

## Audits, Controls and Inspections

### 202.1 PURPOSE AND SCOPE

To establish a formalized process by which the systems and units of the department will conduct annual or other periodic inspections or audits to ensure compliance with established policies, procedures and orders.

### 202.2 DEPARTMENT-WIDE CONTROLS

- (a) Driver License – Status Checks (All Personnel): The City Human Resources Department receives automated driver license status reports from the California Department of Motor Vehicles on all city employees. Any noted deficiencies (i.e., suspensions, expirations etc.) will be forwarded to the Office of Professional Standards for correction.
- (b) Domestic Violence Firearm Restrictions/Criminal History (Police Officers): The automated Criminal History System (CHS) will notify the police department of any entry into an officer's record, which may affect his/her ability to perform the duties of a police officer. Entries such as, but not limited to, a firearm restriction resulting from a domestic violence incident or criminal behavior will be forwarded to the Department for review. The information received will be sent to the employee's Division Commander/Lieutenant and to the Office of Professional Standards. The automated reporting by the state does not absolve the employee from the requirement to notify the Department of the conduct or any court imposed restriction, immediately upon learning about it.
- (c) Computer Queries (CHS, DMV, Department Database (All Personnel)): Criminal History and Department of Motor Vehicles inquiries are currently audited annually by the Department of Justice in conjunction with the Irvine Police Department. In the event a suspicion or concern should arise in the use of the intra-department database, specific inquiries are handled on a case-by-case basis. Unresolved audit issues, in any automated system, are referred to the Office of Professional Standards.
- (d) Workplace Inspections: The Office of Professional Standards will conduct workplace inspections at a minimum of twice yearly. The inspections are documented and this documentation is retained in the Office of Professional Standards. Managers and supervisors are expected to conduct workplace inspections routinely during the course of their duties.
- (e) Petty Cash Audits: The Office of Professional Standards shall audit the petty cash funds maintained by the petty cash custodians and the funds maintained in the Watch Commander's safe at least twice per year. The petty cash funds shall be maintained in accordance with policy §354 – Cash handling, Security & Management.
- (f) Cellular/Work Station Telephones: Managers/Supervisors shall monitor and review the telephone usage by those who have phones assigned to them. Telephone bills will be sent from finance directly to the Office of Professional Standards for distribution and review by department personnel. Reimbursement to the City for personal phone calls, including text messaging, is the sole responsibility of the involved employee.

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- (g) Payroll Sheets, Overtime, and Time-Off Requests: The audit and inspection of these operations is critical for the reduction of inaccurate payroll sheets (time sheets), overtime usage, and conflicting time-off requests. The audit and inspection of overtime, payroll sheets and time off requests by Department employees is conducted on a daily basis by their immediate supervisor.
1. The supervisor or his/her designee shall complete payroll sheets using the Virtual Timecard Interface (VTI) system. Each employee shall review his/her electronic payroll sheet and then provide an electronic signature. The supervisor or his/her designee will then make a final review of the payroll sheets. The review shall be verified with the supervisor's electronic signature prior to submission to payroll. It is necessary to ensure that each payroll-related transaction is correct.
  2. Overtime requests shall be granted only with the approval of the supervisor or his/her designee. While it is normally a sergeant's responsibility to monitor his or her assigned shift, the monthly analysis of leave usage and overtime expenditures is the responsibility of the employee's commander, lieutenant, or business services administrator.
  3. Time-off requests shall be granted only with the approval of the supervisor or his/her designee. Command staff members shall be apprised of any questions or inaccuracies regarding the time sheets, overtime compensation or concerns about time off requests.
- (h) Work Schedules: The audit and inspection of the work schedule for employees of this department shall be the responsibility of their immediate supervisor. Only the supervisor or his/her designee shall make modifications or adjustments to the work schedule. The supervisor shall apprise the Division Commander/Lieutenant /Business Services Administrator of modifications to the normal work unit schedules.
- (i) Personnel Records: Annual audit of personnel background investigation and training records. This audit shall be conducted by the California Peace Officers Standards and Training (POST).

### **202.3 PATROL**

- (a) Uniforms and Personal Equipment: The Irvine Police Department prides itself on the professionalism of its employees. Uniform and equipment inspections are necessary to ensure the standards and professional image to the public are maintained. Supervisors shall:
1. Conduct regular inspections of all field personnel uniforms and equipment.
  2. Conduct work area inspections.
- (b) Field Personnel Activities: The below listed audits and inspections are supervised by the Division Commander, lieutenants and sergeants to ensure the duties of field personnel are being conducted in accordance with department policies.
1. Work productivity: Review work product using department automated systems, such as CAD, RMS, etc.;

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2. Arrest approval: Approval on a “case-by-case” basis of arrests made by probationary officers, both lateral and entry level.
  3. MDC messages: Each employee’s supervisor should periodically review a random selection of Mobile Data Computer (MDC) messages for that employee to ensure compliance with Department policy.
- (c) Patrol Vehicles: The below listed audits and inspections are the shared responsibility of the Operations Division Commander, Operations lieutenants and sergeants. The purpose is to ensure that each vehicle in the patrol fleet, and its equipment, is being maintained to meet the needs of the department.
1. Equipment logs: It is the employee’s responsibility to report all equipment problems or malfunctions to the Technical Services Unit. The Technical Services Unit is responsible to keep a log on vehicle equipment problems.
  2. Vehicle Equipment: Ensure that employees are conducting inventories of vehicle equipment. Field Personnel using expendable supplies will contact the Technical Services Unit either in person or in writing, to arrange for replacement supplies. The Technical Services Unit is responsible for maintaining adequate levels of expendable supplies. Vehicle equipment includes safety supplies, the Mobile Data Computer, Mobile Video System, GPS system, and any other department-installed aftermarket device.
  3. Vehicle Damage Log: Closely monitor the entries and signature page of the Vehicle Damage Log. The Technical Services Unit will ensure that vehicle changeover information is reflected in the log.
- (d) Purging of Patrol Files: Purging of the patrol files shall be the responsibility of the sergeant assigned to complete the employee’s annual performance review. Before writing the review, the sergeant will check the officer’s patrol file, maintained in the Watch Commanders Office. Once the review is completed, given to and signed by the employee, all paperwork from the previous year used to prepare the review will be purged from the file and replaced by a copy of the latest review. Purged materials will be shredded.
1. In the event an employee assigned to the Field Services Division is separated from employment with the department, it is the responsibility of that employee’s supervisor to pull his/her patrol file from the Watch Commander’s Office, seal it, and then forward it to the Office of Professional Development (OPD) Lieutenant. The OPD Lieutenant shall review the employee file for relevant documents to be retained. Purged Materials shall be shredded.

#### **202.4 CRIMINAL INVESTIGATION DIVISION**

- (a) Petty Cash, Flash Money, and Asset Seizures: The maintenance of investigations petty cash is the immediate responsibility of the Criminal Investigation Division Lieutenant. The petty cash shall be maintained in accordance with policy §354 – Cash Handling, Security and Management. Any discrepancies in the petty cash bank will be immediately reported to the Office of Professional Standards. The maintenance of the “flash money” fund is the immediate responsibility of the Special Investigations

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Sergeant. Any discrepancies in the “flash money” fund will be immediately reported to the Office of Professional Standards and the Special Investigations Bureau Lieutenant or Criminal Investigation Bureau Lieutenant. The audit and inspections of “flash money” fund shall be the primary responsibility of the Office of Professional Standards. The Office of Professional Standards shall audit the “flash money” on an annual basis or whenever there is a transfer of the Special Investigations Supervisor.

1. The maintenance of the asset seizures log shall be the primary responsibility of the Special Investigations Unit Sergeant. The City’s Finance Section, in conjunction with the Office of Professional Standards shall audit the asset seizure accounts on an annual basis.
- (b) Criminal Investigation Division Vehicles: The respective Sergeant or his or her designee will conduct monthly inspection of all vehicles assigned to the various sections of the Special Investigation or Criminal Investigation Division. Reports of damage, excessive wear, or other unsafe conditions will be immediately reported to the Special Investigation or Criminal Investigation Bureau Lieutenant. The Special Investigation or Criminal Investigation Bureau Lieutenant or his or her designee shall report such conditions to the Technical Services Unit for correction.

#### **202.5 POLICE FACILITIES MAINTENANCE**

The Business Services Administrator within the Administration Bureau is responsible for the overall maintenance of the Police facility. Employees observing a problem in the building should immediately report it to the Business Services Administrator or property personnel. Emergency conditions or repairs requiring immediate attention will be reported to the Division Commander/Lieutenant, who will make the appropriate notifications. General cleaning and janitorial services are on a contractual basis with an outside company.

- (a) Public Areas: The janitorial service shall continue to clean these areas. The Business Services Administrator in conjunction with staff members from Facilities Maintenance/Public Works shall conduct random inspections of these areas to ensure proper service levels are being met.
- (b) Briefing Room: The sergeant conducting briefing is responsible for ensuring that each shift keeps the briefing room clean and orderly. When the briefing room is used for purpose other than briefing, it is the responsibility of the person conducting the function to ensure the room is clean and orderly at the end of the function.
- (c) Report Writing Area: Sergeants are responsible for daily inspections of the report writing area. Each sergeant shall check the area at the end of his or her watch to ensure the report writing area is left in a clean and orderly manner.
- (d) Locker Rooms: The janitorial service, as contracted, and at the direction of the Business Services Administrator, has the responsibility for locker room cleanliness. Sergeants shall check the locker room for cleanliness. 3/12 Sergeants will check the locker room on Sundays and the 4/10 Sergeants shall check it on Tuesdays. Department personnel are expected to keep their lockers and overhead storage bins clean and orderly.

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- (e) Refrigerators: The janitorial service, as contracted, will clean the refrigerators on the last Friday of every month. All items that remain during cleaning will be discarded.
- (f) Individual Work Areas: Individual employees are responsible for maintaining their work areas in a neat and clean condition. The janitorial service will perform general cleaning such as trash removal and vacuuming. The individual employees, using Department supplies, are responsible for maintaining the cleanliness of their own desks. Supervisors who are assigned personnel with work areas in the police facility will inspect those common areas on a regular basis.

Department managers and supervisors have the responsibility and obligation to enforce a zero tolerance harassment and discrimination policy during the course of these regular inspections.

#### **202.6 PROPERTY**

A property audit is conducted on an annual basis by the Office of Professional Standards. At least fifty items of booked property will be selected at random for inspection. Verification will be made that the item selected is in fact the same item as described and/or of the same measure as when originally booked. The associated written paperwork will be checked, as will the computer/tracking/accounting information, for completeness and accuracy. The selected items will emphasize items of high value and will include drugs/narcotics, money and firearms. A report of the findings will be forwarded to the Chief of Police for review and determination of any corrective measures.

#### **202.7 ANIMAL SERVICES**

The Office of Professional Standards shall conduct an annual audit of the inventory, distribution and use of controlled substances provided by the department-sanctioned veterinarian.

#### **202.8 CANINE UNIT**

The Office of Professional Standards shall conduct an annual audit of the inventory and use of controlled substances used for training of police canines.