



## Memorandum

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FROM: Bill Greene, City Auditor (X8982)  
CC: Andrew Ching, City Manager  
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Tom Duensing, Deputy City Manager  
Keith Burke, Deputy City Manager  
Cathryn Masters, Assistant Police Chief  
DATE: March 29, 2023  
SUBJECT: LIMITED REVIEW: Police Records Division

### **Purpose**

At the request of the Tempe Police Department (TPD), we conducted a limited review of the TPD Records Division to determine if the division's mission aligned to work performed, evaluate specific business processes, and identify key performance indicators.

### **Background**

As part of our annual audit planning process, the City Auditor meets with senior management to discuss emerging risks and areas of concern. Limited Reviews are used to address some of the concerns raised by management and expand Citywide audit coverage. To conserve audit resources, these reviews are planned and executed using a targeted approach to address specific risks rather than a full-scope audit.

### **Scope and Methods**

The objective of this consulting engagement was to review areas brought to our attention by Police Department management and identify process improvements to be considered by management. The work performed does not constitute an audit in accordance with *Government Auditing Standards*. An audit would have required additional steps such as a risk assessment process, the substantive testing of relevant internal controls, validation of data and information provided to IAO, and additional engagement file documentation.

We employed the following methods to complete this engagement:

- Reviewed the TPD Records Division’s mission and values;
- Obtained and reviewed written policies and procedures;
- Identified relevant internal controls;
- Conducted a survey of Police Records functions from other local jurisdictions;
- Interviewed TPD staff.

## Results

### ***Objective 1: Determine if there is alignment between the TPD Records Division’s mission and the work performed.***

#### Results:

To assess the Records Division mission, we requested the current mission statement from the Records Administrator and reviewed Police Department General Order 31.102 which appeared to articulate the mission:

*“The Records Bureau assists in attaining the objectives of the Department by performing technical and support activities, and performing the record keeping function of the Department. The Records Bureau shall use effective, modern record keeping techniques in a manner that will provide the best possible service to the Department and public.”*

Through additional discussion with TPD staff, IAO was informed the mission was outdated and TPD management plans to update the mission. Since Records Division management is currently working to update the mission, IAO did not conduct additional fieldwork to determine alignment with work output or resources.

A mission statement is an important component to the success of an organization. The development of a mission statement in alignment with division responsibilities and City strategic priorities can enable staff to feel empowered toward a unified goal. Clear direction gives a strong foundation to the organization, can help staff understand the purpose of tasks, and redirect or reprioritize work that does not align with the mission.

#### Considerations:

1. PD Records management work with staff to develop an updated mission statement reflective of current work performed and resource allocations. Ensure division work duties and outputs are aligned with the updated mission.

### ***Objective 2: Identify potential improvements for key business processes.***

IAO identified 33 tasks performed by the Records Division staff based on staff schedules and activities. IAO requested TPD management review the task list and

identify the most critical based on time required per task and overall importance to the mission of the division. The following task areas were identified for IAO review by management:

- Handles
- Juveniles
- DUI
- Checks
- Fax

Results:

To identify potential improvements for the above functions, we interviewed and observed staff processes for each identified records activity and created process maps. We also reviewed TPD General Orders and Records Manual sections relevant to these business processes. Our observations as well as suggestions from staff were used to identify potential opportunities to reduce inefficiencies or hindrances to task completion. The following considerations represent potential opportunities to streamline processes:

Considerations:

*Handles Process*

1. The Sergeant supervising light rail security has access to RMS. Rather than Records staff printing, and mailing reports tagged for light rail through interoffice mail, the Sergeant could potentially access the reports in the system saving Records Division staff time.
2. City of Tempe CARE 7 staff works closely with the Police Department to assist with several social service issues. Providing limited, read-only access to RMS to specific CARE 7 staff may enable access to needed reports without Records Division staff intervention.

***Objective 3: Compare TPD Records Division core functions and performance measures to other local jurisdictions.***

To compare TPD Records Division's core business functions and performance measures to other jurisdictions, we surveyed police records divisions from six other local jurisdictions. Responses were received from five police departments: Scottsdale, Mesa, Chandler, Phoenix, and Gilbert. IAO also requested information on any changes to business practices that resulted in improved efficiency.

IAO provided TPD management a copy of the complete survey responses. Highlights of responses regarding efficiency improvements are noted below:

- All light duty staff are assigned to work on public records requests.

- Records specialists attend officer squad meetings for updates and recommendations.
- Secondary review of body worn camera and 911 transcripts were eliminated.
- Records payment kiosks were added to the department lobby.

Key Performance Indicators

Several respondents indicated an inability to meet record processing performance goals. We received one response from a jurisdiction with well-defined performance measures and near achievement of goals. This example could be considered by TPD as they further define goals and expectations to align with strategic priorities:

- |  |                        |
|--|------------------------|
| a. Police reports: 10 business days 90% of the time        | Current 85%            |
| b. Accident reports:10 business days 90% of the time       | Current 85%            |
| c. Letter of verification (good conduct letter)            | Prepared while waiting |
| d. Photographs: 10 business days 90% of the time           | Current 85%            |
| e. 911 tape/ transcripts: 10 business days 90% of the time | Current 85%            |
| f. Body worn camera: 10 business days 90% of the time      | Current 85%            |
| g. Redactions: 10 business days 90% of the time            | Current 85%            |

Considerations:

1. Review survey results for potential useful practices that could be incorporated by the TPD Records Division.