

DEBRA K. DAVENPORT, CPA AUDITOR GENERAL WILLIAM THOMSON DEPUTY AUDITOR GENERAL

November 14, 2003

The Honorable Robert Blendu, Chair Joint Legislative Audit Committee

The Honorable John Huppenthal, Vice Chair Joint Legislative Audit Committee

Dear Senator Blendu and Representative Huppenthal:

Our Office has recently completed a 24-month followup of the Department of Public Safety—Criminal Information Services Bureau, Access Integrity Unit, and Fingerprint Identification Bureau regarding the implementation status of the 11 audit recommendations (including subparts of the recommendations) presented in the performance audit report released in October 2001 (Auditor General Report No. 01-28). As the attached grid indicates:

- 9 of the 11 recommendations have been implemented; and
- 2 of the 11 recommendations are in the process of being implemented.

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

Sincerely,

Debbie Davenport Auditor General

Attachment

cc: Colonel Dennis Garrett, Director Department of Public Safety

Criminal Information Services Bureau,
Access Integrity Unit, and
Fingerprint Identification Bureau
24-Month Follow-Up Report To
Auditor General Report No. 01-28

FINDING I: DPS Could Better Ensure the Integrity of the State's Criminal History Records System

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. DPS should develop a plan for completing regular Criminal History Reporting Reviews that:		
 a. Includes a schedule to complete reviews of criminal justice agencies in all counties on a regular basis; 	Implemented at 18 months	
b. Seeks the additional staff necessary to complete those reviews;	Implemented at 12 months	
c. Ensures that the recommendations and any training DPS provides continually address the reasons why problems identified in the reviews occur;	Implemented at 24 months	

Criminal Information Services Bureau,
Access Integrity Unit, and
Fingerprint Identification Bureau
24-Month Follow-Up Report To
Auditor General Report No. 01-28

FINDING I: DPS Could Better Ensure the Integrity of the State's Criminal History Records System (Concl'd)

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
d. Verifies that the reviews' recommendations are fully implemented; and	Implemented at 18 months	
e. Establishes program goals and measures so DPS can measure the review's impact on criminal history information in Arizona.	Implemented at 24 months	
2. To better communicate requirements for submitting criminal history records to the central state repository, DPS should formalize such requirements in administrative rules, as required by statute.	Implementation in Process	

Criminal Information Services Bureau,
Access Integrity Unit, and
Fingerprint Identification Bureau
24-Month Follow-Up Report To
Auditor General Report No. 01-28

FINDING II: DPS Should Expedite and Improve Background Checks

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
 DPS should continue to pursue methods to expedite and improve its processes for conducting fingerprint background checks. Specifically, DPS should do the following: 		
 a. Re-evaluate its original cost estimates for electronically exchanging fingerprint in- formation with the FBI and for conducting fingerprint-based searches for all appli- cants; 	Implemented at 12 months	
b. Seek viable funding sources, such as grants, to support the necessary computer system expansion costs; and	Implemented at 12 months	
c. Raise background check application fees as necessary to cover the ongoing system maintenance and personnel costs if the program is to remain self-funded.	Implemented at 18 months	

Criminal Information Services Bureau,
Access Integrity Unit, and
Fingerprint Identification Bureau
24-Month Follow-Up Report To
Auditor General Report No. 01-28

FINDING II: DPS Should Expedite and Improve Background Checks (Concl'd)

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
2. DPS should take additional steps to become a full participant in the National Crime Prevention and Privacy Compact. Specifically, DPS should:		
a. Obtain legislative approval of the Compact; and	Implemented at 12 months	
b. Work with the FBI to make necessary changes to its data systems and processes.	Implementation in Process	