



City of Albuquerque

Office of Internal Audit

FOLLOW-UP OF ALBUQUERQUE POLICE DEPARTMENT
FIREARMS INVENTORY
REPORT NO. 14-12-103F
June 3, 2014

INTRODUCTION

The Office of Internal Audit performed a follow-up of Audit No. 12-103, Albuquerque Police Department (APD) – Firearms Inventory. The audit included recommendations to APD.

Follow-up procedures are not an audit and are substantially less in scope. Our objective is to report on the status of corrective action taken by APD to address our findings and recommendations. We limited our scope to actions taken to address our audit recommendations from the date of our final report, June 27, 2012 through May 22, 2014.

The follow-up relies on the department providing the current status and supporting documentation for addressing the recommendations.

SUMMARY

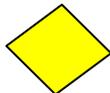
The recommendations are in the same order as they appeared in the audit report dated June 27, 2012. The status of each recommendation is identified by the symbols in the following legend:



Fully Implemented



Resolved



In Process

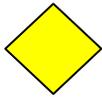


Not implemented

Seven of the audit's recommendations have been fully implemented and two recommendations are in process, as detailed below. Although progress has been made, there is still opportunity for improvement in the controls for firearms inventory.

Recommendation #1: APD should:

- Amend the SOPs to require that a complete inventory, including the verification of all serial numbers, be taken annually.
- Maintain documentation and dates when complete inventories were conducted.



In Process

Status: APD has amended SOP Section 3-75-8 (A) & (B.1.) which became effective May 19, 2014. The department is currently working with ITSD to create an electronic form that will simplify the completion of PD form 3003. After the 2014 Field Services bid in May, APD will conduct a complete inventory of Department issued equipment utilizing the newly created form.

Recommendation #2: APD should:

- Establish and implement SOPs pertaining to the other categories of individuals who may be issued APD firearms (i.e. AFD Arson investigators). At a minimum, the SOP should include the retention of APD firearms (i.e. period of inactivity).
- Develop strict criteria regarding how firearms are to be issued to these individuals.

Periodically, APD should verify the status of individuals who have been issued APD firearms.



Fully Implemented

Status: APD has worked to collect Department issued weapons from non-APD personnel. No weapons have been issued to non-APD personnel since the audit report no. 12-103 was issued. SOP section 3-75-11 (C) has been added and became effective May 19, 2014.

Recommendation #3: APD should require that all firearm shipments be sent directly to the Property Control Unit. This will enable the Unit to accurately account for firearms inventory.



Fully Implemented

Status: APD added SOP Section 3-75-5 (D) that became effective May 19, 2014.

Recommendation #4: APD should work with the Property Control Unit to review current operations, determine staffing needs, and establish clear separation of duties among employees.



Fully Implemented

Status: APD reviewed staffing needs and, due to budget constraints, the APD Property Unit has been unable to add positions for separation of duty purposes. However, the Property Unit has strict guidelines to ensure that prior authorization has been received before making any changes to an employee's property card.

Recommendation #5: APD should work with its IT Department to review and strengthen the electronic controls of the Quartermaster database.



In Process

Status: APD has worked with its IT department to review controls on the Quartermaster database. The system, along with physical internal controls is reasonably secure. However, the current system prohibits easy access to the information from outside of the immediate users in the Property Control Unit. The department is looking at other software, and will include a review of security concerns in any software evaluation.

Recommendation #6: APD should require the Range to conduct a full verification of the officers' files during the annual qualification. This will help ensure that all required forms are on file and that officers have qualified with any weapon carried for duty purposes. Additionally, any recording mistakes of qualifications would be discovered and corrected in a timely manner.



Fully Implemented

Status: The range conducted a full verification of officer's files during the annual qualification.

Recommendation #7: APD should ensure that Forms PD-3003 are forwarded to the Property Control Unit bi-annually in March and September. This will provide the Property Control Unit additional documentation with which to compare the Quartermaster database and corresponding Property Card.



Fully Implemented

Status: APD utilized a Weapon Qualification pdf. form in 2013 to verify weapons and serial numbers with the Quartermaster database. APD will continue to utilize online forms for property control.

Recommendation #8: APD should:

- Amend the SOPs to clarify the procedures and associated responsibility for the issuance of temporarily issued firearms,
- Require the Range to utilize a form that will document the issuance/return date, the officer's name, and the serial number of the temporarily issued firearm.
- The Range should notify the Property Control Unit prior to the temporary issuance of a firearm. This will enable the Department to have accurate documentation regarding the location of all firearms at all times.



Fully Implemented

Status: APD amended the SOP 3-75-9 that deals with the issuance of temporarily issued firearms. The department created a 'Temporary Firearms Issue Form' to track temporary firearms issued by the range. Additionally, the department reduced the number of temporary firearms available at the range. The range notifies the Property Control Unit prior to the issuance of a temporary firearm using the newly created Temporary Firearms Issue Form.

Recommendation #9: APD should review and clarify the SOPs involving personal firearm qualifications.



Resolved

Status: Due to recent events, APD officers are no longer permitted to carry personal weapons.

Follow-Up
Albuquerque Police Department – Firearms Inventory
103F
June 3, 2014

14-12-

AUDITORS' COMMENT

OIA sent the request for status of the audit recommendations to APD on March 17, 2014. The status request included all recommendations, including those identified by APD as already implemented at the time of the original audit report. APD provided a response to the follow up status request on March 31, 2014. The response indicated that the policies related to four of the recommendations were updated and would be incorporated into the SOPs. OIA requested copies of the updated SOPs, and APD provided them on May 22, 2014. The updated SOPs were effective May 19, 2014, approximately two years after the response to the original audit and more than a month after the response to the status request.