

Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
1908	Fire & Life Safety Inspections	Issued:	11/2/2018	
1A	The Fire Chief should direct the Fire & Life Safety division to evaluate inspectors' schedules to find efficiencies to ensure that the higher-risk target sites receive annual inspections.	<p>April 2019: Management reported that the department is revising the Target list, with three classifications vetted and two remaining. The next step will be to schedule dedicated inspector time to these inspections and assess whether the annual inspection goal is realistic. The initial completion date of 7/1/19 is still considered feasible. Sept 2019: Management provided the department's definition of Target occupancies and reported they have completed a significant amount of database clean-up and will continue cleaning the data set and ensuring it is accurate. By limiting the Target locations based on risk, management has determined there is now time for inspectors to reach each Target site annually.</p>	Implemented	<input checked="" type="checkbox"/>
1B	The Fire Chief should direct the Fire & Life Safety division to determine if performing safety inspections every three years is a realistic department goal. If the department goal is retained, evaluate schedules and find efficiencies to work toward accomplishing the goal.	<p>April 2019: Management reported that the department's new tablet-based process for engine company safety inspections directly feeds into the records management system. When the department has a good data set of completion statistics, the three-year goal will be reassessed. The initial completion date of 7/1/19 is still considered feasible. Sept 2019: Management reported that, after review, they have determined the timeframes to be achievable based on the inspections and time required. They are monitoring how the new system supports the goals and will be evaluating progress and refining the goal as needed,</p>	Implemented	<input checked="" type="checkbox"/>

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2A	The Fire Chief should require the Fire & Life Safety division to develop an accurate and complete database by comparing the sites list to other City systems such as the LIS and conducting a current fire risk assessment to properly identify target properties.	April 2019: Management reported that the department is in the process of cleaning up the records management database, including target site classifications and duplicate sites. Their comparison to other City systems found no direct correlation, however, they do use those systems to ensure accuracy. The initial completion date of 7/1/19 is still considered feasible. Sept 2019: Management reported they established the Target definition, and they are updating records as inspectors identify duplicate information during inspections. Further, working to ensure accuracy of the records will be an ongoing process.	Implemented	<input checked="" type="checkbox"/>
2B	The Fire Chief should require the Fire & Life Safety division to establish a recurring review procedure to verify that all fire inspections have been entered in FPS.	April 2019: Management reported that it was emphasized to staff that uncompleted activities should be cleaned up on a regular basis to ensure completeness of the records. The department has assigned a recurring calendar appointment to assist in tracking this. Auditors viewed the reminder appointment and confirmed that the uncompleted activity queue contains far fewer items now, with most related to ongoing safety inspections.	Implemented	<input checked="" type="checkbox"/>
2C	The Fire Chief should require the Fire & Life Safety division to establish a review procedure to verify that FPS reports include relevant inspection information.	April 2019: Management reported that a review procedure will be added as part of the policy/guideline revisions. The initial completion date of 7/1/2019 is still considered feasible. Sept 2019: Management reported working with information technology staff to require inspectors to input certain information based on inspection results. Examples provided included requiring comments on an inspection marked as Approved with Comments; requiring comments or corrections for an inspection marked as Rejected; and requiring an outcome before a record can be closed.	Implemented	<input checked="" type="checkbox"/>

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2D	The Fire Chief should require the Fire & Life Safety division to require the new contracted system to record all submitted third-party fire safety inspections, not just those with identified issues, so that the division has a complete record of fire safety inspections performed in the City.	April 2019: Management reported that the new contracted system should meet the audit recommendation. Auditors viewed the new system, including how the department is able to accept or reject inspection reports received (depending on whether Scottsdale is the appropriate jurisdiction) and monitor inspection reports received and those still due.	Implemented	<input checked="" type="checkbox"/>
2E	The Fire Chief should require the Fire & Life Safety division to create policies and procedures to ensure that re-inspections occur within a specified time period based on the type of site and violation.	April 2019: Management reported that the department will implement a more formalized reinspection procedure as part of the policy/guideline revisions. Often the reinspection timelines are dictated by the type of inspection and infractions encountered. The initial completion date of 7/1/209 is still considered feasible. Sept 2019: Auditors reviewed the Informational Directive that management has established addressing reinspection timelines and requirements.	Implemented	<input checked="" type="checkbox"/>
2F	The Fire Chief should require the Fire & Life Safety division to reevaluate the effectiveness of performance metrics being tracked and reported in the Budget Book. The fire plan review and fire inspection metrics should be presented separately and include context, such as percentage of required target inspections completed.	April 2019: Management reported the department is working with the budget analyst to look at opportunities for improvement if appropriate. The initial completion date of 7/1/2019 is still considered feasible. Sept 2019: Management has developed performance goal language for the next budget cycle (for the FY 2020/21 Budget Book) to separate plan review and inspection metrics.	Implemented	<input checked="" type="checkbox"/>
3A	The Fire Chief should require the Fire & Life Safety division to ensure system access is provided in accordance with the least privilege principle and adjusted as duties change and require a Fire Prevention System access review at least annually.	April 2019: Management reported that the department has reviewed all current users for the appropriate level, and they will continue to monitor access levels consistent with the least privilege principle. Auditors will review access documentation for the next update. Sept 2019: Management reported implementing quarterly access reviews with changes as necessary. Auditors reviewed documentation of access changes made.	Implemented	<input checked="" type="checkbox"/>

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3B	The Fire Chief should require the Fire & Life Safety division to ensure refunds are documented in compliance with AR 268, including written customer requests and management review.	April 2019: Management reported that the department has reviewed its practices with Accounting and implemented steps to ensure compliance with AR 268. Auditors will review refund documentation for the next update. Sept 2019: Auditors reviewed documentation of Accounting's approval of the revised refund practices.	Implemented	<input checked="" type="checkbox"/>
3C	The Fire Chief should require the Fire & Life Safety division to ensure that the 60-day notice period is met and Council approval is obtained before requiring fees for inspection report submittals.	April 2019: Management reported that the required notice of the proposed fee was posted and the fee received Council approval. Auditors confirmed the notice was posted in November 2018 and Council approval occurred on January 8, 2019.	Implemented	<input checked="" type="checkbox"/>