

Arizona State University

**ASU Police Department Evidence
Room**

Audit Report

March 15, 2017

This page left blank intentionally.

Arizona State University
ASU Police Department Evidence Room
Audit Report
March 15, 2017

Summary:

The ASU Police Department (PD) Evidence Room audit was included in the Arizona State University (ASU) FY2017 audit plan approved by the Arizona Board of Regents (ABOR) Audit Committee and ASU senior leadership. The audit focused on assessing compliance to the defined Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA) standard for the Property and Evidence Control function in addition to the ASU policies and procedures that address compliance to this standard. This audit is in support of ASU's mission to take fundamental responsibilities for the communities it serves.

Background:

The ASU PD is a full-service public law enforcement agency, established by ABOR and the President of ASU. The department's mission is to foster a safe, community-centered environment through engaged collaboration committed to dignity and respect.

ASU Police Officers are state certified and have the same powers as any police officer in the State of Arizona through A.R.S. § 13-3871. The ASU PD has primary jurisdiction over ASU-owned and operated properties. The main headquarters is on the Tempe campus with substations located at the Downtown, Polytechnic, and West campuses.

The ASU PD is accredited through CALEA. Accreditation is the primary method for an agency to voluntarily demonstrate commitment to excellence in law enforcement.

The ASU PD maintains its own evidence room for management of property and evidence utilizing the Aegis Learns system. The primary evidence room is located at the Tempe campus and is managed by a dedicated full time evidence technician. In addition, each of the campuses has temporary storage to store items until items can be formally inventoried and brought to the main evidence room.

Audit Objective: The objective of this engagement was to assess compliance with the defined CALEA Chapter 84 Standards which addresses the Property and Evidence Control function.

Scope: The scope of the Audit focused on the CALEA Standard governing the Property and Evidence Control function and the related ASU policies and procedures that address compliance to this standard.

Arizona State University
ASU Police Department Evidence Room
Audit Report
March 15, 2017

The following areas are covered by CALEA Chapter 84 Standard:

Ref	Description
84.1.1	Evidence/Property and Control System
84.1.2	Storage and Security
84.1.3	Temporary Security
84.1.4	Security of Controlled Substances, Weapons and Explosives used for training
84.1.5	Records, Status of Property
84.1.6	Inspections and Reports including compliance to Appendix I and Appendix K
84.1.7	Final Disposition
84.1.8	Property Acquired through the Civil Process

Methodology: Our audit consisted of tests of procedures necessary to provide a reasonable basis for expressing our opinion. Specifically, audit work consisted of interviews with the ASU PD, observation of work processes, review of documented policies and procedures and substantive tests including the following areas:

- Mapping existing PD policies to the requirements of CALEA Standard 84.1.1 – 84.1.8 including PSM 431-03, PSM 462-01, PSM 742-01, PSM 832-04, PSM 841-01, PSM 841-09, and PSM 841-10.
- Assessing the physical access controls to the main evidence room as well as the temporary holding facilities at each of the locations.
- Confirming policy related to visitors is followed.
- Validating the required periodic reviews including the semi-annual, annual and unannounced reviews were completed according to CALEA standards including scope, frequency and appropriate documentation.
- Validating the required change of custody review was performed and documented in accordance to CALEA standards.
- Validating the inventory system by tracing 198 evidence selections for existence and completeness:
 - Existence – Selected 99 selections from the inventory system and traced to the physical item stored in the evidence room.

Arizona State University
ASU Police Department Evidence Room
Audit Report
March 15, 2017

- Completeness – Selected 99 selections from the physical item and traced to the inventory system.
- For the 198 inventory selections, validating accuracy and compliance to the relevant PD policies addressing packaging, labeling, required data elements (location, date and time, description, volume, and officer name/badge) and chain of custody.
- Validating compliance to disposal requirements by tracing 50 items in disposed status to the relevant Property Log to ensure appropriate chain of custody and approvals prior to disposition.
- Assessing security and performing inventories of the drug ID kits and explosives used in canine training.

Conclusion: Overall, the ASU PD is generally in compliance with CALEA standards and the underlying ASU policies. The evidence room is maintained in a secure, clean and orderly manner and generally follows CALEA standards. The required periodic and event driven reviews were performed in a timely manner and were appropriately documented as required by CALEA with one exception. Specifically, the annual review did not meet the sampling size defined by CALEA. A sample of 100 items should have been included in the review; however, only 47 items were sampled.

In addition, it was noted that the PD is currently not compliant with Policy 841-01 as it relates to the data elements required for all property impounded. Specifically, Policy PSM 841-01 requires that the location of where an item was impounded be captured. The existing system, which allows officers to create the Property Impound Report (PIR) electronically, does not allow for the location to be captured.

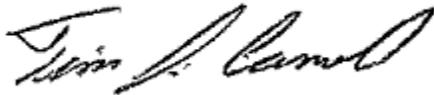
The control standards we considered during this audit and the status of the related control environment are provided in the following table.

General Control Standard (The bulleted items are internal control objectives that apply to the general control standards, and will differ for each audit.)	Control Environment	Finding No.	Page No.
Reliability and Integrity of Financial and Operational Information			
<ul style="list-style-type: none"> ● The Inventory System is complete and accurate. 	Reasonable to Strong Controls in Place.	NA	NA
Effectiveness and Efficiency of Operations	NA	NA	NA
Safeguarding of Assets			

Arizona State University
ASU Police Department Evidence Room
Audit Report
March 15, 2017

<ul style="list-style-type: none"> Access to the evidence room and temporary holding facilities is appropriately restricted. 	Reasonable to Strong Controls in Place.	NA	NA
Compliance with Laws and Regulations		NA	NA
<ul style="list-style-type: none"> Formal policies exist addressing the CALEA requirements related to property and evidence control function. 	Reasonable to Strong Controls in Place.	NA	NA
<ul style="list-style-type: none"> Adequate security is in place for controlled substances, weapons and explosives used for training. 	Reasonable to Strong Controls in Place.	NA	NA
<ul style="list-style-type: none"> Required periodic and event driven inspections are performed in a timely manner and in accordance with CALEA standards. 	Opportunity for Improvement.	1	5
<ul style="list-style-type: none"> Evidence is packaged and labeled in accordance with CALEA standards and PD Policy 841-01. 	Reasonable to Strong Controls in Place.	2	6
<ul style="list-style-type: none"> Evidence is disposed of with appropriate documentation and approval. 	Reasonable to Strong Controls in Place.	NA	NA

We appreciate the assistance of ASU PD representatives during the audit.



Timothy Carroll, CFE, MSEC
Internal Auditor Senior



Lisa Grace, CPA, CIA, CISA, CISSP
Executive Director

Audit Results, Recommendations, and Responses

1. ASU PD did not comply with CALEA Standards related to the required annual review as defined by Appendix K.

Condition: ASU PD completed the annual review; however, did not comply with the required sample size of items to be tested as part of the review as defined in appendix K of the CALEA standards.

Criteria: CALEA Appendix K provides the population sizes that should be incorporated into the required annual review. Specifically, if the agency has 101 or more items in custody, then a sample of 100 high risk items should be selected for the annual audit.

Cause: ASU PD was not aware of the specific populations that must be utilized and as a result only included 47 items into their review.

Effect: Noncompliance with the required standards may impact the ASU PD's ability to maintain their CALEA accreditation.

Recommendation: ASU PD should update their current process to ensure that the annual review considers and complies with the defined population sizes as stated in CALEA Appendix K.

Management Response: Sample size moving forward will consist of 100 items; this will be corrected on the audit form by the Accreditation Manager. Future employees designated to perform the annual evidence audit will be directed to sample 100 items which will be confirmed by the presiding Evidence Technician.

Arizona State University
ASU Police Department Evidence Room
Audit Report
March 15, 2017

2. ASU PD is not following PD Policy 841-01 which requires the location of where property is impounded to be captured and documented as part of the Property Impound Report (PIR).

Condition: ASU PD is not capturing the location of where property is impounded as part of the Electronic PIR.

Criteria: PD Policy 841-01 requires that the location where property is found to be captured as part of the PIR in addition to various other data elements.

Cause: The existing system which allows officers to create the PIR electronically does not allow for the location where the item was found to be captured.

Effect: As a result to the system limitation, the location where the property was found is currently not being captured when officers use the electronic PIR. The electronic PIR is used in almost all instances.

Recommendation: It is not feasible to add additional data elements which would allow the electronic PIR to capture the location as a unique data element due to system limitations. If this information is deemed necessary, management should determine how this additional data element could be consistently captured (i.e. include as part of the description field); otherwise, policy should be updated to remove this requirement.

Management Response: Policy 841-01 will be updated to remove this requirement effective April 1st. Should technology changes allow us to properly capture this info, we will revisit at a future time. Officers will continue to capture the location of seized items in their official departmental reports.

Arizona State University
ASU Police Department Evidence Room
Audit Report
March 15, 2017

Distribution:

Arizona Board of Regents Audit Committee
Michael M. Crow, President
Morgan R. Olsen, Executive Vice President, Treasurer and Chief Financial Officer
Michael Thompson, Chief of Police
Patrick Foster, Assistant Chief of Police
Louis Scichilone, Police Commander, Support Services
Kevin Georritso, Property and Evidence
Hilda Godinez, Accreditation and Clery Act Compliance Coordinator
Internal Audit Review Board

This page left blank intentionally.

4.A.3

This page left blank intentionally.