

Audit Division Report Follow-Up of Audit of 2020 BIA Investigation Timeframe Requirements 22-011

27 July 2022

The Audit Division conducted a follow-up of its *Audit of 2020 Investigation Timeframe Requirements*¹ to assess the Bureau of Internal Affairs' (BIA) progress in implementing the audit's recommendations. The original audit assessed whether BIA's new Case Management System (CMS) collected the data necessary to evaluate BIA's compliance with consent decree paragraphs 446(a), 446(b), 471, 472, 474, 498, and 500 for the period 01 January 2020 to 31 December 2020. The audit resulted in 12 recommendations.

To conduct the follow-up, the Audit Division met with BIA on 02 June 2022 to review each of the report's recommendations and receive an update on its vendor's (Column Case Management) progress in implementing enhancements to CMS. At the invitation of BIA leadership, the Audit Division participated in a project status meeting with BIA and Column on 03 June 2022. During the meeting, representatives from Column provided a progress report and demonstration of each implemented solution. Following these meetings, the Audit Division requested and received additional documentation—including screenshots, code, and written confirmation—required to substantiate the status of each recommendation.

Based on the information it received, the Audit Division determined that BIA implemented each of 12 recommendations in the original audit, as shown in Table 1.

Table 1: Status of Recommendations

Finding	Relevant C.D. Par.	Recommendation	Status
1	446(a)	This finding did not result in a recommendation.	Not applicable
2a	471	The Audit Division recommends that BIA, working with its CMS vendor, incorporate data controls within CMS that require entry of data for critical fields (e.g., <i>Agency</i> , <i>CPD Assignment Date</i> , and <i>Investigative Findings Date</i>) before a case can be fully closed.	Implemented
2b	471	i. [BIA should] Require its investigators to log extension dates in the existing CMS field.	Implemented
2b	471	ii. [BIA should] Work with its CMS vendor to create and utilize a distinct digital storage location linked to or within CMS for uploaded written time extension approvals.	Implemented
3a	472	The Audit Division recommends that BIA, working with its CMS vendor, incorporate data controls within CMS	Implemented

¹ Audit of 2020 Investigation Timeframe Requirements (CD-553-2021) was finalized on 15 November 2021.
 Follow-Up of CD-553-2021

		that require entry of data for critical fields (e.g., <i>Agency</i> , <i>CPD Assignment Date</i> , and <i>Investigative Findings Date</i>) before a case can be fully closed.	
3b	472	i. [BIA should] Require Accountability Sergeants to log extension dates in the existing CMS field.	Implemented
3b	472	ii. [BIA should] Work with its CMS vendor to create and utilize a distinct digital storage location linked to or within CMS for uploaded written time extension approvals.	Implemented
4	474	a) [BIA should] Work with its CMS vendor to utilize a distinct digital storage location linked to or within CMS for uploaded notice of extension letters sent to the complainant or their representative.	Implemented
4	474	b) [BIA should] Institute controls to ensure that investigators and Accountability Sergeants uniformly document notice of extension letters sent to the complainant or their representative.	Implemented
5	446(b)	The Audit Division recommends that BIA, working with its CMS vendor, create and utilize a field that documents the date BIA provided a copy of the ASR to the complainant.	Implemented
6	500	The Audit Division recommends that BIA, working with its CMS vendor, create and utilize controls ensuring that the <i>ASR Publish Date</i> field is completed before a case can be fully closed.	Implemented
7a	498	The Audit Division recommends that BIA institute controls to ensure that cases in CCR are automatically forwarded to the next level of review at the conclusion of the fifteen-day review period.	Implemented
7b	498	This finding did not result in a recommendation.	Not applicable
8	Not applicable	The Audit Division recommends that BIA, working with its CMS vendor, develop a process for archiving data used to generate its quarterly reports.	Implemented

THE AUDIT DIVISION

The mission of the Audit Division is to provide quality, independent, and objective assessments of the operations, processes, and internal controls in support of the Chicago Police Department. All audits, reviews, and advisements are intended to provide objective information to inform decision-making and to help improve the internal transparency and accountability of the Department's operations.

The Audit Division recognizes the standards and guidance contained in the Institute of Internal Auditor's *International Standards of the Professional Practice of Internal Auditing*. The Audit Division strives to comply with these standards in order to maintain the highest caliber of professionalism in conducting its audits and reviews.



Please contact audit@chicagopolice.org with any questions about this product.