
CITY OF SAN ANTONIO

OFFICE OF THE CITY AUDITOR



Audit of San Antonio Police Department

Park Police Operations

Project No. AU17-022

March 29, 2018

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City Auditor

Executive Summary

As part of our annual Audit Plan approved by City Council, we conducted an audit of the San Antonio Police Department (SAPD), specifically Park Police Operations. The audit objective and conclusion follow:

Determine if Park Police operations are managed effectively and efficiently to meet core mission objectives including deployment plans, equipment tracking, and compliance with training requirements.

Controls are working as expected to ensure officers are appropriately deployed to provide coverage for the City's various parks and recreational areas. Additionally, controls are effective to ensure equipment is adequately tracked. However, we did note the following areas where Park Police should improve administrative processes:

- Established standard operating procedures for Park Police exist; however, they have not been reviewed, updated, or approved in over five years.
- Completion of training courses by Park Police officers is not adequately documented, and in some cases required training was not completed at all during fiscal year 2017.
- Periodic inspections of Park Police vehicles and equipment are not consistently documented.
- Park Police reports are not consistently completed in a timely manner.
- Park Police management does not have the appropriate release of liability form for civilians (interns) to sign prior to participating in the Civilian Observer Program.
- User access to RMS¹ is not disabled in a timely manner for separated Park Police personnel.

SAPD Management agreed with the audit findings and has developed positive action plans to address them. Management's verbatim response is in Appendix B on page 8.

¹ RMS (Records Management System) is an application that serves as SAPD's 'system of record' for criminal activity.

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Background

The San Antonio Park Police (Park Police) is a standalone law enforcement agency of the City of San Antonio. Park Police is under the direction of the San Antonio Police Chief who also is the appointed Park Police Chief.

Park Police Officers are licensed Texas peace officers whose mission is to provide law enforcement and security to more than 18,000 acres of park lands that make up over 200 City-owned parks. Park Police Officers are also responsible for patrolling other facilities including swimming pools, gymnasiums, cemeteries, sports facilities, recreation centers, municipal golf facilities, the Botanical Gardens, Hemisfair Park, Tower of the Americas, as well as other historic facilities such as La Villita, the Spanish Governor's Palace, Market Square and the San Antonio Riverwalk.

Although not SAPD Officers, Park Police Officers have the same jurisdiction and law enforcement authority within the City of San Antonio and the State of Texas. Park Police Officers respond to calls for service, issue citations, make arrests, and have initial investigative responsibility for criminal offenses that occur in and around the parks, within their areas of responsibility, and for on-site criminal activity throughout San Antonio.

Park Police Officers proactively patrol their assigned areas on foot, in cars, trucks and SUVs, as well as on bicycles, all-terrain vehicles, and patrol boats. Currently, there are 161 Park Police personnel comprised of a Captain, three Lieutenants, 17 Sergeants, 136 Officers, and four Administrative positions.

Park Police is funded by the City's general fund. The following table illustrates their budgeted and actual expenses in FY 2017 and proposed expenses for FY 2018.

Park Police Funding

Expenditure Classification	FY2017 Budget	FY2017 Actual	FY2018 Budget
Personal Services	\$12,975,215	\$12,673,969	\$13,721,614
Contractual Services	199,541	176,847	207,039
Commodities	414,163	317,610	395,512
Self-Insurance/Other	1,095,651	1,016,414	1,174,856
Capital Outlay	109,339	26,632	81,076
Total Expenditures	\$14,793,909	\$14,211,473	\$15,580,097
Authorized Positions	173	173	177

Source: SAP

Audit Scope and Methodology

The audit scope included Park Police standard operating procedures, deployment processes, equipment tracking, training requirements, maintenance of vehicles and equipment, and fiscal processes. Our audit period was October 1, 2016 through September 30, 2017.

Our methodology included conducting interviews and walkthroughs with key Park Police personnel. We used the Park Police Standard Operating Procedures (Section 100) and General Manual Procedures (Section 300) as criteria for our test work.

To determine compliance with procedures, we reviewed daily commander logs to verify minimum patrol coverage and staffing. We selected a random sample of 25 officers and tested to determine if training requirements were met. We also reviewed police reports for completeness and tested complaints for timely resolution. Additionally, we reviewed a sample of three months to verify periodic inspections are conducted and logged for vehicles and equipment.

To ensure existence of equipment and vehicles, we obtained manual inventory records. For those categorized as capital assets, we also reviewed system generated fixed asset reports.

We relied on computer-processed data in SAP, the City's accounting system, to validate expenses and budget variances. Our reliance was based on performing direct tests on the data rather than evaluating the system's general and application controls. We do not believe that the absence of testing general and application controls had an effect on the results of our audit. We also performed limited procedures to test general controls of the RMS application, specifically user access.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Audit Results and Recommendations

A. Standard Operating Procedures

Park Police has established standard operating procedures (SOPs); however, they have not been reviewed, updated, or approved in over five years.

During our testing, Park Police management began the process to review the 78 procedures that make up the Park Police SOPs. At the end of testing we verified revisions had been made, except for the procedure pertaining to training requirements.

Without current and enforced operating procedures, Park Police personnel do not have sufficient or accurate guidance to abide by to ensure sufficient and effective operations.

Recommendation

The Park Police Captain should ensure standard operating procedures are adequately reviewed, revised as needed, and approved on a periodic basis. Additionally, all personnel should be informed of the new procedures and sign an acknowledgment of receipt form.

B. Park Police Officer Training Records

Park Police officers are not obtaining required training courses, and completion of training is not consistently documented.

Park Police management requires all new officers to obtain 560 hours of initial cadet training. In addition, each officer is required to attend 40 hours of in-service training every year, which includes 20 of 40 hours mandated by the Texas Commission on Law Enforcement (TCOLE) to be completed within a two year cycle.

We examined Park Police training records for a sample of 25 officers and found that three of the 25 officers did not meet their training requirements in calendar year 2017, because they did not attend a mandatory course related to building searches and/or TASER[®] recertification. Additionally, of the 25 officers, three were new cadets and we were unable to determine if they obtained the required hours for cadet training due to training hours being inconsistently entered into the TCOLE database.

We also reviewed the standard operating procedures (SOPs) to determine the training requirements but were informed the SOPs are outdated and are being revised.

Without sufficient and complete documentation of training hours obtained by Park Police officers, it is possible that officers are not receiving critical training courses designed to ensure both their safety and the public's safety.

Recommendation

The Park Police Captain should ensure:

- The six officers we tested obtain required training hours.
- Training requirements are established and clearly documented in standard operating procedures.
- A consistent procedure is implemented to track completion of training courses and grades.

C. Inspections of Equipment and Vehicles

Periodic inspections of Park Police equipment and vehicles are not consistently performed or documented in the Park Police database.

Per discussions with Park Police management, Park Police is responsible for performing periodic inspections and preventative maintenance on its bicycles, trailers, patrol vehicles, river boats, and weapons.

We examined the Park Police inspection records for the period of June 1, 2017 through August 31, 2017. Our testing identified only five of 119 bicycles had a quarterly inspection documented, none of the 11 trailers had an annual inspection recorded, and 29 of 45 (64%) vehicles did not have a monthly inspection recorded for all three months.

Park Police management informed us they are aware of the lack of consistent inspections and documentation and are currently addressing the issue.

Periodic inspections of Park Police equipment and vehicles is important for the safety of the officers and public citizens. Complete and proper records of the inspections should be kept on file for verification of inspections and maintenance performed.

Recommendation

The Park Police Captain should ensure all inspections of equipment and vehicles are performed timely, documented in the Park Police database, and reviewed by management.

D. Police Reports

Park Police incident reports are not consistently completed in a timely manner.

A report is created by a Park Police Officer for each call for service that results in an incident. Standard operating procedures require each supervisor to ensure all their officer's reports are completed in an accurate, detailed, and timely manner and are accounted for at the end of each shift.

We reviewed police reports for the period June 1, 2017 through August 31, 2017 and identified 50 (3%) out of 1,979 reports that had incomplete information.

An incomplete police report does not get finalized into the Records Management System (RMS). Consequently, the report is not available if the case is to be processed in the court system.

At the end of our testing, the Park Police Captain implemented a process to have all supervisors review weekly reports of all missing and late Park Police reports in order to ensure they are corrected in a timely manner.

Recommendation

The Park Police Captain should ensure that all outstanding police reports are completed in a timely manner. Also, the Captain should continue to review the weekly report of missing or late Park Police reports.

E. Civilian Observer Program

Park Police management does not have an appropriate release of liability form for civilians (interns) to sign prior to participating in the Civilian Observer Program.

Park Police interns have the opportunity to participate in the Civilian Observer Program where they can ride as observers with a Park Police officer in a patrol vehicle during the officer's assigned shift. The General Manual requires each observer to sign the Park Police Civilian Observer Authorization and Release form.

We examined forms signed by all four interns with Park Police during 2017 and consulted with the City Attorney's Office. We determined the forms were not sufficient to adequately protect the City from liability during a ride along.

Park Police management stated they were unaware that the forms signed by interns for the Civilian Observer Program were not sufficient to protect the City from liability.

Without proper evidence of a civilian's release of liability acknowledgment, the City could be liable for incidents involving interns during a ride along.

Recommendation

The Park Police Captain should obtain an appropriate release of liability form that has been approved by the City Attorney's office, and implement the new form in the Civilian Observer Program for all future interns to complete and sign.

F. User Access

User access in RMS is not disabled in a timely manner for separated Park Police personnel.

City Administrative Directive 7.8d-Access Control requires user access to be disabled upon separation of an employee.

We selected a sample of 10 Park Police officers who had separated during the six months from February 6, 2017 through August 7, 2017. We found seven user accounts were still active for separated officers and two accounts for which access was not disabled in a timely manner. One account was disabled 15 days after the employee separated and the other was disabled after 63 days.

Park Police management stated they had been sending requests for removal of user access to the incorrect person at SAPD, instead of the RMS system administrator at ITSD.

Promptly removing access to the system ensures only authorized individuals have the ability to make changes, deletions, or additions to Park Police reports in RMS.

Recommendation

The Park Police Captain should ensure a procedure is established and documented to promptly inform the correct point of contact of separated employees who no longer need access to RMS. In addition, a review of user access every six months should be performed and documented.

Appendix A – Staff Acknowledgement

Holly Williams, CISA, CRISC, Auditor in Charge
Amy Barnes, CFE, CGAP, Auditor
Sheryl Wardashki, CPA, Auditor

Appendix B – Management Response



CITY OF SAN ANTONIO

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January 9, 2018

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City Auditor
San Antonio, Texas

RE: Management's Corrective Action Plan for the Audit of Park Police Operations

San Antonio Police Department has reviewed the audit report and has developed the Corrective Action Plans below corresponding to report recommendations.

Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
1	Standard Operating Procedures The Park Police Captain should ensure standard operating procedures are adequately reviewed, revised as needed, and approved on a periodic basis. Additionally, all personnel should be informed of the new procedures and sign an acknowledgment of receipt form.	3	Accept	Brady L. Wise/ Interim Captain	12/10/17

Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
	<p>Action plan: The Park Police Department Standard Operating Procedures (SOP) have been updated and approved by command staff. They were then delivered electronically through email to all members. Members were directed to sign and submit the attached receipt for the revised SOP's and forward the acknowledgement form through their supervisors to the Park Police Training Academy. These acknowledgements have been placed in each members training file. To ensure compliance with the Audit recommendation, the Internal Affairs Sergeant has been tasked with conducting a regular annual review of the Department SOP's to ensure applicability and address updates as needed. These reviews will be indicated on a signature log which will be placed in an SOP Master Copy, which will be assigned to the Internal Affairs Sergeant.</p>				
2	<p>Park Police Officer Training Records</p> <p>The Park Police Captain should ensure:</p> <ul style="list-style-type: none"> • The six officers we tested obtain required training hours. • Training requirements are established and clearly documented in standard operating procedures. • A consistent procedure is implemented to track completion of training courses and grades. 	4	Accept	Brady L. Wise/ Interim Captain	01/12/18
	<p>Action plan: The Training Academy SOP has been revised to include documenting the completion of all necessary training requirements for each Park Police Cadet/Officer. The policy standardizes a core curriculum and establishes a process to track all officer or cadet GPAs, to include retests as necessary. The Park Police Training Academy Administrative Associate has created a Database to track completion and compliance with all training requirements. This new procedure allows for easier auditing of outstanding or incomplete courses. In the event a discrepancy is found, the officer/cadet is immediately scheduled to make up the course. Once the required training is completed, the officer's training record database is updated to reflect completion. The six officers indicated in the audit as having missed training, have been identified and addressed.</p>				

Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
3	Inspections of Equipment and Vehicles The Park Police Captain should ensure all inspections of equipment and vehicles are performed timely, documented in the Park Police database, and reviewed by management.	4	Accept	Brady L. Wise/ Interim Captain	01/12/18
Action plan: The Park Police Resource Management Officer has been assigned the responsibility of monthly vehicle and equipment inspections. These inspections will be documented in the SAPP Audit database where management personnel can review entries and verify compliance. In addition, the Resource Management Officer will coordinate with the department's service agent to properly document any damage or issues reported by officers that may arise between inspections. Currently the service agent merely indicates new damage in a notebook binder. The new procedure will ensure immediate update to the fleet manager and audit database. It should be noted that, during the City Audit, the discovery was made that inspections were in fact being conducted but not properly entered into the SAPP Audit Database as required by policy. Going forward, the SAPP Audit Database will be reviewed Quarterly by Section Lieutenants to ensure compliance. Any violations shall be reported to the Park Police Captain.					
4	Police Reports The Park Police Captain should ensure that all outstanding police reports are completed in a timely manner. Also, the Captain should continue to review the weekly report of missing or late Park Police reports.	5	Accept	Brady L. Wise/ Interim Captain	01/12/18
Action plan: Park Police supervisors have been tasked with daily monitoring of the AFR report tracking system database. Supervisors are to ensure compliance with departmental policy and the timely completion of all required reports and documentation. Each Park Police Unit Lieutenant will review the AFR tracking system weekly to ensure compliance for their respective shifts, and report the status of missing/late reports to the Park Police Captain for action as necessary. Officers and Supervisors shall be held to Park Police General Manual Policy and Procedures, as well as Standard Operating Procedures, to ensure compliance.					

Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
5	Civilian Observer Program The Park Police Captain should obtain an appropriate release of liability form that has been approved by the City Attorney's office, and implement the new form in the Civilian Observer Program for all future interns to complete and sign.	6	Accept	Brady L. Wise/ Interim Captain	01/12/18
Action plan: An updated Civilian Observer release of liability form has been obtained from SAPD and approved through the City Attorney's Office which will be used for all future Civilian Observers. The Park Police Internal Affairs Sergeant has been tasked with the scheduling of Interns and maintaining a current version of the release of liability form. This includes communication with SAPD to update the form when necessary to maintain compliance.					
6	User Access The Park Police Captain should ensure a procedure is established and documented to promptly inform the correct point of contact of terminated employees who no longer need access to RMS and other COSA -operated electronic databases. In addition, a review of user access every six months should be performed and documented.	6	Accept	Brady L. Wise/ Interim Captain	01/12/18
Action plan: The Command Staff Administrative Sergeant has been tasked with notifying the SAPD Public Safety Systems Administrator Analyst to facilitate the immediate removal of electronic systems access of individuals who have separated from employment with the agency. This removal request shall be made through electronic mail and verified upon completion. A copy of that request and confirmation shall be placed in the personnel file of the terminated employee. To ensure member access into the RMS system, a spreadsheet listing all department members will be sent to SAPD AFR Support to establish and verify access for each member, with permissions into the various levels of the RMS system based on the rank of each respective member. A bi-annual check of each member's ability to access the RMS system will be made during roll call inspections, with documentation sent to each member's training or 201 file.					

We are committed to addressing the recommendations in the audit report and the plan of actions presented above.

Sincerely,



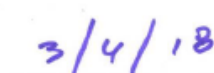
William McManus
Chief of Police
San Antonio Police Department



Date



Erik Walsh
Deputy City Manager
City Manager's Office



Date