

POLICE SERVICES

**CALIFORNIA STATE UNIVERSITY,
LONG BEACH**

**Audit Report 08-32
February 11, 2009**

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THE CALIFORNIA STATE UNIVERSITY

CONTENTS

Executive Summary	1
Introduction	2
Background	2
Purpose	4
Scope and Methodology	6

OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

Program Administration	7
Goals and Objectives	7
Distribution of Policy and Procedures Manual	7
Campus Emergency Plan	8
Automated Systems Access Controls	9
Police Activities and Crime Reporting	10
Personnel Administration, Training, and Certifications	11
Evidence, Weapons, and Equipment	12
Confiscated Weapons and Evidence	12
Weapons Qualifications	13
Ammunition Inventory	14

APPENDICES

APPENDIX A:	Personnel Contacted
APPENDIX B:	Campus Response
APPENDIX C:	Chancellor's Acceptance

ABBREVIATIONS

CALEA	Commission on Accreditation for Law Enforcement Agencies
CBA	Collective Bargaining Agreement
CPT	Continuing Professional Training
CSU	California State University
CSULB	California State University, Long Beach
DOE	Department of Education
EO	Executive Order
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
IACLEA	International Association of Campus Law Enforcement Administrators
POST	Commission on Peace Officer Standards and Training
SAM	State Administrative Manual
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, Long Beach campus from October 27, 2008, through November 21, 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 November 21, 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 [7]

The university police department (UPD) did not maintain written goals and objectives or conduct a periodic self-evaluation in the last two years. Written acknowledgement was not obtained from each employee to document receipt of the UPD policy and procedures manual, the campus emergency operations plan was not current, and emergency food supplies were expired. In addition, access controls over the VisionAir records management system needed improvement.

POLICE ACTIVITIES AND CRIME REPORTING [10]

Crime statistics reporting showed discrepancies.

PERSONNEL ADMINISTRATION, TRAINING, AND CERTIFICATIONS [11]

Mandatory Commission on Peace Officer Standards and Training training was not always completed.

EVIDENCE, WEAPONS, AND EQUIPMENT [12]

Confiscated weapons and evidence had not been disposed of within the required time limitations, quarterly weapons qualifications were not consistently maintained, and ammunition inventory control procedures needed improvement.

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 November 21, 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

GOALS AND OBJECTIVES

The university police department (UPD) did not maintain written goals and objectives or conduct a periodic self-evaluation in the last two years.

The International Association of Campus Law Enforcement Administrators (IACLEA) Manual, *Standards for Campus Law Enforcement, Public Safety, and Security Agencies*, Chapter 5, states that an agency should establish a written directive that requires the formulation and annual updating of written goals and objectives for the agency and for each organizational component within the agency. It further states that established goals and objectives are to be made available to all affected personnel, and that an agency should have a system for evaluating the progress made toward the attainment of goals and objectives.

The chief of police stated that, in recent years, establishment and subsequent evaluation of departmental goals and objectives had not been a requirement by campus administration or the UPD, and therefore such documents had not been prepared.

The absence of written goals and objectives and periodic self-evaluation limits the campus' ability to measure program and management effectiveness, increases the risk of inefficiency, and weakens the internal control environment.

Recommendation 1

We recommend that the campus develop written goals and objectives for the UPD, including the performance of an annual self-evaluation.

Campus Response

We concur. The UPD greatly appreciates this fundamental recommendation. It underscores our service mission to support the university's academic goals. The UPD has completed and delivered its first annual self-assessment for 2008 and is in the process of developing written goals and objectives. Corrective action on this issue is complete.

DISTRIBUTION OF POLICY AND PROCEDURES MANUAL

Written acknowledgement was not obtained from each employee to document receipt of the UPD policy and procedures manual.

The Unit 8 Statewide University Police Association, Collective Bargaining Agreement (CBA), 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 written acknowledgments had not been obtained from each employee because the CBA requirements had not been followed.

Failure to proactively obtain written acknowledgement for the receipt and review of the policy manual increases the risk that the UPD employees will not be sufficiently trained in critical areas of the public safety policy manual.

Recommendation 2

We recommend that the campus obtain written acknowledgement from each employee documenting receipt of the UPD policy and procedures manual.

Campus Response

We concur. The UPD has implemented a procedure to ensure each employee has received the necessary resources (online intranet, CD version, hard copy assigned to key workstations throughout the department) to review and obtain the UPD policy and procedures manual. An interdepartmental email informed all UPD employees about the online and the CD version of the manual. The department received a written acknowledgement from each employee. Employee signatures are now kept on file. Corrective action on this issue is complete.

CAMPUS EMERGENCY PLAN

The campus emergency operations plan (EOP) was not current, and emergency food supplies were expired.

We found that:

- ▶ The EOP showed an effective date of July 1, 2006, with approval by the campus president on August 29, 2006; however, there was no evidence of a full review and approval within the last year. Additionally, there were no formal procedures in place for annual review, update, and approval of the EOP.
- ▶ Inspection of the Emergency Operations Center (EOC) and discussions with management disclosed that the EOC was not stocked with adequate emergency food supplies at the time of audit. Specifically, existing dried food supplies and canned food supplies had expiration dates of January 10, 2005, and April 22, 1998, respectively.

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. The policy further states that the campus should establish and equip a functional campus 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 current annual EOP review was in process but had not yet been completed, and updated procedures had not been written because the requirements for annual review and update in EO 1013 were only recently written. He also stated that food supplies had aged and not been replaced due to budgetary constraints.

Failure to maintain an updated emergency management program 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; while failure to store usable food supplies, in adequate volumes, increases the risk that the campus would be unable to support emergency operations for more than a short period.

Recommendation 3

We recommend that the campus:

- a. Review and update the EOP to ensure that it is current, accurate, and complete.
- b. Ensure that emergency food supplies are adequately stocked and within their expiration dates.

Campus Response

We concur. The emergency preparedness coordinator is reviewing the EOP and will be submitting it to the chief of police for final approval. Emergency food and water supplies are now on stock. The department purchased "Heater Meals" that have a shelf life of five years from the manufacturer's date. The replacement will occur in 2012. Estimated date of completion is March 31, 2009.

AUTOMATED SYSTEMS ACCESS CONTROLS

Access controls over the VisionAir records management system needed improvement.

We found that access to the VisionAir records management system was controlled through the UPD server; and although password policy capabilities were available, they had not been applied to this system. Such policies included, but were not limited to, requirements for changing passwords, including the degree of password complexity.

The California State Information Security Office, *Information Security Program Guide for State Agencies*, dated October 2007, states that best practices for access control are for the administrator to establish password standards such as minimum length requirements with a combination of characters and numbers (password complexity), and appropriate periodic password aging, in order to prevent unauthorized disclosure of the agency's information assets.

The chief of police stated that although the UPD server required password login, technical staff had not originally concluded that password complexity or aging was necessary when passwords were installed.

Inadequate data security controls increase the risk that sensitive data will be breached and that regulatory sanctions for the release of such information could be applied.

Recommendation 4

We recommend that the campus develop and implement data security policies and procedures for the UPD server to ensure that password complexity is adequate, and passwords are changed at predetermined intervals.

Campus Response

We concur. The department has established a system security policy that requires strong alphanumeric passwords of at least six characters that must be changed every 12 months. Estimated date of completion is March 31, 2009.

POLICE ACTIVITIES AND CRIME REPORTING

Crime statistics reporting showed discrepancies.

Our review of crime statistics reporting showed that crime statistics were reported to the Department of Education (DOE) on its webpage and on the campus webpage in accordance with applicable laws. However, our reconciliation of the statistics disclosed discrepancies between the two. In the category of disciplinary actions on campus, the 2008 annual campus safety report showed 122 liquor violations and 5 drug abuse violations for 2006. In contrast, the DOE webpage showed 12 liquor violations and 4 drug abuse violations. Also, the campus safety report showed four burglaries on public property for 2007, whereas none was reported on the DOE website. In all instances, the reporting to the DOE was correct, and the incorrect statistical reporting was in the 2008 campus report.

20 United States Code §1092(f) *Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act* states in part that participating institutions shall collect campus crime statistics and distribute them to all current students and employees and any applicant for enrollment or employment upon request, and on an annual basis shall submit to the secretary (of education) a copy of the statistics.

California State University, Long Beach (CSULB) General Order 38, *Clery Act Compliance*, dated April 2007, states that to ensure the accuracy of statistics published in the Annual Report and the US Department of Education online reporting, all data shall be checked by not less than two (2) personnel to minimize the risk of data entry or transposition error.

The chief of police stated that all discrepancies noted were clerical in nature and that the disciplinary actions reported in the 2007 campus safety report were correct, but they were transcribed incorrectly when the 2008 campus safety report was made. He further stated that the burglaries variance in the 2008 safety report was also a clerical error.

Failure to accurately report crime statistics both on the campus webpage and on the DOE webpage increases the potential for inadequate reporting to citizens, students, and other interested parties, and could result in fines and penalties from the DOE.

Recommendation 5

We recommend that the campus immediately correct any inaccurate crime statistic reporting on the campus webpage, reevaluate its crime statistics reporting review procedures, and revise them to ensure that reporting of both campus and DOE statistics are consistent and reconciles to the source data.

Campus Response

We concur. The department corrected its webpage and established a procedure requiring at least two staff members to review the statistics prior to publishing. Estimated date of completion is March 31, 2009.

PERSONNEL ADMINISTRATION, TRAINING, AND CERTIFICATIONS

Mandatory Commission on Peace Officer Standards and Training (POST) training was not always completed.

We found that three of 27 officers had not completed mandatory perishable skills training. This included two officers who had not completed their use of force training requirement and one officer who had not completed his communications training requirement.

POST Administrative Manual, *Section B Regulations*, dated April 2007 states that every peace officer other than a level III reserve peace officer, public safety dispatcher, and public safety dispatch supervisor shall satisfactorily complete the Continuing Professional Training (CPT) requirement of 24 or more hours of POST-qualifying training during every two-year CPT cycle. Perishable skills training shall consist of a minimum of 12 hours in each two-year period. Of the total 12 hours required, a minimum of four hours of each of three areas, including arrest and control, driver training/awareness or driving simulator, and tactical firearms or force options simulator, is required. Communications training, either tactical or interpersonal, shall consist of a minimum of two hours in each two-year period.

The chief of police stated that the three officers did not complete their mandatory training because the training manager did not ensure that the training requirements were met. He also stated that the officers were scheduled for training, but the training was interrupted due to a dignitary protection assignment.

Failure to maintain current POST perishable skills training and certifications increases the risk that response to certain emergencies could be inadequate.

Recommendation 6

We recommend that the campus provide the necessary POST perishable skills refresher training and implement procedures to ensure that such training is timely completed.

Campus Response

We concur. The UPD follows POST requirements with regard to perishable skills; two of the identified officers are scheduled for perishable skill training in April and May. One officer completed his communication training on October 16, 2008. Please note that POST has reset the perishable skills requirement and will not begin to review agencies for compliance until January 2011. The training manager will continue to review the POST Electronic Data Interchange on a biannual basis to determine training compliance with regard to perishable skill requirements. Estimated date of completion is May 29, 2009.

EVIDENCE, WEAPONS, AND EQUIPMENT

CONFISCATED WEAPONS AND EVIDENCE

Confiscated weapons and evidence had not been disposed of within the required time limitations.

Our review disclosed 14 confiscated weapons that were no longer needed in evidence from cases dated January 2003 through October 2007 that had been adjudicated through the court of jurisdiction. Our review also disclosed other evidence on hand that required final review for potential disposal. Many of the items, other than biological evidence, had been adjudicated through the court of jurisdiction but had not been disposed of, while other items still needed to be reviewed by the UPD and adjudicated by the court.

California 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.

IACLEA 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.

The chief of police stated that disposal of the confiscated weapons had not occurred because of scheduling difficulties with the disposal vendor. He further stated that the other evidence items had not been processed due to the time requirements for an internal review of the items, with subsequent scheduling for adjudication by the court of jurisdiction.

Inadequate controls over confiscated weapons and 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 7

We recommend that the campus:

- a. Review the status of the confiscated weapons and evidence to determine their proper disposition and take appropriate steps to dispose of the weapons as provided for in the Penal Code and process the other evidence items.
- b. Strengthen existing practices to ensure that confiscated weapons and evidence are consistently monitored and purged when appropriate.

Campus Response

We concur. The evidence controller reviewed the status of the confiscated weapons, narcotics, and evidence. A letter authorized by the court allowed for the destruction of old and adjudicated evidence to include weapons, narcotics, and property. The UPD contracted with TAMPCO Steel Co. for weapon destruction (Transaction Number 296279) and with Southeast Recovery Facility for the disposal of narcotics. In order to strengthen the existing practices, the evidence controller will adhere to department policy (General Order 19) and complete audits on a quarterly basis. Estimated date of completion is March 31, 2009.

WEAPONS QUALIFICATIONS

Quarterly weapons qualifications were not consistently maintained.

We reviewed quarterly range qualifications for calendar years 2007 and 2008 through the date of audit (third quarter 2008) and found that summary spreadsheets were maintained showing the results of range qualification performance. However, the UPD was unable to provide all range qualification records showing officers' names, dates, signatures, pass or fail results, and signature approval by the rangemaster for all periods reviewed. We were provided with range qualification records and sign-in logs for only the fourth quarter of 2007 and the second and third quarters of 2008 (the fourth quarter of 2008 was not yet due at the time of audit).

CSULB UPD *Rules and Regulations Manual*, §1100, dated December 2007, states that departmental qualification for each police officer below the rank of lieutenant will be four (4) times annually, which can include qualification at other law enforcement academies or agencies, provided the courses of fire meet or exceed department standards. Police officers with the rank of lieutenant and above will qualify two (2) times annually. All officers are obligated to demonstrate firearms proficiency the required number of times each year, arranged on a routine, quarterly basis. All firearms training and qualification records will be maintained by the firearms instructor and department training manager.

State Administrative Manual (SAM) §20050 states that the elements of a satisfactory system of internal administrative control include, but are not limited to, an effective system of internal review and recordkeeping procedures adequate to provide effective control over assets.

The chief of police stated that a recent transition from hard copy to scanned range records had resulted in a situation where not all range qualification records were available.

Failure to maintain adequate records of weapons qualifications decreases assurance that officers are fully qualified to respond to incidents and emergencies.

Recommendation 8

We recommend that the campus consistently maintain all quarterly range qualification records that show officers' names, dates, signatures, pass or fail results, and signature approval by the rangemaster.

Campus Response

We concur. The UPD has reintroduced the sign-in sheet for the quarterly weapons qualifications. As recommended, the sign-in sheet consists of the officer's name, date, signature, pass or fail results, and the signature approval of the range master. Corrective action on this issue is complete.

AMMUNITION INVENTORY

Ammunition inventory control procedures needed improvement.

We noted that:

- ▶ Although ammunition supplies were secured safely, existing procedures did not provide for the tracking of ammunition inventory, including opening and closing balances, as well as purchases and issues of ammunition.
- ▶ Existing UPD policies did not provide sufficient guidance with regard to ammunition inventory procedures.

SAM §20050 states that the elements of a satisfactory system of internal administrative control include, but are not limited to, an effective system of internal review and recordkeeping procedures adequate to provide effective control over assets.

The chief of police stated that procedures and practices for ammunition inventory tracking had not been implemented because the UPD was unaware of the requirements for ammunition inventory tracking.

Failure to maintain ammunition inventory records increases the risk of loss, misplacement, or misuse.

Recommendation 9

We recommend that the campus:

- a. Develop and implement policy and procedures to maintain an ammunition inventory ledger showing purchases, issues, and current stock of ammunition.
- b. Develop and implement policy and procedures for ammunition inventory, including a requirement for periodic physical inventories.

Campus Response

We concur. The UPD completed and implemented the ammunition inventory policy and procedures. The ledger tracks purchase dates, ammunition issued, current stock of ammunition, and type of ammunition. The training manager will maintain the ledger and the administrative services division commander will manage it. The UPD also established policy and procedures to have the division commander for administrative services audit ammunition stock and records on a biannual basis. Corrective action on this issue is complete.

APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
F. King Alexander	President
Scott Brown	Sergeant, University Police Department (UPD)
Maria Chavez	Cashier, UPD
Laurinda Fuller	Senior Auditor, Internal Auditing Services
Betty Harris	Assistant Director, Finance, UPD
Denitra Jones	Citation Processing, UPD
Maria Naraki	Administrative Assistant, Parking Administration
Gregory Pascal	Communication Supervisor, UPD
Mark Rudometkin	Associate Director, Parking Administration
Ami Rzasa	Corporal, UPD
Christopher Schivley	Corporal/Detective, UPD
Stanley Skipworth	Chief of Police, UPD
Gail Smith	Administrative Assistant, UPD
Fernando Solorzano	Captain, UPD
Aysu Spruill	Director, Internal Auditing Services
Mary Stephens	Vice President, Administration and Finance
Hanson Tith	Sergeant, UPD
Daniel Valdez	Sergeant, UPD
David Wagner	Special Services/Investigations, UPD
Scot Willey	Sergeant/Detective, UPD
Loretta Young	Internal Auditing Analyst, Internal Auditing Services

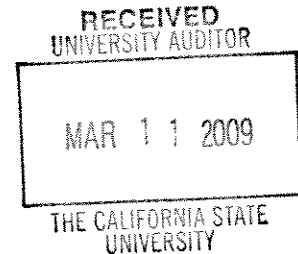


CALIFORNIA STATE UNIVERSITY, LONG BEACH

DIVISION OF ADMINISTRATION AND FINANCE

March 10, 2009

Mr. Larry Mandel
University Auditor
The California State University
401 Golden Shore
Long Beach, California 90802



Re: Response to Police Services Audit #08-32

Dear Larry:

Please find enclosed California State University, Long Beach's response to the above report. The campus is committed to addressing and resolving the issues identified in the audit report.

Please let me know if we can provide you with any additional information.

Sincerely,

A handwritten signature in black ink, appearing to read "Mary Stephens".

Mary Stephens
Vice President for Administration and Finance

Enclosure

IA-0208

- c: F. King Alexander, President
Ted Kadowaki, Associate Vice President, Budget and University Services
Stan Skipworth, Chief, University Police
Fernando Solorzano, Captain, University Police
Aysu Spruill, Director, Internal Auditing Services

POLICE SERVICES

CALIFORNIA STATE UNIVERSITY, LONG BEACH

Audit Report 08-32

PROGRAM ADMINISTRATION

GOALS AND OBJECTIVES

Recommendation 1

We recommend that the campus develop written goals and objectives for the UPD, including the performance of an annual self-evaluation.

Campus Response

We concur. The UPD greatly appreciates this fundamental recommendation. It underscores our service mission to support the University's academic goals. The UPD has completed and delivered its first annual self-assessment for 2008 and is in the process of developing written goals and objectives. Corrective action on this issue is complete.

DISTRIBUTION OF POLICY AND PROCEDURES MANUAL

Recommendation 2

We recommend that the campus obtain written acknowledgement from each employee documenting receipt of the UPD policy and procedures manual.

Campus Response

We concur. The UPD has implemented a procedure to ensure each employee has received the necessary resources (online intranet, CD version, hardcopy assigned to key workstations throughout the department) to review and obtain the UPD policy and procedures manual. An interdepartmental email informed all UPD employees about the online and the CD version of the manual. The department received a written acknowledgement from each employee. Employee signatures are now kept on file. Corrective action on this issue is complete.

CAMPUS EMERGENCY PLAN

Recommendation 3

We recommend that the campus:

- a. Review and update the EOP to ensure that it is current, accurate, and complete.
- b. Ensure that emergency food supplies are adequately stocked and within their expiration dates.

Campus Response

We concur. The Emergency Preparedness Coordinator is reviewing the Emergency Operation Plan and will be submitting it to the Chief of Police for final approval. Emergency food and water supplies are now on stock. The department purchased "Heater Meals" that have a shelf life of 5 years from the manufacturer's date. The replacement will occur in 2012. Estimated date of completion is March 31, 2009.

AUTOMATED SYSTEMS ACCESS CONTROLS

Recommendation 4

We recommend that the campus develop and implement data security policies and procedures for the UPD server to ensure that password complexity is adequate, and passwords are changed at predetermined intervals.

Campus Response

We concur. The department has established a system security policy that requires strong alphanumeric passwords of at least 6 characters that must be changed every 12 months. Estimated date of completion is March 31, 2009.

POLICE ACTIVITIES AND CRIME REPORTING

Recommendation 5

We recommend that the campus immediately correct any inaccurate crime statistic reporting on the campus webpage, reevaluate its crime statistics reporting review procedures, and revise them to ensure that reporting of both campus and DOE statistics are consistent and reconciles to the source data.

Campus Response

We concur. The department corrected its webpage and established a procedure requiring at least two staff members to review the statistics prior to publishing. Estimated date of completion is March 31, 2009.

PERSONNEL ADMINISTRATION, TRAINING, AND CERTIFICATIONS

Recommendation 6

We recommend that the campus provide the necessary POST perishable skills refresher training and implement procedures to ensure that such training is timely completed.

Campus Response

We concur. The UPD follows POST requirements with regard to perishable skills; two of the identified officers (Leyva and Apiecioneck) are scheduled for perishable skill training in April and May. Sgt. Valdez completed his communication training on 10-16-2008. Please note that POST has reset the perishable skills requirement and will not begin to review agencies for compliance until January 2011. The Training Manager will continue to review the POST Electronic Data Interchange on a biannual basis to determine training compliance with regard to perishable skill requirements. Estimated date of completion is May 29, 2009.

EVIDENCE, WEAPONS, AND EQUIPMENT

CONFISCATED WEAPONS AND EVIDENCE

Recommendation 7

We recommend that the campus:

- a. Review the status of the confiscated weapons and evidence to determine their proper disposition and take appropriate steps to dispose of the weapons as provided for in the Penal Code and process the other evidence items.
- b. Strengthen existing practices to ensure that confiscated weapons and evidence are consistently monitored and purged when appropriate.

Campus Response

We concur. The Evidence Controller reviewed the status of the confiscated weapons, narcotics and evidence. A letter authorized by the court allowed for the destruction of old and adjudicated evidence to include weapons, narcotics and property. The UPD contracted with TAMPCO Steel Co. for weapon destruction (Transaction Number 296279) and with Southeast Recovery Facility for the disposal of narcotics. In order to strengthen the existing practices the Evidence Controller will adhere to department policy (General Order 19) and complete audits on a quarterly basis. Estimated date of completion is March 31, 2009.

WEAPONS QUALIFICATIONS

Recommendation 8

We recommend that the campus consistently maintain all quarterly range qualification records that show officers' names, dates, signatures, pass or fail results, and signature-approval by the rangemaster.

Campus Response

We concur. The UPD has reintroduced the sign-in sheet for the quarterly weapons qualifications. As recommended, the sign-in sheet consists of the Officer's name, date, signature, pass or fail results and the signature approval of the range master. Corrective action on this issue is complete.

AMMUNITION INVENTORY

Recommendation 9

We recommend that the campus:

- a. Develop and implement policy and procedures to maintain an ammunition inventory ledger showing purchases, issues, and current stock of ammunition.
- b. Develop and implement policy and procedures for ammunition inventory, including a requirement for periodic physical inventories.

Campus Response

We concur. The UPD completed and implemented the ammunition inventory policy and procedures. The ledger tracks purchase dates, ammunition issued, current stock of ammunition and type of ammunition. The Training Manager will maintain the ledger and the Administrative Services Division Commander will manage it. The UPD also established policy and procedures to have the Division Commander for Administrative Services audit ammunition stock and records on a bi-annual basis. Corrective action on this issue is complete.



THE CALIFORNIA STATE UNIVERSITY
OFFICE OF THE CHANCELLOR

BAKERSFIELD

April 6, 2009

CHANNEL ISLANDS

CHICO

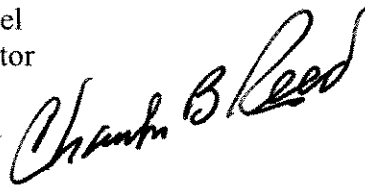
MEMORANDUM

DOMINGUEZ HILLS

EAST BAY

TO: Mr. Larry Mandel
University Auditor

FRESNO

FROM: Charles B. Reed
Chancellor


FULLERTON

HUMBOLDT

SUBJECT: Draft Final Report 08-32 on *Police Services*,
California State University, Long Beach

LONG BEACH

LOS ANGELES

In response to your memorandum of April 6, 2009, I accept the response as submitted with the draft final report on *Police Services*, California State University, Long Beach.

MARITIME ACADEMY

MONTEREY BAY

NORTHRIDGE

CBR/amd

POMONA

Enclosure

SACRAMENTO

cc: Dr. F. King Alexander, President
Ms. Mary Stephens, Vice President, Administration and Finance

SAN BERNARDINO

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS