

From: Michael Zachary
Sent: Friday, May 26, 2017 2:18 PM
To: Nina Jamsen
Subject: 1 Program Administration - Audit Findings Summary
Attachments: Audit Findings - 1 Program Administration.docx

Tracking:	Recipient	Read
	Nina Jamsen	Read: 5/26/2017 2:35 PM

Hi Chief,

I've completed my review of the UPD responses to the first questionnaire, and included them on the attachment. Since this is a test audit, and the objective is to help you with each of the areas of concern, I'm not going to waste the time of writing a long and formal audit report. Instead, I'm just going to summarize all of the issues I take note of on a Findings Summary so that you can quickly see all the areas of interest.

In the attached Summary of Findings I've listed anything I see that could either be a finding, or something that you should be aware of or alerted to. Most of the items are very small, and would not make it to a CO audit report, and some would. Also, you'll see that many of the items are just Awareness Items that I want to bring to your attention.

Overall I think You and the team have already remediated many of the findings. The one that is most troublesome is the Policies Review Process between Lexipol and then old GOs, but you've documented your plans there and the review/update process is in motion, so we would have very good chances of challenging the CO Auditors if they want to write up "Policies out-of-date" findings.

I'll send you the single Fiscal Administration finding shortly.

Best Regards,
Mike Zachary

Audit Findings Summary
Area: Program Administration

#	General Area Reviewed	Sub-Area, if Any	Issues/Findings	Recommendations
Q1	General Orders and Lexipol Policies	Overview of policy concerns.	<p>This is a high-risk area for audit findings, so any/all documented reviews by the UPD are important.</p> <p>General Orders (UPD Policies) were being replaced and/or converted/superseded to Lexipol Policies at the time of audit. Overall, the General Orders were found to be not current, and therefore we are not certain that they are accurate and complete.</p> <p>I saw a very good feature however ... it was the memo from Lt. Vega to the Chief stating that General Orders were reviewed in 2016 and, beyond that, the UPD is working with Lexipol and has completed about 50% of the necessary replacements. The SUPA Meet-and-Confer will have bearing on this.</p> <p>Additionally, three other documents that were submitted are important to maintain in this area (evidence of ongoing review and update for policies) and submit to the auditors: (1) The Policies Placed into Approved Status a/o May 9 document, (2) The Policies Placed into Pending Status a/o May 9 document, and (3) The Lexipol & GO Cross-Reference List document. They all show evidence of review and continuing progress.</p> <p>The CO audit group looks at outdated policies as “low hanging fruit” and they will be quick to jump on every outdated policy that has not been reviewed, or considered, or worked on in some way.</p>	<ul style="list-style-type: none"> • Continue to review General Orders with the objective of replacing them with Lexipol Policies. • Document all review progress such that it can be submitted to the CO Auditors. • Develop a brief update/conversion plan, with milestones and anticipated due dates that will ensure that all policies are reviewed and set into motion for update and SUPA Meet-and-Confer. • Begin the replacement process by actually superseding General Orders and replacing them with approved Lexipol Policies, as possible and practical.
Q1 D1b	General Orders – Example Only	Chain of Command Policy #1-1	<p>Policy was last reviewed/updated June 24, 2008.</p> <p>Executive order (EO) 1046 requires <u>annual review</u>.</p> <p>(Example 1 of outdated policy. There are many others outdated.)</p>	<p>Schedule the policy and all other UPD policies for annual review, and/or conversion to the Lexipol policy format.</p>

#	General Area Reviewed	Sub-Area, if Any	Issues/Findings	Recommendations
Q1 D1c	General Orders – Example Only	Investigations Policy # 6-1	Policy was last reviewed/updated October, 2011. (Example 2 of outdated policy.)	Schedule this policy, and all other UPD policies for annual review, and/or conversion to the Lexipol policy format.
Q1 D1c	Job / Position Descriptions	HR Related – Job Descriptions	The UPD / HR did not have an HR-issued position description for Corporal, although there was a systemwide classification standard for Police Officer, Corporal, Sergeant, and a Performance Standards document. . There should be a position description for all UPD positions.	Work with HR to write and implement a standard Corporal position description. Review for all other job/position descriptions as well to make sure they are all in-house and updated.
Q3 D3	General Orders – Example Only	Crime Prevention and Community Involvement Policy #6-4	Policy was last reviewed/updated February 2012 (Example 3 of outdated policy.)	Review the policy to see if it is still accurate. If it is, simply update the last date reviewed. If it is not accurate, then revise it and change the review date.
Q4 D4	Vehicle Home Storage Permits	Std. Form 377	Comment Only (No Finding): It was a very good thing to get the Vehicle Permits completed, and they were done in early April, so this one dodges the Finding.	None.
Q8 D8	SUPA CBA Article 8.2	Public Safety Policy Manual (Policies and Procedures)	As of the last date of audit, May 26, there was still <u>one member</u> of SUPA that had not signed acknowledgements showing receipt of the Public Safety Policy Manual (Erik Sylvestri).	Ensure that all SUPA members sign an acknowledgement that they received a copy of the Public Safety Policy Manual, and that copies are saved on file in the UPD.
Q12 D12	Background check evidence	HR Related - Background Checks	Awareness Item - Be aware that only a small sample of background check evidence was requested and reviewed. The CO may request BG check evidence for every student assistant.	Awareness Item - Ensure that there is BG check evidence for every student assistant.
Q12 D12	Sensitive data training for student assistants/CSOs	Training	Awareness Item - Be aware that only a small sample of sensitive data training for student assistants/CSOs was selected. The CO may request evidence of sensitive data training for all student assistants.	Awareness Item - Ensure that there is evidence of sensitive data training for all student assistants.

#	General Area Reviewed	Sub-Area, if Any	Issues/Findings	Recommendations
Q12 D12	Policy and Procedure Handbook for CSOs	Policies and Procedures	Review of policies and procedures for the UPD showed that the <i>CSO Policy and Procedure Handbook</i> was last reviewed by the Chief on 5/15/2007. It was noted that some information, such as sexual harassment advisors, was outdated (Dale T. West, Director of Human Resources, and other contacts) and needed revision.	Best practice is to review such policies every two years or less if there are ongoing changes for CSOs that UPD management is aware of. Review the policy, and if there are no changes to be made, then simply provide a date of last review/revision to the Policy.
Q12 D12	Bike Manual	Policies and Procedures	Awareness Item – The Bike Manual appears to be adequate in all necessary ways, but it’s not dated. All written procedural manuals should be dated in order to maintain cyclical reviews.	Add a current date to the Bike Manual (maybe May 2017 since that will be the last date reviewed).
Q13	Training for Critical Response Unit Team Members	Training	CSUSB CRU Team Members receive training at CSUCI and the evidence of training, reportedly, is maintained at that location, and copies are not at CSUSB.	Training records for CRU should be maintained at CSUSB as evidence of training. Essentially, all training for Peace Officers needs to be maintained by CSUSB, unless there is a tested and reliable external database to maintain it (such as the POST database).

From: Michael Zachary
Sent: Friday, May 26, 2017 2:54 PM
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	Nina Jamsen	Read: 5/26/2017 2:58 PM

Hi Chief,

I've completed my review of the UPD responses to the second questionnaire, Fiscal Administration, and included it in the attachment. There is only one Finding for Fiscal Administration, and it is something that the UPD has no control over whatsoever – Budget Approval and Notification. This area is something that needs to be done in the VPs Office. The VP needs to provide a formal approval and notification when your budget is ready and authorized every year. So, I've already taken the initiative, and notified Doug Freer and Cindy Lopez of the need to formalize the Annual Budget process for the UPD. This is an area that the CO Auditors might actually write up if they spend any time in the Fiscal area at all (they may not, it's hard to be sure).

One other thought I had ... if you could share the first Audit Summary I sent you, Program Administration with Kim and probably Lt. Vega, it would most likely help them to continue to fix areas that need attention. During my review I saw that they had already fixed a lot of areas that had potential for findings.

Best Regards,
Mike Zachary

Audit Findings Summary
Area: 2 Fiscal Administration

#	General Area Reviewed	Sub-Area, if Any	Issues/Findings	Recommendations
D19	Budget Approval & Notification	Executive Order 1000	<p>While UPD budget is clearly discussed and approved, it appears to be an informal process. There are no formal budget approvals from the CFO/VP A&F and no formal notification.</p> <p>(Note: Currently UPD has no control over this area. I will talk with Doug Freer and the Cindy Lopez about Budget Approvals, but be aware that this area may be subject to a CO Audit Finding.)</p>	<p>Best practice is to formally review and approve budgets, notify budget recipients, and document the approval activity. A&F should develop a more formal budget approval and notification process, wherein budgets are formally approved by the CFO and evidence documented, and a notification is provided to the recipient of the budget being approved. Either single or multiple memos or email messages could be used to document the approval notification process.</p>