventory.

Bureau Response: The Patrol Bureau concurs with this finding. As an interim solution until a new records management system is implemented, each patrol district will be responsible for maintaining an MS Excel spreadsheet to track and monitor open cases. A standardized format will be developed for use by all patrol districts. This provides command staff a way to document weekly open patrol case monitoring and ensure accurate open case inventories. Patrol detectives will continue to utilize the Case Tracking database to track and monitor cases.

Summary of Recommendations

- As the process owner, the Patrol Bureau should develop uniform written policies and procedures for the reporting, updating, and tracking of all IRs across districts and divisions. Policies, such as Policy GJ-6, should be amended accordingly to reflect a standardized process for case management.
- Clear, precise, written instructions should be provided for each function to minimize the negative impact that frequent changes in patrol staffing may have.
- The MCSO should develop a centralized case management system that performs at least as well as the stand-alone systems, or staff will continue to use and develop ad hoc systems instead. The various disparate case management systems should be integrated on a single shared platform so that information may be accessed and queried directly in a timely manner and ensure that controls are embedded directly into the case management process.
- MCSO should determine the feasibility of acquiring a records management system that shares the same developer with TraCS (i.e., TEG) in order for the supporting systems to effectively communicate.
- MCSO should implement an automated case management system. By developing a paperless incident reporting process, MCSO can leverage workflow and increase productivity so that information gets to where it needs to be in the shortest amount of time.
- At least weekly, squad sergeants/command staff should perform comparisons and reconciliations of open cases with status reports from Case Tracking, investigate and resolve differences, and initial and date records to document that a review and reconciliation was performed.
- Each case record in Case Tracking should be updated to reflect proper case status.
- Appropriate computer technology/software application training should be provided to all patrol personnel.
- Each squad sergeant/command staff should be held accountable for monitoring and maintaining an accurate open case inventory.



MARICOPA COUNTY SHERIFF'S OFFICE

PATROL BUREAU



CORRECTIVE ACTION PLAN

CASE MANAGEMENT AUDIT #A2016-0001

Prepared by: Chief Joe Rodriguez

Finding/ Recommendation	Responsible Staff	Corrective Action	Completion Date		Status
			Estimated	Actual	
<p>1. Patrol Bureau case management processes are informal and lack standardization. Patrol Bureau should develop uniform written policies and procedures for the reporting, updating, and tracking of all IRs across districts and divisions. Policies, such as Policy GJ-6, should be amended accordingly to reflect a standardized process for case management.</p> <p>Clear, precise, written instructions should be provided for each function to minimize the negative impact that frequent changes in patrol staffing may have.</p>	Chief Rodriquez Policy Staff IT Staff Training Staff	Currently under development in the TraCS system is the implementation of IR Face-sheets becoming electronic and eliminating the current paper process that contributes to the associated risk, therefore, being more standardized in the reporting, updating, and tracking process. This process is estimated to be completed by the IT Bureau by 11/30/2016. With this implementation, an administrative broadcast detailing the process will be sent out to all employees. Future training in the standardization process for managing cases will be coordinated between the Chief Rodriquez and Training Division. Subsequently, all necessary changes to policy will be sent to the Policy Division for publication to establish clear and concise instructions on all case management processes deployed going forward.	11/30/16		
<p>2. Stand-alone databases create information silos. MCSO should develop a centralized case management system with the multiple existing case management systems integrated on a single shared platform.</p> <p>MCSO should acquire a records management system component that is compatible with and can communicate with TraCS.</p>	Chief Rodriquez IT Staff Finance Staff	An RMS system is being researched for deployment in TraCS to establish the ability to manage cases from the initial report to the final disposition, eliminating all associated risk such as poor tracking, lost documents, and poorly shared information, with the goal in mind to integrate any current data bases into a shared platform. Best estimates for deployment are currently sometime during the Fiscal Year 2017/2018. There is an RMS System Demo taking place during the month of September	10/30/16		

		2016; however, an actual date has not been established. Chief Rodriguez, IT, and Finance personnel will attend this meeting and all future demos in order to come up with the best system for this organization. With that, more information should be available following the September demo and by 10/30/16 and update for this audit can be made. However, if there are delays an extension will be requested.		
3. Internal control over the collection and sharing of case information is weak. MCSO should implement an automated case management system that does not rely on email as a document management system and takes paper out of the process.	Chief Rodriguez IT Staff Finance Staff	The above mentioned RMS System being integrated with the currently utilized TraCS system and will no longer require the use of emails to communicate and eliminate the use of a paper process, thus, eliminating the associated risk. As stated above, a follow up date of 10/30/16 and been established after the first demo on an RMS System.	10/30/16	
4. Patrol Bureau open case inventory controls were weak. At least weekly, squad sergeants or command staff should perform comparisons and reconciliations of open cases with status reports from Case Tracking, investigate and resolve differences, and initial and date records to document that a review and reconciliation was performed. Each case record in Case Tracking should be updated to reflect proper case status. Appropriate computer technology/software application training should be provided to all patrol personnel.	Chief Rodriguez Patrol District Command	As a temporary solution until the RMS System can be employed, it will be the responsibility of the district commanders to develop a standardized spreadsheet to be utilized by all Patrol Districts to track and monitor all patrol "Open" cases and establishing communication that respective supervisors are notified when cases are assigned for follow up to Patrol Deputies with a time frame in mind. This spreadsheet will also allow for documentation that weekly open patrol cases are being monitored by command, thus, reducing the risk of having patrol cases not having a final disposition. Initially this will produce an additional database; however, the current Case Tracking database is not equipped to handle the additional data. Upon deployment of an RMS System this new database can then be integrated into it. This new system will be deployed 10/1/16 and training will be provided by Patrol Command Staff. Patrol Detective staff will continue to utilize Case Tracking to track and monitor their cases.	10/1/16	