

POLICE SERVICES
CALIFORNIA STATE UNIVERSITY,
BAKERSFIELD

Audit Report 08-31
January 23, 2009

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ABBREVIATIONS

| | |
|-------|--|
| CALEA | Commission on Accreditation for Law Enforcement Agencies |
| CBA | Collective Bargaining Agreement |
| CCR | California Code of Regulations |
| CSU | California State University |
| EO | Executive Order |
| EOC | Emergency Operations Center |
| LOU | Letter of Understanding |
| POST | Commission on Peace Officer Standards and Training |
| RIMS | Records Information Management System |
| SAM | State Administrative Manual |
| SUPA | Statewide University Police Association |
| UPD | University Police Department |

EXECUTIVE SUMMARY

As a result of a systemwide risk assessment conducted by the Office of the University Auditor during the last quarter of 2005, the Board of Trustees, at its January 2008 meeting, directed that *Police Services* be reviewed. *Police Services* was last audited in 2000.

We visited the California State University, Bakersfield campus from September 29, 2008, through October 31, 2008, and audited the procedures in effect at that time.

Our study and evaluation did not reveal any significant internal control problems or weaknesses that would be considered pervasive in their effects on police services controls. However, we did identify other reportable weaknesses that are described in the executive summary and body of this report. In our opinion, the operational and administrative controls of police services in effect as of October 31, 2008, taken as a whole, were sufficient to meet the objectives stated below.

As a result of changing conditions and the degree of compliance with procedures, the effectiveness of controls changes over time. Specific limitations that may hinder the effectiveness of an otherwise adequate system of controls include, but are not limited to, resource constraints, faulty judgments, unintentional errors, circumvention by collusion, and management overrides. Establishing controls that would prevent all these limitations would not be cost-effective; moreover, an audit may not always detect these limitations.

The following summary provides management with an overview of conditions requiring attention. Areas of review not mentioned in this section were found to be satisfactory. Numbers in brackets [] refer to page numbers in the report.

PROGRAM ADMINISTRATION [8]

Written policies and procedures were not always developed, reviewed, and updated by the university police department. Review and approval of the campus emergency operations plan was not documented within the last year. Further, the emergency management program did not include contractual provisions with the campus food service provider for emergency food and water.

PERSONNEL ADMINISTRATION, TRAINING, AND CERTIFICATIONS [11]

Permanent status letters were not issued by the campus president in accordance with the collective bargaining agreement.

EVIDENCE, WEAPONS, AND EQUIPMENT [11]

Duties and responsibilities related to evidence and found property were not properly segregated. In addition, found property scheduled for disposal was not adequately safeguarded, and evidence had not been disposed of within the required time limitations.

PARKING PROGRAM [14]

The parking fee policy was vague and did not provide criteria for waiving fees, which resulted in 34 percent of parking fees being waived for the four-month period reviewed.

INTRODUCTION

BACKGROUND

The California State University (CSU) Public Safety Program was developed in 1974, commencing with a two-year pilot project on the CSU Northridge campus. A systemwide committee subsequently forwarded recommendations regarding a “public safety approach” for CSU campuses to the chancellor. The chancellor’s Council of Presidents endorsed the recommendations as an appropriate program for the CSU, and thereafter, necessary actions were taken to bring the program to fruition. In 2007, the CSU campus police departments were renamed from public safety to police services to emphasize the service aspect of the campus police departments, and campuses have been adjusting their organizations accordingly.

The CSU residence population has increased greatly over the years, and the problems associated with this growth have been similar to those experienced by small municipal police departments. Sexual assaults, alcohol, drugs, and vandalism increased; and legislation mandated more involvement by university police officers in the investigation and prevention of crimes, as well as care for the victims. As a result, CSU police services departments created policing programs and preventive patrols to deter crime. The growth of on-campus housing also increased the complexity of emergency planning. Furthermore, parking structures were built on campuses, and an increase in auto burglaries and theft necessitated the need for increased patrols.

The Crime Awareness and Campus Security Act of 1989 became Title 2 of Public Law 101-542, The Student Right-to-Know and Campus Security Act of 1990. President George Bush signed the act into law on November 8, 1990. The act amended Section 485 of the Higher Education Act of 1965 by adding campus crime statistics and security policy disclosure provisions for colleges and universities. This law (now known as the Jeanne Clery Act) applies to all institutions of higher education, both public and private, which participate in any federal student aid programs and requires schools to publicly disclose three years of campus crime statistics and basic security policies. In 1992, the *Campus Sexual Assault Victims’ Bill of Rights* was incorporated into the Jeanne Clery Act. In 1998, the Jeanne Clery Act was amended to expand the scope of campus crime statistic reporting, ensure crime statistics were reported in accordance with the Federal Bureau of Investigation’s Uniform Crime Reporting program, and require the maintenance of a public police log of all reported crimes as well as a policy to issue timely warnings when a crime, reportable in the annual statistics, is known to the school and poses an ongoing threat to the campus. The law was most recently amended in 2000 to require schools, beginning in 2003, to notify the campus community about where public “Megan’s Law” information about registered sex offenders on campus could be obtained.

In California, the Kristen Smart Campus Safety Act of 1998 was signed into law on August 11, 1998. This act requires California colleges to promulgate rules requiring each of their respective campuses to enter into written agreements with local law enforcement agencies, which will: (1) designate which law enforcement agency has operational responsibility for the investigation of violent crimes occurring on campus and (2) delineate the specific boundaries of each agency’s operational responsibility.

In recent years (and in response to increased training standards from the Commission on Peace Officer Standards and Training (POST), legislatures, and governmental agencies), campus administrators have worked to upgrade the quality of university police services. This has included, but was not limited to, the development of uniform standards for vehicles, equipment, training, emergency preparedness, and critical response units; semiannual meetings of campus police chiefs; and close interaction with Systemwide Human Resources and the Office of Risk Management at the chancellor's office. In April 2001, the chancellor's office issued Executive Order 787, modifying the CSU Public Safety Policy Manual that was required by agreement between the Board of Trustees of the CSU and the Statewide University Police Association. The CSU Police Departments' Systemwide Operational Guidelines were developed and issued by the Systemwide Police Advisory Committee in 2002, and revised in November 2007, with the intent of providing detailed guidance to support the broad and general coverage provided by the Public Safety Policy Manual. Additionally, CSU Los Angeles, CSU Fullerton, and San Francisco State University received accreditation by the Commission on Accreditation for Law Enforcement Agencies (CALEA); and most recently, the International Association of Campus Law Enforcement Agencies accredited San Francisco State University and CSU Northridge. Sonoma State University anticipates CALEA accreditation in 2009. Lastly, in 2007, administrative and risk management responsibilities for systemwide police services were reassigned from Systemwide Human Resources to the Office of Risk Management.

Throughout this report, we will refer to the program as police services. The titles of the departments assigned responsibility for managing CSU campus public safety and parking operations include, among others, the department of public safety, police and parking services, and the university police department.

PURPOSE

The overall audit objective was to ascertain the effectiveness of existing policies and procedures related to the administration of police services, police activities, and law enforcement, and to determine the adequacy of controls over parking revenues and citations, and crime reporting.

Within the overall audit objective, specific goals included determining whether:

- ▶ Administration and management of the police services program provide an effective internal control environment, clear lines of organizational authority and responsibility, current and comprehensive policies and procedures, and self-evaluation techniques to measure program and management effectiveness.
- ▶ Staffing and scheduling provide appropriate coverage, effective use of overtime and compliance with the collective bargaining agreement (CBA).
- ▶ Police services participation in campus emergency management and the CSU Critical Response Unit are clearly defined, training is provided, and a designated emergency operations center exists.
- ▶ Access to the police services office and automated systems is adequately controlled and limited to authorized persons, data backup procedures are in place, and physical security over system hardware is adequate.
- ▶ Budgeting procedures adequately address police services funding and expenditure, and budget monitoring procedures ensure effective accounting and management control.
- ▶ Chargebacks and POST reimbursements, miscellaneous revenues, and petty cash are adequately controlled, and grants are administered in accordance with grant requirements.
- ▶ The dispatch function is properly controlled, and daily activity logs/records are comprehensive and permit measurement of the effectiveness and efficiency of police operations.
- ▶ Police activities are adequately documented, and access to police services records, investigative files, and criminal offender record information is sufficiently restricted and safeguarded.
- ▶ Crime reporting procedures are well controlled and in accordance with federal and state regulations, and relationships with outside agencies comply with the Kristen Smart Campus Security Act of 1998.
- ▶ Campus safety plan, Megan's Law compliance, and crime awareness programs are in place and in accordance with federal and state regulations.

INTRODUCTION

- ▶ Hiring, certification, and training policies comply with POST, performance evaluation administration is consistent and timely, stipends and compensatory time off are administered in compliance with the CBA, and internal investigations are handled in accordance with state regulations, CSU policy, and the CBA.
- ▶ Crime scene evidence, weapons, and other police services equipment are properly handled, accounted for, and safeguarded, and weapon issuance and use comply with state regulations and CSU policy.
- ▶ Parking revenues are adequately controlled, properly accounted for, and used in accordance with CSU policy and state regulations, and parking citation issuance, processing, and administration are adequately controlled and in accordance with the California Vehicle Code.

SCOPE AND METHODOLOGY

The proposed scope of audit, as presented in Attachment B, Agenda Item 2 of the January 22-23, 2008, meeting of the Committee on Audit, stated that *Public Safety* (now *Police Services*) includes primarily police activities and law enforcement including parking program administration and enforcement, and crime reporting. Potential impacts include lack of, out-of-date, or undistributed policies and procedures; underdeveloped or unused measures for self-evaluation and improvement; poor or undefined relationships with external agencies; inefficient use of physical assets or human resources; non-compliance with state-mandated standards and training requirements; unauthorized use of law enforcement data; inadequate crime reporting; lack of control or poor maintenance over sensitive or special equipment; excessive costs; lost parking fine revenue; inadequate control or supervision over activities having safety or liability considerations; and poor adjudication of internal investigations or personnel complaints.

Our study and evaluation were conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditors, and included the audit tests we considered necessary in determining whether operational and administrative controls are in place and operative. This review emphasized, but was not limited to, compliance with state and federal laws, Board of Trustee policies, and Office of the Chancellor and campus policies, letters, and directives. The audit review focused on procedures in effect from January 1, 2007, through October 31, 2008, along with limited testing of calendar year 2006 records.

We focused primarily upon the internal administrative, compliance, and operational controls provided by the CSU police department's systemwide operational guidelines, campus policies and general orders, and chancellor's office executive orders, and related management activities on campuses, although we also relied on external laws and regulations as well. Most of our work involved the direct interface with police services and parking functions reporting to police services.

Specifically, we reviewed and tested:

- ▶ Procedures for communicating systemwide/campus specific policies, rules, and regulations.
- ▶ Staffing, scheduling, and internal investigation procedures.
- ▶ Fiscal procedures for budgeting, chargebacks, POST reimbursements, grants, stipends, and expenses.
- ▶ Dispatch operations, field reporting requirements, and case monitoring procedures.
- ▶ Procedures for maintaining and securing public safety records, files, and information.
- ▶ Procedures for accumulating and reporting crime statistics.
- ▶ Hiring, certification, and training compliance.
- ▶ Procedures for controlling evidence, weapons, and other public safety equipment.
- ▶ Procedures for controlling and processing parking revenues, parking citations, and parking funds.
- ▶ Data security, disaster recovery, and backup procedures.
- ▶ Disaster preparedness operational procedures if the function reports to police services.

OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

PROGRAM ADMINISTRATION

POLICIES AND PROCEDURES

Written policies and procedures were not always developed, reviewed, and updated by the university police department (UPD).

We noted that:

- ▶ There were no written guidelines for the update and revision of policies or for an annual review of the UPD policy and procedures manual, which was last revised in 2001.
- ▶ Policies and procedures had not been written for the following areas:
 - Scheduling, including backup procedures to accommodate unexpected absences.
 - Dispatching.
 - Voice communications retention.
 - Citation appeals.
- ▶ Although the policy for uniforms and personal appearance was revised on March 12, 2007, a written note on the policy stated that the procedure needed updating for the new Class A requirements.

State Administrative Manual (SAM) §20050 requires the establishment and maintenance of internal accounting and administrative controls. Each system an entity maintains to regulate and guide operations should be documented through flowcharts, narratives, desk procedures, and organizational charts. Further, it states that policy and procedural or operational manuals that are either not currently maintained or are non-existent could be indicative of a poorly maintained or vulnerable control system.

The Unit 8 Statewide University Police Association (SUPA), *Collective Bargaining Agreement*, dated July 18, 2006, states that the California State University (CSU) shall maintain its public safety policy manual, subject to revision by the CSU. Such policy manual shall be distributed to all employees.

The chief of police stated that one of UPD's unwritten goals had been to rewrite the UPD policy manual, but they were unable to accomplish this goal due to limited staffing and time constraints.

Written policies and procedures that are not complete, current, and accurate increase the risk of non-compliance with government and CSU requirements and the potential for weaknesses in the internal control environment.

Recommendation 1

We recommend that the campus:

- a. Develop and implement policies and procedures for reviewing and updating the UPD policy and procedures manual.
- b. Develop UPD policies and procedures for scheduling, dispatching, voice communications retention, and citation appeals.
- c. Review and update as necessary UPD policies and procedures for uniforms and personal appearance.

Campus Response

- a. We concur that a policy and procedure for reviewing the UPD policy manual needs to be implemented and will have one implemented by June 1, 2009.
- b. We concur. We will develop UPD policies and procedures for scheduling, dispatching, voice communications retention, and citation appeals. These policies will be completed by June 1, 2009.
- c. We will update the UPD policies and procedures for uniforms and personal appearance. These policies will be completed by June 1, 2009.

CAMPUS EMERGENCY PLAN

The campus review of the emergency management program was not sufficiently documented.

We found that:

- ▶ The emergency operations plan document showed an effective date of April 2003. In addition, there was no evidence of a full review and approval within the last year, and as such, we had no assurance that the plan was current, accurate, and complete.
- ▶ The emergency management program did not include contractual provisions with the campus food service provider for emergency food and water. It was generally understood that the campus' food services provider was part of the emergency plan and would sustain the campus with food and water for several days, but there was no documentation, such as a memorandum of understanding or other type of contract, to support this assumption.

Executive Order (EO) 1013, *CSU Emergency Management Plan*, dated August 7, 2007, states that each campus is delegated the responsibility for the implementation and maintenance of an emergency management program on campus and for developing a campus plan. On an annual basis, or more frequently as needed, the plan should be reviewed, updated, and distributed to the emergency

management team members and others as identified by the campus. EO 1013 further states that the campus should establish and equip a functional campus Emergency Operations Center (EOC) consistent with State Emergency Management System, National Incident Management System, and Incident Command System guidelines and maintain a campus (emergency) roster of resources that includes food and water, with the update/revision date appearing on the roster.

The chief of police stated that the emergency management program was reviewed during emergency exercises; however, the review was never formally documented. She further stated that she was unaware that there was no formal agreement with food services for emergency provisions.

Failure to maintain an updated emergency management program document increases the risk that emergency responders will not be fully trained in important revisions to the plan, consequently increasing the risk of inadequate response to emergencies. Failure to contractually provide for usable food and water supplies increases the risk that the campus would be unable to support emergency operations for more than a short period.

Recommendation 2

We recommend that the campus:

- a. Ensure that annual reviews of the emergency operations plan are documented and include the review date and reviewer/approver signature.
- b. Prepare a formal agreement with the campus food services provider to provide the campus with food and water supplies already stored on campus or create a separate storage area dedicated to emergency food and water supplies.

Campus Response

- a. We concur. The emergency operation plan reviews will be documented and will include the review date and reviewer/approver signature. Such documentation will be in place by June 1, 2009.
- b. We concur. The campus is working on preparing a Letter of Understanding (LOU) with the current food service provider that in the event of an emergency the campus EOC would implement emergency food services as part of the response; the LOU would be recognition of that understanding. The campus is also in the middle of doing an RFP for food services in which a new food services agreement will be in effect July 1, 2009. Emergency food service will be addressed in the new food services agreement.

PERSONNEL ADMINISTRATION, TRAINING, AND CERTIFICATIONS

Permanent status letters were not issued by the campus president in accordance with the collective bargaining agreement (CBA).

Officers who had successfully completed their probationary period received a letter of permanent status from the director of human resources instead of from the campus president, as required in the CBA. Further, there was no delegation of authority from the president to the director of human resources granting authority to sign the permanent status notification letters.

The Unit 8 SUPA, *Collective Bargaining Agreement*, dated July 18, 2006, states that all employees shall serve an initial probationary period of 12 months of continuous full-time credited service. After successful completion of the probationary period, an employee shall be notified in writing by the president as to the award of permanent status.

The director of human resources stated that she was unaware of the CBA requirement.

Failure to properly issue permanent status letters increases the risk of improper awarding of permanent status and non-compliance with the CBA.

Recommendation 3

We recommend that the president sign the permanent status letters or formally delegate authority to the director of human resources to sign notification letters.

Campus Response

We concur. The campus will secure a delegation of authority from the president for the signing of letters recognizing the completion of probationary periods for employees. This delegation will authorize the director of human resources to sign letters. This will be completed by June 1, 2009.

EVIDENCE, WEAPONS, AND EQUIPMENT

SEGREGATION OF DUTIES

Duties and responsibilities related to evidence and found property were not properly segregated.

We noted that the property supervisor:

- ▶ Maintained physical custody of evidence and found property.
- ▶ Had the ability to delete items from the Records Information Management System (RIMS) property ledger.

- ▶ Performed the physical inventory, which was not reviewed by a supervisor.
- ▶ Disposed of evidence and found property.

SAM §20050 states that the elements of a satisfactory system of internal accounting and administrative controls shall include a plan of organization that provides segregation of duties appropriate for proper safeguarding of state assets.

The chief of police stated that the segregation of duties issue was due, in part, to limited staffing; however, she was unaware that the property officer had the ability to delete items from RIMS.

Inadequate segregation of duties over evidence and found property increases the risk of unacceptable evidence at trial and campus exposure to loss from inappropriate acts.

Recommendation 4

We recommend that the campus:

- a. Remove the property supervisor's ability to delete items from RIMS.
- b. Assign someone other than the property supervisor to perform evidence and found property inventories.

Campus Response

- a. We concur. New property procedures will be written and in effect by June 1, 2009, that remove the property supervisor's ability to delete items from RIMS.
- b. We concur. New property procedures will be written and in effect by June 1, 2009, in which someone other than the property supervisor will perform evidence and found property inventories.

FOUND PROPERTY

Found property scheduled for disposal was not adequately safeguarded.

Our review of physical security for found property showed that items removed from the property lists, and subsequently scheduled for auction, were kept in an open container in the property room.

EO 649, *Safeguarding State Property*, dated February 15, 1996, delegates authority to each campus president to establish and maintain a system of internal controls to safeguard state property.

SAM §20050 states that the elements of a satisfactory system of internal accounting and administrative controls shall include a plan that limits access to state assets to authorized personnel who require these assets in the performance of their assigned duties.

The chief of police stated that she was unaware that these items were kept in an unsecured open bin in the property room.

Failure to properly safeguard found property scheduled for disposal increases campus exposure to loss from inappropriate acts.

Recommendation 5

We recommend that the campus store found property scheduled for disposal in a secure area, or otherwise increase limitations on access to the property room.

Campus Response

We concur. Steps have already been taken to rearrange the storage of found property scheduled for disposal so that it is in a secure area with limited access.

EVIDENCE

Evidence had not been disposed of within the required time limitations.

Our testing showed that 119 of the 170 evidence items were dated between 2003 and 2007, and an overall review of the status of each aged item had not been performed. Additionally, local procedures for the periodic review of evidence status and aging had not been established.

The International Association of Campus Law Enforcement Administrators Manual, *Standards for Campus Law Enforcement, Public Safety, and Security Agencies*, Chapter 23, states, in part, that final disposition of found, recovered, and evidentiary property should be accomplished within six months after legal requirements have been satisfied.

California Penal Code (Penal Code) §12032 states, in part, that, notwithstanding any provision of law or of any local ordinance to the contrary, when any firearm is in the possession of any officer of the CSU and the firearm is an exhibit filed in any criminal action or proceeding which is no longer needed or is unclaimed or abandoned property, which has been in the possession of the officer for at least 180 days, the firearm shall be sold or destroyed, as provided for in Penal Code §12028.

The chief of police stated that an evidence review had not been completed due to a turnover of staff in the department. She further stated that both the sergeant in charge of property and the department's only lieutenant left within the past year. The chief of police also stated that the new property officer was in the process of writing new procedures and had not inventoried the evidence due to time constraints.

Inadequate controls over evidence increase the risk of unacceptable evidence at trial, untimely return of property to its rightful owners, inefficient use of evidence storage facilities, and non-compliance with confiscated weapons requirements.

Recommendation 6

We recommend that the campus:

- a. Develop and implement local procedures for periodic evidence review, including the disposal of expired and adjudicated evidence.
- b. Perform a thorough review of the status of each aged item on the evidence listing to determine its proper disposition and follow-up with the court of jurisdiction as necessary to resolve the status of confiscated weapons and evidence items scheduled for disposal or destruction.

Campus Response

- a. We concur. New procedures will be developed and implemented by June 1, 2009, that address periodic evidence review, including the disposal of expired and adjudicated evidence.
- b. We concur. A thorough review will be done by June 1, 2009, to comply.

PARKING PROGRAM

The parking fee policy was vague and did not provide criteria for waiving fees.

The California State University, Bakersfield *Parking Regulation Manual*, Section 2.2.04 states that parking fees may be waived for special guests or events that do not charge an admission fee. However, we noted that the policy did not:

- ▶ Define the term “special guest.”
- ▶ State who had the authority to waive the fees.
- ▶ Conform to California Code of Regulations (CCR) Title 5, Division 5, Chapter 1, Subchapter 5, Article 7, §42201, which sets forth specific criteria for waiving of parking permits.
- ▶ Address chargeback procedures for campus bodies requesting permits.

We reviewed the total number of daily passes and annual passes issued between July 2008 and October 2008 and noted that a significant number of fees were waived, as follows:

| Month | Value of Permits Sold | Value of Permits Waived | Total Value of Permits Issued | Percent of Total Waived |
|-----------|-----------------------|-------------------------|-------------------------------|-------------------------|
| July | \$ 25,905.85 | \$ 52,694.00 | \$ 78,599.85 | 67% |
| August | 24,794.11 | 40,178.00 | 64,972.11 | 62% |
| September | 180,013.96 | 35,318.00 | 215,331.96 | 16% |
| October | 25,832.14 | 1,056.00 | 26,888.14 | 4% |
| Total | \$256,546.06 | \$129,246.00 | \$385,792.06 | 34% |

CCR Title 5, Division 5, Chapter 1, Subchapter 5, Article 7, §42201, *Campus Parking Fees*, states in part, “(a) Permission of the president of a campus to stop, park, or leave standing a vehicle on property of a campus may be granted to persons who have paid a parking fee or have been granted a parking fee waiver subject to the limits and conditions in subsection (b) (6).” Section (b) states that the payment of a fee shall not be required of:

1. Persons stopping or parking a vehicle when necessary to avoid conflict with other traffic or in compliance with a traffic control signal device or the direction of the campus police or a campus police officer in the control of traffic;
2. Persons, not employed by the campus, visiting the campus for the purpose of transacting state business with the campus;
3. Persons stopping or parking a vehicle temporarily in areas designated by the campus for the purpose of loading or unloading merchandise or picking up or discharging passengers;
4. Persons temporarily stopping, parking, or leaving a vehicle where such vehicle is disabled in such manner and to such extent that it is impossible to avoid stopping and temporarily leaving such disabled vehicle on said property;
5. Occupants of residence halls constructed under the State College Revenue Bond Act of 1947 to whom parking facilities have been assigned pursuant to Section 42202;
6. Students with disabilities who possess a distinguishing license plate or placard issued by the State of California’s Department of Motor Vehicles or by the appropriate authority of another state, and who have demonstrated financial need for parking fee financial assistance as determined by the campus president according to the need analysis procedure for campus based financial aid authorized by Title IV of the federal Higher Education Act of 1965, as amended (20 U.S.C. s 1087kk et seq.), and have received a campus parking fee waiver.

SAM §8752 states that the state policy is for departments to recover full costs whenever goods or services are provided for others.

EO 740, *Student Fee Policy*, dated April 13, 2000, states, in part, that the chancellor is delegated authority to establish new campus fees and the president is delegated authority to increase, decrease, or abolish campus fee.

The chief of police stated that the campus had a history of waiving parking fees and the UPD was attempting to change this practice, but had met resistance from the campus community.

Inadequate control over parking fees increases the possibility of lost revenues and non-compliance with the CCR.

Recommendation 7

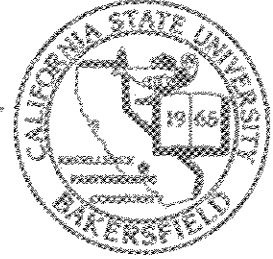
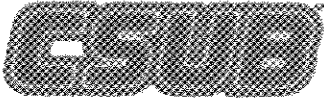
We recommend the campus develop and implement policy and procedures establishing criteria and authority for waiving parking permit fees.

Campus Response

We concur. Updated policy and procedures establishing criteria and authority for waiving parking permit fees have been developed and are in the process of being implemented. They are in the form of campus Parking Regulations and will be implemented by March 1, 2009.

APPENDIX A: PERSONNEL CONTACTED

| <u>Name</u> | <u>Title</u> |
|--------------------|--|
| Horace Mitchell | President |
| Mary Barnes | Administrative Assistant II |
| David Castro | Dispatcher |
| Michael Chavez | Director of Procurement |
| Will Draucker | Police Officer |
| Kellie Garcia | Director, Human Resources |
| Justin Gildner | Sergeant, Police Services |
| Steve Holmes | Corporal, Police Services |
| Greg Kinder | Sergeant, Police Services |
| Desiree Langley | Dispatcher |
| Jesus Navarrete | Police Officer |
| Claudia Neal | Chief of Police |
| Michael Neal | Vice President, Business and Administrative Services |
| James Pfeiffer | Parking Officer |
| Jack Rutledge | Lieutenant |
| Thomas Smith | Parking Officer |
| Doug Wade | Assistant Vice President, Fiscal Services |



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RECEIVED
UNIVERSITY AUDITOR

MAR 10 2009

THE CALIFORNIA STATE
UNIVERSITY

March 10, 2009

Mr. Larry Mandel
University Auditor
California State University
401 Golden Shore, 4th Floor
Long Beach, CA 90802-4210

Re: Revised Campus Response to Recommendations of Audit Report 08-31, Police Services at California State University, Bakersfield

Dear Mr. Mandel:

The attached documents are a revised submission provided to satisfy the "Audit Response and Follow – Up Procedures". Included you will find the audit recommendations with our campus response, corrective action plan and date of expected implementation for all recommendations. An electronic copy of these documents is also being provided to Anne Douglas.

Please have your staff review our responses and corrective action plan and return any comments or suggestions to myself and Douglas Wade. Our plan is to have corrective actions implemented and evidence provided to your office by the end of June 2009.

Sincerely,

Michael A. Neal
Vice President for Business
and Administrative Services

cc's: w/o attachment

Horace Mitchell, President
Douglas Wade, AVP, Fiscal Services
Claudia Neal, Director of Police Services

"ATTITUDE MAKES THE DIFFERENCE"



**University Police Department
California State University, Bakersfield**

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POLICE SERVICES

**CALIFORNIA STATE UNIVERSITY,
BAKERSFIELD**

Audit Report 08-31

PROGRAM ADMINISTRATION

POLICIES AND PROCEDURES

Recommendation 1

We recommend that the campus:

- a. Develop and implement policies and procedures for reviewing and updating the UPD policy and procedures manual.
- b. Develop UPD policies and procedures for scheduling, dispatching, voice communications retention, and citation appeals.
- c. Review and update as necessary UPD policies and procedures for uniforms and personal appearance.

Campus Response

- a. We concur that a policy and procedure for reviewing the UPD policy manual needs to be implemented and will have one implemented by June 1, 2009.
- b. We concur. We will develop UPD policies and procedures for scheduling, dispatching, voice communications retention, and citation appeals. These policies will be completed by June 1, 2009.
- c. We will update the UPD policies and procedures for uniforms and personal appearance. These policies will be completed by June 1, 2009.

CAMPUS EMERGENCY PLAN

Recommendation 2

We recommend that the campus:

- a. Ensure that annual reviews of the emergency operations plan are documented, and include review date and reviewer/approver signature.
- b. Prepare a formal agreement with the campus food services provider to provide the campus with food and water supplies already stored on campus or create a separate storage area dedicated to emergency food supplies.

Campus Response

- a. We concur. The EOP reviews will be documented and will include the review date and reviewer/approver signature. Such documentation will be in place by June 1, 2009.
- b. We concur. The campus is working on preparing a Letter of Understanding (LOU) with the current food service provider that in the event of an emergency the campus EOC would implement emergency food services as part of the response; the LOU would be recognition of that understanding. The campus is also in the middle of doing an RFP for food services in which a new food services agreement will be in effect July 1, 2009. Emergency food service will be addressed in the new food services agreement.

PERSONNEL ADMINISTRATION, TRAINING, AND CERTIFICATIONS

Recommendation 3

We recommend that the president sign the permanent status letters or formally delegate authority to the director of human resources to sign notification letters.

Campus Response

We concur. The campus will secure a delegation of authority from the President for the signing of letters recognizing the completion of probationary periods for employees. This delegation will authorize the Director of Human Resources to sign letters. This will be completed by June 1, 2009.

EVIDENCE, WEAPONS, AND EQUIPMENT: SEGREGATION OF DUTIES

SEGREGATION OF DUTIES

Recommendation 4

We recommend that the campus:

- a. Remove the property supervisor's ability to delete items from RIMS.
- b. Assign someone other than the property supervisor to perform evidence and found property inventories.

Campus Response

- a. We concur. New property procedures will be written and in effect by June 1, 2009 that remove the property supervisor's ability to delete items from RIMS.
- b. We concur. New property procedures will be written and in effect by June 1, 2009 in which someone other than the property supervisor will perform evidence and found property inventories.

FOUND PROPERTY

Recommendation 5

We recommend that the campus store found property scheduled for disposal in a secure area, or otherwise increase limitations on access to the property room.

Campus Response

We concur. Steps have already been taken to rearrange the storage of found property scheduled for disposal so that it is in a secure area with limited access.

EVIDENCE

Recommendation 6

We recommend that the campus:

- a. Develop and implement local procedures for periodic evidence review, including the disposal of expired and adjudicated evidence.
- b. Perform a thorough review of the status of each aged item on the evidence listing to determine its proper disposition and follow-up with the court of jurisdiction as necessary to resolve the status of confiscated weapons and evidence items scheduled for disposal or destruction.

Campus Response

- a. We concur. New procedures will be developed and implemented by June 1, 2009 that address periodic evidence review, including the disposal of expired and adjudicated evidence.
- b. We concur. A thorough review will be done by June 1, 2009 to comply.

PARKING PROGRAM

Recommendation 7

We recommend the campus develop and implement policy and procedures establishing criteria and authority for waiving parking permit fees.

Campus Response

We concur. Updated policy and procedures establishing criteria and authority for waiving parking permit fees have been developed and are in the process of being implemented. They are in the form of campus Parking Regulations and will be implemented by March 1, 2009.



THE CALIFORNIA STATE UNIVERSITY
OFFICE OF THE CHANCELLOR

BAKERSFIELD

April 1, 2009

CHANNEL ISLANDS

CHICO

MEMORANDUM

DOMINGUEZ HILLS

EAST BAY

TO: Mr. Larry Mandel
University Auditor

FRESNO

FROM: Charles B. Reed
Chancellor

FULLERTON

HUMBOLDT

SUBJECT: Draft Final Report 08-31 on *Police Services*,
California State University, Bakersfield

LONG BEACH

LOS ANGELES

In response to your memorandum of April 1, 2009, I accept the response as submitted with the draft final report on *Police Services*, California State University, Bakersfield.

MARITIME ACADEMY

MONTEREY BAY

NORTHRIDGE

CBR/amd

POMONA

Enclosure

SACRAMENTO

cc: Dr. Horace Mitchell, President

SAN BERNARDINO

Mr. Michael A. Neal, Vice President, Business and Administrative Services

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS