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# **CITY OF SAN ANTONIO**

## **OFFICE OF THE CITY AUDITOR**



Follow-Up Audit of San Antonio Police Department

Park Police Operations

Project No. AU19-F07

January 6, 2020

Kevin W. Barthold, CPA, CIA, CISA  
City Auditor

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## Executive Summary

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As part of our annual Audit Plan approved by City Council, we conducted a follow-up audit of the recommendations made in the Park Police Operations audit dated March 29, 2018. The objective for this follow-up audit is:

**Determine if the recommendations made in the prior audit of Park Police Operations have been effectively implemented.**

We determined that San Antonio Park Police (Park Police) management has established effective controls over operations. Park Police management has effectively implemented controls to:

- Establish standard operating procedures for Park Police
- Establish adequate documentation for Park Police training courses
- Ensure performance of periodic inspections of Park Police vehicles and equipment
- Ensure Park Police reports are consistently completed in a timely manner
- Ensure Park Police management has the appropriate release of liability forms for civilians (interns) to sign prior to participating in the Civilian Observer Program
- Ensure user access rights are disabled in a timely manner for separated Park Police personnel

No findings were identified while conducting this audit. We make no recommendations to Park Police management; consequently, no management responses are required. Management's acknowledgement of these results is in Appendix B on page 7.

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## Background

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On March 29, 2018, the Office of the City Auditor completed an audit of the San Antonio Police Department (SAPD), specifically Park Police Operations. The objective of the audit was as follows:

**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.**

The Office of the City Auditor concluded that Park Police 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 RMS<sup>1</sup> is not disabled in a timely manner for separated Park Police personnel.

Park Police management agreed with the conclusions and developed action plans to address the audit recommendations.

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

## Audit Scope and Methodology

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The audit scope was limited to the recommendations and corrective action plans made in the original report for the time frame of October 2018 to July 2019.

We interviewed Park Police personnel to gain an understanding of newly implemented controls and processes related to Park Police operations. Testing criteria included City Administrative Directives, Park Police Standard Operating Procedures, and the Park Police General Manual.

We relied on computer-processed data in the Record Management System (RMS) and Police Report Tracking System (PRTS) to validate the appropriateness of user access rights and observe police reports, respectively. 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.

Our direct testing included reviewing Park Police Standard Operating Procedures and the Park Police General Manual, officer training, inspection of vehicles and equipment, outstanding police reports, Park Police Civilian Observer Program Forms, and user access rights to the RMS system and department shared drives for separated personnel.

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.

## Prior Audit Recommendations and Status

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### A. Standard Operating Procedures

#### *Prior 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.

#### **Status: Implemented**

Park Police management has implemented procedures to ensure the periodic review of Park Police Standard Operating Procedures and the Park Police General Manual. We noted that Park Police management receives signed receipt acknowledgements from employees accepting the rules and regulations for all Park Police General Manual updates. Additionally, we determined that updates to the Park Police Standard Operating Procedures are sent to employees via email and associated “read receipts” from employees are tracked by the Administrative Sergeant.

#### **Recommendations**

None.

### B. Park Police Officer Training Records

#### *Prior 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.

#### **Status: Implemented**

Park Police management has implemented a standard process to monitor completion of officer training requirements. We observed training for 25 Park Police officers and noted that they appear to be current with The Texas Commission on Law Enforcement (TCOLE) and San Antonio Park Police Standard Operating Procedures’ annual, 2-year, and 4-year cycle requirements.

## **Recommendations**

None.

## **C. Inspections of Equipment and Vehicles**

### *Prior 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.

### **Status: Implemented**

Park Police management has implemented a process that requires shift supervisors to conduct periodic (weekly, monthly, or annual) inspections of equipment and vehicles based on the equipment type. The results of each inspection and date of performance are tracked in the Park Police Audit Database.

## **Recommendations**

None.

## **D. Police Reports**

### *Prior 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.

### **Status: Implemented**

Park Police management has implemented a process to review incomplete police reports in a timely manner. We reviewed incomplete reports in the Police Report Tracking System (PRTS) and determined that the total number decreased from 50 in the prior audit down to 21 (a 58% decrease).

## **Recommendations**

None.

## **E. Civilian Observer Program**

### *Prior 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.

### **Status: Implemented**

Park Police management has implemented a process by which the Park Police Internal Affairs Sergeant is currently responsible for vetting candidates and overseeing background checks. We obtained a copy of the new Civilian Observer Authorization and Release form noting that the new language mirrors the release of liability language from the form used by SAPD which was previously approved by the City Attorney's Office.

### **Recommendations**

None.

## **F. User Access**

### *Prior 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.

### **Status: Implemented**

Park Police implemented a new procedure where the Administrative Sergeant is responsible for coordinating with Public Safety Support IT to disable RMS access for any officer that has separated from the department. In addition, we obtained evidence that the terminated employees noted in the original audit were properly removed from the RMS system.

Also, we verified that user access rights to the department shared drives were appropriate. Deviations in access rights noted were immediately addressed and remedied by Park Police management.

### **Recommendations**

None.



## **Appendix A – Staff Acknowledgement**

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Mark Bigler, CPA, CISA, CFE, Audit Manager  
Judith Flores, CPA, Auditor in Charge  
Javier Castillo, IT Auditor  
Denise Trejo, Auditor

## Appendix B – Management Acknowledgement

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### CITY OF SAN ANTONIO

SAN ANTONIO TEXAS 78203-3966

November 12, 2019

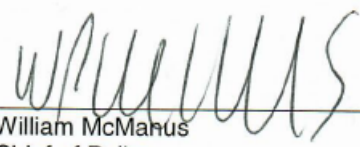
Kevin W. Barthold, CPA, CIA, CISA  
City Auditor  
San Antonio, Texas

RE: Management's Acknowledgment for SAPD Park Police Audit

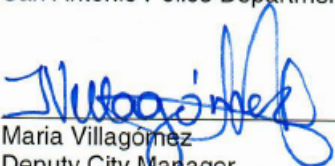
- ☒ Fully Agree (provide detailed comments)
- ☐ Agree Except For (provide detailed comments)
- ☐ Do Not Agree (provide detailed comments)


SAPD has reviewed the audit report and provided its comments to the auditors. As there are no recommendations for management, no management responses are required.

Sincerely,

  
\_\_\_\_\_  
William McManus  
Chief of Police  
San Antonio Police Department

  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Maria Villagomez  
Deputy City Manager  
City Manager's Office

  
\_\_\_\_\_  
Date