Riverside Police Department

INDEPENDENT PERFORMANCE ASSESSMENT

June 28, 2017
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June 28, 2017

Ms. Cheryl Johannes
Internal Audit Manager
Office of the City Manager, Internal Audit Division
3900 Main Street, 7th Floor
Riverside, California 92522

Dear Ms. Johannes:

The Hillard Heintze team has completed its independent performance assessment of the Riverside Police Department. Please find our final report below.

The scope of our review included: (1) employee discipline and internal affairs; (2) case review and case management; (3) use of data, including data-driven policing, crime statistics and crime analysis; (4) use of technology and communications systems; (5) staffing and deployment; and (6) financial expenditures over the fiscal years ending June 30, 2014, 2015 and 2016. This report summarizes the results of the assessment.

Among our primary findings was that with the cooperation of other department members, the department's Internal Affairs Unit adheres to effective, appropriate operational procedures. In addition, although long delays in receiving and assigning cases have been well documented, we believe the department is uniquely positioned to improve its processes for providing case management for criminal investigations.

This report is a confidential and proprietary, law enforcement-sensitive work document between Hillard Heintze and the Office of the City Manager, Internal Audit Division. We place enormous value on the trust that you have extended to us in this matter and look forward to supporting your requirements in the future.

Sincerely,
HILLARD HEINTZE LLC

Arnette Heintze

Arnette F. Heintze
Chief Executive Officer

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Introduction

AUTHORIZATION: TAPPING AN OBJECTIVE, INDEPENDENT PERSPECTIVE

In July 2015, the City of Riverside launched a program to provide independent, outside audits of all City departments once every five years. Three departments are audited each fiscal year. The Riverside Police Department (RPD) was one of the three selected to be audited in fiscal year 2016/2017.

The City of Riverside commissioned Hillard Heintze to evaluate the following: (1) employee discipline and internal affairs; (2) criminal case review and case management; (3) use of data, including data-driven policing, crime statistics and crime analysis; (4) use of technology and communications systems; (5) staffing and deployment; and (6) financial expenditures over the fiscal years ending June 30, 2014, 2015 and 2016. This report summarizes the results of the assessment.

METHODOLOGY: SIX KEY PRINCIPLES

Emerging from our experiences as leaders in a variety of law enforcement-related fields, the Hillard Heintze methodology is based on the following six strategic principles:

1. Independent and objective analysis

2. Solicitation of multiple perspectives and viewpoints

3. An acute focus on collaboration and partnership

4. An information-driven, decision-making mindset

5. A structured and highly disciplined engagement approach

6. Clear and open lines of communication

APPROACH: A HIGHLY INTENSIVE AND INTEGRATED PROCESS

Over the course of this engagement, the Hillard Heintze assessment team:

- Conducted a Project Kick-Off meeting with key stakeholders and developed an understanding of the department's mission, vision and values, as well as its history, organization and cultural environment.

- Completed more than 40 interviews of command staff, department personnel, city officials and other employees including the Chief of Police and Deputy Chiefs, as well as the City of Riverside Mayor and City Manager.

- Requested, received and reviewed extensive policing and public safety-related documentation relevant to the approved scope of the project and available to assessors, as well as current policy manuals, written policies and procedures, and strategic plans and initiatives.

- Undertook site-specific inspections of the department's operations, assets and activities, including interacting with local stakeholders.

INTERVIEWS: SOLICITING MULTIPLE VIEWPOINTS

Our assessment team's interviews included City of Riverside leadership and relevant departments, RPD command staff, and sworn and non-sworn officers and representatives from throughout the department. The team also met with the Executive Director of the City's Community Police Review Commission.

ASSESSMENT TEAM: ABOUT HILLARD HEINTZE

Hillard Heintze is one of this nation's foremost privately held strategic advisory firms specializing in independent ethics, integrity and oversight services – with a special focus on federal, state and local law enforcement agencies including police departments, sheriff's departments and internal affairs bureaus. The firm provides the strategic thought leadership, trusted counsel and implementation services that help leading government agencies and institutions, corporations, law firms and major public service organizations target and achieve strategic and transformational levels of excellence in law enforcement, security and investigations.

We supported the RPD through the Hillard Heintze Law Enforcement Consulting Practice. Individually, our staff members have been responsible for leading the significant transformation of many major city police departments and law enforcement agencies.

Robert Davis, Senior Vice President, Law Enforcement Consulting

Robert Davis is a highly regarded and innovative national leader and expert in policing and public safety. Davis served in a variety of capacities during his 30 years' career with the San Jose Police Department, including as the Chief of Police for seven years. During his time as chief Davis also served as the President of the Major Cities Chiefs Association. He also provided consulting services for the U.S. State Department, traveling on numerous occasions to Central and South America to provide training in community policing methods addressing gang prevention, intervention and suppression. Since retiring from San Jose, Davis has been involved in numerous assessments of police departments large and small throughout the nation. He also has over 4,000 hours of experience delivering law enforcement training throughout California over a 17-years' period.

Steven M. Bova, Senior Director, Information and Technology

Steven Bova directs the firm's IT-related services. Before joining Hillard Heintze, he served on the senior leadership team at Analysts International as Director of the Public Safety / Homeland Security Sector and as a senior subject-matter expert. In this capacity, he oversaw the establishment of information technology protocols and standards for state and local Fusion Centers – the critical intelligence-sharing hubs of the justice system. Bova ensured that the IT protocols complied with specific agency and national standards, including 28 CFR Part 23, the Federal Bureau of Investigation (FBI) CJIS Policy pertaining to implementation of Criminal Intelligence Systems Operating Policies; the Global Justice XML Data Model; Justice Reference Architecture; and the National Information Exchange Model to achieve interoperability among participating agencies. Earlier in his career, Steven served as Bureau

Chief within the Information and Technology Command of the Illinois State Police and the state's Chief Technical Analyst in the Illinois Technology Office.

Craig Fraser, Ph.D., Subject Matter Expert, Law Enforcement Staffing and Deployment

Craig Fraser, Ph.D. has directed some 200 studies of police agencies for the Police Executive Research Forum, MAXIMIS, Inc. and the Police Foundation. He has extensive experience with police staffing studies. Fraser has directed deployment and staffing projects for diverse agencies. He has specific substantive expertise in police technology, training and resource allocation. Fraser has authored training guides on police resource allocation, staffing and deployment, taught extensively on the topic and conducted 50 specialized staffing and deployment studies. In addition to his management studies experience, Criminology/Criminal Justice Program, Virginia Union University. He has also held the following positions: Planning and Budget Manager for the Santa Ana, California Police Department; Director, Training, Education, and Accreditation Division for the Massachusetts Metropolitan Police; and Director, Management Information Division for the Winston Salem, North Carolina Police Department. Additionally, he has held appointments at Boston University, Florida State University, Washburn University, and the University of Kansas. Fraser earned his undergraduate degree from Duke University and his M.A. and Ph.D. from Purdue University.

Steven DiNoto, Subject Matter Expert, Operations of Crime Analysis Units

Steven DiNoto serves the City of San Jose in his role as Director of the Office of Civic Innovation & Digital Strategy. DiNoto came to San Jose from Amazon, where his most recent position was head of the company's Global Audit and Self-Inspection program that focused on improving controllership within financial operations, including application security and fraud prevention. DiNoto previously led Amazon's Global Corporate Business Assurance, including the Security, Enterprise Business Continuity, Safety, and Incident Management programs. His previous experience includes managing security operations for Apple and 11-years as Chief Administrative Officer for the San Jose Police Department, in which he was responsible for the Crime and Intelligence Analysis Unit, strategic staffing planning, and technology initiatives within the Office of the Chief of Police. DiNoto was also a crime analyst at several law enforcement agencies in Massachusetts and instructed in undergraduate and graduate level Criminology programs at two universities. DiNoto received his bachelor's and master's degrees in criminology from the University of Massachusetts at Lowell. He also attended and graduated from the Police Executive Research Forum's Senior Management Institute, as well as the Center for Homeland Defense and Security's Executive Leaders Program at the Naval Postgraduate School in Monterey.

Lisa Domenick, Certified Internal Controls Auditor and Fraud Examiner

Lisa Domenick is a Director with Sierra Financial Group Ltd. (SFG), a firm specializing in Forensic Accounting, Anti-Corruption and Foreign Corrupt Practices Act (FCPA) matters and Litigation and Dispute Services. With over 16 years of experience, Domenick specializes in audit, compliance, investigations, dispute analysis, regulatory compliance and anti-money laundering. Prior to SFG, Domenick served as the head of an operational audit and compliance program for a billion-dollar global company. Domenick also previously worked in the Forensic Services practice of PricewaterhouseCoopers, performing engagements in contract compliance, investigations, disputes and regulatory compliance in sectors such as financial services, real estate, health care, energy, aerospace & defense and telecommunications. Domenick has worked on investigations of several cases of employee fraud and misconduct, detecting backdating of stock options, manipulation of inventory and other fraudulent acts. She also conducted several contract compliance engagements, focusing on cost recovery and identifying miscalculations in reporting for government contracts. Domenick graduated from the University of Illinois Champaign-Urbana with a bachelor's degree in finance and earned her MBA from DePaul University. She currently holds the Certified Fraud Examiner and Certified Internal Controls Auditor designations.

Key Findings

KEY FINDING #1

With the cooperation with other department members, the staff of the RPD's Internal Affairs (IA) Unit successfully carries out its mission through operational procedures that reflect a high degree of effectiveness and professionalism.

The assessment of the policies and procedures that the RPD's Internal Affairs Unit uses to investigate both external and internal complaints is based upon practices typically found in a professional California law enforcement agency dedicated to investigating all complaints in a thorough, fair and objective manner. The recommendations made in this assessment report focus principally on enhancing the department's (1) transparency determining a disciplinary outcome for a sustained case, (2) communication with complainants for complaints classified as Inquiries or Frivolous, and (3) the coordination with the Community Police Review Commission (CPRC) and the City Manager's Office.

KEY FINDING #2

The RPD's processes for providing case management for criminal investigations is significantly impacted by the shortcomings of the current records management system (RMS), which creates long delays in receiving and assigning cases as well as makes it difficult to track them while investigators conduct their work. The new RMS should help address these concerns if the design and implementation are managed well.

As noted throughout the assessment report, the lack of an automated, in-field report writing system creates delays in the processing of most reports, for periods of up to two weeks in some cases. This reduces the ability of detectives to take immediate investigative steps for solvable cases and threatens the potential development of investigative leads as witnesses and evidence disappear before an investigation even begins. It also creates unnecessary redundancies in data entry processes when multiple personnel make the same data entries into different database systems. This assessment report highlights the need to prioritize the planning, design, creation, training for, and implementation of the new RMS the department has recently acquired.

KEY FINDING #3

Supervisors assigned to the Centralized Investigations Bureau (CIB), Special Investigations Bureau (SIB), and Neighborhood Policing Centers (NPC) do a very good job of managing their detectives' caseloads in spite of the fact that the current RMS creates numerous hurdles for them.

The current RMS does not provide the robust case management system needed for an agency of the size and complexity of the RPD, in that it can take several days to receive cases, redundant data entries need to be made to assign and track cases, and the system does not provide updated information about who is assigned cases and their ongoing status. The absence of non-sworn personnel to assist in data entry for the cases as they are being assigned and managed, as occurs in the CIB unit, also reduces the effectiveness of the unit's supervisors, as they spend two to three hours a day doing data entries for

case management. RPD investigative units' supervisors have created workaround systems that allow them to be as effective as they can be despite the difficulties of the current RMS.

KEY FINDING #4

Although the current RMS does not have an automated in-field report writing system or robust case management component, the RPD Records Bureau staff do a remarkable job of entering data as quickly and effectively as possible, even though all of the reports they are processing are paper-based. A random sampling of criminal cases revealed that reports are being filed appropriately for individual cases in the RPD's Laserfiche document retention system.

A review of the day-to-day operations of RPD Records Bureau personnel highlighted the challenges that come with managing paper-based records in a large police department. All of the initial crime reports and subsequent supplemental reports must be sorted, scanned into a Laserfiche digital database, copied so additional paper-based copies can be forwarded to investigative units, have data from the reports entered into an RMS, and then filed away. These multiple manual steps take a toll on those doing such labor-intensive tasks. Despite these challenges, the assessment team member who reviewed a series of randomly selected criminal cases found that the Laserfiche system provided copies of all the reports that should be associated with the reviewed cases. Such results are very commendable given the challenges noted.

KEY FINDING #5

The Records Bureau and Systems Analyst ensure timely and accurate Uniform Crime Reporting (UCR) entries and submissions. Although RPD is operating currently without an automated RMS that includes an automated police report writing program, the Records Bureau data entry staff and the Police Records System Analyst have been able to maintain the mandated UCR data collection and reporting process so the RPD reports accurate and timely information for Part 1 crimes on a monthly basis to the California Department of Justice (DOJ) and, ultimately, the FBI.

All law enforcement agencies in the nation are required by law to report "Part 1" crimes to the FBI on a regular basis, which uses the data to provide an annual UCR for the entire country. This requires agencies to classify every crime reported to them so a distinction can be made on which crime data fall under this UCR requirement. For agencies like the RPD, which does not have an RMS that provides the ability for police officers and detectives in the field to write police reports and submit them electronically to the system, the UCR process requires manually reviewing all paper copies of initial and supplemental crime reports personnel submit, which significantly increases the likelihood of mistakes. In spite of this concern, of the 34 criminal cases the assessment team reviewed for compliance with RPD case management processes, a subsequent check of the UCR coding status ultimately assigned to each of those cases revealed an accuracy rate of 100 percent.

KEY FINDING #6

Because of the critical role the new RMS represents in ensuring improvements to the criminal case review and management processes, it is very important that the RPD provide the tools, resources and staff necessary to help the new RMS Implementation Team plan, design, create, test and prepare end users to use the new RMS.

Any number of law enforcement agencies that have acquired a new RMS have failed to take proactive measures and establish priorities that would have (1) reduced the amount of time it took to implement the new system, (2) helped to ensure the new RMS improves current records management processes, and (3) facilitated the effort to gain end-user acceptance of the new automated processes. Throughout this report, the assessment team focuses on highlighting steps that can be taken to help the department succeed in its RMS implementation efforts as they relate to criminal case review and management, including ways to support the members of the RMS Implementation Team members.

KEY FINDING #7

The RPD does not have a formal, written IT-specific strategic plan to guide it as it embarks on designing and implementing critical technology tools to support its operations.

The RPD is in the process of designing, creating and eventually implementing a new RMS and related upgrades to its Computer-Aided Dispatch (CAD) system. This new system will affect nearly every operation within the department. Successful day-to-day management and use of the data generated by the RMS and CAD system drive successful investigations, patrol officer deployments and Crime Analysis Unit support. A formal, long-term IT-specific strategic plan that is supplemented by annual IT-specific Tactical Plans would help the department succeed in its efforts to support its operational strategies.

KEY FINDING #8

The organization is at the onset of establishing an Enterprise Architecture with the Motorola Premier One platform. However, establishing solid Portfolio Mapping and Application Mapping of current systems to integrated modules available on the standardized platform must be completed.

The organization must establish project management best practices including vendor management, project timelines, defined deliverables and milestones at a minimum to protect against project overruns and ensure the agency achieves the anticipated goals of the Motorola CAD and Records implementations.

KEY FINDING #9

The RPD's current RMS hampers the effectiveness of the Crime Analysis Unit (CAU). While the CAU has been serving the department well with the tools and resources it has, the lack of an automated RMS and a formal CAU strategic plan undermines the unit's ability to transition from a reactive information sharing entity to a proactive one.

The RPD's CAU has been able to provide historical crime data to support the weekly Crime Suppression meeting and the monthly Management Accountability Program (MAP) meeting; assist CIB and other investigative units with special data requests; and provide crime bulletins to entities throughout the department. However, due mainly to the limitations of the current RMS, which is not automated, CAU has had to rely upon stale data to provide historical crime data instead of being able to provide near-real-time crime data and trends that would help the department proactively plan and implement crime prevention, intervention and enforcement strategies. As a result, CAU essentially serves in a reactive capacity rather than as a proactive partner for all the RPD's law enforcement activities. The pending implementation of the new Motorola RMS will help to address this issue, as would a formal, written strategic plan for CAU that aligns with and supports the larger RPD strategic plan.

KEY FINDING #10

Due to recent budget-driven RPD staffing cuts, patrol officers spend the vast majority of their time responding to calls for service, leaving officers very little time free patrol time for self-initiated law enforcement and community engagement activities.

In 2016, RPD patrol forces responded to 181,470 calls for service, which consumed 84 percent of patrol officers' total patrol time. Officers engaged in 28,264 self-initiated activities, representing 16 percent of their patrol time, which is well below the 40 percent free patrol time officers typically are afforded in cities comparable to the City of Riverside. The voters' recent support of Measure Z will help restore the necessary patrol services over the next four to five years to address this issue, and this assessment report provides analysis on how additional officers could be deployed to accomplish this.

KEY FINDING #11

Recent budget-driven staffing reductions have also impacted the work of the non-sworn ranks within RPD, particularly the Communications and the Records Bureaus.

The RPD Communications Bureau has authorized 41 Public Safety Dispatcher (PSD) II and four PSD I positions, which requires the assistance or part-time staff and a mandate that all personnel work an additional eight hours in each two-week pay period. This creates a number of personnel management issues, as well as challenges to hiring and retaining staff. A staffing plan about to be launched over the next four years would have three dispatchers join the RPD in the first year and two in each of the subsequent three years, for a total of nine dispatchers, which should help RPD address service demands and the inevitable turnover that comes with a high-stress work environment. Similarly, the Records Bureau lost four positions to staffing cuts, although these they are due to be replaced in July. With the implementation of a new RMS scheduled to become operational within the next 18 to 24 months, a new analysis of Records Bureau staffing should be conducted after implementation to determine the impact of the new system on staffing.

KEY FINDING #12

The audit of RPD's non-personnel financial expenditures, which included analysis of sampled accounts payable transactions, journal entries, purchasing card (P-Card) transactions, and travel and expense reimbursements, identified a variety of deficiencies.

The primary areas of deficiency include the absence of clarity of procurement policies, incomplete supporting documentation of expenditures, inappropriate expense categorization, and violation of certain policies.

1   Employee Discipline and Internal Affairs

PROCESSES AND PROTOCOLS OF THE INTERNAL AFFAIRS UNIT

The RPD's Internal Affairs (IA) unit is comprised of one lieutenant, three sergeants and two civilian support personnel. These individuals are afforded the opportunity to attend the California POST Internal Affairs Investigations course, which helps ensure their ability to investigate cases according to professional standards. In fact, the RPD has taken the commendable step of sending all of its newly promoted sergeants to the POST IA course to be trained to investigate cases either as IA investigators or as sergeants assigned to other units who have received a case from IA for investigative follow-up.

The daily work activities of the RPD IA employees are guided principally by two main documents, including (1) RPD Duty Manual Policy 1009 – Personnel Complaints, and (2) an IA unit written guide entitled "Job Description," prepared by the unit's two civilian support personnel. RPD Policy 1009 not only provides guidance to IA investigators on the process for handling both external and internal complaints, but it also outlines the reporting and action requirements for any department member who receives a complaint against a department member. The IA unit does not have a formal written standard operating procedure manual for IA investigators, but the previously noted Job Description guide essentially serves the same purpose, as it contains a very detailed description of most of the activities IA is responsible for handling.

The RPD defines an external complaint as one filed by someone who is not a member of the department. This external complaint is referred to as a personnel complaint (PC), with the letters PC preceding an assigned IA complaint case number. Complaints generated within the RPD against a department member are referred to as personnel administrative (PA) complaints, with the letters PA preceding the assigned IA complaint case number. Police departments commonly use these two types of complaints to track the kinds of follow-up investigations that should occur. Distinguishing external complaints from internal complaints also helps police management track the reasons complaints are made against the department versus those the employees themselves are generating. Such information allows a department to make policy changes, conduct ongoing training updates or make changes to current training curricula that can prove useful in addressing the root causes of complaints and reducing them in the future. The process also allows the department to measure the amount of time it takes to handle these two distinct types of complaints, as well as assist IA personnel to ensure proper communications are initiated and timely notifications made to external complainants to comply with department policy for those IA cases highlighted as PC cases. The following two charts provide 1) definitions for the various complaint classifications and 2) a depiction of the process by which external and internal cases are received, investigated, reviewed and adjudicated.

COMPLAINT CLASSIFICATIONS
RPD POLICY 1009

Informal - A matter in which the complaining party is satisfied that appropriate action has been taken by the department supervisor of rank greater than the accused employee. Informal complaints need not be documented on a personnel complaint form, and the responsible supervisor shall have the discretion to handle the complaint in any manner consistent with this policy.

Formal - A matter in which the complaining party requests further investigation or in which a department supervisor determines that further action is warranted. Such complaints may be investigated by a department supervisor of rank greater than accused employee or referred to the Internal Affairs Bureau, depending on the seriousness and complexity of the investigation.

Incomplete - A matter in which the complaining party either refuses to cooperate or becomes unavailable after diligent follow-up investigation. At the discretion of the assigned supervisor and the Internal Affairs Bureau, such matters need not be documented as personnel complaints, but may be further investigated, depending upon the seriousness of the complaint and the availability of sufficient information.
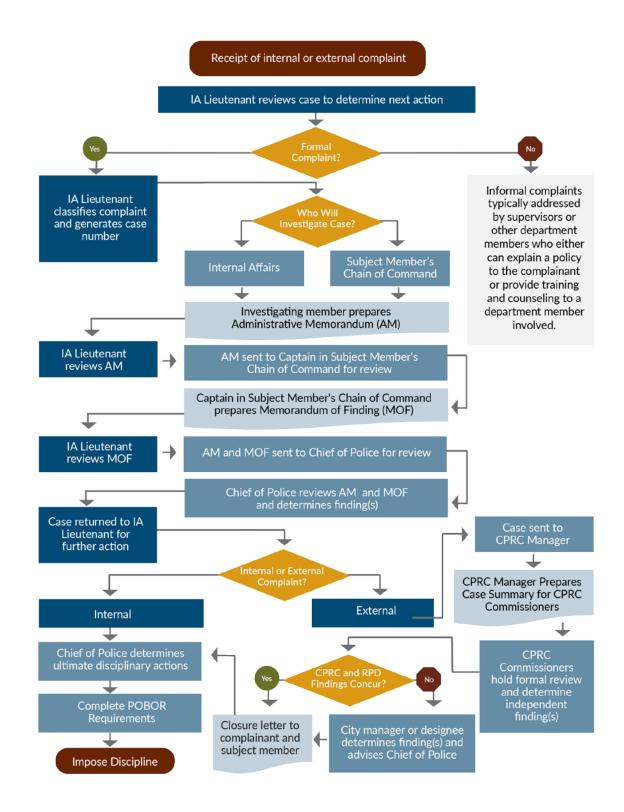
Previous Administrative Review - A matter in which the action of the employee(s) have been determined to be within policy in the previous Supervisor Administrative Review or administrative investigation. The department supervisor, with approval of his or her commanding officer and the Internal Affairs Lieutenant, need not document the matter as a personnel complaint, unless the nature and seriousness of the allegations merit further investigation.

Other Judicial Review - (For Internal Affairs Use Only) This classification is intended to address two types of complaints: (1) Civil Matters, in which the accused employee's official position does not play a role in the alleged actions, and (2) Court Proceedings, in which the employee's conduct that forms the basis of the complaint has already been adjudicated during a court proceeding.

Inquiry - If an uninvolved supervisor determines that a citizen is merely requesting clarification of the policy or procedure, or the alleged misconduct or improper job performance, even if true, would not constitute a violation of law or Department policy or procedure, the supervisor, with approval of his or her commanding officer and the Internal Affairs Lieutenant, may classify the matter as an inquiry and need not take a complaint.

Frivolous - Complaints that are lacking in any arguable basis or merit, or which are made for the purpose of harassing a police employee may be deemed frivolous by the Internal Affairs Lieutenant or a Chief Officer, and need not be documented as a complaint.

By written policy, a formal complaint against an RPD member may be made in a number of ways, including (1) lodging a complaint directly with a member of the department, who is responsible for assisting an individual to file the complaint; (2) completing an RPD complaint control form, copies of which are available in the public lobbies of the Orange, Magnolia and Lincoln Streets police facilities, as well as at other government facilities, including the offices of the CPRC at City Hall; (3) filing a complaint online; or (4) contacting a member of the RPD Internal Affairs Unit either in person or by letter, email or telephone. Informal complaints that do not rise to the level of being a formal complaint, defined as one that could lead to disciplinary action against a department member, by policy are typically addressed by supervisors or other department members who either can explain a policy to the complainant or provide training and counseling to a department member involved.

Per the written IA Job Description guide, once the Internal Affairs Unit receives a complaint, the IA lieutenant will review the case to determine if it is a formal complaint. If so, the lieutenant will assign it a complaint classification and have staff generate a file number and then ensure pertinent information is entered into the IA tracking system (an Access database program), and a confidential investigative packet is prepared for the assigned investigator. Any pertinent copies of police reports, printouts, related incidents, etc. are included in the packet. The text box below provides the definitions of the various types of complaints.

KEY DEFINITIONS

Unfounded
When the investigation discloses that the alleged act did not occur or did not involve department personnel. Complaints which are determined to be frivolous will fall within the classification of unfounded

Exonerated
When the investigation discloses that the alleged act occurred, but that the act was justified, lawful and/or proper

Not Sustained
When the investigation discloses that there is insufficient evidence to sustain the complaint or fully exonerate the employee

Sustained
When the investigation discloses sufficient evidence to establish that the act occurred and that it constituted misconduct

Formal routing sheets are also prepared to assist in tracking the investigation. Notifications are sent to the deputy chief, captain and subject employee, as well as the CPRC, to advise them a complaint has been filed. A formal written letter is sent to the complainant acknowledging receipt of the complaint and offering the individual the opportunity to submit any additional information. Once these steps are taken, a formal investigation is initiated, either by an IA sergeant or by another supervisor or command officer in the subject officer's chain-of-command as directed by the IA Commander. The investigating member is responsible for completing and returning a formal written memorandum outlining the details of the investigation, referred to as the Administrative Memorandum. This memo has a required format that is to be used, including sections such as Introduction, Summary, Allegations (a complete list of all those involved in the case), Investigation, Interviews and Exhibits.

Once an investigation is completed, including those that may have been assigned to personnel outside of the IA unit, the case, along with a formal memo outlining the steps taken to investigate the case, is forwarded to a captain, who will review the case and prepare a Memorandum of Finding (MOF), in which a determination is made as to whether the alleged misconduct has been determined to be Unfounded, Exonerated, Not Sustained or Sustained. This MOF also requires the use of a formal format, including sections such as Summary, Allegation(s), Finding, Rationale for the Finding, and, when applicable, Misconduct Noted (which refers to a policy or procedural violation not originally alleged in the complaint). This MOF then works its way up the chain-of-command to the office of the chief of police. It is then returned to the IA unit for further action, including filing the case or assisting in the coordination of the implementation of formal discipline.

Additional tasks handled by IA personnel include handling Pitchess Motions[1] filed against officers and maintaining the department's Early Warning System, which is a database used to track information the department could use in a proactive effort to identify members who may be at risk of engaging in misconduct, so it may take positive, preemptive action to prevent it. As required by city policy, the IA unit also ensures that coordination take place between the CPRC so that it may review formal external complaints for department members accused of misconduct in use of force and officer-involved shooting incidents.

ROLE OF THE RIVERSIDE COMMUNITY POLICE REVIEW COMMISSION

As noted in its own description on its website, in 2000, the CPRC "was created in order to promote public confidence in the professionalism and accountability of the sworn staff of the Riverside Police Department. This is done by independently reviewing citizen complaint investigations, recommending changes in departmental policy, on-going public outreach and, when deemed appropriate by the committee or manager, conduct an independent investigation of citizen complaints."[2]

The commission is composed of nine members appointed by the Mayor and City Council. Commissioners serve for overlapping terms that last four years, ensuring the committee always has

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1   A Pitchess Motion is a request made by the defense to access a California Peace Officer's personnel file. This motion was established by the court in Pitchess v. Superior Court, 11 Cal. 3d 531 (1974).

2   City of Riverside. 2017. "Community Police Review Commission." Accessed April 6, 2017. http://www.riversideca.gov/cprc/.

experienced members on it. Commissioners may serve for up to two terms. There are two paid staff members of the CPRC, an Executive Director and an administrative assistant who coordinate the reception and transmission of internal affairs cases between the RPD IA unit and the committee. These paid staff members are also empowered to receive complaints at their offices at City Hall, including taking complaints over the telephone for those who do not have computers to fill out online complaint forms.

When the RPD has completed an internal affairs investigation involving an external complaint of use of force or an officer-involved shooting, it forwards to the administrative staff of the CPRC a copy of the investigative case folder.[3] The CPRC Executive Director then writes up a summary of the investigation, with a focus on identifying those issues for which the commissioners need to determine a finding after their review. The only item the committee does not receive in this folder is the MOF, which outlines the finding for the case, and any information regarding the discipline the chief of police has recommended. This is withheld so the committee truly engages in an objective, third-party review of the facts in the case, for which they too determine an independent finding.

Once the committee has reached a finding for a case, the CPRC manager is then able to share whether or not the committee's findings concurred with those of the department. Due to legal requirements involving the release of personnel information, the CPRC conducts its reviews in a closed session format. Other attendees at the meeting include the CPRC Executive Director and the Assistant City Manager, who serves as a liaison to the department and the CPRC. If the CPRC's findings do not concur with those of the department, the Assistant City Attorney decides the final disposition and the Assistant City Manager then prepares formal letters to both the complainant and the subject officer indicating the final finding in the case. The chief of police determines the ultimate level of discipline levied against department members for sustained complaints. Discipline is then meted out once an employee exhausts all levels of appeal rights.

DETERMINING DISCIPLINE OF DEPARTMENT MEMBERS

Once a determination is made for a sustained misconduct complaint, a discussion is held to determine the appropriate level of formal discipline, which could include a reprimand, suspension, reduction in compensation, disciplinary transfer, demotion or termination. According to the members of the assessment team interviewed, this discussion typically takes place during a regularly scheduled meeting between the chief of police and members of his upper command staff.

As noted previously, the chief of police has the ultimate authority to determine discipline once a finding has been made and there is concurrence with the city manager or his designee regarding the finding. Aside from the formal appeals processes afforded department members by government codes, case law, the RPD labor contract, and the California Peace Officers Bill of Rights (POBOR), there is no written, formal RPD policy outlining the procedures used to determine the ultimate discipline. Once all of a member's appeals rights have been made and taken into consideration, discipline is then invoked.

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3   Only external complaints that are made within six months of an incident are referred to the Riverside' Community Police Review Commission. Complaints made directly to the CPRC may be reviewed for up to 12 months of the date of the complaint incident.

SAMPLING OF INTERNAL AFFAIRS CASES AND DISCIPLINE PROCESSES FROM 2014 TO 2016

After conducting a thorough review of the written policies and procedures the IA unit uses to receive, investigate and process complaints against members, and after conducting interviews with IA staff members and the director of the CPRC, one of the assessment team members conducted a random sampling of internal affairs cases handled during the three calendar years of 2014, 2015 and 2016. The purpose of the sampling was to assess the degree to which IA staff and other RPD members followed the department's policies and procedures, as well as to assess whether the investigations were handled in a thorough, fair and objective manner for both the complainant and for the subject member.

After assigning a number to each individual internal affairs case number for each individual year, a random number generator then was used to select the internal affairs cases to be reviewed. A greater percentage of cases were selected for review for the year 2014 due to the larger number as well as the fact that all of the 2014 IA cases reviewed were completely finished, thereby allowing for a review of the entire internal affairs process. The assessor chose to review 5 percent of the cases for 2015-2016 but rounded up to a minimum of three cases per year.
The following table represents the number of cases selected for review for each year:

Table 1: Cases Selected for Review by Year

Year	Number of Cases Reviewed	Total Number of Cases	Percentage of Cases Reviewed
2014	6	58	10%
2015	3	38	8%
2016	3	46	6.5%

The random selection of cases yielded a wide variety of different types of complaints, summarized by the following table:

Table 2: Types of Complaints

Internal or External Complaint	Type of Complaint	Finding	Outcome	Days to Complete Case
External	File Filler	Case Withdrawn	Subject Member Counseled	28
External	Improper Procedure/Discourtesy	Not Sustained/Exonerated	EWS Entry	181
Internal	Rules of Conduct	Not Sustained	EWS Entry	351
External	Improper Procedures	Unfounded	N/A	34
External	Battery/Discourtesy	Not Sustained/Sustained	Subject Member Counseled and EWS Entry	294

External	Exceeded Powers/Improper Procedure/Discourtesy	Unfounded	N/A	57
External	Exceeded Powers/Excessive Conduct	Not Sustained	N/A	365
Internal	Improper Procedure	Exonerated	Department-wide Training Updated	61
Internal	Conduct Unbecoming an Officer	Sustained	Termination	146
External	Discourtesy	Not Sustained	EWS Entry	137
Internal	File Filler	Withdrawn	N/A	66
Internal	Violation of Policy	Sustained	Separation from Service	183

Described below are some of the highlights of the review of the randomly sampled internal affairs cases for the years 2014-2016. In the majority of the IA cases assessed, the following steps were handled routinely according to the department's policies and protocols:

- Proper steps were taken to receive the complaints from external complainants.

- Department members took swift action to report potential misconduct coming to their attention.

- IA personnel promptly initiated investigations on the cases received.

- Proper notifications for a case were made to the manager of the CPRC when required.

- Proper report writing formats were used when completing the IA investigations documents and the MOFs.

- IA investigators provided subject members they interviewed the appropriate advisements to comply with government codes and POBOR, using the appropriate forms to guide them in this process.

- IA investigators allowed subject members to have appropriate representation when desired during an interview, including a representative from the RPD Police Officers' Association (POA) or a POA attorney.

- Proper forms were used to document the progress of a case as it was reviewed up the chain-of-command to the chief of police (Complaint Control Form and Routing Record).

- The CPRC received the cases they were required to receive, rendering findings for those cases.

- The assistant city manager provided Closure Letters to the complainant and to the subject member for cases the CPRC reviewed.

- IA personnel properly scanned case folders and the investigative documents contained therein into the Laserfiche document retention system.

The following represent issues that surfaced during the assessment of the IA cases indicating the few instances in which some policies and procedures were not completely implemented, actions taken were not clearly documented, or other steps were not handled as well as they could have been:[4]

- One File Filler[5] case lacked documentation and details indicating whether or not an interview of the subject officer was conducted when the details of the case implied an interview had occurred.

- In one instance, a Closure Letter sent to a complainant used the acronyms "IA" and "CPRC," which might not be readily understood by the complainant.

- Some non-IA personnel handling IA investigations did not seek extensions for returning a case to IA until after a due date had passed, even when they had valid reasons to do so, creating unnecessary follow-up work for IA personnel.

- Although one case indicated a subject member had been audio recorded, digital copies of the recordings were not placed in the correct Laserfiche file.

- One case IA forwarded to department supervisors to handle was delayed when confusion occurred as to the whereabouts of the file as it worked its way up the chain-of-command, requiring IA efforts to assist in locating it.

- One case indicated it was received on a date that was actually three days later than it had actually been received.

- In one case, CPRC staff pointed out that they were aware the complainant in the case had gone to the Orange Street station to file a complaint the day after the incident but a significant amount of time passed before IA personnel notified CPRC of the case. The case eventually was forwarded to the CPRC, but the file was returned to the IA unit because the subject member's name had been left out of the MOF and the Investigative Memo. This same case also was missing any data regarding any interview of the complainant or the subject member.

- In one case, the CPRC made a finding of Exonerated, while the department had a finding of Not Sustained. The assistant city manager (ACM) ultimately agreed with the finding of the department, but the closure letter the ACM sent to the complainant used language that read more like a definition for an Exonerated case.

- One case involved potential criminal conduct by a subject member, and although there was a memo by the criminal investigator indicating the elements of the crime were not present to justify a criminal filing, there was no indication the case had been reviewed by a deputy district attorney as well.

- In one case, an investigator who conducted an interview with a subject member noted the correct month and day of the interview but wrote the incorrect year in the report.

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[4] Please note that each of the bullets do not represent a separate case; rather, a number of the issues identified could have been from a single case.

[5] A File Filler case is defined as being a case that does not rise to the level of being a formal complaint, such as a complaint classified as an Inquiry or Frivolous complaint case, yet because an IA case number was generated, information that had been gathered about the case is placed into an IA File.

- The investigator in one case interviewed a subject member by telephone but did not indicate whether or not the interview was audio recorded.

- In one File Filler case, an internal complaint was initiated for what could be considered a lower-level policy violation in which the wrong department member's name was initially listed. A command officer subsequently withdrew the case, choosing to address the issue through direct supervision with the correct department member. While handling a minor policy compliance lapse in such a fashion may well be a valid option, since an IA case was initiated and given an IA case number it would be more appropriate for the commanding officer to file a subsequent memo in the case indicating the steps taken to address the policy issue before closing the case, thereby allowing for an entry into the EWS system, if appropriate.

- One case was closed exactly one year to the date of its receipt, barely coming into compliance with the California requirement to complete cases within one year if formal discipline is to be an option in a case. One additional case was closed within 351 days of its receipt. However, these cases also involved potential criminal conduct, which typically complicates an IA investigation since any formal administrative investigation and finding must follow any criminal investigation or resolution.

- One case involved a situation in which the subject member had already signed a formal document acknowledging the finding in the department's investigation before the CPRC had issued its own finding. Although the finding of the department and the finding of the CPRC were the same, this raises a concern for a potential situation in which a CPRC finding may not be the same as that of the department, putting the City Manager or his designee in the possible position of overruling a department finding in favor of that of the CPRC. This could create a variety of problems if an employee has already been notified officially of a separate finding.

Although the preceding paragraph highlighted some of the instances in which things could have been handled better in the IA cases assessed, or that indicated a potential need to make some updates to policies and procedures, as noted previously the majority of the cases were handled very well. The following are some of the positive highlights from the IA case assessments:

- Some of the MOFs completed by the captains and command officers were extremely well-written, in that they not only followed the proper reporting format but provided excellent detail as to the rationale for the findings they made.

- In some cases, it would have been very tempting for a captain to make a finding of Unfounded for a complaint, in that the details of the case tended to indicate to someone who has investigated many internal affairs cases that it was indeed Unfounded. However, the command personnel in these instances rendered a finding of Not Sustained when there was no evidence they could turn to that could clearly indicate a subject member had not committed the alleged misconduct. Having a command officer come to such a conclusion in such instances is a mark of a professional, well-trained command officer who is operating in a manner consistent with law enforcement best practices. It also provides better credibility for those cases in which the findings actually are Unfounded, in that the objectivity of the process seems more evident.

- In some of the assessed cases, it was clear that the IA unit's administrative personnel were doing a very good job of tracking down outstanding cases that had been sent outside of the IA Unit for investigation. This was evident in some of the emails that had been sent between the IA

administrative personnel and other administrative staff supporting command officers throughout the department, in which an update to the status of a case or identifying who currently had a case was determined.

- It is commendable that in a couple of the assessed cases RPD command staff personnel took proactive actions to ensure the root causes for some of the complaints could be addressed in a way to help prevent them from occurring again. For example, steps were taken to provide Roll Call Training throughout the department to emphasize the proper steps to take to handle some department operations that had led to a complaint. Taking such proactive measures to address training issues is a measure of a professional law enforcement agency, in that rather than simply handling and filing away an internal affairs complaint, the incident is turned into a positive learning experience for the entire organization.

- For the assessed incidents in which possible criminal misconduct on the part of a department member came to light, RPD supervisors and command officers took immediate action to initiate both a criminal investigation as well as an internal administrative investigation. Such immediate action is what one would expect of a professional law enforcement agency striving to ensure department members' adherence to its professional standards.

- The initial investigative memorandums IA unit members completed and forwarded to command personnel for the completion of MOFs routinely followed the proper reporting format and presented material in a thorough, fair and objective manner.

EVALUATION OF INTERNAL AFFAIRS INVESTIGATIONS AND DISCIPLINARY REVIEW PROCESSES

The formal written policies and procedures outlined in the department's Policy Manual (Policy 1009) adhere to best practices for a municipal law enforcement agency in California. The policies and procedures are thorough and clear, providing specific expectations for department members should anyone receive a complaint. They are clear as to what steps those individuals should take to report a potential misconduct incident up the chain-of-command for follow-up. Of particular note is that the RPD Policy Manual includes the following key components:

- Provides detailed definitions of the RPD's complaint classifications (Policy 1009.1.1)

- Outlines where complaint forms are available to the public (Policy 1009.2.1)

- Establishes the requirement that every department member has to notify a supervisor when becoming aware of any alleged misconduct (Policy 1009.2.2)

- Specifies the specific responsibilities assigned to supervisors when handling alleged cases of misconduct (Policy 1009.3)

- Establishes clear guidelines on when and how to place a department member on administrative leave (Policy 1009.4)

- Sets clear guidelines on the appropriate steps to take to ensure any allegation of potential criminal conduct against a member is handled separately from the administrative internal affairs investigation (Policy 1009.5)

- Specifies the appropriate steps to take when handling an administrative investigation to ensure investigators are complying with Government Code 3303, which outline the details of California's Peace Officers Bill of Rights (Policy 1009.6)

- Establishes how any administrative searches may be conducted for a subject member (Policy 1009.6.1)

- Provides required report writing formats for complaint investigations to ensure consistency in reporting processes by all department members (Policy 1009.6.2.1)

- Establishes formal definitions to be used to describe the disposition of personnel complaints (Policy 1009.7)

- Outlines the steps that need to be taken when completing investigations, including how to forward cases through the chain-of-command for a final disposition (Policy 1009.8)

- Specifies how to maintain personnel file confidentiality per California law (Policy 1009.8.1)

- Details how to comply with any Pitchess Motions filed against subject members (Policy 1009.9)

The assessment of the IA cases for the years 2014-2016 revealed that, with few exceptions, the RPD IA staff members and other department members handling the assessed internal affairs cases adhered to the policies and procedures outlined above. The written forms the IA staff uses to receive complaints, provide appropriate advisements to a subject member during an interview, forward investigative cases up the chain-of-command for a review, and track the status of cases during the investigative review process appear to be sufficient. The assessment of actual internal affairs cases for the years 2014-2016 also indicated that, with some minor exceptions, these forms were regularly and appropriately implemented during the course of the complaint investigations.

However, some stakeholders expressed concern that some complaints or inquiries made to the department never actually materialized as internal affairs cases. These concerns were based upon comments the stakeholders heard from some members of the community who advised they had filed complaints but never heard from the department again. RPD management should address this concern by having IA staff take steps to determine whether some complaints had actually been investigated without any subsequent contact or communication with the complainant.

It is possible that some complainants who spoke with supervisors may have been under the impression their concerns would become an actual complaint rather than being categorized as an Inquiry per RPD policy, with a supervisor under the impression the citizen was merely requesting clarification of the policy or procedure instead of filing a formal complaint. If true, steps would need to be taken to ensure appropriate training regarding the specific definition of what constitutes an Inquiry versus another type of formal complaint. It is also possible that with the relatively new classification of a Frivolous Complaint, in which RPD personnel determine that the complaint is lacking in any arguable basis or merit, or that it was made for the purpose of harassing a police employee, the policy stating that a Frivolous Complaint does not need to be documented as a formal complaint may negate the need to follow communications protocols with the complainant required in other complaint cases. If accurate, the department should consider whether some formal written communication should be sent to the complainant in a Frivolous Complaint instead of simply closing the case. It is also possible that formal complaints are not being forwarded to the IA Unit.

There is no formal Standards and Procedures Manual specifically designed to guide the day-to-day steps of the sergeants assigned to the IA unit as investigators. However, the multi-page Job Description document, authored by the two non-sworn administrative personnel assigned to the IA unit, essentially covers this area. These two individuals have developed a very detailed guide for all the steps necessary to receive a complaint, enter the complete information into the IA unit's tracking database, coordinate the forwarding of cases to the CPRC when necessary for a review, coordinate the forwarding and review of cases through the chain-of-command, and how to file completed cases and prepare required reports. Many parts of that guide would prove useful if the department were to create a formal IA unit Standards and Procedures Manual.

As noted previously in this report, the process for determining the level of formal discipline for a sustained complaint typically begins once an MOF has been created, designating the sustained finding and providing the rationale for it. Once this MOF is forwarded up the chain-of-command, it allows the proper command officers to consider recommendations for discipline they could make to the Chief of Police. Any formal discussion held between the chief of police and the others who reviewed the case typically occurs during one of the regular weekly meetings with command staff or IA personnel. However, there is no formal, written process for how the chief of police hears formal discipline recommendations from command staff officers or supervisors.

The department also does not use any type of discipline matrix[6] to assist in ensuring disciplinary outcomes are consistent in all cases. As such, it is unclear what type of information should be provided to the chief for consideration, how a subject member's disciplinary history is to be considered when determining new discipline, what role the subject member's recent performance appraisals play in determining discipline, whether or not the recommended disciplinary outcome is consistent with that already meted out in previous cases for similar misconduct, or whether any legal issues may have been discussed with any member of the city's legal staff. Formalizing such a process and documenting it in writing could help improve the RPD's disciplinary review process to ensure fairness and consistency in all cases.

The main purpose for administering formal discipline in a law enforcement agency is not so much to punish an individual as it is to change the behavior of an individual to ensure compliance with the policies and procedures of the department. It can also set a standard of conduct for the entire organization and provide the department with a more formal way of documenting consideration of mitigating factors and adherence to a philosophy of progressive discipline.

These issues call into question the degree to which the philosophy of progressive discipline is implemented when determining final discipline in a sustained case; in that a subject member who continues to violate policies and procedures or engage in misconduct can expect the disciplinary consequences to be progressively more punitive, while an employee without such a work history could expect disciplinary consequences to be less harsh. The philosophy also takes into account the seriousness of misconduct in a case; discipline is less harsh for less-serious violations than it is for very

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[6] A discipline matrix is a guide that displays various forms of discipline for assorted violations. It also lists violations and a range of discipline to account for mitigating or aggravating circumstances based on the seriousness of the offense or the officer's history.

serious or criminal misconduct. For example, if an officer failing to submit a completed traffic citation at the end of a shift and an officer who accidentally discharges his weapon during a training exercise both receive the same disciplinary outcome, it calls into question whether or not the discipline has been fair and objective.

It was not clear to the assessment team what training or guidelines have been presented to or coordinated with any of the assistant city managers who are asked to determine a final finding in misconduct cases investigated by the department and then reviewed by the CPRC. It was also unclear as to when they are called upon to participate in disciplinary appeal hearings or to make post-appeal recommendations for discipline. More detailed written policies and procedures for the actual process of determining discipline and handling appeals would help all the stakeholders involved ensure the process for determining ultimate discipline is thorough, fair and objective for all parties involved. Providing training for supervisors and command officers, as well as for the assistant city managers and other administrators who may be called upon during disciplinary appeals processes to offer input, would also be of great benefit.

In addition, based upon the number of complaints handled on an annual basis and the policies and protocols in place, we believe the RPD IA unit is appropriately staffed with one lieutenant, three sergeants and two non-sworn administrative personnel.

PROMISING PRACTICES FOR IA INVESTIGATIONS AND DISCIPLINARY REVIEW PROCESSES

Although the RPD has an effective IA unit and good policies and procedures in place in its Policy Manual for handling complaints, it could consider formalizing the process by which the disciplinary decision is ultimately made for complaint cases in which misconduct allegations against a department member have been sustained. For example, a number of police agencies leverage what are known as Disciplinary Review Panels (DRP).

As a standard practice, a formal DRP meeting is scheduled once a complaint has been determined to be sustained, with the panel comprised of all of the supervisors and command officers in a subject member's immediate chain-of-command. For example, if an officer was found to have a sustained complaint, the sergeant, lieutenant, captain and the deputy chief in that officer's chain-of-command would meet formally with the chief of police. Joining this group would be the IA lieutenant and the commanding officer of the training unit. To begin the meeting, the chief of police would advise everyone that the details of the meeting, and any discussions held, would be strictly confidential and not discussed again with anyone who had not been in the meeting. The IA lieutenant would then present a brief overview of the complaint that had been sustained against the department member, the disciplinary history of the subject member and an overview of any cases of a similar nature that had already been adjudicated in the past to serve as a guide for consistency in disciplinary outcomes.

Once this presentation was complete, the chief would then have each member of the panel provide information about the employee and make a recommendation for a disciplinary outcome, starting with the lowest-ranking officer and then working its way up the chain-of-command. The importance of having the immediate supervisor present is twofold. First, it provides near-real-time information to the chief and others about the work performance of the subject member being disciplined, which should be

taken into consideration when determining discipline. Second, it provides an opportunity for the immediate supervisor to hear the ongoing discussion from all members of the chain-of-command, which helps an immediate supervisor gain an understanding of the issues surrounding the misconduct and its aftermath from a broader perspective. This can help educate an agency's workforce about what steps an immediate supervisor might have been able to take or could take in the future to prevent such misconduct from happening. The member from the training unit would attend to understand whether individual training for the subject member would be of value and what that training should be, as well as to determine whether department-wide training is needed on issues of concern.

Once the chief of police has heard from all members of the panel, the chief could either announce his decision on what discipline to invoke or advise the panel that he is considering the matter and will render a decision in the near future.

It may seem uncomfortable for department members to make disciplinary recommendations on the subject member in a group setting, especially for first-line supervisors who may not be used to discussing such matters. However, the discipline chosen through such processes tends to be more consistent and objective than discipline that has been determined via a memorandum that moves up the chain-of-command to the chief of police.

Some law enforcement agencies also use a disciplinary matrix, which typically consists of a visual guide or table outlining a standard range of discipline for specific types of misconduct. Some matrices take into account mitigating factors such as how long the subject member has worked for the agency, the past disciplinary history of a subject member and the seriousness of the allegation. Examples from police departments in Austin, Texas; Madison, Wisconsin; and Portland, Oregon are included in the Appendix.

Recommendations – Employee Discipline and Internal Affairs	
1.1	Consider developing a formal, written Standard Operating Procedures (SOP) Manual for all members of the IA staff, expanding upon the Job Description document already in existence.
1.2	Consider developing new protocols requiring the department to await any pending CPRC finding in a case prior to notifying a subject member of the department's finding, or consider adding language to any notification forms officers are required to sign upon being notified of the department's findings indicating that a CPRC finding is pending and may be different than the department's after the CPRC's review and a final determination of finding by the City Manager's Office.
1.3	Advise the City Manager's Office to ensure the language used to explain to a complainant the outcome of a complaint investigation and subsequent CPRC review match that of the current definitions outlined in the RPD Policy Manual.
1.4	Consider reviewing current department policies and procedures to explore how to effectively explain an Inquiry or a Frivolous complaint, which might reduce the number of individuals reporting that their complaints went uninvestigated.

1.5	Consider implementing a more formal process for determining disciplinary outcomes for sustained complaints, potentially including a DRP process as outlined in this report.
1.6	Consider formalizing more robust training for everyone involved in the entire discipline process, including those serving on the CPRC and those in the City Manager's Office responsible for reviewing discipline cases and hearing appeals to disciplinary determinations. Ensure that the investigations and appeals are through, fair and objective for both the complainant(s) and the subject member(s) and that the philosophy of progressive discipline is implemented.
1.7	Consider implementing some form of a disciplinary matrix for sustained complaint cases, ensuring the determination of discipline takes into account any mitigating factors, the employee's current work and former discipline histories, the seriousness of the allegation(s), and the length of time the subject member has served the department.
1.8	Ensure that members of the IA unit take a proactive approach while assisting in the design and implementation of the new RMS, working to make sure the system can support the unit's investigative and case management processes.

2   Criminal Case Review and Case Management

CRIMINAL INVESTIGATIONS UNITS AND RESPONSIBILITIES

The RPD's criminal investigations fall within three main groups: (1) the Centralized Investigations Bureau (CIB), which includes the Robbery/Homicide Unit, Economic Crimes Unit, Sexual Assault and Child Abuse Unit (SACA), Domestic Violence Unit, Missing Persons Unit, Forensics Evidence Unit, Computer Forensics Unit, and 290 Compliance Unit; (2) the Neighborhood Policing Centers (NPC), which handle property crimes other than economic crimes; and (3) the Special Investigations Bureau (SIB), composed of the Gang Intelligence, Vice, Narcotics and Graffiti Units. The CIB and SIB are led by two separate lieutenants, and the NPCs are divided into four areas of the city, with a lieutenant assigned to each area. The CIB and SIB lieutenants report to the Investigations Division Captain. The four NPC lieutenants report to the Special Operations Captain. Both Captains report to the Deputy Chief of Operations. Sergeants, who oversee the work of detectives and non-sworn support personnel, lead units within the bureaus and NPCs. In the RPD, detective is a classified position, considered a promotion from the rank of a police officer. Once employees attain the rank of detective, they may remain in that classification unless they are promoted to the rank of sergeant, meaning detectives could serve in and transfer between these investigative units for years without being required to return to patrol. For the purposes of this report, following a description of the current records management processes, a brief description of the activities of each of these investigative units will be provided with an assessment of the criminal case review and case management process of each to follow.

CURRENT RECORDS MANAGEMENT PROCESSES

In terms of assessing the effectiveness of RPD's case review processes and case management effectiveness, the main challenge for supervisors and staff in the investigative units is that currently there is not an RMS that allows officers and detectives in the field to write and submit police reports using a computerized report writing system and automated report database. Instead, police personnel are required to complete handwritten reports for all police operations. Hence, there is not an automated way for detectives to access information immediately for criminal cases that have been documented in police reports and filed into a readily accessible database. Rather, detectives must wait for criminal reports to work their way through a hard copy, paper-driven RMS.

The assessment team is aware of the fact the RPD already secured funding for a new RMS, has selected a Motorola RMS product and has formed a formal RMS Implementation Team. The RPD is in the very initial stages of working with Motorola representatives to design a new RMS that will essentially solve many of the case management problems the current system creates. However, it is important for all involved in the new RMS design and implementation process to gain a complete understanding of the current case management problems so they may be addressed in the new RMS. Command staff and supervisors from RPD's investigative units must proactively participate in the Implementation Team effort. It is crucial to identify the types of case management templates and computer dashboards that could be designed to facilitate data entry and criminal case management processes in the new system.

The following is the current report management process from the time an RPD police officer completes a handwritten report in the field until a supervisor in an investigations unit receives the report to initiate investigative follow-up:

1   A police officer completes a handwritten report documenting a criminal incident in the community.

2   The police officer submits the report by placing it in a basket at the end of the officer's patrol shift. This police report remains in this basket until the following day, when a sergeant assigned to the same shift as the police officer who completed the report has an opportunity to review the report for quality control purposes. Because the RPD operates on a "4-10" work plan (the employee works for four consecutive days for 10 hours each day, then has three consecutive days off), and because officers work on three different shifts (Days, Swings and Mids), almost 24 hours could go by before a report is reviewed and forwarded to the Records Bureau.

    • For example, a Swing Shift patrol officer, whose shift begins at 3 p.m., could complete a police report for a residential burglary incident at 5 p.m. When the officer submits the handwritten report prior to going off duty at 1 a.m. the following day, the report will remain in the basket along with all of the other Swing Shift reports until later that day, when the next Swing Shift begins at 3 p.m. In this example, the police report for the burglary incident would be sitting dormant for at least 14 hours before any action was taken to process a report and forward it for investigation. This assumes there are no quality problems with the report that would require the sergeant to return it to the initiating officer, who would then correct the report and resubmit it. At this point, the entire submittal process for the report would begin again. Further compounding the problem are cases in which an officer completes and submits a report on the final day of the work week. If the report needs to be edited or corrected after a sergeant reviews it the following day, the report would be waiting until the officer returned from his three days off of work.

3   Once a patrol sergeant has reviewed a case, he or she enters data from the report into a database program called Blue Tree. This creates some basic information that will assist in tracking the report. Once the review of a report is completed, the sergeant submits the reviewed report into a basket in the Records Bureau. At some point, Records Bureau personnel collect the reports and document their reception by entering some basic data into a database called Green Tree (an RPD member created both the Blue Tree and Green Tree databases to eliminate the need for sergeants and records personnel to track sending and receiving reports on a paper log).

4   Once Records Bureau personnel have entered reports into Green Tree, the reports are prioritized and placed into piles so they may be digitally scanned and copied into the department's Laserfiche database, which creates the first digital copies of a police report. In-custody criminal cases receive priority status.

5   Once the reports have been scanned into Laserfiche, Records Bureau personnel make paper copies of the reports, sort them by crime types and then deliver them to the appropriate investigative units for follow-up. Records Bureau personnel then make the first automated data entries into the department's Vision RMS to record the details of each case.

6   Once investigative units receive paper copies of the reports the Records Bureau has forwarded, the various criminal investigations units sort them again to distribute them to the appropriate sergeants, who then maintain different types of case management systems to assist them in reviewing cases for solvability factors, assigning the cases, tracking the cases, reviewing closed cases and assigning case clearance codes.

Centralized Investigations Bureau

The CIB is led by a lieutenant who oversees the detectives responsible for investigating major crimes such as robberies, homicides, sexual assaults, child abuse, domestic violence and economic crimes, as well as an individual responsible for handling missing persons and runaways. The CIB lieutenant is also responsible for overseeing the Forensic Evidence Specialists, Computer Forensics detective and the Sex/Arson Registrant Compliance officer.

In assessing the case review processes and case management effectiveness for CIB, the main challenge for supervisors and staff in these investigative units is dealing with the fact that it currently takes approximately one week for the sergeants to receive completed crime reports, as outlined in the prior description of the current records management process. This time lag clearly creates several critical issues when it comes to handling criminal cases and managing them as they are being investigated. First, the lengthy delay to receive these reports reduces the amount of time between the commission of the crime and the investigative effort that begins to solve it. Not only does this tend to reduce the solvability of the crime, it also diminishes the detectives' ability to be aware in near-real time of the details of the crimes occurring in the field. This also means that the perpetrators of crimes could potentially continue to commit similar crimes before any significant follow-up might draw attention to them. In addition, such a situation complicates the ability of the CIB detectives and the RPD Crime Analysis Unit to collaborate and use near-real-time crime data in an actionable way.

Due to budget cuts over the last few years, CIB supervisors are particularly impacted by the current records management process, in that non-sworn administrative personnel who used to assist in gathering incoming crime reports and entering the data into the current RMS have not been replaced once they transferred, resigned or retired. Because of the vacancies in these positions, the three sergeants assigned to the CIB are now completing the data entry that used to be done by these non-sworn personnel. The assessment revealed the CIB sergeants are spending two to three hours at the beginning of each workday simply entering data into a Case Management component of the Vision RMS. Specifically, for each incoming case, a sergeant must do the following after logging into the current RMS:

1   Locate and click on the Case Number for each incident.

2   Confirm the file number, crime type, location, etc.

3   Click into a Management field and identify a Case Management Status, and then type in the NPC area pertaining to the case.

4   Click on a Solvability button and select between one of five solvability factors.

5   Click on an Officer button and then enter the ID of the detective who will be assigned the case for investigation.

6   Click on an Assigned Task button and then on a series of buttons to formalize the assignment to the detective.

7   Manually close all four windows the supervisor has used to enter the data noted above so the process may be started all over again for the next entry.

Clearly, CIB sergeants spend a significant portion of their day completing data entry work that should be handled by personnel working in a different job classification. The current impedes the sergeants' ability to fulfill their roles in leading, controlling and directing the investigative work of their subordinate detectives and working with other department members. Even though CIB sergeants are spending a significant amount of time entering data into the case management system, the accuracy of the data is very limited; anyone relying on the system to gain current information about the status of a CIB case or a CIB investigator's workload is likely to receive "stale" data or may be looking for data about a case that could be several days away from being entered into the system.

Although the current records management process is cumbersome and time-consuming, RPD detectives can still access high-priority criminal cases when necessary. For example, savvy patrol sergeants and commanders routinely will seek out copies of criminal reports for high-priority calls to make sure they are tagged for an immediate response from detectives or so copies of reports may be placed in the appropriate investigative units for follow-up. In addition, detectives work on a rotating on-call status, meaning that patrol supervisors and commanders may reach out to detectives on an around-the-clock basis to respond to conduct preliminary investigations in the field on high-priority criminal cases, including robberies and homicides.

The assessment team confirmed that the supervisors were entering data into the RMS Vision database system themselves and that they were reviewing cases and assigning solvability factors prior to assigning the cases to detectives. Supervising sergeants in the unit also were able to produce reports providing the status of the cases assigned to their subordinate detectives, including the number of cases assigned for each detective and how many days the cases had been assigned prior to clearing the cases. The reports also identified cases that had been outstanding for a significant amount of time, which would allow them to initiate follow-up to determine case status. However, even with all of the effort put into automating the information in the case management system, CIB sergeants confirmed it is still not as accurate as it should be. For example, a case may already be a week old before it is assigned to a detective.

The lieutenant and supervising sergeants appear to be doing all they can to maintain a case management system with the current tools and resources they have. It is clear that non-sworn administrative staff vacancies should be restored in the CIB to free up supervising sergeants to assist or participate in actual criminal investigations. The assessment team was encouraged to learn that the CIB lieutenant will be an active participant on the new RMS Implementation Team. Many of the case management concerns of the CIB may be addressed through his collaborative efforts on that team.

Special Investigations Bureau

The Special investigations Bureau (SIB) is comprised of the department's Gang Unit, Vice Unit and Narcotics Unit. A lieutenant overseas SIB, with a single sergeant assigned to supervise each of the three SIB units. Additional SIB responsibilities include the Graffiti Unit and participation in a regional task

force focusing on illegal drug issues. A non-sworn Police Service Representative (PSR) is assigned to assist the Gang Unit. Due to the nature of their work, all of the detectives assigned to these units work in a plainclothes or undercover assignment.

SIB supervisors have the same criminal case review and case management challenges as their colleagues in the CIB and NPC units. Specifically, the current RMS does not routinely provide them with near-real time crime reporting capabilities. Like their other investigative counterparts, SIB receives crime reports that are up to two weeks old before supervisors receive them for case review and management. Additionally, like their CIB and NPC colleagues, they have managed to create workaround systems to review cases that need to be investigated, assign cases to their subordinate detectives and track the status of cases as they are being investigated.

For example, one of the sergeants uses an Excel spreadsheet to enter incoming criminal cases, assign them to detectives and then track their status as cases are investigated. This system also allows the sergeant to keep notes on some of the ongoing details of the case investigations. Although this process serves its purpose for the sergeant, having such information stored in a solo database introduces risk. The other two sergeants essentially use a whiteboard attached to a wall in their units to track incoming cases, case assignments and the status of the cases, which exposes the data on the whiteboards to risks such as accidental erasure or willful manipulation. However, the assessment team believes the supervisors in the SIB are managing their cases remarkably well, given the current lack of automated tools and resources. In addition, because the cases generated by the RPD undercover vice and narcotics detectives, in particular, are routinely self-initiated and ongoing in nature, a supervisor in these units typically would be more aware of the day-to-day activities and status of these cases when compared to managing cases involving credit card fraud, for example, which has allowed the SIB supervisors to manage cases in their cumbersome RMS.

The current RMS is susceptible to duplicate data entry pertaining to vehicle stops. Detectives in SIB units frequently rely on data gathered from such stops to assist in ongoing investigations. As such, SIB detectives are frequently entering vehicle stop data into a database they use. If this information comes from information on a crime report or a citation for a vehicle violation, it is the same information that personnel in the Records Bureau will also be entering into a database at some point. An updated RMS would automatically self-populate such information and make it readily available to SIB personnel and other department members, which in turn would enhance the department's ability to engage in near-real-time crime analysis, criminal case investigations and patrol personnel deployment.

As previously noted, the lieutenant and supervisors in the SIB will need to proactively work with the new RMS Implementation Team as it designs templates and dashboards that will automate critical case review and crime management processes.

Neighborhood Policing Centers

Detectives working in the NPCs primarily investigate property crimes throughout the City. The City is broken down into North, Central, West and East NPC areas, with specific NPC detectives assigned to each. However, unlike the CIB supervisors, who are in need of non-sworn administrative support, the NPC sergeants have non-sworn PSRs assigned to receive incoming criminal cases, with one PSR assigned to each of the four NPC areas. Each morning, a PSR gathers incoming reports from the Records

Bureau. The PSR then reviews the cases to determine in which Reporting District (RD) each crime occurred, separating them based on the NPC area pertaining to the RD for each crime. One NPC sergeant reviews the cases for the West and Central areas, while another does so for the North and East NPC areas. The sergeants then review each case to ensure it is assigned a Priority Code between one and five, with one representing a Direct Filing, which means an arrest has been made in the case, usually by patrol officers, and five representing a case for which there will be no follow-up. In the cases in which an arrest has been made, Records Bureau staff automatically prioritize these cases and assign the case to a detective in the appropriate NPC area. As such, the NPC sergeants typically assign cases a code of two, three or four, depending on solvability factors. The NPC sergeant will then open up the RMS Vision program to assign specific cases to specific detectives in their areas.

This system in and of itself creates some problems in the case management process, in that Records Bureau personnel frequently will assign a case involving an arrestee to a detective in an NPC unit that does not actually end up handling the case, in that a NPC sergeant may have assigned it to somebody else. Hence, the information in the Vision RMS regarding to whom a case is assigned is often incorrect. Frequently, a deputy district attorney will call seeking information about such a case only to learn that the detective assigned the case is incorrect. This requires an NPC sergeant to enter the system and correct the data. As such, in the words of one of the NPC Unit staff members, "The case management system is not always up-to-date."

Due to the current RMS, similar case management problems that exist in the other detective units also exist for the sergeants who oversee the property crime investigations in the city's four NPCs, in that they too see a time lag between the time a police officer writes a report and the time it arrives in their units. NPC sergeants indicated it could take up to two weeks to receive cases from the Records Bureau. In fact, during the assessment team's site visit in the West NPC, the NPC sergeant was processing cases that arrived in the NPC unit offices on March 15 that had report completion dates between February 26 and March 3, meaning the oldest cases were already 17 days old and the newest cases were 12 days old. This is most likely due to the level of priority given to forwarding reports for crimes against persons versus property crimes, as well as the fact the priority for case distribution is given to cases involving arrestees.

The assessment team also learned that the West and Central NPCs assigned cases to detectives differently than do the North and East NPCs. Detectives working the West and Central areas are assigned to specific Reporting Districts, so they handle any case occurring within their assigned RD. Detectives working in the North and East areas are assigned criminal cases based on the type of crime, not RDs, with these assignments broken down between Residential Burglaries, Generic Property Crimes, and Auto Thefts (referred to by RPD detectives as Grand Theft Auto cases). Those assigning cases in the West and Central areas feel their process allows for a more even distribution of criminal cases among the detectives. Those assigning cases in the North and East area feel the case assignment process allows for more specialization within the crime types. Data were not readily available supporting one approach over the other.

The assessment team also learned that, unlike high priority cases involving crimes against persons that are often fast tracked through the current RMS so CIB detectives can begin working on them immediately, there is less of a tendency for patrol staff to highlight or fast track some of the property

crimes they handle in the field. NPC staff expressed a desire for patrol members to do the same for property crimes if they recognize a crime pattern or a case with high solvability potential.

As noted for the other detective units, the main detractor to maintaining an efficient case management system in the NPC units is attributed to the current RMS, in that it takes a great deal of time for supervisors to receive criminal cases and to ensure case assignments for cases involving arrestees are accurate. As with the other detective units, NPC supervisors also appear to have become quite adept at finding workarounds for the current system, while still acknowledging their workarounds are not foolproof. Moreover, as with the other detective units, this means that property crime detectives are not truly operating in near-real time when it comes to being aware of crime trends that would allow them to work proactively with patrol personnel and the Crime Analysis Unit to take measures to prevent such property crimes. Because each NPC area has its own lieutenant, it is also imperative that they advocate collectively to the RMS Implementation Team for the needs of the NPC sergeants and detectives.

SAMPLING OF CRIMINAL CASES FROM 2014 TO 2016

After conducting a thorough review of the written policies and procedures outlined in the RPD Policy Manual and in individual standard operating procedure guides for individual investigative units (which the various criminal investigations units use to receive, categorize, investigate and process criminal incidents), one of the assessment team members conducted a random sampling of criminal cases handled during the three complete calendar years of 2014-2016, along with some cases from 2017. The purpose of the sampling was to see if an investigation was initiated in a timely fashion, if proper case management steps were taken to move the case along, whether investigative units' SOPs for case management were followed, whether or not there was evidence the case was properly closed and entered into the Vision RMS, and whether the Records Bureau's data entry personnel ensured each closed or suspended case was assigned a proper UCR code.

The selection of the cases to be reviewed was accomplished through a two-step process. First, a list of all criminal cases requiring investigation for the years 2014-2016 was created. After assigning a number to each criminal case number for cases assigned to criminal investigations units for each individual year, a random number generator then was used to select the cases to be reviewed. The sampling generated a variety of different types of cases involving both crimes against persons and property crimes, as well as crimes in which arrests were made, suspects were cited and released, and cases that were suspended or dismissed. Second, the assessment team member visited the following units and had supervisors in each unit create lists of the cases their personnel handled for dates for varying periods between 2014 and 2017:

- Robbery
- Homicide
- Economic Crimes
- Sexual Assaults
- Crimes Against Children
- Gang Investigations
- Vice

A similar process was then used in which a number was assigned to each criminal case and cases were randomly selected using a random number generator. The purpose for selecting cases through the second step was to ensure a sampling of cases from each of the units identified was included in the review, including cases currently being investigated, as well as because the process afforded the assessor an opportunity to interact with the units' supervisors to gain a greater knowledge of how the cases were being assigned and monitored.

The actual process for reviewing the cases involved accessing the department's Laserfiche system and selecting the case numbers that were randomly selected for review. Once a case file had been opened, the assessor was able to access digital PDF copies of all of the reports in each case that was submitted to the Records Bureau when an investigator closed the case. This included copies of crime reports, booking sheets, email correspondence, letters of correspondence, property booking sheets, citations, photo line-ups, vehicle tow sheets and forms completed by a deputy district attorney reviewing the case for prosecution, among others. Also included were any digital audio files of interviews or video files, if they existed. The following table represents an overview of the cases selected for review for each year, followed by an analysis of what was learned during the in-depth review:

Table 3: Overview of the Cases Selected for Review by Year

YEAR	CASE TYPE	CASE PROPERLY RECORDED	CASE COMPLIED WITH SOPs	CASE OUTCOME	DAYS TO CLOSE CASE	PROPER UCR CODE
2014	Unlawful Acts with a Minor	Yes	Yes	Case Suspended	76	Yes
2014	Domestic Violence	Yes	Yes	Unclear – Court Involved	45	Yes
2014	Commercial Burglary	Yes	Yes	Arrest – Court Appearance	68	Yes
2014	Strong-Arm Robbery	Yes	Yes	Arrest of Four Suspects	4	Yes
2014	Warrant Service	Yes	Yes	Arrest	1	Yes
2014	Felon Possessing Ammunition	Yes	Yes	Arrest	2	Yes
2014	Assault with a Deadly Weapon	Yes	Yes	Arrest	81	Yes
2015	Shoplifting	Yes	Yes	Adjudicated in Court	61	Yes
2015	Felony Vandalism	Yes	Yes	Arrest – Court Appearance	3	Yes

2015	Possession of Illegal Drugs for Sales	Yes	Yes	Arrest – Court Appearance	3	Yes
2015	Violation of a TRO	Yes	Yes	Cited and Released – Court Issue	1	Yes
2015	Domestic Violence – Dissuading a Witness	Yes	Yes	Arrest	7	Yes
2015	Shoplifting	Yes	Yes	Arrest	321 (Probation Issues)	Yes
2016	Felony Vandalism	Yes	Yes	Suspect Identified - Warrant	159	Yes
2016	Criminal Threats	Yes	Yes	Arrest – Court Appearance	1	Yes
2016	Sexual Assault	Yes	Yes – Properly Listed as Confidential	Suspended	40	Yes
2016	Possession of Drug Paraphernalia	Yes	Yes	Cited and Released – Court Issue	1	Yes
2016	Statutory Rape	Yes	Yes	Closed at Victim's Request	9	Yes
2016	Vandalism	Yes	Yes	Exceptional – Closed at Victim's Request	20	Yes
2016	Strong-Arm Robbery	Yes	Yes	Arrest	61	Yes
2016	Armed Robbery	Yes	Yes	Case Suspended – Prosecution Turndown	78	Yes
2016	Robbery	Yes	Yes	Case Suspended	5	Yes
2016	False Impersonation – Identity Theft	Yes	Missing Detective Supplemental Explaining Case Closure	Arrest	Approximately 4	Yes

2016	Fraud	Yes	Case Closed Exceptional Versus Suspended	Case Suspended	145	Yes
2016	Identity Theft	Yes	Yes	Arrest	16	Yes
2016	Mandated Child Abuse Report	Yes	Lacked Some Detail to Document Case Closure Rationale	Unfounded	69	Yes
2016	Mandated Child Abuse Report	Yes	Yes	Prosecution Turndown	173	Yes
2016	Mandated Child Abuse Report	Yes	Yes	Exceptional Clearance	18	Yes
2016	Disorderly Conduct	Yes	Yes	Arrest	50	Yes
2016	Homicide	Yes	Yes	Arrest	1 (For Arrest) Ongoing for Court	Yes
2017	Annoying Phone Calls	Yes	Yes	Case Closed at Victim's Request	45	Yes
2017	Assault with a Deadly Weapon	Yes	Yes	Case Suspended – Lack of Victim Cooperation	46	Yes
2017	Battery	Mostly – An Incorrect Date was Listed on Supplemental	Yes	Case Closed at Victim's Request	41	Yes
2017	Armed Robbery	Yes	Yes	Arrests	1	Yes

Because RPD detectives are not using an automated system to document their ongoing, day-to-day investigative activities, some of the daily notes one might see by accessing a case management system and reviewing a detective's automated activities log meant the analysis was restricted to analyzing what the detective had documented in the final supplemental reports completed for the case that were then scanned in Laserfiche. None of the cases reviewed indicated there was any delay in having a case assigned and follow-up initiated by an investigator. Moreover, a review of the detectives' and

investigating patrol officers' reports revealed that, with a few minor exceptions, the appropriate protocols were followed as the cases were documented and investigated, including properly completed citations; proper photo lineups; properly completed crime reports and supplemental reports; properly completed booking sheets; and responsive email correspondences between detectives, probation officers and other criminal justice officials, among others.

One of the exceptions to the quality of the initial crime reports is that patrol officers completing the reports routinely failed to check the detailed Suspect Description boxes on the second page, in which very detailed information about a suspect can be listed simply by checking boxes for identifying features. Given the current RMS, it may be that completing that portion of the report may be seen as being of little value when information about a suspect's description already may have been provided in writing elsewhere in the report. However, once the new RMS is operational, capturing such "check box" data in an automated system could prove invaluable, in that it would create a searchable database for very specific descriptions about all crime suspects listed in all RPD crime reports. The RMS Implementation Team should consider stressing this issue when the training for the new automated in-field reporting system is being designed and delivered.

It appeared that the only delays occurring during investigations were due to the time it took to receive the case for investigation and the time it took to locate and follow-up with victims or others involved in the case. There was also no indication that cases were not promptly investigated or closed in a timely fashion once a case had been submitted to the courts or citations had been issued.

Furthermore, that appropriate case reviews and case management were occurring was evident also when the assessor conducted site visits to the CIB, NPC and SIB units, where he observed the following:

- CIB Sergeants reviewing paper copies of crime reports, assigning solvability factors, assigning detectives to the cases, and then entering the data into the current Vision RMS, per CIB protocols, as well as tracking high-profile cases such as homicides on a white board in the unit's office.

- An SIB sergeant demonstrating how he entered information into an Excel spreadsheet program which served as a case management tool, noting that the additional comments the sergeant had made in the spreadsheet looked like a useful way for him to track the cases as the unit's detectives worked the assigned cases.

- An NPC sergeant reviewing a stack of incoming cases while explaining the exact steps he takes to review the cases, assign solvability factors, assign the cases to detectives, and then track the cases as best he can with the current RMS.

EVALUATION OF CASE REVIEW AND CASE MANAGEMENT PROCESSES FOR CRIMINAL INVESTIGATIONS

Based on the review of the randomly sampled investigative cases, as well as the direct observations of CIB, NPC and SIB sergeants performing their case review and case management tasks, it appears the only significant issues impeding truly effective criminal case review and management, as well as the ability of the RPD's detectives to do their work in a timely and effective fashion, are the following:

- Crime reports currently being handwritten by patrol officers, with a significant delay occurring between the time these reports are reviewed by a supervising sergeant and forwarded to the Records Bureau

- The significant amount of time it takes for the Records Bureau personnel to enter crime report data into the database program and then scan all of the report documents into the Laserfiche system by hand

- The delay in forwarding copies of crime reports to the appropriate investigating units, due to the need to prioritize reports involving in-custody suspects and crimes against persons at the expense of property crime cases

- The amount of time it takes for the CIB sergeants to review handwritten reports for solvability factors and then complete time-consuming data entry work to assign the cases to detectives

- The lack of non-sworn support personnel who could be doing the time-consuming data entry work the CIB sergeants currently are completing, which significantly reduces the amount of time the sergeants have to perform their duties as supervisors, investigators and collaborators with detectives from other units, patrol personnel and the Crime Analysis Unit staff

- The lack of automated case review and management dashboards a modern RMS would provide to the sergeants in the CIB,NPC and SIB units so they could review, assign, track and close investigative cases in a timely manner

- The lack of modern RMS dashboards to assist the detectives to streamline the work they do, which impacts the effectiveness of any case management system

- The difficulties in getting recently completed crime reports in near-real time, which would allow detectives to move much more quickly on initiating an investigation while their leads may still be fresh. This also diminishes the ability of the department's Crime Analysis Unit to analyze data in near-real time to assist detectives and patrol officers in their work of preventing, intervening in and suppressing crime

- The inability of the department command officers to access, in near-real time, information about the status of all criminal investigations, due to the constraints of the current RMS

As previously stated, however, the assessment team is well aware that these highlighted issues and concerns will, to a large degree, be addressed by an effective design and implementation of the new RMS that the RPD has purchased. However, the assessment team emphasizes to the RPD command staff and leaders of the new RMS Implementation Team the critical need to ensure appropriate department members are assigned who can help design the proper case review and management tools the RMS is capable of providing, and that their input and work are prioritized to help ensure a successful rollout of the new system. There are numerous examples of RMS rollouts in law enforcement agencies where departments failed to do any or all of the following:

- Did not prioritize the work of the internal RMS implementation team in the minds of all department members

- Did not give priority to the timely collaboration that needs to occur between members of an internal RMS implementation team and members of the RMS vendor team dedicated to delivering a critical tool to the agency

- Waited too long for end-users within the department to provide initial comments and subsequent feedback on the tools designed for their use in the new RMS, which created delays in RMS design and implementation, as well as fueled end-user dissatisfaction when the new RMS was eventually delivered

- Did not take full advantage of new and innovative processes a new RMS offers, choosing instead to try to have the new RMS replicate the exact work processes that currently exist within an agency. This is of particular importance, in that a new RMS should not be seen simply as a way to automate current procedures, which may be poor to begin with; rather, a new RMS should be seen as an opportunity to redesign poor records management procedures to make them more user-friendly and efficient

- Did not recognize and place importance upon the need to design and implement robust training to all end-users of the new RMS, including not planning for the appropriate amount of time it will take to train department members before a new RMS is rolled out for use

Addressing all of these issues will go a long way to ensure the new RPD RMS serves as an effective tool for criminal case review and case management.

It should be highlighted that at the conclusion of the review of all the criminal cases assessed, the team's assessor met with the Police Records System Analyst and had her retrieve from the RMS the final UCR code the Records Bureau data entry personnel assigned to each individual case when they closed them. Every single case had been assigned a UCR code that correctly identified the type of case and outcome when it was closed. Given the current RMS challenges the RPD is experiencing, this is a very noteworthy and commendable statistic, especially because the Records Bureau continues to produce the UCR codes in a timely fashion at the end of each month. As such, the assessment team believes the RMS Implementation Team should listen very carefully to the recommendations the Records Bureau personnel offer regarding how to handle case clearance and UCR codes policies and procedures for the new RMS to ensure RPD's trained data entry personnel are coordinating the UCR data entries.

There was some excellent work done by RPD patrol officers in the field when officers responded to a number of the cases reviewed; there were numerous examples of officers being proactive in their follow-up on the cases they were assigned. There also was some excellent detective work done in a number of the assessed cases; detectives followed up quickly on leads they developed, resulting in a number of excellent arrests. For example, in one case, a radio broadcast was made about a strong-armed robbery that had just occurred. Responding officers who met with the victim promptly broadcasted descriptive information for the multiple suspects, leading another diligent patrol officer to spot the suspects in a different location. All the suspects were taken into custody and important evidence in the case was located. In another reviewed case, an attentive detective recognized a suspect based solely on the details provided by the reporting patrol officers, which led to a subsequent arrest. Such proactive patrol and detective work speaks well of a professional law enforcement agency

Recommendations – Criminal Case Review and Case Management	
2.1	Ensure that commanders and supervisors in the CIB, SIB and NPC consider how they and their personnel could begin interacting with the Crime Analysis Unit in a more proactive way to mine current crime data not just to understand what *has* happened but to determine what *will* happen, allowing everyone to become more proactive in preventing, intervening in and suppressing crime in the City of Riverside. The new RMS should help facilitate such an approach.
2.2	Until the new RMS is operational, which will assist RPD in its case management processes, consider giving priority to providing non-sworn staffing in CIB so unit sergeants can concentrate on supervising and participating in the actual investigative work in their units and be able to work proactively with the Crime Analysis Unit and others to prevent, intervene in and suppress crime.
2.3	Ensure that RPD command staff consider analyzing which of the two methodologies used in NPC Units to assign cases to detectives is more effective: (1) assigning detectives cases depending upon a crime's occurrence in a detective's assigned reporting district or (2) assigning cases to detectives based upon the type of crime involved. This recommendation does not suggest that using different methodologies is inappropriate. Rather, it is intended to facilitate learning about the pros and cons of each methodology, which could prove useful in case management no matter what system is used.
2.4	Consider stressing to patrol officers and supervisors the importance of fast-forwarding to the detective units crime reports involving property crimes with good solvability potential, as they often do for cases involving crimes against persons.
2.5	Consider emphasizing the need for officers to complete the detailed "Check Boxes" for describing suspects on the second page of the Initial Crime Report forms, which will prove quite valuable once the new RMS in-field report writing system is operational. An automated and searchable database can be used for criminal investigations and crime analysis.
2.6	Ensure that RPD Command Staff emphasize the important role members of the new RMS Implementation Team should play as they design and implement the new RMS, as it represents an opportunity not only to automate the criminal case review and management processes, but to rethink the current processes so they reflect best practices and take advantage of the capabilities of the new RMS.
2.7	Ensure that those commanding and supervising detectives in the CIB, SIB and NPC begin working immediately with the RMS Implementation Team to prepare for the time it will take to design, prepare and deliver training on using the new RMS to their personnel.
2.8	Even though a new RPD RMS will automate the process, communicate to RPD Command Staff that the processes for determining and entering case clearance and UCR codes must be tightly controlled. Experience has shown that trained data entry personnel who make such entries on a daily basis, and who are responsible for reporting the data to the California DOJ, are often much more proficient in this than some sworn personnel who make occasional entries when completing an investigation.

3   Use of Data

HISTORY AND CURRENT OPERATIONS OF THE CRIME ANALYSIS UNIT

The Crime Analysis Unit (CAU) is organizationally situated within the Special Operations division of the RPD. Staffed by five full-time-equivalents, the CAU is comprised of three Crime Analysts, as well as one Programmer Analyst, and led by one Supervising Crime Analyst. The Supervising Crime Analyst, who has 18 years of experience at RPD, reports directly to the Captain in Special Operations, who reports to the Deputy Chief of Operations, who reports directly to the RPD Chief of Police.

The RPD has a history of crime analysis spanning and evolving over the past almost two decades. In the mid-1990s, while situated organizationally within the Records Bureau, the primary function of the CAU was to fulfill the federal mandate that required RPD, like the more than 18,000 law enforcement agencies nationwide, to submit official crime statistics through the UCR program. Soon thereafter, the CAU shifted to a focus on analyzing Part I UCR crimes, which is generally regarded as an index of the most serious types of violent and property crimes affecting both the community and the RPD. The CAU ensured the provision of UCR crime information to myriad end-users throughout the RPD.

The transition from a primarily administrative role (i.e., UCR reporting) to a more user-centric model (i.e., distribution of crime data to patrol officers, detectives and crime prevention staff) marked the formal start of the CAU in 2000. This period in the CAU's development coincided with the California State Attorney General's and RPD's collaborative task force, during which the RPD's Chief of Police focused the CAU's emergent analytical capacity on supporting the RPD's new Management Accountability Program (MAP), a COMPSTAT-type process that has iterated several times and remains the current, predominant management operations program in place at the RPD.

In 2003, the CAU added a key geographic information specialist (GIS) position to the team, which amplified the CAU's bias and ability to provide crime information to internal and external customer sets, but in intuitive map-based formats that offered more meaningful context than previous spreadsheet analogs. This GIS specialist also helped the CAU evaluate, procure and implement different software solutions that aligned with varying customer use cases (e.g., analytical solutions for officers in patrol cars, desktop analytical solution for CAU, and enterprise dashboard and reporting). Perhaps as important to the CAU as the analytical and mapping solutions, the GIS specialist was also able to work with CAU leadership and develop effective working relationships with staff from the Information Technology (IT) department of the City of Riverside. Operating without a dedicated IT budget or a strategic IT plan within the CAU, it was imperative for the CAU to develop synergy with City IT to facilitate connections to various data sources, implement technology tools, maintain mission-critical systems and do so according to City-promulgated information security policies and standards.

Consistent with many law enforcement agencies, over time, the CAU developed a suite of analytical tools and reporting methods that were intended to be responsive to the wide range of administrative, strategic, tactical and intelligence analysis needs of different customer sets throughout the RPD. The following non-exhaustive list of analytic products obtained from the CAU reflects the highly variable complexion of needs department-wide:

- High-level crime summary reports, with tabular listings and maps, for both the Crime Suppression Meeting (CSM) and MAP

- Detailed crime-specific matrices (e.g., robberies, burglaries, auto thefts) for both patrol and detectives

- GIS training materials for new officers

- Intelligence reports through various RPD and partner agency systems

- Map-based views from CAD, RMS, Arrests, Registered Sex Offenders, Field Interview (FI) contacts and Parolees data sources

- Annualized data tables and charts for Part I and Part II UCR crime

- Inter-agency crime bulletins

- Telephone toll analyses, including both cell phone and cell tower mapping for detectives

- Watch bulletins for all NPCs and police patrol service areas (i.e., beats)

The CAU also publishes data in machine-readable formats and provides application program interfaces to the RPD's Engage Riverside[7] open data portal, as well as provisions high-volume crime data to a publicly accessible partner website named CrimeReports.com.[8] RPD found that CrimeReports.com offers robust functionality for members of the community and the public to learn about crime at the neighborhood level.

Command staff in both the CIB and Field Operations (i.e., patrol) characterized various CAU reports as "valued," but also recognized the need for more frequent, more consistent and higher-quality engagements to foster a stronger sense of strategic partnership and unified operations among CAU and end-users. In fact, two detectives commented that although the CAU handles a variety of issues in support of CIB investigations, such as crime series bulletins, linked cases analysis and crime flier dissemination, detectives are also considering how to involve the CAU more effectively at the weekly Robbery-Homicide meetings held every Tuesday.

CIB members noted that while detectives in adjacent service areas may work together more often and more effectively, it is less common and less effective for detectives working similar investigations but separated by more expansive areas within the jurisdiction. Also, with such a strong investigative focus on mobile technology tools (e.g., phones), the CIB is looking to the CAU to identify and join in new

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7   https://www.riversideca.gov/transparency/

8   https://www.crimereports.com/agency/riverside#!/dashboard?incident_types=Assault%252CAssault%2520with%2520Dea
    dly%2520Weapon%252CBreaking%2520%2526%2520Entering%252CDisorder%252CDrugs%252CHomicide%252CKidn
    apping%252CLiquor%252COther%2520Sexual%2520Offense%252CProperty%2520Crime%252CProperty%2520Crime%
    2520Commercial%252CProperty%2520Crime%2520Residential%252CQuality%2520of%2520Life%252CRobbery%252C
    Sexual%2520Assault%252CSexual%2520Offense%252CTheft%252CTheft%2520from%2520Vehicle%252CTheft%2520of
    %2520Vehicle&start_date=2017-04-28&end_date=2017-05-
    12&days=sunday%252Cmonday%252Ctuesday%252Cwednesday%252Cthursday%252Cfriday%252Csaturday&start_time
    =0&end_time=23&include_sex_offenders=false&lat=33.938143&lng=-
    117.393168&zoom=14&current_tab=map&shapeGroup=City%2520Boundaries&shapeIds=

training opportunities to assist analytically with hi-tech criminal investigations, augmenting the limited sworn staff in CIB assigned to forensic and high-tech tasks.

In recent years, although the CAU's growth and evolving technical competencies have resulted in an accordant increase in overall information processing and analytic capacity, the CAU has also been constrained by a number of key operational and technical factors. For example, despite RPD policy in place that requires officers to write and turn in supervisor-approved incident reports by the end of each shift, it is commonly understood that officers are not strictly adherent to this requirement. The variability of the report turn-in process contributes to second and third-order organizational impacts, including latency in the Records Bureau data entry process – inputting crime information derived from incident reports into RPD's current Tritech Vision RMS – as well as the downstream impacts to the CAU, a unit which should have consistent access to reliable data to discern crime patterns and trends that may be amenable to timely, strategic interventions. The goal of near-real-time crime analysis at the RPD is not possible currently given the lack of in-field report writing and associated data entry and report distribution delays. The RPD, however, did procure competitively a new Motorola RMS with automated workflows and has targeted a go-live in approximately one year, during March 2018.

While the CAU has conducted certain types of specialized crime analyses (e.g., cell phone activity mapping) to support different investigations, there is an acknowledged desire, both by the CAU and end-user groups, to identify quickly training opportunities that promote broad-based program lift in contemporary analytic areas, such as social media analysis, intelligence analysis and geographic profiling, as well as competencies associated with testifying in court. Underscoring the importance of a strategic staffing and training plan for CAU, a command staff member from Special Operations also cited increasing organizational need in conducting analyses related to intelligence cases (e.g., conspiratorial crimes) and technology, such as investigations involving license plate recognition, as well as cases involving surveillance video maintained by the City, businesses and residences.

The CAU benefits from participation in the Inland Empire chapter of the California Crime Analysis Association, a partner network comprised of approximately 30 law enforcement agencies in the region, which provides training and encourages information sharing. These professional associations provide some necessary resources and training opportunities for the CAU, but they alone are not sufficient. The CAU may benefit from select, strategic partnerships with learning institutions in the region seeking mutual benefit in the areas of grant opportunities, research and development, technology demonstration testing, data science and analytics, training and business process innovation. In fact, the CAU works proximate to at least three major universities – University of California-Riverside, California Baptist University and La Sierra University – as well as Riverside Community College and University of Phoenix satellite campuses. Public-private partnerships, whether coordinated through the City or the RPD, may also benefit the CAU in similar ways.

Although the CAU has done a commendable job of learning new skills and acquiring new technology tools over time, the set of solutions sought over the long-term reflects a lack of a strategic framework. Absent a formal, codified, strategic plan – including operations, staffing, budget and IT – going forward, the CAU risks losing potency around clear and consistent messaging to customer sets regarding their core mission; diminished advocacy potential with RPD executive leadership with whom CAU must solicit and justify additional staff and IT resources; lack of traction in evolving the CAU model to a near-

real-time, predictive, business intelligence-oriented model; ambiguous program performance measurement criteria amid a quickly-changing, data-driven operational environment; and limited growth and capability trajectories based on point-solutions rather than a cohesive, supported framework.

Following two years of budget target reductions, the RPD seeks to restore 55 sworn staffing positions to levels last evidenced in 2008, including restoration of the first 17 sworn positions by July 2017. The Chief of Police and Special Operations Captain noted the importance of adding analysts to the CAU to properly and proactively support the planned 15 percent gain in sworn officers in the next few years. The current ratio of Crime Analysts per sworn officers at the RPD – 1:70 – is consistent with industry standards. However, the current ratios of Crime Analysts per UCR Part I crimes at the RPD – 1:2,592 – and Crime Analysts per calls-for-service (based on most recent six-years CAD data average) – 1:40,000 – are both lower than the respective 1:1,500 and 1:30,000 industry standards.[9] The study and documentation of a formal CAU strategic plan should help the RPD establish critical baseline information around prioritized CAU service delivery goals, as well as establish a basis by which goal attainment can be assessed accurately.

TECHNOLOGICAL TOOLS AND RESOURCES IN USE WITHIN THE CAU

The CAU uses a combination of commercial-off-the-shelf tools and available City resources to help with the access, mining, analysis, reporting and dissemination of data throughout the RPD and to the community. Notably, all CAU technology tools are subsidized by City IT, in coordination with the RPD reconciliation process annually. According to information obtained from the CAU, the following list reflects five categories of technology tools and resources currently in use and planned:

1 **Data Mining Tools** that help access and analyze large data sets, including:

   a   Microsoft Office, Excel and Access (used for extracting, compiling and analyzing data from department hosted databases)

   b   Power BI (a suite of Microsoft tools used to augment analytical capacity in Excel)

   c   Crystal Reports (generates reports designed to run on CrimeView Desktop)

   d   Tableau Desktop and Server (a set of robust analytical and visualization tools)

2 **Records Management Systems**, including:

   a   Tritech RMS (the CAU connects to this primary source of records using a desktop client, as well as using Excel and Access via ODBC connections)

   b   Motorola Premier One RMS (RPD is currently working on implementing this new RMS, and it is expected to launch during the first quarter of 2018)

3 **Digital Reports** that enable users to access full copies of the approved incident reports, as input by RPD officers, including:

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9   International Association of Crime Analysts, Implementing Crime Analysis, http://www.iaca.net/dc_implementation.asp.

a   Laserfiche (system contains images of all incident reports)

b   Motorola Premier One (new RMS that will serve as enterprise repository for all incident reports)

4   **GIS-Based Tools** that allow spatial query, analysis, and map-based reporting and visualization, including:

a   ArcMap for ArcGIS plus Spatial Analyst Extension (used to conduct spatial analysis on larger data sets and create maps that depict crime trends)

b   Portal for ArcGIS (used only on the RPD's network, and leveraging ArcGIS Maps for Office, Insights for ArcGIS, Story Maps, and Web Appbuilder, this tool enables CAU to map data directly within Excel, as well as create and publish maps illustrative of the locations of crimes, calls-for-service, persons of interest and other spatial analysis results, which are used during both the Crime Suppression Meetings and Management Accountability Program meetings)

c   ArcGIS Online (used to publish maps for the public depicting monthly crime statistics for Neighborhood Policing Center areas)

d   CrimeView Dashboard (available on RPD network, web-based tool that provides quick and easy access to crime, police activity, field interview, arrests and parole data)

e   CrimeView Desktop (desktop-based application that runs on ArcMap and used to run automated alerts, auto import of data from CAD and RMS daily, and for analyzing large datasets)

f   CrimeReports (GIS web application used for publishing most recent 180 days of crime data to the public)

g   Cell Phone Mapping – HawkAnalytics (used for mapping and analyzing call detail records)

h   Google maps (additional open-source, web-based mapping functionality used to complement the ESRI GIS tools in CAU)

i   ArcSDE - SQL Server (spatial database engine that hosts most of CAU's crime data)

j   ArcGIS Pro (new desktop system that is set to replace ArcMap)

k   ArcGIS GeoEvent Server (enhances CAU's ability to provide better analytics and alerts)

l   ArcGIS GeoAnalytics Server (expedites the processing of data using Portal for GIS or our Desktop GIS tools)

5   **Other Resources** intended to support CAU in general, and prospective intelligence analysis in particular, include: Vigilant Solutions License Plate Reader System; California Law Enforcement Information Exchange (LInX); Adobe Reader Writer; Task Management: MS Office Outlook; ODBC connections to internal data sources; Microsoft Publisher, PowerPoint, Expression Web; Open Source Social Media analytics tools; CLETS (CA LE Telecommunications System) and DMV Record Information; RSO Data Warehouse; Parole LEADs; Facebook; DIMS (in-house photos); Cal-Photo/Mug Shots; and Carfax for Police.

DATA-DRIVEN POLICING EFFORTS

Support for Management Efforts

Each week, citywide detectives, patrol officers and command staff, as well as varied sworn staff from the NPCs, convene at the CSM. The CSM is an operationally-oriented meeting focused on the sharing of crime information across six categories of Part I UCR crimes, as well as discussing related issues and sharing ideas and constructive feedback. The focus on the six categories of Part I UCR crime – robbery, grand theft auto, residential burglary, commercial burglary, vehicle burglary and other theft – is historically set by RPD leadership, and the three analysts within CAU are assigned two categories each for a period of approximately 12 to 18 months.

The CAU plays a prominent role in the CSM, serving to prepare the crime data analysis, creating the online map-based presentation content and functioning as narrators who describe at a high-level the crime patterns and trends for those sworn staff in attendance. At the March 17, 2017 CSM, the CAU commenced the meeting with an overview of robbery events in each of the four NPCs, providing summary descriptive information such as incident area, count and time span.

The CAU followed up with a similar description of two recent carjacking incidents. The robbery and carjacking incident overviews, however, prompted basic questions from a patrol captain and sworn staff who inquired as to whether there were any other "similars," and what additional information was available to discuss. In response to both of these questions, CAU acknowledged that information was limited and based primarily on CAD calls for service data, as no incident report data was available at the time. Later, in reference to a burglary map and overview, the CAU acknowledged they were "not sure if they can be linked to other cases," given "limited MO data available." The lack of access to recent incident reports and dearth of MO information continued to diminish the potential quality of the other crime overviews CAU shared during the rest of the CSM, as evidenced by the following examples:

- A geographic clustering of burglary events characterized by smashed property and stolen tools, with no investigative leads, persistent activity for several months, and limited actionable MO data.

- Following a CAU overview of a pattern of hot-prowls in one section of the City, a captain asked if there was any consistency among the victims targeted, to which the CAU responded, "not sure, have yet to be able to read the reports."

- Crime maps depicted recent events, but without any correlative data such as re-entry data, field interview contact information, or truancy data.

- Certain crime types had wide-ranging reported start and end time stamps, making it difficult for the CAU and officers to discern precisely when crimes actually occurred, since the data relied primarily on information derived from CAD.

- Following a discussion regarding a recent rise in grand theft auto and vehicle burglary incidents at parking structures, it became apparent that little information was available from security guards and street-level City surveillance cameras and that there was an approximately one-month-long decline in overall field interview contacts citywide.

- Two-week-old auto theft geographic clusters were presented but without any reference to directed patrols or attempted strategic interventions, and with CAU asking sworn members, "Anything to add?"

- As part of commercial 459 overview, the CAU noted that there was "no trend by structure type" and overall there was "no observed trend."

Guiding program principles for MAP-type processes generally span five key issue areas: specific objectives, accurate and timely statistics, effective strategies, rapid deployment and relentless follow-up. Given some of the inherent challenges associated with report processing, the CAU is constrained by inaccessible incident data; for incident data the CAU can access, the information is aged. For example, for the MAP meeting on March 8, 2017, the data included in the MAP reports and presentation were only current up to February 23, 2017. This two-week lag constrains what the RPD can accomplish relative to each of the above-mentioned MAP guiding program principles. Without timely access to valid and reliable incident data, the CAU's goal of becoming a unit characterized by more predictive, proactive analyses (as opposed to descriptive and reactive analyses) is limited.

Overall, the MAP seemed calibrated for high-level information sharing by the CAU for crime types regarded as most important by the RPD, though heightening informational awareness for sworn members may come at the possible expense of propagating anti-crime strategies citywide. As the RPD advances the new RMS in the year ahead, the CAU, executive leadership and stakeholders citywide can explore dynamic adjustments to the MAP model to help ensure awareness of root causes and elevate anti-crime strategy as a priority issue.

Support for CIB, SIB and NPC Detectives

The CIB recognizes that detectives "probably don't use them [CAU] enough," instead "relying internally on CIB personnel." This sentiment reflects both the progress to date with CAU supporting select criminal investigations and the perceived need by the CIB to increase CAU involvement and contributions on a more consistent basis.

Detectives in the CIB typically have rather long tenures in their roles, some spanning 15 to 20 years, and as such, they understand well where strategic analytical support may bring added value to certain investigations. Recent criminal investigations involving cell phones benefited when the CAU created visualization products that depict suspect activity paths, as well as cell phone and cell tower information. CAU also provided basic but effective modus operandi analysis on several serial crime cases. As the CAU is enjoined more frequently by the CIB, detectives are beginning to go beyond just asking for a specific set of outcomes and are increasingly more inclined to ask CAU to exercise business judgment to deliver appropriate analytical products.

At a recent California Homicide Investigators Association conference, detectives from the RPD learned about advances in accessing and analyzing myriad types of social media content that may be constructive components as part of a broader investigative portfolio. Two detectives are set to receive the training, but CIB envisions members of the CAU also being trained to supplement sworn staff in this burgeoning area. Detectives also commented on the challenges associated with maintaining a clear sense and line of sight of the criminal cases that may be related, yet are investigated by detectives in disparate groups (i.e., NPCs versus CIB) due to case intake and assignment based on different geo-

political boundaries and organizational areas of responsibility. The CIB considered how the CAU may help detectives discern which few cases of the many cases reported to the RPD may be serially related, enabling more coordinated, efficient and effective investigative efforts.

Going beyond traditional descriptive CAU reports and hot-spot maps, detectives expressed a need for more dynamic, layered information to help identify causative factors or at least correlative factors, such as corrections re-entry and conditional release data (e.g., parolees, probationers) and prolific criminals (e.g., hot-dots). SIB and NPC detectives investigating narcotics, gang and vice-related issues typically submit to CAU information requests for work-ups regarding license plate numbers, field interview contacts, incident details, address histories, person-of-interest reports and name searches. Also, detectives working in NPCs will also request CAU conduct hot-spot analyses and focused assessments of topical issues, such as mail theft, car break-ins and other quality of life issues, which may have surfaced at NPC meetings with City Council members, as well as at community meetings with neighborhood-based stakeholders.

NPC detectives will review and often incorporate CAU data in ongoing and collaborative problem-oriented policing (POP) strategies with POP officers at NPCs and with community members. Given, however, that the Field Operations' primary focus is to patrol in beat areas citywide, NPC staff may at times lack the full view of timely data, even for POP initiatives previously undertaken by NPC staff. From a process standpoint, this dynamic contributes to an inherent challenge for lieutenants at NPC who must connect with community-based constituents and provide status updates on crime and disorder issues, but who may be operating with data gaps. Going forward, it is important to explore methods – beyond the weekly or bi-weekly crime bulletin and building upon the weekly CSM – to improve how timely crime data is standardized and shared across all patrol services verticals.

Support for Patrol Services

As mentioned above, while the CAU connects with its different customer sets in a variety of ways that reflect its evolution to a less reactive and more proactive unit, the primary method of engagement for Patrol services remains a traditional walk-in request to CAU for information. Typically, officers working in Patrol will visit the CAU and request a variety of analyses, such as officer-specific statistics, auto thefts within select areas, DUI arrests and case summaries as part of court preparation. Without detailed CAU tracking data or follow-up assessments, however, it is not possible to evaluate the efficacy of these CAU fulfillments.

In addition, a recent query by the CAU's Programmer Analyst verified the CAU's perception of fall-off in officer usage on the web-based crime mapping and analysis application, CrimeView Dashboard. Also, some officers internalize early in their professional law enforcement training a perspective that it is best to gather and analyze their own data, resulting in a possible disinclination by some to engage with the CAU. In fact, two detectives characterized RPD officers, both within CIB and Field Operations, as "their own CAU," meaning they understand best what crime and quality of life issues are endemic within a beat and which people are involved in crimes, both as suspects and victims.

The CAU recognizes more can and should be done to support Patrol Services more effectively. It is currently in the process of working with command staff and evaluating proactive options, such as

attending Patrol roll call regularly and developing more responsive analytic products and on-demand services that align better with Patrol's distributed demand for timely data and analytic services.

UNIFORM CRIME REPORTING PROCESSES AND PROTOCOLS

Identifying and Reporting UCR Codes

Data submitted by the RPD to the California DOJ as part of the federal UCR program are derived from police officer incident reports. At the end of each shift, officers are required to complete and submit incident and arrest reports that have been reviewed and approved by a sergeant supervisor in Field Operations. Reports are collected at the downtown Lincoln Station, where they are later picked up by Records Bureau staff and delivered to the Orange Station for processing. Records staff then follow a priority schedule and scan reports into the RPD's Laserfiche system and distribute copies to a variety of end users (e.g., victims, witnesses, detectives, district attorney). Incident and arrest reports are based on the California Penal Code, but when submitted to data entry clerks in the Records Bureau, reports are reviewed and input into the RPD's RMS according to criteria established by the UCR program. Data entry clerks have significant experience in the UCR process, though the vast majority of training sessions have been instructed by more senior, experienced data entry staff internal to RPD's Records Bureau. The RPD's current Records System Analyst, who previously oversaw the data entry clerks, has worked at the RPD since 1992 and has extensive experience and training regarding the UCR program, as well as deep institutional knowledge regarding the interplay of technical systems and RPD business processes upon which the UCR program relies.

Maintaining and Safeguarding UCR Data

The RPD Records Bureau played a critical role in implementing the existing RMS in 2000, helping to ensure the system aligned with data entry and coding requirements set forth in the UCR program. After the RMS was implemented, as well as following several system updates after the go-live, the Records Bureau identified a significant number of problems and determined it was necessary to test extensively both the application functionality as well as the quality of data and report outputs. Records Bureau staff learned system limitations, worked with the vendor to troubleshoot and correct defects and where not possible to remedy the system (e.g., coding justifiable homicide cases required multiple case entries instead of just one), implemented business process changes at the RPD.

On balance, however, RMS corrections initiated by the Records Bureau could not offset the inefficiencies associated with a manual, non-automated report capture, submission and UCR coding process at RPD. In addition, since 2000, officers have been using a variety of disparate software tools to type up reports, including an old, unsupported WordPerfect application, as well as forms created in MS Word. Despite, or perhaps because of these different operational challenges, the RPD has figured out effective ways to comply consistently with California DOJ-imposed UCR coding deadlines. No later than ten days after the close of each month, the Records Bureau compiles and submits the RPD's UCR data for the previous month to the California DOJ. Notably, according to the Records System Analyst, RPD data entry teams produce and submit UCR reports that are consistently both valid and reliable.

Indeed, UCR-related coding errors are only generated on an infrequent basis, approximately once or twice per year. In these rare occasions, it has typically been the case that data entry staff either entered

information incorrectly in one of the UCR fields or missed a required entry in one of the fields. When an error report is generated, the data entry team works together, refers to existing team documentation for information pertaining to any possible related issues and troubleshoots the system and data to discern and remedy the root cause.

In some instances, the RPD data entry team will also contact and coordinate issues with the UCR teams at the California DOJ. The RPD depends on liaisons at the California DOJ to help the RPD team interpret scenarios consistently, and the data entry team could benefit from more frequent California DOJ-sponsored training on UCR-related issues; the last California DOJ-sponsored UCR training occurred approximately seven years ago. To date, the majority of data entry training has been conducted internally with RPD senior staff, though team members have also been trained at POST-sponsored Records Clerk School and have benefited from regional and topical training sponsored by the California Law Enforcement Records Supervisor Organization. Lessons learned by the data entry team over the past several years have underscored the importance of verifying that sub-numbers match with total numbers across related UCR reports, as well as proactively training and validating that day-to-day coding aligns with best practices.

The Records Bureau staffing level is a factor that influences the RPD's ability to meet UCR coding deadlines. During the last five years, Records Bureau staffing levels have fluctuated between the high 20s and the low 40s. In addition to data entry tasks associated with the required UCR program, the Records Bureau also staffs RPD station counters and takes police reports. With the exceptions of a recently retired member with 17 years' experience who helped train the team and three fairly new members, the data entry clerks are reasonably tenured, well-trained and fairly stable in their positions. As plans proceed to implement the new Motorola RMS in the year ahead, the RPD must learn the relative merits and negatives associated with converting from the UCR program to the National Incident-Based Reporting System (NIBRS), and then help steer the organization to migrate technology systems and business processes to the new platform.

Converting to NIBRS is a significant undertaking, and the RPD is slated to be one of the first 42 agencies in the state of California to test NIBRS by 2020. To compound further the complexity in the upcoming NIBRS transition, the RPD is also the first law enforcement agency in the state to procure the entire suite of Motorola RMS interfaces. Motorola has stated its RMS solution is compliant with both UCR and NIBRS, but the RPD is in the process of evaluating whether it is best to convert the existing UCR program in the new RMS and then transition to NIBRS in a serial approach, or if it is prudent to transition to NIBRS first, in coordination with federal and state stakeholders with yearly quality evaluations.

To mitigate the likelihood of data latency, data inaccuracy and coding problems – and given the importance of RPD meeting these ongoing requirements and immutable monthly deadlines – the RPD is in the process of developing an advisory team comprised of stakeholders from throughout the department that includes steering members from the Records Bureau and the CAU. Although there has been no formal staffing study previously, it is commonly understood that short-staffing has created pressure for the RPD to meet existing UCR deadlines; the RPD has authorized mandatory overtime to help overcome scheduling and staffing constraints in the past, and this symptom is expected to persist in the RMS transition year ahead. Beyond additional Records Bureau staffing, more classification training

for officers is warranted, both for the existing and prospective RMS, as well as sufficient technical planning to ensure that back-end field mapping is designed effectively to match UCR and NIBRS coding requirements. It is preliminarily anticipated that following the transition to the new RMS, existing data entry clerks in the Records Bureau will assume, in part, a formal quality assurance and quality control function to promote data integrity.

Recommendations – Use of Data	
3.1	Develop a formal, strategic, multi-year plan that outlines key staffing, operations, budget and technology tenets and aims and is supported by RPD executive leadership and end-users. The CAU plan should fit into a broader RPD strategic plan to help ensure CAU goals are included in department-wide staffing restoration efforts, as well as link with citywide and community-based data-driven initiatives.
3.2	Consider embedding CAU staff within various groups throughout the department to do a deep-dive into operations and learn from customers what types of analytical products and services may be most useful for end-users. Learning how RPD personnel actually use data provides CAU staff with information regarding user experience and functionality input so CAU solutions can be prototyped, iterated and delivered responsively.
3.3	Ensure the CAU plays a strong role, in coordination with Records Bureau and other key stakeholders, in helping to define use case requirements, fostering optimal user experience for end-users and providing controls and assurance for the quality of data as part of the RPD's prospective RMS.
3.4	Continue to decentralize analytical tools (e.g., CrimeView Dashboard) to create distributed, on-demand access for officers rather than relying on the traditional clearinghouse model, in which officers contact the CAU during business hours and wait for responses to their specific requests.
3.5	Continue the migration away from primarily administrative analyses and seek opportunities to learn and practice intelligence, operational and tactical analyses. Summary descriptive statistics reports should constitute a comparably small proportion the CAU workload, aligned mostly with RPD executive leadership and City reporting requirements. Rather than describing what has happened in the past, the CAU should endeavor to learn how data can help inform staffing deployment, predictive analytics and business intelligence.
3.6	Redesign CAU orientation for new and existing officers to focus on pragmatic, in-depth application and data training opportunities for the suite of analytic services and products available and planned.
3.7	Consider opportunities for dynamically adjusting the CSM and MAP processes to focus on propagating effective tactics and building organizational capacity. CSM and MAP processes should center on POP schemes that reflect better an understanding of root causes and efforts that span the continuum of prevention, intervention and enforcement strategies.

3.8	Consider developing a Program Management Report for the CAU and publishing a combination of key work metrics on a quarterly basis for RPD executive leadership, rank-and-file and City leadership.
3.10	Consider the value of a Kaizen-type session for the CAU in the near-term in which stakeholders convene to surface and discuss opportunities to compress time delays and improve the existing report writing and data entry processes.
3.11	Continue to facilitate close collaboration between the CAU and the Records Bureau as the RPD works toward converting from UCR to the NIBRS standard and ensuring planned analytical improvements as part of the RMS upgrade are preserved.
3.12	Ensure the CAU works with Field Operations and NPCs to identify opportunities to improve and help standardize communication of data across citywide patrol and POP functions.
3.13	Ensure the CAU continues to partner with City IT and develop a contemporary, web-based portal solution that promotes easy file access and robust crime data distribution. The CAU's primary information access point and file archive, the network accessible "S-Drive," includes BOLOs, PDF documents and a combination of many CAU files; though indexed and searchable, the S-Drive does not let CAU staff know details about user traffic to the extensive files on this drive, which prevents the CAU from knowing how often or effectively their products are accessed or used by customers.
3.14	Consider exploring the possible benefits of developing strategic partnerships between the RPD and the CAU with the local institutions of higher learning, such as the University of California-Riverside, to seek grant opportunities, conduct research and development, and innovate on improvements to data science and analytics for law enforcement.

4 Use of Technology and Communications Systems

Our assessment consisted of a high-level review of the current state of the RPD's IT to determine if the investment in technology is facilitating critical police information sharing with applications such as CAD, Records Management and field-based policing activities.

Information sharing internally within a department or externally to its justice partners is a benchmark of a modern policing organization. National standards such as the National Information Exchange Model (NIEM) and the Justice Reference Architecture (JRA) help organizations such as the RPD establish an enterprise framework.

Hillard Heintze Senior Director Steven Bova conducted interviews with 13 sworn and civilian RPD personnel to: (1) understand the state of IT within the organization, (2) acknowledge areas of success and (3) identify potential issues of concern.

In addition, we participated in a Records Management Core Group status meeting to gain insight into the department's modernization of technology initiatives currently underway.

As an organization, the department has a clear commitment to providing modern police technology to the officers in the field, as well as improving information sharing, data collection and analysis between the City of Riverside, the Innovation Technology Department and the RPD. Our assessment team also recognizes the financial and resource investment made by the City of Riverside with the purchase of the Motorola PremierOne Records module and the CAD upgrade.

TECHNOLOGY GOVERNANCE SYSTEM

The RPD has an engaged leadership team that is involved in the implementation of IT and leveraging it to support its mission to ensure citizen and officer safety. The Chief and Deputy Chief are supported by the City of Riverside and the Chief Innovation Officer and her team of IT professionals. During all of our discussions, the individuals we spoke to expressed that the driving forces to the successful implementation of IT are understanding, delivery, adoption and acceptance, and furthermore, the use of IT systems and solutions designed to advance the operational business requirements of the Department.

However, leadership is only one piece of the puzzle. To successfully implement a transparent, enterprise project management model, there must be a clear decision structure, all key stakeholders must be included and there must be oversight of all projects. Because some government entities have different missions and goals, it can be difficult to build a cohesive governance model that balances overall government-led goals and the priorities of the individual agencies. Prioritization is key, as is the support, acceptance and flexibility of all stakeholders.

Issue management is an important aspect of any project. Leadership and the governance structure must properly address issues that arise or the trust, adoption and use of the new systems could falter, causing

collateral issues that may lead to data integrity or data loss, overspend on corrective measures, or even a catastrophic failure following which the improvement program is scrapped.

Government-funded projects, whether small or large in scale, frequently suffer from cost or time overruns due to their reliance on outside vendors for project management and implementation oversight. They also often fail to include key stakeholders at the onset or do not address key requirements or business processes that must later be reworked into the project.

Implementing an Enterprise Project Management Office (EPMO) to support the governance model at the agency level would help mitigate the risks associated with project management. The EPMO should leverage on the internal expertise and those involved must have an essential understanding of the agency's missing, vision, policies and regulatory requirements.

RMS Committee

The RPD has implemented a Records Management System Committee to oversee the implementation of the Motorola PremierOne Records solution. The committee has members from the City of Riverside Innovation and Technology team, who work in collaboration with RPD personnel representing the administrative and sworn functions of the agency. The committee is in its infancy – the contract with Motorola for product and services was executed in late 2016.

The committee is singularly focused on the implementation of the PremierOne Records module. The representatives from other key stakeholders, including direct participation from patrol and patrol leadership, provide insight into other technology projects underway. It is necessary for all members to have a concise, enterprise project management view of all efforts, timelines, budgets, scopes, critical paths and dependent tasks because if the interdependencies falter, it will adversely affect the scopes, timelines and budgets of all dependent projects. For example, when discussing the details of the project with various interviewees, there appeared to be a lack of project oversight and understanding of the proven methodologies to deliver projects on time, in scope and within the defined budget. Defined deliverables, stakeholders, communications and scope are critical information that has not been clearly defined. There is also a clear dependency on the vendor to address most of these activities with no defined controls over change management – a potential pitfall that may cause adverse budgetary impact.

Change Management

The City of Riverside Innovation and Technology Department drives the change management process for the entire city. The Innovation and Technology Department is responsible for delivering timely support, maintenance and management functions for servers, storage, network, communication and mobile technology hardware, software and applications. The ability to make changes to protect the integrity of the network and supported technologies is critical. Because cyber threats change at a moment's notice, vendors provide patches and firmware updates to improve security and performance. These critical updates must be completed in a timely manner, documented and implemented through the enterprise change management process.

The RPD IT staff receives notification of the required or requested changes from the Innovation and Technology Department. It is vital that the IT staff have the knowledge and expertise of the specific

systems architecture and interdependencies to identify when changes may adversely affect officer safety systems. Communication is the cornerstone to successful change management and avoidance of interrupted services critical to officer and citizen safety. In most cases, especially for patrol-based police activities, officers will revert to radio communication with Dispatch when direct communication with the Mobile Data Computer (MDC) fails.

ENTERPRISE ARCHITECTURE

For IT solutions to be successful, they must be implemented within a standardized enterprise architecture framework for consistency and cost containment. This will save money through economies of scale and streamlined support responsibilities. Implementation of technology in one-off or silo deployments adds unnecessary overhead due to the cost of hardware and software, as well as the intangible costs of administration and maintenance.

Silo deployments provide minimal, if any, advantage to the organization. Although they may address a specific need, the use of one-off implementations constricts information sharing and increases the risk of duplicative data entry and data integrity issues. Enterprise architecture, as an IT management methodology, is based on the adoption of standards for hardware, software, development platforms, back-office solutions and every other aspect of technology, using an agile framework to meet the ever-changing needs of the organization.

To manage technology from an enterprise perspective, it must be standardized on a proven platform. This will allow the entire organization to benefit from integrated modules that meet the needs of modern policing and will provide overall value due to its strategic management approach to technology delivery. The department has already embarked on this methodology with the integration of the Motorola PremierOne CAD and Records modules. Furthermore, the department must place controls that drive consolidation and integration for new technology initiatives, which will streamline financial and personnel resources, as well as better management and prioritization. Documenting the current enterprise-wide collection of technology and their established expected lifespans is required for the successful implementation of an enterprise architecture.
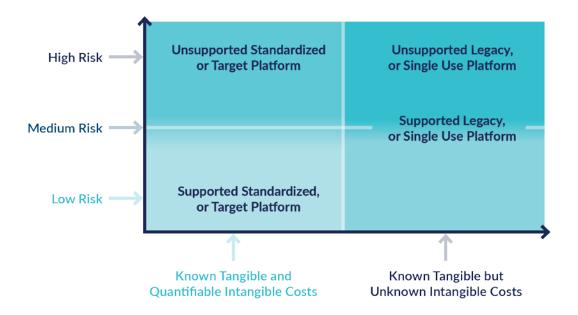
Portfolio Management

A key component to portfolio management and the foundation of enterprise architecture is documenting all enterprise technologies by vendor, service, version or firmware, purchase date, warranty or maintenance window, patch level and ownership. This practice creates a roadmap of the current state of all IT solutions, which aids executives when they are making decisions about purchasing new solutions. It is difficult to administer IT spend if there is no documentation of what is actually owned or managed by the organization. For example, during our interviews, it was noted there is a large quantity of one-off Access databases that are built as single-use applications. Integrating these databases into a single enterprise platform from which data entry and analysis are conducted would provide value to the overall organization.

The following matrix shows an agency is at low risk of overspending for technology and technology support when its technology uses a supported standardized or target platform – meaning it is supported by the vendor, standardized on by the department and a component of the Enterprise Architecture or

target platform. Ultimately, a department in the low risk category will be building on a standards-driven model instead of silo or single use systems. Conversely, if an agency uses supported or unsupported legacy or single-use platforms, the agency's risks are elevated, and its costs are going to be exponentially higher and difficult to quantify.

Relying on institutional knowledge without enterprise documentation is a high-risk, no-reward practice because personnel can change, causing the agency to lose track of accountability and resource management. As noted below, the systems administered by the City of Riverside by the Innovation and Technology Department and the RPD are vast and complex, built on a series of multi-platform, single-use applications and based on the institutional knowledge of a few extremely dedicated employees.

Lifecycle Management

Technology in all forms is limited by its useful life. For hardware, software, development platforms, applications, printers and all other types of technology, the lifespan is determined by the expected life of circuit boards, hard drives and vendor releases, among other factors. Lifecycle management delivers a framework to document how long technology is expected to last before needing to be replaced. This practice also provides a framework for budget activities, such as aligning budgetary needs with operational needs.

Developing a lifecycle management plan is often difficult because even when equipment is well cared for, the technology may still fail. The stressors on technology under constant use are greater than those that are used less. Best practices for a lifecycle management plan include the adoption of defined useful life timelines, such as three to four years for MDCs, and developing strategic partnerships with the respective vendors to garner price, warranty and support advantages for the department.
Because technology is expensive, organizations often push technology beyond its useful life because of budgetary constraints. However, developing, implementing and adhering to an established lifecycle

management program will increase productivity and morale in a manner that can equal the costs of technology replacement.

Eliminating the multitude of one-off implementations and using a standardized platform creates economies of scale and lessens the burden of lifecycle management. Placing technology into tiers of importance will also assist in the budgetary process. Budgets are what drive government, and in today's economy, those budgets are constrained with requests for more services with less revenue. Revenue enhancements are never popular, but neither is a reduction of service - especially when that service is public safety. Lifecycle management provides a budgetary framework for IT spending and predicates its success on established standards and documentation of the enterprise IT portfolio.

CURRENT STATE OF TECHNOLOGY

The RPD is modernizing its policing technologies. It is undertaking an effort, in partnership with Motorola, to implement an enterprise class platform from which to build its future state of technology. This standardization onto a common platform provides the foundation for the establishment of an enterprise architecture with additional modules to integrate disparate, legacy or silo-based applications, while improving data quality and data analysis.

Technology Footprint

Our assessment team observed the leadership, commitment, mindset and resolve by all those interviewed to improve the overall technology position of the department. The collaborative interactions between the City of Riverside Innovation and Technology Department and the internal command and technology staff of the RPD were optimistic about the technology tasks they currently face.

The assessment team learned throughout the interview process the most critical issue and major pain point for the RPD is Records Management and the inability to develop a central data repository. This has been determined as an immediate goal for the department to address, among other issues that have direct impact on officer safety and delivery of public safety services to the citizens of the City of Riverside. Additional problem areas are the result of limited technology personnel available to support a vast technology infrastructure.

During the interview, the teams discussed in detail the multitude of server, storage and tape devices, some of which are considered legacy and are resource intense, both monetarily and for personnel, to support. The diverse, segmented and fragmented number of systems and applications have been implemented to address a multitude of disparate or single issues without consideration or coordination towards the overall department's IT needs.

As is often common for government agencies, budgetary constraints have limited the department's ability to move forward. However, the RPD was diligent when upgrading its Motorola radios and achieved overall savings of $1.2 million from that project. With the support of the City of Riverside's Chief Innovation Officer, the department was able to reallocate those funds into its newest initiative with Motorola – upgrading the current PremierOne CAD and implement the PremierOne records module. This undertaking will establish the department's enterprise architecture framework, from

which it can implement a standards-based approach. This framework will meet the RPD's current needs while providing an extensive and scalable platform to standardize other disparate or single-use solutions currently implemented throughout the department.

The PremierOne platform is compliant with the NIEM and the Law Enforcement National Data Exchange (N-DEx). It provides integrated information sharing capabilities through national data exchange standards. It is also compatible with state and federal-compliant Incident-Based Reporting and UCR systems. Through these integrated platforms, PremierOne's platform provides civilian and sworn personnel with a common platform to enter, validate and analyze their data entries for reporting and compliancy.
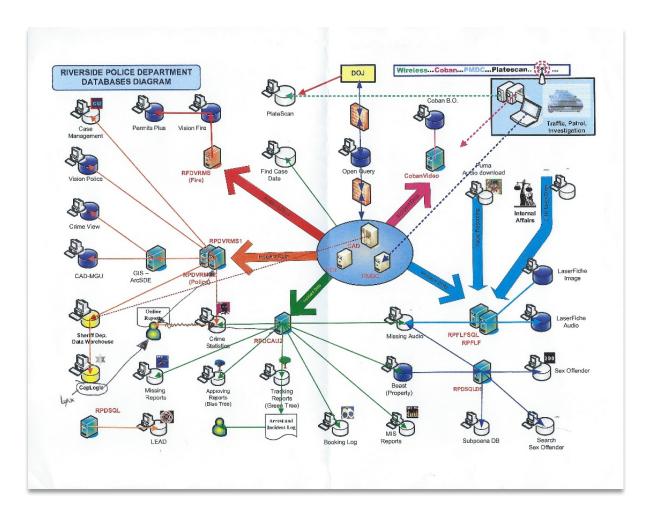
The following technologies were discussed during our interviews. They provide a baseline representation of the critical law enforcement systems currently in use at the RPD.

Table 4: Technologies Discussed during Interviews

Applications	Vendor
Computer Aided Dispatch (CAD)	Motorola PremierOne
Mobile	Motorola PremierOne
Records Management System (RMS)	Tritech Vision RMS
Video (On-officer and Interview)	Coban
Data Warehouse	Laserfiche
Field Reporting	Not today, but a component of PremierOne CAD upgrade
Map	ESRI ArcGIS
Crime Analysis	Crime View
Mobile Citation	Crossroads
Early Warning System	Department developed
DIMS	Photo Management
Beast	Property Management (Evidence)

The technologies described above, combined with the many other single-use applications with the Department and the applications implemented by other justice partners, result in a complex IT architecture as illustrated in the following image.

Implementing an enterprise architecture that is supported by the City of Riverside and RPD leadership will enhance the overall mission of the department, assist with cost containment and prove advantageous to existing IT resources from a knowledge and support standpoint. IT resources will not have to be versed in varied IT technologies and implementations, but focused solely on the standardized architecture – providing overall cost savings to the organization by streamlining the IT footprint and controlling the required IT knowledge base required to support the RPD. Additionally, it will reduce the overall risk of failing projects and eliminate the use of silo-based solutions. Although quick fixes may seem plausible, they are at the root of nearly all failed IT initiatives, as they do not take into consideration the overall organizational need or impact. Deputy Chief or Special Projects-level oversight and adherence to a sound enterprise architecture methodology will deliver a technology roadmap and provide overall value and operational effectiveness for the RPD.

Strategic and Tactical Approach

During our assessment, the Hillard Heintze team reviewed the RPD 2010 – 2015 Strategic Plan.[10] The focus is strategic in nature and includes references to the need to "develop and implement a more effective and efficient case management tracking system" and "develop and implement a plan to provide radio interoperability among Riverside area public safety agencies." The department continues to strive towards excellence and achieve the outlined goals. For example, the RPD was successful in its implementation of interoperable communications and has begun work on the case management initiative.

However, the strategic plan is out of date and does not specifically identify key elements for IT, such as consolidation strategies, integration and information sharing, or performance metrics to measure success. It also does not discuss long-term approaches to sustaining the RPD's technology solutions beyond 2015. The department's involvement in multi-year planning of IT is critical for successful multi-faceted technology implementations. This practice of IT strategic planning is a "must do" to ensure technology meets the tactical needs of the department today with a vision towards the overall strategic roadmap for the future.

We recommend that the department create robust three-to-five-year IT-specific strategic plans, supplemented by single-year tactical plans. The former should outline the strategic roadmap over the multi-year period. It should detail integration and consolidation plans to streamline the vast assortment of single-use applications, as well as provide the roadmap to the enterprise architecture. The single-year tactical plans should specify activities, goals and tactics for the current year in the pursuit of the overall IT strategic plan.

Budgets and citizen-focused services should influence the planning process, as priorities of the community, government leaders and the department will help develop the priorities of the RPD. Any project undertaken must map to the overall strategy, and any IT-related project must map to the IT strategic plan. The department's reliance on technology to ensure citizen and officer safety should never be used as a sales tool, but a clear understanding of the dependence on interoperable communication and integrated information sharing is mandatory. The technology is needed to provide the right information, at the right time, to the right person to ensure safe and proactive law enforcement.

As the City of Riverside prioritizes its annual budget and community goals each year in accordance with factors such as constituent priorities and budgetary constraints, the department should develop its own tactical plans in support of its overall strategic plan for IT. The RPD must provide insight and oversight on how the technology roadmap will contribute to the City of Riverside's and the department's goals, and how these strategy blueprints are to be managed, tracked and measured.

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[10] http://www.riversideca.gov/rpd/ChiefOfc/2010-2015%20Police%20Final.pdf

CURRENT IT RISKS

During our assessment, the Hillard Heintze team identified the following as the primary IT risks facing the RPD at this time.

- The greatest risk facing the Department is the $1.2 million enterprise project, which is being undertaken without a clear direction on project management, project oversight, project documentation, change management or vendor management, all of which can lead to costly project overruns.

- The RPD does not have a clear strategic or tactical plan relating to IT, which is critical for the operation of the department.

- The RPD does not have consolidated documentation or inventory records detailing all current hardware, software or applications in use. Most of the system detail exists in the knowledge of the respective IT personnel responsible for system management, but not available to Department or City Leadership for strategic or tactical planning purposes.

- There is no clear roadmap for the consolidation of single-use or legacy applications currently in use into a supported Enterprise Architecture allowing the Department to take advantage of economies of scale.

- There appears to be a disconnect between the Innovation and Technology Office and the department's technology staff regarding change management. For example, some of those interviewed explained that when the Innovation and Technology Department sent change notices, and some of the changes subsequently caused some form of degraded or lost technology services to the department.

- Administration and technology team members have not been fully trained on national integrated information sharing standards, protocols and practices. These nationally driven information-sharing efforts are at the forefront of data integrity and data sharing across all justice partners.

Recommendations – Use of Technology and Communications Systems
Ensure the following are in place when undertaking projects, such as the Motorola PremierOne CAD upgrade and Motorola PremierOne Records implementation, to avoid costly budgetary overruns:

	- Enterprise view of entire IT environment - Scope statement and scope management protocols - Project documentation including timeline, resources, tasks, milestones and deliverables - Change management protocols - Vendor management protocols
4.1	Understanding of the critical path and interdependencies of tasks

	• Identify all key stakeholders and include them in the process • Develop project metrics and measurements (e.g., burn rate, task management, milestone, deliverable management) • Executive sign-off at each milestone
4.2	Adopt an enterprise architecture framework and build toward the future state of the department's technology needs. The department has the groundwork established with the adoption of the Motorola PremierOne platform. Ensure new application needs or lifecycle management of legacy systems are migrated into the standardized platform.
4.3	Implement a robust portfolio management program to fully document all of the systems, hardware, software, firmware and patch management levels, with the guiding principle of lifecycle management practices. Budgets will ultimately drive lifecycle activities, but documentation of the entire enterprise serves as a planning function that will drive strategic and tactical planning of the department.
4.4	Develop IT strategic and tactical plans based on the standardization model of enterprise architecture and device and application inventory of portfolio management.
4.5	Map the existing application footprint, including single-use or operationally specific applications uses throughout the department to be incorporated into the Motorola PremierOne platform. This will provide economies of scale regarding costs and technology resource allocation for the department building on a standardized platform.
4.6	Ensure a requisite sign-off by the deputy chief or his designee is required when change management is required. This allows department leadership and technology staff, in partnership with the Innovation and Technology Department, to determine what, if any, detrimental effects may occur with the proposed change.
4.7	Ensure training is provided to administration and technology staff on the national integrated justice information sharing standards such as NIEM and JRA. These established protocols streamline integration efforts between disparate, legally separate entities within the justice agency community.
4.8	Implement an Enterprise Project Management Office, providing collaboration and integration of all projects underway or under consideration to garner consolidation of systems and establishing an Enterprise Architecture model delivering economies of scale.
4.9	Develop a detailed five-year IT strategic plan that aligns with the overall organization strategy. To achieve the goals defined in the five-year IT plan, the organization should also develop one-year tactical plans with defined performance measures that align directly with the long-term strategy.

5   Staffing and Deployment

Like most cities throughout California and elsewhere, the most recent economic downturn has had a profound effect on the city budget of Riverside, which in turn has impacted the ability of the RPD to provide appropriate services to the residents of the City of Riverside. Of particular mention is the significant impact budget-driven staffing cuts have had on RPD patrol officers' ability to engage in self-initiated law enforcement activities and community engagement opportunities.

In fact, in 2016, patrol officers spent 84 percent of their time handling calls for service, leaving only an average of 16 percent of their time available for free patrol time in which self-initiated activities may occur. This stands in stark contrast to the average free patrol time of approximately forty percent in cities comparable in size to the City of Riverside.

Like their sworn counterparts, personnel in the Records and Communications Bureaus also experience ongoing operational deficiencies due to budget-driven staffing cuts, with mandatory overtime being mandated for employees so the department can function. Operational inefficiencies have also been exacerbated by the current RMS that does not include an automated report writing function, requiring Records Bureau personnel to process and distribute all the paper-based police reports by hand. Fortunately, the RPD has moved forward and acquired a new RMS, yet it is still approximately 18-24 months away from initial implementation.

This section of the assessment report provides greater detail on the current state of staffing and deployment within the RPD. It also provides recommendations for how the department could choose to deploy the additional patrol staff it will receive over the next four years due to recent voter approval of Measure Z, which has added a 1 percent increase to the local sales tax to support public safety and other priorities for the City of Riverside.

RECORDS BUREAU

The RPD Records Bureau has two physical locations. The primary location is in the police headquarters building. A second location operates mainly as a satellite front counter operation at the Magnolia Avenue location.

The Records Bureau performs a wide range of data and records functions and is organized into five main groups: Court Services, Data Entry, Front Counter (one at each location), Media and Processing. It has a current staff level of 37. Staffing is as follows:

Table 5: Records Bureau Staffing

Function – Location	# of Positions	Detail on Positions
Court Services	4	1 supervisor, 1 service representative, 1 senior records specialist, 1 senior office specialist
Data Entry	8	1 supervisor, 2 service representatives, 5 records specialists
Front Counter – Magnolia	3	1 supervisor, 2 senior records specialists
Front Counter – Orange	4	1 supervisor, 3 senior records specialists
Media Unit	3	3 senior records specialists
Processing	13	1 supervisor, 12 records specialists
Analysts	2	1 senior administrative analyst and unit supervisor, 1 system analyst

The Data Entry Unit has responsibility for entering (UCR information. This is a high departmental priority, and the unit has been able to enter all the required UCR data by the end of each month.

The Front Counter at Magnolia needs four positions to operate effectively. One position from headquarters is temporarily assigned to Magnolia to cover this shortage.

The Media Unit provides materials including reports, audio recordings and video recordings to the public pursuant to California open records requirements. The department is going to outfit officers with body-worn cameras in the near future, which will dramatically increase the workload of this unit. Because of the separate job titles in the Records Bureau, there is a lack of flexibility in job assignments. Leadership of the Records Bureau is currently developing a proposal that would create a single, all-encompassing job title, with a number of longevity steps, to enhance the ability to move people to meet work demands.

Four positions were cut during budget shortfalls. In order to maintain its current production, the Records Bureau has instituted mandatory overtime requirements for its personnel. The cutback also led to the suspension of an effort to integrate old microfiche records into the current system.

The Records Bureau is scheduled to get four positions back in July: two police records specialists and two senior police records specialists. This should reduce overtime and allow full staffing at Magnolia.

The Records Bureau is in a state of flux. The department does not have an automated report entry system and many processes that would normally be automated are still conducted manually. The department is in the process of acquiring a new RMS that will work in conjunction with its CAD system. Officers will enter their reports into the system, assign UCR codes and forward electronic copies to their supervisors for review and sign off. One new role for the Records Bureau will be quality control.

Many other records operations will change and some will be eliminated. The department should begin planning for this transition. Contacting other agencies that have undergone a similar transition implementing the same RMS software should enable the RPD to plan more effectively for the staffing impact of the new system.

COMMUNICATIONS BUREAU

The Communications Bureau receives calls from the public and dispatches units for both the Riverside police and fire departments. Approximately 87 percent of the work is generated by police calls; 13 percent by fire calls. The Bureau is commanded by a police lieutenant and is authorized to have the following positions:

- 1 police communications analyst
- 6 public safety communications supervisors
- 4 public safety dispatcher (PSD) I positions
- 41PSD II positions

A PSD II can perform any of the jobs in communications. The PSD I positions are restricted from operating the primary dispatch channels. Currently only 31 PSD II positions are filled, although there are four PSD II trainees. Three of the four PSD I positions are filled; the empty position is staffed by seven part-time employees who can work any job in the center.

The communications facility has 18 multifunction work stations capable of being used for both call-taking and dispatching. Two are used as supervisory stations. Typically, three are used for primary dispatch for police, fire and information. During busy periods, the primary dispatcher positions are backed by other dispatchers.

Communications personnel work three 12-hour days followed by three days off. Each dispatcher works an additional eight hours, so the hours worked total 80 in each two-week pay period. Shift times are from 0700 to 1930 (day shift) and 1900 to 0730 (swing shift). Typically, about 65 percent of the personnel are assigned to day shift – the busiest period – with 35 percent assigned to swing shift. Staffing vacancies result in the requirement that dispatchers work mandatory overtime. There are two such backfill shifts on day shift and one or two on swing shift depending on the day of the week. Busier days have the two backfill shifts.

The backfill shifts are composed of three four-hour slots to try to reduce fatigue that results from mandatory overtime. Additional overtime may be required to fill vacancies from vacations, illness or usage of other leave time. Dispatchers average about 20 hours of overtime per month.

Call takers are also certified as emergency medical dispatchers. They may engage in a lengthy conversation with callers to provide medical assistance until the paramedics arrive at the scene. Call takers are also encouraged to get as much information as possible from callers to inform first responders and facilitate crime analysis.

Public safety communications operations across the country are increasingly difficult to keep fully staffed. The City of Riverside needs not only to fill dispatcher vacancies, but also needs to add positions. Filling the vacancies will help to reduce mandatory overtime, which can lead to burnout and turnover.

The department's four-year staffing plan would add three positions in the first year and two each of the following three years for a total of nine new positions. This equates to approximately two additional dispatchers added to each shift. These additions will enable the department to weather the inevitable turnover more effectively and may reduce the turnover rate because of substantially reduced mandatory overtime.

Issues with CAD data

As the department moves to implement an updated version of its CAD system, it should consider the following:

- The department should improve data quality by enforcing edit checks. There are too many entries that appear to be typos. Either the system allows free text entry or it is easy to override the system when an entry error is made.

- There are too many incident types. There seem to be well over 500. Many were used only once in the year. The department should seek to limit the number of types to no more than 200. There are also incident codes that have no definition other than an abbreviation.

- Call signs should be limited. In the 2016 data review, there are 681 different call signs. Some of this is a result in the changes in beat structure and corresponding re-numbering of patrol call signs, but many others are used only once.

- The department should standardize the use of time stamps. There are some records with no dispatch times. Most of these are self-initiated activity and the on-scene time is the first time stamp. The on-scene and dispatch times should both be used and may be the same for self-initiated calls. There also records with no dispatch time or on-scene time, yet have an en route time stamp. Some records have no case clearance times noted, which indicates when personnel cleared a call and went back into service.

Edit checks and data quality should also be major themes in the new RMS.

BALANCING PATROL OFFICER DUTIES

RPD patrol officers, like their counterparts in most American law enforcement agencies, spend their time responding to calls for service (CFS) from the public, engaging in field-initiated activity where officers take proactive action and performing a variety of administrative tasks. The public asks for police service by calling the police dispatch center – either through 911 or on a non-emergency line – or in person by hailing an officer in the field or making an appearance at a police facility.

Officers responding to a call from the public may handle the incident informally, write a report about the incident if necessary (usually when their preliminary investigation indicates that a crime has been committed) or, when circumstances warrant, make an arrest.

We analyzed a year's worth of dispatch data – from January 1, 2016 to December 31, 2016 – and assessed the work of RPD patrol officers. There were 276,252 usable records in the resulting database. Analysis was hampered by substantial changes in patrol procedures during the year. Call priorities were changed in early August, and the number of beats was increased from four to five as of December 1. The number of records that reflect patrol officer activities was 181,470. Of these, 153,206 recorded CFS (labeled either "9-1-1 Call" or "Non 9-1-1 Call"). The remaining 28,264 were self-initiated by patrol officers (labeled either "Field Initiated" or "MDT Initiated").

The most frequent types of CFS dispatches are presented in the following table.

Table 6: Most Frequent Call Types – 2016

Call Type	# of Calls
Subject Bothering	12,829
Audible Burglary Alarm	10,579
Suspicious Person	6,497
Boyfriend/Girlfriend Disturbance	5,935
Check The Welfare	5,249
Family Disturbance	5,195
Suspicious Auto And Occupant	4,596
Mental Subject	3,212
Loud Party	3,017
Trespassing	2,669

These 10 call types account for 39 percent of all calls. Other jurisdictions have high frequencies of call pertaining to disturbances, alarms and suspicious circumstances. However, in Riverside, the total of number of disturbances – Subject Bothering, Boyfriend/Girlfriend Disturbance and Family Disturbance – equals 23,959, a rate higher than many comparable jurisdictions. This constitutes an average of 66 per day. Also, there is a relatively high number of calls to "Check the Welfare" and about a "Mental Subject." The combination of these frequent problems may indicate more social issues for these events than is found in other cities.

When patrol officers initiate an action, they may do so because they see suspicious behavior, observe a traffic violation, are conducting a follow-up investigation to gather more information on a previous case or are looking for suspects with outstanding warrants. Such activities are products of an officer's discretion. The officer decides when and where to begin these encounters. The frequency of self-initiated activities that an officer performs is dependent, to some extent, on how busy the officer is with

CFS and the availability of appropriate proactive policing opportunities. For the one-year study period, RPD officers recorded a total of 28,264 self-initiated activities. This represents about 16 percent of the total recorded patrol dispatch activities. Comparable jurisdictions typically average in the neighborhood of 40 percent for self-initiated activity. The relatively low number of self-initiated activities may be an indicator of a lack of time for officers to spend on this activity due to a high demand for CFS response.

The most frequent patrol officer self-initiated activities are displayed in the next chart.[11]

Table 7: Most Frequent Patrol Self-Initiated Activity 2016

Type of Patrol	Amount of Activity	Percentage of Self-Initiated Activity 2016
Traffic stop	10,759	38.1%
Subject stop	4,350	15.4%
Extra patrol	3,582	12.7%
Bike patrol	1,355	4.8%
Pedestrian checks	1,288	4.6%

CFS response and self-initiated work are both critical parts of patrol operations. A primary difference is that the police department can have little impact on when CFS take place. Members of the public call the police whenever they think they need the police. The expectation is that a uniformed officer will promptly arrive. Most departments manage this workload to some extent by separating urgent calls that require an immediate high priority response from non-urgent calls that may merit a delayed response. However, the times when the call is placed cannot be controlled by the police. Self-initiated work is started by patrol officers when they are not responding to calls. The more time that is used for CFS response, the less time there will be for self-initiated work, problem solving and community engagement activities.

Some agencies use the dispatch system to record administrative activities by patrol officers. These may include meal breaks, medical assists and various meetings. Some agencies record report writing time, although some consider that part of the time spent on a call for service. Administrative activities are not tracked through the RPD's CAD system.

The first step in determining whether the number of patrol officers is adequate in a jurisdiction is to compare available patrol officer time to the workload that needs to be performed. To begin this process, we calculated the average CFS workload for the 2016 data.

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[11]   The table provides data for Subject Stops and for Pedestrian Stops. Although both types of stop may be one and the same, they are listed separately because RPD dispatchers use both descriptions to enter data into the department's CAD system.

The total time spent on CFS included the time spent by each patrol officer on each call from the time the officer was dispatched by Communications until the officer indicated to the dispatcher that he or she completed the call, or "cleared" it. The method we used here places the time consumed on a call into the hour block in which it actually occurred.

For example, if the officer was dispatched at 10:45 a.m. and cleared the call 35 minutes later at 11:20 a.m., 15 minutes was allocated to the 10:00 – 10:59 time block and 20 minutes was allocated to the 11:00 to 11:59 time block. We averaged the total amount of time for the year.

Because RPD assigns two officer units to a significant amount of calls (about 35 percent of the dispatches are handled by two-officer patrol units), the time for those calls was doubled to account for the total time consumed by two officers. The average time consumed by patrol CFS workload performed by RPD patrol officers in 2016 is displayed in the following chart.

Table 8: Average Time Consumed by Patrol CSF in Hours – 2016

Hour	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
0000	9.6	10.4	10.2	10.1	11.2	12.7	15.4
0100	16.2	8.4	7.9	7.8	7.9	10.1	12.8
0200	12.8	7.5	7.0	6.7	6.3	8.3	11.6
0300	11.0	6.8	6.1	5.3	5.5	7.5	10.1
0400	8.8	5.9	5.6	5.4	4.8	6.9	8.1
0500	7.2	6.1	5.3	5.6	4.8	6.2	6.4
0600	7.3	6.6	6.6	6.6	6.1	7.2	6.5
0700	5.7	5.5	4.9	4.2	4.9	5.4	5.9
0800	7.4	9.0	9.1	8.9	9.0	8.8	9.2
0900	7.7	9.7	9.5	10.2	9.7	9.7	9.8
1000	8.7	10.2	9.8	10.4	10.1	10.0	10.1
1100	9.6	10.8	10.1	10.3	10.4	10.2	10.9
1200	10.0	11.3	10.9	10.9	10.7	10.5	11.2
1300	9.7	11.0	10.6	11.0	11.5	10.6	11.5
1400	10.2	11.2	11.0	10.8	11.6	10.1	12.0
1500	12.0	14.1	12.8	12.8	13.5	12.3	13.6
1600	14.9	17.4	16.3	15.8	16.5	17.7	18.3
1700	14.2	16.8	16.1	16.5	15.7	17.1	16.8

	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
1800	14.0	16.2	15.3	15.4	15.3	16.4	16.1
1900	15.0	15.3	14.4	14.7	14.7	15.5	15.3
2000	14.6	15.1	14.1	14.2	14.1	15.0	15.0
2100	13.6	14.8	13.8	13.8	14.1	14.4	15.1
2200	15.8	15.3	14.6	14.6	15.6	17.1	19.2
2300	16.8	15.3	15.4	15.5	16.8	19.2	21.3

Highlighted time blocks indicate high periods of CFS activity, higher than 15 hours per time block. Two peak times are just after midnight on Saturday and Sunday nights. Other busy periods occur late afternoons, early evenings every day but Sunday and from 2200 through 2300 every evening.

The next table shows the average number of officers on duty by day of the week and hour of the day in a matrix similar to that displayed for CFS. It shows the average number of officer hours available based on the schedule and on the "show-up" rate. The show-up rate takes into account absences due to training, vacation, illness, court time and other leave. The schedules were derived from rosters furnished by the department from February 17, 2017 and March 10, 2017. Patrol rosters vary from time to time as some officers get injured, leave the department or return from modified duty or from a Family Medical Leave Act absence.

The sample rosters showed 104 officers scheduled including four "backfill" positions. These are vacant positions but are considered critical so that they are usually filled by a scheduled overtime shift. Not all officers scheduled show up to work each day. Absences may be due to vacation, illness, training, court or other leave time. The RPD estimates the show-up rate for patrol officers is 75 percent, typical of other similar agencies. The following table shows the average number of officers that can be expected to be on duty taking into account the show-up rate.

Table 9: Riverside Patrol Schedule at 75 Percent Show-Up Rate

Hour	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
0000	27.0	29.3	29.3	36.0	38.3	27.8	25.5
0100	12.8	13.5	12.0	15.0	18.0	15.0	12.8
0200	12.8	13.5	12.0	15.0	18.0	15.0	12.8
0300	12.8	13.5	12.0	15.0	18.0	15.0	12.8
0400	12.8	13.5	12.0	15.0	18.0	15.0	12.8
0500	12.8	13.5	12.0	15.0	18.0	15.0	12.8
0600	12.8	13.5	12.0	15.0	18.0	15.0	12.8
0700	24.8	24.8	26.3	33.0	33.0	27.8	25.5

Hour	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
0800	12.0	11.3	14.3	18.0	15.0	12.8	12.8
0900	12.0	11.3	14.3	18.0	15.0	12.8	12.8
1000	12.0	11.3	14.3	18.0	15.0	12.8	12.8
1100	12.0	11.3	14.3	18.0	15.0	12.8	12.8
1200	12.0	11.3	14.3	18.0	15.0	12.8	12.8
1300	12.0	11.3	14.3	18.0	15.0	12.8	12.8
1400	12.0	11.3	14.3	18.0	15.0	12.8	12.8
1500	27.8	28.5	31.5	38.3	30.8	25.5	27.0
1600	27.8	28.5	31.5	38.3	30.8	25.5	27.0
1700	15.8	17.3	17.3	20.3	15.8	12.8	14.3
1800	15.8	17.3	17.3	20.3	15.8	12.8	14.3
1900	15.8	17.3	17.3	20.3	15.8	12.8	14.3
2000	15.8	17.3	17.3	20.3	15.8	12.8	14.3
2100	15.8	17.3	17.3	20.3	15.8	12.8	14.3
2200	29.3	29.3	32.3	38.3	30.8	25.5	27.0
2300	29.3	29.3	32.3	38.3	30.8	25.5	27.0

RPD patrol officers work four 10-hour days followed by three days off. There are three watches: from 2200 hours to 0800 hours (midnight), from 0700 to 1700 (dayshift) and from 1500 to 0100 (swing shift), which creates a one-hour overlap between the midnight and day shifts, a two-hour overlap between the day and swing shifts and a three-hour overlap between the swing and midnight shifts.

Each shift has eight squads with varying days off in an attempt to have more officers at work during peak periods. Swing shift has the most officers scheduled. The department overstaffs Wednesday to provide for on-duty training time for collateral duties such as SWAT, hostage negotiation and other specialties.

The following table shows what portion of the average weekly patrol officer time is consumed by the average CFS time:

Table 10: Average Percent of Patrol Officer Time Consumed by CFS

Hour	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
0000	34.4%	34.7%	35.7%	33.6%	29.3%	42.3%	53.9%
0100	120.2%	58.7%	58.4%	55.0%	43.7%	70.9%	89.5%

0200	94.7%	52.9%	51.6%	46.9%	34.8%	58.0%	81.3%
0300	81.4%	48.0%	44.8%	36.8%	30.4%	52.9%	70.6%
0400	64.8%	41.6%	41.7%	37.8%	26.7%	48.3%	57.0%
0500	53.2%	42.9%	39.0%	39.5%	26.7%	43.2%	45.1%
0600	53.8%	46.4%	48.9%	46.1%	34.0%	50.3%	45.6%
0700	21.7%	20.8%	18.0%	13.1%	14.9%	18.8%	21.4%
0800	57.9%	74.6%	67.0%	49.2%	59.9%	61.6%	67.9%
0900	60.5%	80.7%	70.0%	56.4%	64.3%	68.1%	72.7%
1000	68.5%	84.6%	72.7%	57.7%	67.3%	70.4%	74.8%
1100	75.3%	89.6%	74.8%	57.0%	69.3%	71.5%	80.6%
1200	78.2%	93.9%	80.7%	60.7%	71.0%	73.8%	82.6%
1300	76.3%	91.8%	78.3%	61.2%	76.7%	74.0%	85.4%
1400	79.6%	93.6%	81.6%	59.9%	77.2%	70.9%	89.0%
1500	42.2%	52.2%	43.7%	33.4%	44.0%	43.0%	48.8%
1600	52.1%	64.3%	55.8%	41.3%	53.5%	62.2%	65.8%
1700	89.9%	111.8%	102.4%	81.3%	99.5%	119.6%	118.0%
1800	89.0%	107.9%	97.0%	75.9%	96.9%	115.2%	112.9%
1900	95.0%	102.0%	91.4%	72.7%	93.1%	108.8%	107.0%
2000	92.5%	100.3%	89.3%	70.3%	89.2%	105.5%	105.0%
2100	86.2%	98.4%	87.5%	67.9%	89.5%	100.8%	105.7%
2200	52.7%	53.8%	48.7%	38.0%	52.1%	59.8%	69.1%
2300	55.9%	53.5%	51.4%	40.4%	55.8%	67.2%	76.8%

The weekly average time consumed is 65.6 percent. The time blocks that are shaded indicate that more than 85 percent of the average available officer time is consumed by CFS. There are 39 such blocks. Of these, 16 show over 100 percent of the average patrol officer time being consumed. This indicates that, on average, there are not enough patrol officers available to respond to CFS. CFS work is also being performed by supervisors – sergeants – or by officers in other units, such as Canine, Traffic and Foot Patrol.

The bulk of the high time consumed blocks occur during swing shift. The other times are high enough that moving officers from other shifts to swings will leave those shifts shorthanded. Other high periods are Monday and Saturday during the day shift and on midnight after 0100 until 0400.

One effort to attempt a better match of officers to work load was to simplify the schedule into an "A Squad – B Squad" approach. On each watch, officers work a shift with either Sunday – Monday – Tuesday off (SMT) or Thursday – Friday – Saturday (TFS) off. All are scheduled for Wednesday for training purposes. The number of officers allotted to each of the days-off cycles is based on when workload is highest. Usually, fewer officers have TFS off because the workload is usually higher at the end of the week. This simulation for the RPD did not improve the match of officers to the CFS workload, in that the average time consumed by CFS would actually increase from 65.6 percent to 69.4 percent.

Another simulation was constructed to bring patrol workload down from the very high periods. It required the addition of 12 officers:

- Two positions to dayshift with Tuesday, Wednesday and Thursday off.

    - Given the show-up rate of 75 percent, this translates to 1.5 additional positions on-duty.

- Ten positions to swing shift:

    - Four with Thursday, Friday and Saturday off.

        - Taking into account the show-up rate, this translates into an average of three additional positions on-duty.

    - Six with Sunday, Monday and Tuesday off.

        - Taking into account the show-up rate, this translates into an average of 4.5 additional positions on-duty.

The department should also create overtime slots for Sunday night and Saturday night; four for 0100-0400 on Sunday and three for 0100-0400 on Saturday. Another option is to create a late swing shift with hours of 1800 to 0400.

With these additions, the resulting matrix would look as follows.

Table 11: Simulation – Average Patrol Officer Time Consumed by CFS with Added Officers

Hour	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
0000	29.6%	31.6%	32.3%	30.6%	24.5%	36.8%	46.6%
0100	98.4%	58.7%	58.4%	55.0%	43.7%	70.9%	77.3%
0200	77.5%	52.9%	51.6%	46.9%	34.8%	58.0%	70.2%
0300	66.6%	48.0%	44.8%	36.8%	30.4%	52.9%	61.0%
0400	64.8%	41.6%	41.7%	37.8%	26.7%	48.3%	57.0%
0500	53.2%	42.9%	39.0%	39.5%	26.7%	43.2%	45.1%
0600	53.8%	46.4%	48.9%	46.1%	34.0%	50.3%	45.6%
0700	20.5%	19.6%	18.0%	13.1%	14.9%	17.9%	20.3%

0800	51.8%	66.3%	67.0%	49.2%	59.9%	55.8%	61.1%
0900	54.2%	71.7%	70.0%	56.4%	64.3%	61.6%	65.4%
1000	61.3%	75.2%	72.7%	57.7%	67.3%	63.7%	67.3%
1100	67.4%	79.6%	74.8%	57.0%	69.3%	64.7%	72.6%
1200	69.9%	83.5%	80.7%	60.7%	71.0%	66.8%	74.3%
1300	68.3%	81.6%	78.3%	61.2%	76.7%	67.0%	76.9%
1400	71.2%	83.2%	81.6%	59.9%	77.2%	64.1%	80.1%
1500	36.5%	44.7%	39.6%	27.9%	38.4%	35.5%	40.1%
1600	45.0%	55.1%	50.6%	34.5%	46.7%	51.4%	54.1%
1700	75.6%	93.1%	86.0%	59.3%	77.4%	90.9%	89.7%
1800	74.8%	89.9%	81.5%	55.4%	75.4%	87.6%	85.8%
1900	79.8%	85.0%	76.8%	53.0%	72.4%	82.7%	81.3%
2000	77.7%	83.6%	75.0%	51.3%	69.4%	80.2%	79.8%
2100	72.4%	82.0%	73.5%	49.5%	69.6%	76.6%	80.4%
2200	47.9%	48.7%	44.2%	31.8%	45.3%	51.7%	59.4%
2300	50.9%	48.4%	46.8%	33.8%	48.6%	58.0%	66.1%

This would reduce the overall average time consumed to address CFS to 58.2 percent. Only nine time blocks average over 85 percent time consumed, and none are over 100 percent.

The RPD has a four-year plan to add officers. Getting the average time consumed by CFS to 58.2 percent will require 116 officers. This would mean filling vacancies to bring the total current allocation to 110 and adding six new positions. The first year of the four-year plan will add a total of 14 officers. If the average CFS workload stays approximately the same, the following time spent on CFS could be expected:

Table 12: Time Spent on CFS

Year	Additional Officers	Total Patrol Officers	Average CFS Time
One	14	124	51.0 %
Two	16	140	45.1 %
Three	14	154	41.1 %
Four	14	168	37.7 %

These figures are based on keeping patrol fully staffed, which in most police departments is hard to achieve, given normal turnover. The figures also assume a static level of CFS workload. As the City grows, CFS will increase, probably increasing the time consumed percentages.

There are no universally accepted standards for how much patrol time should be consumed by CFS. Some departments set an informal target for the amount of patrol officer time that is consumed by CFS at 30 to 40 percent. Other departments may set targets at 50 or 60 percent.

With the high CFS time consumed by patrol in Riverside currently at 65.6 percent, there is little time for self-initiated activity or community engagement. The Department has indicated it would like to limit the time patrol officers spend handling CFS to no more than 60 percent, with a goal of dropping it to 40 percent, which would increase free patrol time so officers could boost self-initiated activities and become more engaged with the community.

Few jurisdictions track closely how patrol officer time is used or set formal targets. Work in other cities has shown variation in target utilizations for patrol officer CFS time. Kansas City, Missouri at one time had a standard of 35 percent. Chandler, Arizona, a large Phoenix suburb, set a standard of 40 percent. In San Francisco, the time consumed varied in each of the city's 10 police districts from a low of 30 percent to a high of just over 50 percent. Some years ago, Tallahassee, Florida, with an actual figure of 67 percent, set a target to reduce call-for-service time to 50 percent. West Palm Beach, FL set a target at 45 percent.

The target for patrol staffing should balance the work that needs to be performed against the resources a jurisdiction has available for patrol services. A target of 35 percent for CFS time may be desirable, but more officers will be required than if the target is 50 percent.

Factors Affecting Allocation of Patrol Officer Time

The use of patrol officer time is an important policy decision. Local crime problems, demographics and policing style all can have an impact on patrol officer time utilization. Various special units in Riverside decrease the work of patrol and generate considerable activity. In 2016, Foot Patrol accounted for some 2,400 activities, Canine for almost 9,500, Motors and Traffic for 25,000, and University Neighborhood Enhancement Team for 3,100.

Police and city leaders in one jurisdiction may regard the patrol function as primarily composed of response to citizen CFS and self-initiated activities to deter and discover criminal activities (through traffic stops, pedestrian checks and building checks). Other cities want patrol officers to use their time to address crime and disorder problems discovered through a CompStat process. A CompStat approach requires prompt analysis of crime and disorder problems so that they can be readily addressed. Patrol officers are often directed to help in these efforts.

Some cities want patrol officers to spend some portion of their time conducting follow-up investigations of reported crimes. Patrol officers carry an investigative caseload, usually of minor crimes. Their knowledge of their patrol area is considered key in helping to solve these crimes.

Other cities want to adopt an enhanced community policing approach. This includes the assignment of patrol officers to the same area over time so they get to know the people and conditions in their areas. They may attend community meetings to listen to neighborhood concerns. They may be part of a team that develops plans and addresses community crime and disorder problems.

Currently, RPD patrol officers are swamped with CFS response. They have little time for anything else. By adding the substantial resources to the patrol force that are planned, the City and the department will be able to enhance the role of RPD patrol officers. They can become even more integral to the department's effort to work with the community to proactively decrease crime and disorder in Riverside.

Distribution of Additional Officers

As the department gets additional officers it should assign them according to places and times that generate the greatest CFS workload. The department uses four primary codes to indicate the geographic source of CFS. The following table shows this distribution:

Table 13: Geographic Source of CFS

Area	Percent of CFS
Center	26%
East	25%
North	22%
West	28%

New officers should be assigned geographically to approximately match the workload in these areas. Another factor that should be considered is assigning additional officers is time. The department uses three 10-hour shifts daily that overlap. To examine the differences in workload by time of day and to approximate the shifts, the following time periods were used: 0000 to 0800 (midnight), 0800 to 1400 (day) and 1400 to 0000 (swing). These time periods are not the actual time periods assigned to each RPD shift, but because of some overlapping in staffing between shifts that occurs, these time periods are used for illustrative purposes. The percent of CFS for each of these periods was:

Table 14: Percent of CFS

Time Period	Percent of CFS
0000-0800	23%
0800-1400	31%
1400-0000	46%

The swing shift period is twice as busy as midnight. New officers should first be assigned to cover that time period once they are ready for solo patrol work.

Another factor that needs to be considered is which days are busier than others. The following chart shows the relative workload by day of the week for each time period.

Table 15: Percent of CFS per Day for Each Time Period

Hour	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Sat.
0000-0800	18%	13%	12%	12%	12%	15%	18%
0800-1400	13%	15%	14%	14%	15%	14%	15%
1400-0000	14%	14%	14%	14%	14%	15%	16%

For the most part there is little variation by day of the week. The exception is on midnight shift on Saturday and Sunday. This results from high CFS workload in the early morning hours after Friday night and Saturday night. Consequently, as new officers are assigned to midnight shift, they should have days off cycles in the middle of the week rather than on weekends.

Recommendations – Staffing and Deployment	
5.1	Ensure the Records Bureau gets four positions back in July – two police records specialists and two senior police records specialists – to reduce overtime and allow full staffing at Magnolia.
5.2	Begin planning for the transition to a new RMS that will work in conjunction with the CAD system. Contact other agencies that have undergone a similar transition of implementing the same RMS software to plan more effectively for the staffing impact of the new system.
5.3	Fill the current dispatcher vacancies and add new positions to reduce mandatory overtime, which can lead to burnout and turnover.
5.4	Take the following actions during the implementation phase of the updated CAD system: • Improve data quality by enforcing edit checks. • Consider limiting the number of incident types to no more than 200. • Review incident codes that have no definition other than just the abbreviation. • Limit the number of call signs. • Standardize the use of time stamps.
5.5	Ensure that edit checks and data quality are included as major themes in the new RMS.

5.6	As the department gets additional officers, assign the officers according to places and times that generate the greatest CFS workload.
5.7	Assign new officers to cover the swing shift period once they are ready for solo patrol.
5.8	As new officers are assigned to midnight shift, ensure they have days off in the middle of the week rather than on weekends.

6   Financial Audit

NON-PERSONNEL EXPENDITURES

Overview of Audit

Hillard Heintze engaged Sierra Financial Group Ltd (SFG) to perform an assessment of non-personnel financial expenditures for the RPD over a three-year period, including fiscal years ending June 30, 2016, 2015 and 2014. SFG selected a sample from the RPD's non-personnel expenditure transactions and analyzed documentation supporting the sample transactions to assess compliance with relevant City procurement policies, adequate internal controls and appropriate business purpose. SFG has developed observations and recommendations related to the sampled transactions. SFG reviewed sample non-personnel transactions in the following categories:

- Accounts payable transactions and journal entries
- P-Card transactions
- Travel and expense reimbursements

The relevant City policies relied upon as part of the assessment are listed below, which SFG understands were the relevant purchasing policies in place for the three-year period (fiscal years ending June 30, 2016, 2015 and 2014). SFG was informed that the City's purchasing policies are currently being updated as part of a Purchasing Task Force estimated to be completed in 2017, hence some of the recommendations may already be a focus of the Purchasing Task Force.

Table 16: Relevant City Policies

Policy #	Policy Name
	Resolution No. 22576
07.001.00	Purchase Requisition
07.002.00	Routine Purchase Orders
07.003.00	Change Orders
07.004.00	Cancellation of Purchase Orders
07.005.00	Petty Cash Purchases
07.006.00	Request for Payment
07.007.00	Emergency Purchases
07.008.00	Annual Purchase Orders
07.009.00	Vehicle Purchases

07.010.00	Equipment Replacement
07.011.00	Receiving and Payment for Supplies
07.012.00	Surplus or Obsolete Materials and Equipment
07.013.00	Donation of Surplus or Obsolete Technology Equipment
07.014.00	Processing Negotiated Contracts and Agreements
07.015.00	Competitive Bids
07.016.00	Waiver of Formal Competitive Bids
07.017.00	Purchasing Card (P-Card)
07.018.00	FEMA Emergency Purchasing Procedures
07.019.00	Procurement Protest Procedures
04.001.00	Travel and Meeting Expense
03.007.00	Mobile Communication Device Policy
02.005.00	Contracting for Professional Services when fees are $50,000 or less
02.004.00	Contracting for Professional Services when fees are in excess of $50,000
RPD Policy 604	Confidential Funds

SFG's observations fall into three general categories: accounts payable transactions and journal entries, P-Card transactions, and travel and expense reimbursements.

Please note, SFG is not providing an audit opinion on the financial statements in relation to the assessment of non-personnel financial expenditures.

Accounts Payable Transactions and Journal Entries

The most frequent observation related to classification of accounts payable transactions, particularly transactions categorized as Professional Services. SFG identified that the majority of the sample transactions classified as Professional Services did not align with the definition of Professional Services in the applicable policies, nor were the Professional Services procedures followed. The other issues primarily relate to information requested to support transactions but not provided, such as invoices, purchase orders, contracts, Requests for Proposals or bid specifications or support for open market bids. The remaining observations related to issues identified with the amount invoiced.

SFG developed recommendations for these observations and made additional recommendations related to the process of justifying a single source, Request for Payment policy, IFAS workflow approval process, competitive bids policy and timing contract execution.

Purchasing Card Transactions

SFG identified observations relating to the types of purchases made on the P-Card, such as meals, charitable donations, computers and contractual software, gift cards and rental services. SFG identified payments for multiple invoices as well as other transactions exceeding the $2,500 maximum and instances where adequate receipts were not provided.

SFG made recommendations for these observations and developed additional recommendations related to clarifying the P-Card policy and ensuring consistency of documentation used to support purchases.

Travel and Expense Reimbursements

Observations related to travel and expense reimbursements include manual edits of the Statements of Expense as well as a per diem reimbursement submitted by one employee on behalf of a group.

SFG provided recommendations related to the overall assessment of policies and procedures, including the policy format, approval signatures and multiple methods of payment for the same type of expenditure.

SUMMARY OF PROCEDURES PERFORMED

SFG selected a sample of 153 non-personnel transactions, including 83 accounts payable transactions, two journal entries, 23 expense reimbursements and 45 P-Card transactions. The sample covered 11.25 percent of the total dollar value of non-personnel transactions for the three-year period. SFG requested supporting documentation for the sample population of 153 transactions and analyzed the information provided. Observations and recommendations associated with analysis of the documentation and compliance with relevant City procurement policies are detailed below.

SFG also obtained an understanding of procedures related to petty cash, "counter" cash maintained at the Orange and Magnolia stations, and confidential funds. No observations related to these procedures were noted.

Table 17: Transactions by Type

Transaction Type	# of Transactions	Amount
A/P Transactions	83	$2,187,205.75
Journal Entries	2	$436,542.88
P-Card Transactions	45	$135,483.61

Expense Reimbursements	23	$70,034.97
TOTAL	153	$2,829,267.21

ACCOUNTS PAYABLE TRANSACTIONS AND JOURNAL ENTRIES

Summary of Document Analysis

Of the 153 sample transactions selected, 83 were accounts payable transactions and two were journal entries. SFG assessed compliance with applicable City procurement policies and identified the following observations and recommendations.

Table 18: Observation Summary – A/P and JE Transactions

Issue	Report Ref	# of Transactions	Amount
Classification of Transactions	a	27	$820,495.55
Invoices Not Provided	b	7	$31,803.00
Purchase Orders Not Provided	c	6	$19,535.01
Contracts Not Provided	d	15	$1,376,007.63
RFP / Bid Specs Not Provided	e	1	$8,687.19
Open Market Bids Not Provided	f	8	$82,974.63
Unsubstantiated Invoice Amount	g	1	$13,110.00
Manually Altered Invoice	h	1	$5,950.00

Classification of Transactions (Recommendation 6.4)

SFG identified 27 transactions where the description of the transaction did not align with the purchase. Of the 27 transactions, 22 were categorized as professional services, four as computer purchases and one as an equipment rental.

Professional Services (Recommendations 6.5 and 6.6)

Twenty-two transactions, or 81 percent, of the sample transactions categorized as Professional Services included amounts paid for services not clearly related to a professional service or transactions where another description was more appropriate. Professional Services policies 02.004.00 and 02.005.00 state that, "Professional Services include architectural, engineering, planning, financial, and other consulting services such as advisory, information technology, surveying, research and/or developmental services, which involve the exercise of professional discretion and independent judgment based on an advanced or specialized knowledge, expertise or training gained by formal studies or experience."

- Three transactions categorized as Professional Services, items 1, 2 and 21 in the chart below, relate to payment for salaries.

  - SFG was informed that two journal entries (items 1 and 2) posted on June 30, 2014, totaling $436,542.88, relate to salaries paid to Background Investigators and Red Light Camera Investigators that were authorized for deletion by the City Council from the 2012/13 annual budget. In prior years, these salaries were budgeted and paid as "Salaries-Temp & Part Time"; however, due to the City Council's budget deletion these expenditures were re-categorized as Professional Services.

  - SFG identified a transaction for $1,023.09 that also related to payment for temporary employment services (item 21).

- Eight transactions (items 3 through 8, 11 and 19) relate to payments to various governmental entities that were processed via the Request for Payment process (or the IFAS financial system workflow, which SFG understands is an automated version of the Request for Payment process). These expenditures, totaling $267,346.43, related to payment for SART Exams, Youth Court, RPD parking structure, Gang Coordinator and blood alcohol analysis.

- Eleven transactions (items 9, 10, 12 through 18, 20 and 22), totaling $80,683.47, relate to purchases of software licenses, permit fees, trainings, hardware/software and installation, wireless cards, a membership, a trailer and confidential funds.

SFG noted that the categorization of Professional Services expenditures under General Ledger ("GL") 421000 did not always align with the policies and procedures for Professional Services. SFG understands that in some cases, the Professional Services GL object may have been used because that was the best description of the expenditure – as opposed to another GL object. However, the required procedures and documentation under the Professional Services policies were not followed and/or may not have been appropriate. Requests for Proposal, or approval of a single vendor, are required for Professional Services expenditures according to policy 02.005.00, "Contracting for Professional Services when fees are $50,000 or less," and policy 02.004.00, "Contracting for Professional Services when fees are in excess of $50,000." There were no Requests for Proposal provided for 27 transactions categorized as Professional Services, although "Justification of Single Source/Single Brand Request" forms were provided in two cases.

Table 19: Professional Services

#	Fund	Section	Section Description	SS	Posted	Batch	Reference	Description	Debit
1	101	311500	Police-Field Operations	JE	6/30/14	RS006686	JE00061186	PT Extra Help to Pro Srvs	$322,134.29
2	101	310200	Police-Support Services	JE	6/30/14	RS006686	JE00061186	PT Extra Help to Pro Srvs	$114,408.59
3	101	310200	Police-Support Services	OH	6/30/16	HHCF719A	FM0000014 269	COUNTY OF RIVER Professional S	$67,968.43

4	101	310500	Police-Administrative Services	OH	7/17/13	HECG715B	FY2013CITY PARK12	COUNTY OF RIVER Professional S	$53,587.20
5	101	314520	Police-Asset Forefeiture-Misc	OH	6/15/16	HGCF615B	12/07/15-RIV	RIVERSIDE COUNT Professional S	$41,902.00
6	101	310500	Police-Administrative Services	OH	6/30/14	HFCF714D	FY2014-CITY-12TH	COUNTY OF RIVER Professional S	$36,388.84
7	101	313000	Police-Central Investigations	OH	6/30/14	HFCF711B	714	RIVERSIDE COUNT Professional S	$29,700.00
8	101	313000	Police-Central Investigations	OH	9/16/15	HGCF916D	815	RIVERSIDE COUNT Professional S	$21,600.00
9	101	311500	Police-Field Operations	OH	6/30/15	HGCF722E	01 112890	STOMMEL INC Professional Servi	$16,394.40
10	101	314550	Pol-Asset Forefeiture-US Treas	OH	7/25/13	HECG725B	AB9719	RIVERSIDE CITY Professional Se	$14,300.00
11	101	310500	Police-Administrative Services	OH	4/24/14	HECF424D	29896	CALIF DEPARTMEN Professional S	$14,280.00
12	101	311500	Police-Field Operations	OH	6/30/15	HGCF709F	40559758	BIG TEX TRAILER Professional S	$10,831.96
13	101	310000	Police-Office of the Chief	OH	5/15/14	HECF509A	3236	WE TIP INC Professional Servic	$10,000.00
14	101	314550	Pol-Asset Forefeiture-US Treas	OH	2/4/15	HFCF204D	AB9761	RIVERSIDE CITY Professional Se	$7,000.00
15	101	310500	Police-Administrative Services	OH	4/8/14	HECF403C	8387828393/14	AT&T MOBILITY Professional Ser	$6,175.24
16	101	311000	Police-Communications	OH	4/30/15	HFCF430A	4478	CAPTURE TECHNOL Audiolog 5000-	$5,454.00
17	101	310200	Police-Support Services	OH	8/5/15	HGCF803A	13658	MAYWOOD ROD AND Professional S	$4,500.00

#										
18	101	310100	Police-Community Svcs Bureau	OH	3/26/14	DECJ326D	135149 DMEMO	LODESTONE ADVEN Professional S	$4,050.00
19	101	310100	Police-Community Svcs Bureau	OH	3/15/16	HGCF314A	SH0000027773	RIVERSIDE COUNT Professional S	$1,919.96
20	101	312000	Police-Aviation Unit	OH	1/28/16	HGCF128B	IN0243861	COUNTY OF RIVER Professional S	$1,666.00
21	101	310200	Police-Support Services	OH	8/13/15	HGCF810A	01-3730075	APPLE ONE EMPLO Professional S	$1,023.09
22	101	312500	Police-Special Operations	OH	4/21/16	HGCF421C	833756130	WEST GROUP SERVICES NOTED BELO	$311.87
								TOTAL	**$785,595.87**

Computer Purchases

Three purchases of computer equipment were inconsistently categorized and the category used did not align with the purchase.

- A purchase of $5,049.41 for Dell computers (item 3) was categorized as "All Other Equip Maint/Repair"; however, this did not appear to be a purchase for maintenance or repair services.

- Two purchases (items 1 and 2) were categorized as "Computer Equip Purc Undr $5000"; however, a purchase of a Forensic Zeon Work Station for $8,256.60 and a purchase of software/hardware license renewal for $6,900 were both above $5,000.

Table 20: Computer Purchases

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	314520	Police-Asset Forefeiture-Misc	425800	Computer Equip Purc Undr $5000	OH	4/2/14	HECF 402F	104278	SILICON FORENSI Computer Equip	$8,256.60
2	310500	Police-Administrative Services	425800	Computer Equip Purc Undr $5000	OH	4/24/14	HECF 421A	10804	LEXIPOL LLC Computer Equip Pur	$6,900.00
3	311000	Police-Communications	424220	All Other Equip Maint/ Repair	OH	2/5/15	HFCF 205E	XJMD75DT3	DELL COMPUTER C All Other Equi	$5,049.41

									TOTAL	$20,206.01

Rental Equipment

SFG identified one transaction where a long-term rental car was categorized as Equipment Rental; however, upon requesting supporting documentation, SFG was informed that given this is a travel expense. Payment was processed via the "Request for Payment" policy 07.006.00, which allows for payment of travel expenses.

Table 21: Rental Equipment

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	314550	Pol-Asset Forefeiture-US Treas	423100	Equipment Rental	OH	5/14/14	HECF 514A	1900324	ENTERPRISE RENT Equipment Rent	$3,442.34
									TOTAL	**$3,442.34**

Invoices Not Provided (Recommendation 6.7)

Invoices for four sampled transactions were requested but not provided.

- In the four cases (items 1 through 3), expenditures totaling $6,320 were supported by an entry form or brochure, but not a vendor invoice or receipt showing payment.

Table 22: Invoice Not Provided

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	310100	Police-Community Svcs Bureau	427200	Training	OH	2/11/15	HFCF 211F	AB22517	CENTRAL VALLEY Training	$2,720.00
2	310000	Police-Office of the Chief	427100	Travel & Meeting Expense	OH	10/1/14	HFCF A01C	AB7175	RIVERSIDE POLIC Travel & Meeti	$2,500.00
3	310100	Police-Community Svcs Bureau	427100	Travel & Meeting Expense	OH	6/11/15	HFCF 611A	AB22577	CALIF ASSOC OF Travel & Meetin	$1,100.00
									TOTAL	**$6,320.00**

Purchase Orders Not Provided (Recommendations 6.8, 6.9 and 6.10)

SFG requested but did not receive Purchase Orders for six sample transactions, which represents 7 percent of the accounts payable and journal entry transactions tested. In these circumstances, the transactions were approved via the Request for Payment process (policy 07.006.00) or the IFAS workflow. The types of expenditures included two transactions for group meals (items 4 and 6), a fundraiser sponsorship (item 3), sign language interpretation services (item 5), AT&T wireless cards (item 2) and an Operation Safehouse grant (item 1). These types of expenditures did not clearly align with the description of "Fixed Services" or "Other" described as permitted types of expenditures that can be processed via Request for Payment.

The Request for Payment policy states that in unique situations the "Finance Director, Assistant Finance Director or Controller determine whether Request for Payment use is appropriate in lieu of a Purchase Requisition and Purchase Order;" however, SFG did not receive documentation to show these situations were deemed "unique" and exempt from a Purchase Requisiton and Purchase Order by the appropriate individual.

Table 23: Purchase Orders Not Provided

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	310500	Police-Administrative Services	453123	Operation Safehouse	OH	11/25/14	HFCFB21D	2014-2015	OPERATION SAFEH Operation Safe	$10,000.00
2	310500	Police-Administrative Services	421000	Professional Services	OH	4/8/14	HECF403C	8387828393/14	AT&T MOBILITY Professional Ser	$6,175.24
3	310000	Police-Office of the Chief	427100	Travel & Meeting Expense	OH	10/1/14	HFCFA01C	AB7175	RIVERSIDE POLIC Travel & Meeti	$2,500.00
4	310000	Police-Office of the Chief	426800	Special Department Supplies	OH	2/24/16	HGCF222A	0006-20	FARMER BOYS FOO Special Depart	$348.17
5	310100	Police-Community Svcs Bureau	421000	Professional Services	OH	12/22/14	HFCFC19A	A-174703	LIFESIGNS INC Professional Ser	$262.50
6	310100	Police-Community Svcs Bureau	426800	Special Department Supplies	OH	9/9/15	HGCF908A	0004-48	FARMER BOYS FOO Special Depart	$249.10
									TOTAL	**$19,535.01**

Contracts Not Provided (Recommendation 6.11)

Contractual agreements for the following 13 transactions, representing 15 percent of the accounts payable and journal entry transactions selected, were requested by SFG but not provided. According to the Competitive Bids policy 07.015.00, contracts are prepared as part of the Formal Competitive Bids procedures, which relate to purchases over $50,000. Although some transactions listed below are under $50,000, they relate to a Purchase Order for an amount above $50,000. SFG noted that some expenditures included in Table 24 may have been exempt from competitive bidding per Section 201 of Resolution No. 22576, but a reference to a bid(s) was included in the documentation provided. Given that bids were obtained, it is unclear whether contracts were needed per the policy.

- SFG received an agreement related to Cal-ID (item 1), which referenced that Riverside and San Bernadino counties each agree to be responsible for a percentage of the cost of Regional Identification Systems and that the Regional RAN Board will determine the allocation percentage based on each County's use of the systems. SFG did not receive an agreement that specified how the allocation would be determined to support the expenditure of $314,034.00, nor was this information included on the invoice. SFG subsequently received two spreadsheets showing a rate of $1.00 per capita and a total population of 314,034, with the total allocated to Riverside of $314,034. SFG did not receive a contract specifying the rate of $1.00 per capita.

Table 24: Contracts Not Provided, Purchase Order for Amount above $50,000

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	313000	Police-Central Investigations	450130	Cal-ID	OH	10/29/15	HGCF A26C	SH000002 6977	RIVERSIDE COUNT Cal-ID	$314,034.00
2	314520	Police-Asset Forefeiture -Misc	462100	Automotive Equipment	OH	6/30/15	HGCF 716E	15456	HEROS INC POLICE HELICOPTER EN	$164,458.41
3	314550	Pol-Asset Forefeiture -US Treas	426800	Special Department Supplies	OH	11/21/13	HECF B21A	187647	PRO FORCE LAW E Special Depart	$149,743.09
4	312000	Police-Aviation Unit	424120	Constr & Maint Materials	OH	6/30/16	HHCF 707J	355577	HELI-MART INC Constr & Maint M	$90,180.00
5	310500	Police-Administrative Services	462100	Automotive Equipment	OH	11/10/15	HGCF B10E	15F3022-41	RACEWAY FORD Automotive Equipm	$77,984.64
6	314520	Police-Asset Forefeiture -Misc	426800	Special Department Supplies	OH	3/26/14	HECF 326E	199383	PRO FORCE LAW E Special Depart	$73,954.08

7	312000	Police-Aviation Unit	424210	Non Stock Inventory	OH	6/29/15	HFCF 629D	339697	HELI-MART INC Main rotor blade	$62,100.00
8	312000	Police-Aviation Unit	462200	Machine and Equipment	OH	6/12/14	HECF 612F	322801	HELI-MART INC Machine and Equi	$62,100.00
9	314540	Pol-Asst Forefeit-US DOJ	426800	Special Department Supplies	OH	3/26/14	HECF 326E	1095092	STOMMEL INC Special Department	$42,670.80
10	314540	Pol-Asst Forefeit-US DOJ	426200	Clothing/Linen/Safety Supplies	OH	6/30/16	HHCF 707J	404895/4	P&P UNIFORMS BALLISTIC HELMETS	$34,404.50
11	310500	Police-Administrative Services	426300	Motor Fuels & Lubricants	OH	4/24/14	HECF 424E	0027124-IN	SOCO GROUP INC Motor Fuels & L	$24,051.55
12	310500	Police-Administrative Services	426300	Motor Fuels & Lubricants	OH	6/27/14	HECF 627G	0052228-IN	SOCO GROUP INC Motor Fuels & L	$23,721.05
13	312000	Police-Aviation Unit	424210	Non Stock Inventory	OH	6/30/15	HGCF 716E	15456	HEROS INC LABOR	$8,687.19
								TOTAL	**$1,128,089.31**

Requests for Proposals / Bid Specifications Not Provided (Recommendation 6.12)

SFG requested, but did not receive, any formal bid specifications or Requests for Proposals for sampled transactions in accordance with the following policies:

- 07.015.00 "Competitive Bids" (relevant to purchases over $50,000)
- 02.005.00 "Contracting for Professional Services when fees are $50,000 or less"
- 02.004.00 "Contracting for Professional Services when fees are in excess of $50,000"

Instead of the bid specification or Request for Proposal, SFG was provided with one of the following explanations as to why the bid specification or Request for Proposal was not required per policy:

- A reference to Resolution No. 22576, Article Two: Competitive Procurement, Section 201 Exceptions, which provides the circumstances where competitive procurement is not required.
- A "Justification of Single Source/Single Brand Request," which explains the circumstances where only one vendor was considered.

- Supporting documentation to show the purchase categorized as a Professional Service was not an actual professional service per policy definition, in which case the Professional Service policy would not apply.

SFG identified one instance where competitive bidding may be applicable, but the bid specification was not provided. An exception to competitive procurement was cited, Section 201(d) of Resolution No. 22576, which specifies replacement parts for aviation units are not subject to competitive bidding. SFG noted this expenditure was part of a Purchase Order totaling $243,313.59, which exceeds the $50,000 threshold requiring formal competitive bids. The expenditure included both an engine overhaul for a helicopter, as well as labor charges. Due to inclusion of labor charges, it is unclear based on the language in Section 201(d) whether competitive procurement is required. SFG identified a reference in the supporting documentation to Bid 7277, which indicates that a competitive bid exists, therefore the competitive procurement exemption was not used.

Table 25: Requests for Proposals / Bid Specifications Not Provided

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	312000	Police-Aviation Unit	424210	Non Stock Inventory	OH	6/30/15	HGCF 716E	15456	HEROS INC LABOR	$8,687.19
									TOTAL	**$8,687.19**

Open Market Competitive Bids Not Provided (Recommendation 6.13)

For five transactions, or five percent of the accounts payable and journal entry transactions tested, SFG requested information demonstrating Open Market competitive bids were obtained. However, no supporting documentation or justification of a single source was provided. The Competitive Bids policy 07.015.00 requires informal competitive prices to be obtained from prospective bidders for purchases from $2,500 to $50,000.

- The expenditure of $10,000 to Operation Safehouse (item 3) was for a grant to this organization. Competitive bidding was not necessarily appropriate in this circumstance; however, the Competitive Bids policy does not provide for an exemption.

- SFG received a comment that the expenditures of $11,251.33 and $5,019.41 to Dell Computer (items 2 and 4) were made under Cooperative Purchasing, which is an exception to competitive procurement per Section 201(f) of Resolution No. 22576, but SFG did not receive documentation to support the cooperative purchases.

Table 26: Open Market Competitive Bids Not Provided

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	312000	Police-Aviation Unit	426300	Motor Fuels & Lubricants	OH	6/30/14	HFCF 710D	249108	ASCENT AVIATION Motor Fuels	$28,050.83
2	310500	Police-Administrative Services	425800	Computer Equip Purc Undr $5000	OH	8/8/13	HECG 808D	XJ6DC1N 84	DELL COMPUTER C Computer Equip	$11,251.33
3	310500	Police-Administrative Services	453123	Operation Safehouse	OH	11/25/14	HFCF B21D	2014-2015	OPERATION SAFEH Operation Safe	$10,000.00
4	311000	Police-Communications	424220	All Other Equip Maint/Repair	OH	2/5/15	HFCF 205E	XJMD75D T3	DELL COMPUTER C All Other Equi	$5,049.41
5	310500	Police-Administrative Services	424220	All Other Equip Maint/Repair	OH	8/20/15	HGCF 820D	50975	FACILITIES PROT All Other Equi	$4,424.00
									TOTAL	**$58,775.57**

Unsubstantiated Invoice Amount (Recommendation 6.14)

The amount invoiced from Bode Cellmark Forensics indicated the amount due of $13,110 for 12 cases; however, the amount could not be matched back to the fees listed in the contract. The invoice refers to an attachment for itemized detail of shipment and cost per case, but this itemization was not included.

RPD provided a City Council Memorandum with supporting documentation that included a request for approval to issue a purchase order in the amount of $406,250. The payment was processed via the Request for Payment policy, which allows Request for Payment forms to be used to pay for forensic analysis services. SFG did not identify that a Purchase Order was created for Bode Cellmark Forensics testing services upon approval by City Council.

Table 27: Unsubstantiated Invoice Amount

#	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	314520	Police-Asset Forefeiture-Misc	421000	Professional Services	OH	3/30/16	HGCF 330D	BILL 20774	BODE TECHNOLOGY Professional S	$13,110.00

										TOTAL	**$13,110.00**

Manually Altered Invoice (Recommendation 6.15)

SFG identified one invoice related to construction services for the police training center that was manually altered. The invoice was for $5,950, which corresponds to the quote proposal provided. SFG identified that a line item on the invoice that read "LESS 5% RETENTION" was manually scratched out and barely visible. The invoice total of $5,652.50 was manually scratched out. The amount paid to the vendor was $5,950.

Table 28: Manually Altered Invoice

#	Fund	Section	Section Description	GL Obj	GL Obj Desc	SS	Posted	Batch	Reference	Description	Debit
1	101	310500	Police-Administrative Services	421000	Professional Services	OH	10/29/13	SEA23CSA	12394	DALKE & SONS CO DALKE & SONS C	$5,950.00
										TOTAL	**$5,950.00**

PURCHASING CARD (P-CARD) TRANSACTIONS

Summary of Document Analysis

SFG selected a sample of 45 P-Card transactions and analyzed documentation to support expenditures and compliance with the applicable policy. Some form of supporting documentation was provided for each of the 45 P-Card transactions.

Table 29: Observation Summary – P-Card Transactions

Issue	Report Ref	# of Transactions	Amount
Payments for Multiple Invoices	a	6	$71,690.23
Transactions Exceeding $2,500	b	4	$26,913.63
Meals	c	5	$1,476.76
Travel Expenses	d	1	$69.40
Charitable Donations	e	3	$4,025.00
Computers and Software	f	6	$9,527.93

Gift Cards	g	1	$1,042.42
Rental Services	h	1	$700.00
Inadequate Receipts	i	6	$3,746.09

Payments for Multiple Invoices (Recommendations 6.24 and 6.25)

Six P-Card transactions, totaling $71,690.23 in charges, represented payment for 239 invoices relating to vehicle maintenance, repairs or tires. Although this type of purchase is not specifically prohibited in the P-Card policy, the P-Card is intended for single purchase transactions less than $2,500.

Table 30: Payment for Multiple Invoices

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2016	Police-Management Services3105	3105000	424250	12/1/15	12/2/15	BUDS TIRE AND WHEE	$14,988.22
2	2014	Police-Management Services3105	3105000	424250	10/10/13	10/11/13	ECONO FIRESTONE TI	$14,962.63
3	2015	Police-Management Services3105	3105000	424250	8/26/14	8/27/14	ECONO FIRESTONE TI	$14,594.88
4	2015	Police-Management Services3105	3105000	424250	2/2/15	2/3/15	ECONO FIRESTONE TI	$11,705.65
5	2016	Police-Management Services3105	3105000	424250	2/17/16	2/19/16	EAGLE ROAD SERVICE & T	$7,840.60
6	2015	Police-Management Services3105	3105000	424250	5/13/15	5/14/15	ECONO FIRESTONE TI	$7,598.25
							TOTAL	**$71,690.23**

Transactions Exceeding $2,500 (Recommendation 6.26)

SFG identified four transactions where the purchase amount was for $2,500 or above. Per City policy 07.017.00, the P-Card is intended for purchases where the single purchase transaction is less than $2,500. As mentioned above, several charges relating to vehicle maintenance exceeded the $2,500 maximum; however, the majority of the individual invoices were for less than $2,500. SFG identified four transactions, including two purchases of tires, where the individual invoice exceeded $2,500.

Table 31: Transactions Exceeding $2,500

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2014	Police-Management Services3105	3105000	424250	9/10/13	9/11/13	ECONO FIRESTONE TI	$10,359.04

#								
2	2016	Police-Management Services3105	3105 000	424250	2/17/16	2/19/16	EAGLE ROAD SERVICE & T	$7,840.60
3	2014	Police-Management Services3105	3110 000	426800	6/26/14	6/30/14	SECURITY PRO USA	$6,213.99
4	2014	Police-Management Services3105	3100 000	427100	9/3/13	9/10/13	RIVERSIDE POLICE OF	$2,500.00
							TOTAL	$26,913.63

Meals (Recommendation 6.27)

SFG identified five group meal expenses charged to the P-Card, totaling $1,476.76, which are prohibited per the P-Card policy except when "integral to a City-sponsored meeting or event and when approved by a department head." Descriptions provided of the purpose of the group meals referenced specific group meetings or events; however, department head approval could not be validated.

In two instances (items 3 and 5), the Meal Purchase Documentation Form was attached and signed by an Approving Official; however, it could not be verified whether the Approving Official was a department head, as required by P-Card policy. Additionally, a roster of attendees or notation that the meal was open to the public is required per the P-Card policy but only provided in two instances.

Table 32: Meals

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2015	Police-Management Services3105	9151 9008 81	44011000	11/18/14	11/20/14	ANCHOS SOUTHWEST GRILL	$704.80
2	2014	Police-Management Services3105	9149 3008 81	44011000	11/12/13	11/13/13	RAMIROS COCINA MEXICAN	$450.00
3	2016	Police-Community Svc Bureau 3101	3101 000	426800	4/12/16	4/13/16	BUTCH'S GRINDERS	$126.00
4	2015	Police-Community Svc Bureau 3101	3101 000	426800	1/7/15	1/8/15	ALBERTSONS #6572	$120.38
5	2016	Police-Community Svc Bureau 3101	3101 000	426800	1/30/16	2/1/16	PIZZA HUT 024874	$75.58
							TOTAL	$1,476.76

Travel Expenses (Recommendation 6.28)

An airport shuttle charge from a Chicago airport of $69.40 was charged to a P-Card; however, travel expenses are not to be paid for with the P-Card since the Travel and Meeting Expense policy applies. Travel and entertainment are specifically restricted per P-Card policy.

Table 33: Travel Expenses

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2015	Police-Community Svc Bureau 3101	9151 8008 81	44011000	3/9/15	3/10/15	GO AIRPORT EXPRESS	$69.40
							TOTAL	$69.40

Charitable Donations (Recommendation 6.29)

Donations and charitable events were paid for with the P-Card; however, donations are not permitted charges per Attachment D, "Restriction Table," of the P-Card policy.

- One charge for $25 (item 3) was made for a "Donation to the Breast Cancer Walk," which is not a permitted P-Card charge. Additionally, there was no receipt for the charge. Documentation included a flyer showing the program fee of $25 and a printout of a fundraising page.

- A $2,500 charge (item 1) was made to a P-Card for a Platinum Sponsorship for a Charity Golf Classic. All or a portion of fees for charitable events may be considered a donation, which is not a permitted P-Card charge.

- A $1,500 charge (item 2) was made for the Business Players Package for a Charitable Golf Outing. A brochure supporting the amount was included but an invoice was not provided. All or a portion of fees for charitable events may be considered a donation, which is not a permitted P-Card charge.

Table 34: Charitable Donations

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2014	Police-Management Services3105	3100 000	427100	9/3/13	9/10/13	RIVERSIDE POLICE OF	$2,500.00
2	2015	Police-Management Services3105	3100 000	427100	8/29/14	9/1/14	RMC CHARITABLE FOUNDAT	$1,500.00
3	2014	Police-Community Svc Bureau 3101	3101 000	426800	3/5/14	3/6/14	WPY RIVERSIDE COMMUNIT	$25.00
							TOTAL	$4,025.00

Computers and Contractual Software (Recommendation 6.30)

Computer purchases were made using the P-Card; however, they are specifically mentioned in the list of restricted items in the P-Card policy. Three transactions for laptop purchases were identified. The supporting documentation did not include a Supply/Service/Equipment Request Form nor any documentation with a supervisor signature.

- One purchase was made for a Panasonic laptop for $2,315.39 (item 1).
- One purchase was made of four Dell Inspiron laptops for $1,820.72 (item 2).
- One purchase was made for a Surface Pro 4 and keyboard for $1,205.37 (item 3). The description of the Surface 4 Pro expenditure did not indicate the business purpose.

In addition, three purchases of software were made on the P-Card (items 4 through 6); however, per P-Card restrictions, Contractual Software purchases are not permitted. Based on the supporting documentation, there may be a contractual component related to these software purchases. SFG noted that Supply/Service/Equipment Request Forms signed by a commanding officer were attached for two of the three software purchases (items 5 and 6).

Table 35: Computers and Contractual Software

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2015	Police-Communications3110	3110 000	424220	2/28/15	3/3/15	CDW GOVERNMENT	$2,315.39
2	2014	Police-Communications3110	3110 000	424220	5/30/14	5/30/14	DMI DELL HIGHER EDUC	$1,820.72
3	2016	Police-Community Svc Bureau 3101	3101 000	426800	3/18/16	3/21/16	BestBuyCom783095004887	$1,205.37
4	2016	Police-Communications3110	3110 000	426800	4/13/16	4/14/16	ESRI INC	$1,560.00
5	2014	Police-Management Services3105	3145 200	425700	3/10/14	3/11/14	BLACKBAGTEC	$1,340.00
6	2015	Police-Management Services3105	3145 200	425700	8/21/14	8/22/14	GUIDANCE SOFTWARE INC	$1,286.45
							TOTAL	**$9,527.93**

Gift Cards (Recommendation 6.31)

Gift cards were purchased using the P-Card; however, they are not permitted based on P-Card policy. Forty gift cards in $10 and $25 denominations and a bulk bottled water purchase, totaling $1,042.42, were purchased from Target with the description "National Night Out Gift Cards." An email communication from RPD Accounting notified the cardholder that gift card purchases are not permitted on the P-Card. RPD Accounting requested a copy of a control log documenting that two employees signed off along with the name of the persons who received the gift cards. The completed control log was not attached with the expense documentation.

Table 36: Gift Cards

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name		Item Total
1	2015	Police-Community Svc Bureau 3101	3101 000	426800	7/24/14	7/25/14	TARGET	00002915	$1,042.42
							TOTAL		**$1,042.42**

Rental Services (Recommendation 6.32)

Rental services were purchased using the P-Card; however, these services are listed on the Restriction Table of P-Card policy. Based on emails attached, this purchase was for the first six months' rent, delivery and pick up of storage containers. The emails reference a rental agreement, but no rental agreement or invoice was provided. A credit card receipt reflecting the charge was provided.

Table 37: Rental Services

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2016	Police-Communications3110	9890 7002 03	46230000	1/8/16	1/11/16	SUN PAC CONTAINERS	$700.00
							TOTAL	**$700.00**

Inadequate Receipts (Recommendation 6.33)

In six instances, adequate receipts to verify purchases were not provided. Documentation included email correspondence, a quote, a web page showing pricing or an event flyer supporting the amount of the charge but not actual credit card receipts or invoices.

Table 38: Inadequate Receipts

#	Fiscal Year	Grp Name	GL/JL Key	GL/JL Object Code	Purchase Date	Post Date	Vendor Name	Item Total
1	2015	Police-Management Services3105	3100 000	427100	8/29/14	9/1/14	RMC CHARITABLE FOUNDAT	$1,500.00
2	2015	Police-Management Services3105	3145 200	425700	8/21/14	8/22/14	GUIDANCE SOFTWARE INC	$1,286.45
3	2016	Police-Communications31 10	9890 7002 03	46230000	1/8/16	1/11/16	SUN PAC CONTAINERS	$700.00

4	2015	Police-Management Services3105	2400 000	424310	2/9/15	2/10/15	GILBARCO VEEDER ROOT	$165.24
5	2015	Police-Community Svc Bureau 3101	9151 8008 81	44011000	3/9/15	3/10/15	GO AIRPORT EXPRESS	$69.40
6	2014	Police-Community Svc Bureau 3101	3101 000	426800	3/5/14	3/6/14	WPY RIVERSIDE COMMUNIT	$25.00
						TOTAL	$3,746.09

TRAVEL AND EXPENSE REIMBURSEMENTS

Summary of Document Analysis

SFG selected a sample of 23 transactions relating to expense reimbursements and analyzed the supporting documentation. Many of the transactions selected included expense reimbursements for multiple employees. SFG analyzed 75 expense reimbursement submissions related to the 23 sample transactions selected.

Edits to Statements of Expense (Recommendation 6.35)

SFG identified that the amounts entered into the Statements of Expense were frequently edited. The following manual edits were identified:

- 18 instances of edits to the meals per diem amount

- Seven instances of edits to the lodging amount

- Two instances of edits to the cash advance amount

No issues were identified with the revised amounts entered based on supporting documentation; however, it is unclear who is making these edits, whether editing took place before or after required approval signatures and whether the employees are aware that the amounts entered on the Statement of Expense were modified.

Group Per Diem Reimbursement (Recommendation 6.36)

One instance was identified where an employee submitted a cash advance for 17 officers for the Central Valley Law Enforcement Explorer Competition. An email with the names of the attendees was attached; however, there was no documentation to confirm that the per diem amounts were distributed to each attendee.

GENERAL OBSERVATIONS

The following observations are non-specific to a transaction type but relate to the City and the RPD's overall policies, procedures and controls.

Policy Format (Recommendation 6.1)

SFG recommends that appropriate sign offs are obtained for all policies, as SFG identified that nine policies were not signed and in one instance it appears someone may have signed on behalf of the City Manager. SFG also recommends that version history, including date of changes and updated signatures, be included on the policy.

Approval Signatures (Recommendation 6.2)

SFG noted that several official documents – including the City procurement policies, Statement of Expense, Justification of Single Source/Single Brand Request, Cash Advance Form and Bank of America P-Card statements – require a signature but not the actual name of the individual signing. Many times, the signature is illegible and the individual signing or approving cannot be determined. SFG suggests modifying forms to include the printed name so the individual signing can be identified.

In the instance mentioned above, someone appears to have signed on behalf of the City Manager and in another instance, someone appears to have signed on behalf of a department head on a Justification of Single Source/Single Brand Request form. A third instance was identified where someone signed a Bid Award Recommendation form "for" the Purchasing Services Manager. The ability to identify the individual signing and approving an official document helps with ensuring accountability.

Multiple Procedures for Same Expense Type (Recommendation 6.3)

SFG identified that some of the same types of expenditures were paid for by P-Card, submitted as an expense reimbursement and processed as an accounts payable transaction. For example, travel expenses, training and conferences and group meals were processed using all three methods. Policies should clearly define appropriate methods for paying for these expenses. The corresponding policy should be clear to employees and monitored to ensure compliance.

Recommendations – Financial Audit	
6.1	Document a version history, including date of changes and updated signatures, on all revised policies.
6.2	Modify forms to include the printed name of signatories. This will assist with identification and facilitate accountability.
6.3	Ensure policies clearly define appropriate methods for paying for travel expenses, training, conferences and group meals.
6.4	Categorize expenditures to align with the policy applied. Properly categorizing expenditures can assist with proper budgeting and greater accuracy and transparency of reporting on expenditures.
6.5	Consider expanding the definition of Professional Services in the relevant policies to include professional services expenditures not currently covered by the existing definition and develop related procedures and required documentation for these types of expenditures so that the categorization of the Professional Services expenditure aligns

	with the relevant Professional Services policy. Ensure employees are trained on any changes to the definition of Professional Services and related procedures.
6.6	Consider implementing a requirement for journal entries exceeding a pre-determined threshold be approved by the department head or other approvers. This will ensure that material transactions have a secondary level of review and approval.
6.7	Require invoices or receipts for payment, with the exception of confidential funds.
6.8	Require employees to follow policies regarding Purchase Requisitions and Purchase Orders.
6.9	Revise the Request for Payment policy to clearly define when Purchase Requisitions and Purchase Orders are not required.
6.10	Clarify the definition of Fixed Services in the Request for Payment policy and identify whether this definition could be applied to expenditures not specifically listed.
6.11	Validate whether fully executed contracts with appropriate vendors exist and ensure these contracts are readily available as support for expenditures.
6.12	Ensure that bid specifications and Request for Proposals are created in line with policy and are readily available when requested.
6.13	Enforce the Competitive Bids policy and validate proof of bids for Open Market Purchases before the purchase is made. Specify instances where competitive bids are not appropriate, such as a grant, in the Competitive Bids policy and ensure City policy specifically address procedures for approval and payment for grants and donations.
6.14	Validate the amount invoiced with supporting documentation, including current agreements, and maintain this information on file with the invoice.
6.15	Require modified invoices to be reflected in an updated invoice rather than accept manually altered invoices. Do not make payments for an amount other than the unmodified total amount reflected on the invoice.
6.16	Validate the appropriate approvals on the "Justification of Single Source/Single Brand Request" form. Complete a Justification of Single Source form if a purchase is exempt from competitive procurement for reasons mentioned in Resolution No. 22576 Section 201 "Exemptions."
6.17	Update Request for Payment policy 07.006.00 to reflect appropriate procedures and train employees on the proper method to request payment.
6.18	Reevaluate the types of expenditures that would not require a Purchase Requisition and Purchase Order and set maximum amount limits for expenditures to be processed via Request for Payment.
6.19	Revise the Request for Payment policy to specify whether expenditures permitted under the policy are exempt from competitive bidding as well as the specify the documentation required, such as contractual agreements.
6.20	Validate amounts invoiced from other governmental entities with an executed contract.

6.21	Revise the Competitive Bids policy to identify required procedures and documentation, such as the Justification of Single Source, and the contract.
6.22	Revise policy 02.005.00 relating to Contracting for Professional Services to explicitly state whether bids or proposals are required when fees are less than $2,500.
6.23	Ensure appropriate contracts have been executed and approval has been obtained from the City Council before purchasing goods and services.
6.24	Evaluate whether expenditures for vehicle maintenance and repairs, particularly given the volume and value of transactions, is an appropriate P-Card expenditure. Using P-Cards for these purchases may be a faster and easier method of payment; however, the RPD should consider whether cost savings could be realized by evaluating competitive bids per policy 07.015.00. The Central Garage might also be an option for lower cost vehicle maintenance and repairs.
6.25	Evaluate whether the P-Card may be used for making payments for multiple invoices and clarify policy accordingly.
6.26	Adjust single transaction limits on P-Cards to align with the $2,500 maximum stated in the policy or adjust policy to reflect whether certain individuals are permitted to charge greater than $2,500 in a single transaction. In either case, identify any required approvals.
6.27	Obtain the Meal Purchase Documentation Form in all instances of meal purchases with the P-Card along with documentation of the roster of attendees and department head approval.
6.28	Remind employees to submit travel expenses per the Travel and Meeting Expense policy and that individual cardholder privileges may be revoked if restricted items continue to be purchased.
6.29	Remind employees of P-Card restricted items and that individual cardholder privileges may be revoked if restricted items continue to be purchased. Develop a policy regarding expenditures for charitable events and donations as well as procedures, including the approvals needed, if these purchases are permitted.
6.30	Re-train employees on the types of restricted P-Card purchases and the appropriate method of purchasing computers and contractual software. Consider revoking individual cardholder privileges if restricted items continue to be purchased.
6.31	Ensure Accounting continues to notify cardholders when restricted items, such as gift cards, are charged to a P-Card. Attach the completed control log to supporting documentation, continue to be monitor gift card purchase and consider revoking cardholder privileges if restricted items continue to be purchased.
6.32	Remind employees of P-Card restricted items and the procedures that apply for purchasing rental equipment. Consider revoking individual cardholder privileges if restricted items continue to be purchased.
6.33	Require itemized receipts in all cases. In the event an itemized receipt could not be obtained, require completion of a Lost Receipt form. Invoices should show the payment

	made and reflect a zero balance due. Do not accept quotes or proposals as support for P-Card charges.
6.34	Update P-Card policy 07.017.00 to require completion of a "Supply/Service/Equipment Request Form" or a "Food and Meal Purchase Documentation Form," which request details of the purchase as well approval signature. The approver should be identified as a direct supervisor or above.
6.35	Consider software that would automate the expense reimbursement process. A software tool could assist with avoidance of errors, such as the correct per diem rate, and allow the approver to reject the report and send back to the initiator if errors are identified. An automated system could also provide other benefits such as electronic storage of receipts, tracking of cash advances and compliance with travel policies, eliminating the need to maintain hard copies.
6.36	Prohibit employees from expensing or receiving a cash advance on behalf of another employee, given there is no tracking mechanism to ensure that the employee submitting the expense or receiving the cash advance is distributing the funds appropriately. This would also reduce the risk of duplicate submissions, if an employee is not aware that someone else is claiming the per diem and the employee also submits for reimbursement. In circumstances where large groups are traveling for an event, cost savings may be realized if meals are catered for the group versus reimbursing per diem for each individual employee.

Summary of Recommendations

1   Employee Discipline and Internal Affairs

Recommendations	
1.1	Consider developing a formal, written Standard Operating Procedures (SOP) Manual for all members of the IA staff, expanding upon the Job Description document already in existence.
1.2	Consider developing new protocols requiring the department to await any pending CPRC finding in a case prior to notifying a subject member of the department's finding, or consider adding language to any notification forms officers are required to sign upon being notified of the department's findings indicating that a CPRC finding is pending and may be different than the department's after the CPRC's review and a final determination of finding by the City Manager's Office.
1.3	Advise the City Manager's Office to ensure the language used to explain to a complainant the outcome of a complaint investigation and subsequent CPRC review match that of the current definitions outlined in the RPD Policy Manual.
1.4	Consider reviewing current department policies and procedures to explore how to effectively explain an Inquiry or a Frivolous complaint, which might reduce the number of individuals reporting that their complaints went uninvestigated.
1.5	Consider implementing a more formal process for determining disciplinary outcomes for sustained complaints, potentially including a DRP process as outlined in this report.
1.6	Consider formalizing more robust training for everyone involved in the entire discipline process, including those serving on the CPRC and those in the City Manager's Office responsible for reviewing discipline cases and hearing appeals to disciplinary determinations. Ensure that the investigations and appeals are thorough, fair and objective for both the complainant(s) and the subject member(s) and that the philosophy of progressive discipline is implemented.
1.7	Consider implementing some form of a disciplinary matrix for sustained complaint cases, ensuring the determination of discipline takes into account any mitigating factors, the employee's current work and former discipline histories, the seriousness of the allegation(s), and the length of time the subject member has served the department.
1.8	Ensure that members of the IA unit take a proactive approach while assisting in the design and implementation of the new RMS, working to make sure the system can support the unit's investigative and case management processes.

2 Criminal Case Review and Case Management

Recommendations	
2.1	Ensure that commanders and supervisors in the CIB, SIB and NPC consider how they and their personnel could begin interacting with the Crime Analysis Unit in a more proactive way to mine current crime data not just to understand what *has* happened but to determine what *will* happen, allowing everyone to become more proactive in preventing, intervening in and suppressing crime in the City of Riverside. The new RMS should help facilitate such an approach.
2.2	Give priority to filling the vacant non-sworn staffing in the CIB Unit so unit sergeants can concentrate on supervising and participating in the actual investigative work in their units and be able to work proactively with the Crime Analysis Unit and others to prevent, intervene in and suppress crime.
2.3	Ensure that RPD command staff consider analyzing which of the two methodologies used in NPC Units to assign cases to detectives is more effective: (1) assigning detectives cases depending upon a crime's occurrence in a detective's assigned reporting district or (2) assigning cases to detectives based upon the type of crime involved.
2.4	Consider stressing to patrol officers and supervisors the importance of fast-forwarding to the detective units crime reports involving property crimes with good solvability potential, as they often do for cases involving crimes against persons.
2.5	Consider emphasizing the need for officers to complete the detailed "Check Boxes" for describing suspects on the second page of the Initial Crime Report forms, which will prove quite valuable once the new RMS in-field report writing system is operational. An automated and searchable database can be used for criminal investigations and crime analysis.
2.6	Ensure that RPD Command Staff emphasize the important role members of the new RMS Implementation Team should play as they design and implement the new RMS, as it represents an opportunity not only to automate the criminal case review and management processes, but to rethink the current processes so they reflect best practices and take advantage of the capabilities of the new RMS.
2.7	Ensure that those commanding and supervising detectives in the CIB SIB and NPC begin working immediately with the RMS Implementation Team to prepare for the time it will take to design, prepare and deliver training on using the new RMS to their personnel.
2.8	Communicate to RPD Command Staff that the processes for using the new RMS to determine and enter case clearance and UCR codes must be tightly controlled. Experience has shown that trained data entry personnel who make such entries on a daily basis, and who are responsible for reporting the data to the California DOJ, are often much more proficient in this than some sworn personnel who make occasional entries when completing an investigation.

3 Use of Data

Recommendations	
3.1	Develop a formal, strategic, multi-year plan that outlines key staffing, operations, budget and technology tenets and aims and is supported by RPD executive leadership and end-users. The CAU plan should fit into a broader RPD strategic plan to help ensure CAU goals are included in department-wide staffing restoration efforts, as well as link with citywide and community-based data-driven initiatives.
3.2	Consider embedding CAU staff within various groups throughout the department to do a deep-dive into operations and learn from customers what types of analytical products and services may be most useful for end-users. Learning how RPD personnel actually use data provides CAU staff with information regarding user experience and functionality input so CAU solutions can be prototyped, iterated and delivered responsively.
3.3	Ensure the CAU plays a strong role, in coordination with Records Bureau and other key stakeholders, in helping to define use case requirements, fostering optimal user experience for end-users and providing controls and assurance for the quality of data as part of the RPD's prospective RMS.
3.4	Continue to decentralize analytical tools (e.g., CrimeView Dashboard) to create distributed, on-demand access for officers rather than relying on the traditional clearinghouse model, in which officers contact the CAU during business hours and wait for responses to their specific requests.
3.5	Continue the migration away from primarily administrative analyses and seek opportunities to learn and practice intelligence, operational and tactical analyses. Summary descriptive statistics reports should constitute a comparably small proportion the CAU workload, aligned mostly with RPD executive leadership and City reporting requirements. Rather than describing what has happened in the past, the CAU should endeavor to learn how data can help inform staffing deployment, predictive analytics and business intelligence.
3.6	Redesign CAU orientation for new and existing officers to focus on pragmatic, in-depth application and data training opportunities for the suite of analytic services and products available and planned.
3.7	Consider opportunities for adjusting dynamically the CSM and MAP processes to focus on propagating effective tactics and building organizational capacity. CSM and MAP processes should center on POP schemes that reflect better an understanding of root causes and efforts that span the continuum of prevention, intervention and enforcement strategies.
3.8	Consider developing a Program Management Report for the CAU and publishing a combination of key work metrics on a quarterly basis for RPD executive leadership, rank-and-file and City leadership.
3.10	Consider the value of a Kaizen-type session for the CAU in the near-term in which stakeholders convene to surface and discuss opportunities to compress time delays and improve the existing report writing and data entry processes.

3.11	Continue to facilitate close collaboration between the CAU and the Records Bureau as the RPD works toward converting from UCR to the NIBRS standard and ensuring planned analytical improvements as part of the RMS upgrade are preserved.
3.12	Ensure the CAU works with Field Operations and NPCs to identify opportunities to improve and help standardize communication of data across citywide patrol and POP functions.
3.13	Ensure the CAU continues to partner with City IT and develop a contemporary, web-based portal solution that promotes easy file access and robust crime data distribution. The CAU's primary information access point and file archive, the network accessible "S-Drive," includes BOLOs, PDF documents and a combination of many CAU files; though indexed and searchable, the S-Drive does not let CAU staff know details about user traffic to the extensive files on this drive, which prevents the CAU from knowing how often or effectively their products are accessed or used by customers.
3.14	Consider exploring the possible benefits of developing strategic partnerships between the RPD and the CAU with the local institutions of higher learning, such as the University of California-Riverside, to seek grant opportunities, conduct research and development, and innovate on improvements to data science and analytics for law enforcement.

4   Use of Technology and Communication Systems

Recommendations
4.1 Ensure the following are in place when undertaking projects, such as the Motorola PremierOne CAD upgrade and Motorola PremierOne Records implementation, to avoid costly budgetary overruns: - Enterprise view of entire IT environment   - Scope statement and scope management protocols   - Project documentation including timeline, resources, tasks, milestones and deliverables   - Change management protocols   - Vendor management protocols   - Understanding of the critical path and interdependencies of tasks   - Identify all key stakeholders and include them in the process   - Develop project metrics and measurements (e.g., burn rate, task management, milestone, deliverable management)   - Executive sign-off at each milestone
4.2 Adopt an enterprise architecture framework and build toward the future state of the department's technology needs. The department has the groundwork established with the adoption of the Motorola PremierOne platform. Ensure new application needs or lifecycle management of legacy systems are migrated into the standardized platform.

4.3	Implement a robust portfolio management program to fully document all of the systems, hardware, software, firmware and patch management levels, with the guiding principle of lifecycle management practices. Budgets will ultimately drive lifecycle activities, but documentation of the entire enterprise serves as a planning function that will drive strategic and tactical planning of the department.
4.4	Develop IT strategic and tactical plans based on the standardization model of enterprise architecture and device and application inventory of portfolio management.
4.5	Map the existing application footprint, including single-use or operationally specific applications uses throughout the department to be incorporated into the Motorola PremierOne platform. This will provide economies of scale regarding costs and technology resource allocation for the department building on a standardized platform.
4.6	Ensure a requisite sign-off by the deputy chief or his designee is required when change management is required. This allows department leadership and technology staff, in partnership with the Innovation and Technology Department, to determine what, if any, detrimental effects may occur with the proposed change.
4.7	Ensure training is provided to administration and technology staff on the national integrated justice information sharing standards such as NIEM and JRA. These established protocols streamline integration efforts between disparate, legally separate entities within the justice agency community.
4.8	Implement an Enterprise Project Management Office, providing collaboration and integration of all projects underway or under consideration to garner consolidation of systems and establishing an Enterprise Architecture model delivering economies of scale.
4.9	Develop a detailed five-year IT strategic plan that aligns with the overall organization strategy. To achieve the goals defined in the five-year IT plan, the organization should also develop one-year tactical plans with defined performance measures that align directly with the long-term strategy.

5   Staffing and Deployment

Recommendations	
5.1	Ensure the Records Bureau gets four positions back in July – two police records specialists and two senior police records specialists – to reduce overtime and allow full staffing at Magnolia.
5.2	Begin planning for the transition to a new RMS that will work in conjunction with the CAD system. Contact other agencies that have undergone a similar transition of implementing the same RMS software to plan more effectively for the staffing impact of the new system.
5.3	Fill the current dispatcher vacancies and add new positions to reduce mandatory overtime, which can lead to burnout and turnover.

5.4	Take the following actions during the implementation phase of the updated CAD system: • Improve data quality by enforcing edit checks. • Consider limiting the number of incident types to no more than 200. • Review the incident codes that have no definition other than just the abbreviation. • Limit the number of call signs. • Standardize the use of time stamps.
5.5	Ensure that edit checks and data quality are included as major themes in the new RMS.
5.6	As the department gets additional officers, assign the officers according to places and times that generate the greatest CFS workload.
5.7	Assign the newest officers to cover the swing shift period once they are ready for solo patrol work.
5.8	As new officers are assigned to midnight shift, ensure they have days off in the middle of the week rather than on weekends.

6   Financial Audit

Recommendations	
6.1	Document a version history, including date of changes and updated signatures, on all revised policies.
6.2	Modify forms to include the printed name of signatories. This will assist with identification and facilitate accountability.
6.3	Ensure policies clearly define appropriate methods for paying for travel expenses, training, conferences and group meals.
6.4	Categorize expenditures to align with the policy applied. Properly categorizing expenditures can assist with proper budgeting and greater accuracy and transparency of reporting on expenditures.
6.5	Consider expanding the definition of Professional Services in the relevant policies to include professional services expenditures not currently covered by the existing definition and develop related procedures and required documentation for these types of expenditures so that the categorization of the Professional Services expenditure aligns with the relevant Professional Services policy. Ensure employees are trained on any changes to the definition of Professional Services and related procedures.
6.6	Consider implementing a requirement for journal entries exceeding a pre-determined threshold be approved by the department head or other approvers. This will ensure that material transactions have a secondary level of review and approval.
6.7	Require invoices or receipts for payment, with the exception of confidential funds.

6.8	Require employees to follow policies regarding Purchase Requisitions and Purchase Orders.
6.9	Revise the Request for Payment policy to clearly define when Purchase Requisitions and Purchase Orders are not required.
6.10	Clarify the definition of Fixed Services in the Request for Payment policy and identify whether this definition could be applied to expenditures not specifically listed.
6.11	Validate whether fully executed contracts with appropriate vendors exist and ensure these contracts are readily available as support for expenditures.
6.12	Ensure that bid specifications and Request for Proposals are created in line with policy and are readily available when requested.
6.13	Enforce the Competitive Bids policy and validate proof of bids for Open Market Purchases before the purchase is made. Specify instances where competitive bids are not appropriate, such as a grant, in the Competitive Bids policy and ensure City policy specifically address procedures for approval and payment for grants and donations.
6.14	Validate the amount invoiced with supporting documentation, including current agreements, and maintain this information on file with the invoice.
6.15	Require modified invoices to be reflected in an updated invoice rather than accept manually altered invoices. Do not make payments for an amount other than the unmodified total amount reflected on the invoice.
6.16	Validate the appropriate approvals on the "Justification of Single Source/Single Brand Request" form. Complete a Justification of Single Source form if a purchase is exempt from competitive procurement for reasons mentioned in Resolution No. 22576 Section 201 "Exemptions."
6.17	Update Request for Payment policy 07.006.00 to reflect appropriate procedures and train employees on the proper method to request payment.
6.18	Reevaluate the types of expenditures that would not require a Purchase Requisition and Purchase Order and set maximum amount limits for expenditures to be processed via Request for Payment.
6.19	Revise the Request for Payment policy to specify whether expenditures permitted under the policy are exempt from competitive bidding as well as the specify the documentation required, such as contractual agreements.
6.20	Validate amounts invoiced from other governmental entities with an executed contract.
6.21	Revise the Competitive Bids policy to identify required procedures and documentation, such as the Justification of Single Source, and the contract.
6.22	Revise policy 02.005.00 relating to Contracting for Professional Services to explicitly state whether bids or proposals are required when fees are less than $2,500.
6.23	Ensure appropriate contracts have been executed and approval has been obtained from the City Council before purchasing goods and services.

6.24	Evaluate whether expenditures for vehicle maintenance and repairs, particularly given the volume and value of transactions, is an appropriate P-Card expenditure. Using P-Cards for these purchases may be a faster and easier method of payment; however, the RPD should consider whether cost savings could be realized by evaluating competitive bids per policy 07.015.00. The Central Garage might also be an option for lower cost vehicle maintenance and repairs.
6.25	Evaluate whether the P-Card may be used for making payments for multiple invoices and clarify policy accordingly.
6.26	Adjust single transaction limits on P-Cards to align with the $2,500 maximum stated in the policy or adjust policy to reflect whether certain individuals are permitted to charge greater than $2,500 in a single transaction. In either case, identify any required approvals.
6.27	Obtain the Meal Purchase Documentation Form in all instances of meal purchases with the P-Card along with documentation of the roster of attendees and department head approval.
6.28	Remind employees to submit travel expenses per the Travel and Meeting Expense policy and that individual cardholder privileges may be revoked if restricted items continue to be purchased.
6.29	Remind employees of P-Card restricted items and that individual cardholder privileges may be revoked if restricted items continue to be purchased. Develop a policy regarding expenditures for charitable events and donations as well as procedures, including the approvals needed, if these purchases are permitted.
6.30	Re-train employees on the types of restricted P-Card purchases and the appropriate method of purchasing computers and contractual software. Consider revoking individual cardholder privileges if restricted items continue to be purchased.
6.31	Ensure Accounting continues to notify cardholders when restricted items, such as gift cards, are charged to a P-Card. Attach the completed control log to supporting documentation, continue to monitor gift card purchases and consider revoking cardholder privileges if restricted items continue to be purchased.
6.32	Remind employees of P-Card restricted items and the procedures that apply for purchasing rental equipment. Consider revoking individual cardholder privileges if restricted items continue to be purchased.
6.33	Require itemized receipts in all cases. In the event an itemized receipt could not be obtained, require completion of a Lost Receipt form. Invoices should show the payment made and reflect a zero balance due. Do not accept quotes or proposals as support for P-Card charges.
6.34	Update P-Card policy 07.017.00 to require completion of a "Supply/Service/Equipment Request Form" or a "Food and Meal Purchase Documentation Form," which request details of the purchase as well approval signature. The approver should be identified as a direct supervisor or above.

6.35	Consider software that would automate the expense reimbursement process. A software tool could assist with avoidance of errors, such as the correct per diem rate, and allow the approver to reject the report and send back to the initiator if errors are identified. An automated system could also provide other benefits such as electronic storage of receipts, tracking of cash advances and compliance with travel policies, eliminating the need to maintain hard copies.
6.36	Prohibit employees from expensing or receiving a cash advance on behalf of another employee, given there is no tracking mechanism to ensure that the employee submitting the expense or receiving the cash advance is distributing the funds appropriately. This would also reduce the risk of duplicate submissions, if an employee is not aware that someone else is claiming the per diem and the employee also submits for reimbursement. In circumstances where large groups are traveling for an event, cost savings may be realized if meals are catered for the group versus reimbursing per diem for each individual employee.

Appendix: Examples of Police Department Discipline Matrices from Austin, Texas; Madison, Wisconsin; and Portland, Oregon

Discipline Matrix

903.1   PURPOSE AND SCOPE

The Discipline Matrix is designed as a guide to be used in conjunction with Policy 902 (Administrative Investigations). This matrix is not an all-encompassing document but should provide some guidance for the vast majority of investigations involving discipline. As a general rule, those violations below that are listed as IS (Indefinite Suspension), Fact Specific, or those that may include discipline greater than a 15-day suspension will be investigated by Internal Affairs.

Violation General Category/Sub Category (APD POLICY MANUAL)	1st Occurrence	2nd Occurrence	3rd Occurrence
900 – GENERAL CONDUCT AND RESPONSIBILITIES			
❖ Required reporting of violations ❖ Requirements of duty ❖ Time and attention to duty ❖ Unprofessional or abusive behavior to co-workers ❖ Duty to identify	Oral Reprimand to 1-3 days	Increased one level	Increased one level
❖ Improper use of City resources <u>not</u> involving personal gain	Written Reprimand to 1-3 days	Increased one level	Increased one level
❖ Improper use of City resources involving personal gain.	4-15 days	IS	
❖ Confidentiality	4-15 days	IS	
❖ Criminal violation while on duty or related to job duties	IS		
❖ Other criminal violations	Fact Specific		
❖ Dishonesty – False official statements	IS		
❖ Neglect of duty – Misleading Statements	Fact Specific		
❖ Duty to take action	Fact Specific		
❖ Dereliction of duty	4-15 days to Demotion	Demotion to IS	
❖ Neglect of duty	Fact Specific		
❖ Associating with those of ill repute	Fact Specific		
301 – RESPONSIBILITY TO COMMUNITY			
❖ Courtesy (Rudeness Complaints)	Oral Reprimand to 1-3 days	Increased one level	Increased one level
❖ Impartial Attitude	Fact Specific		
110 – ORGANIZATIONAL STRUCTURE AND RESPONSIBILITY			
❖ Insubordination	4-15 days	IS	
902 - ADMINISTRATIVE INVESTIGATIONS			
❖ Refusing to cooperate with Internal Affairs	IS		

Discipline Matrix

Violation General Category/Sub Category (APD POLICY MANUAL)	1st Occurrence	2nd Occurrence	3rd Occurrence
914 – DISCRIMINATION AND HARASSMENT			
❖ Quid pro quo sexual harassment	IS		
916 – DRUG AND ALCOHOL FREE WORKPLACE			
❖ Failure of random drug test or test resulting from reasonable suspicion	IS		
934 – COURT APPEARANCES			
❖ Missed court appearance	Oral Reprimand to 1-3 days	Increased one level	Increased one level
949 – SECONDARY EMPLOYMENT			
❖ Secondary employment violations	Written Reprimand to 1-3 days	Increased one level	Increased one level
955 – ATTENDENCE AND LEAVE POLICY			
❖ Abuse of sick leave	Oral Reprimand to 1-3 days	Increased one level	Increased one level

Violation General Category/Sub Category (APD POLICY MANUAL)	1st Occurrence	2nd Occurrence	3rd Occurrence
401 – PRELIMINARY FIELD INVESTIGATIONS			
403 – FOLLOW-UP INVESTIGATIONS			
❖ Failure to propery investigate	Oral Reprimand to 1-3 days	Increased one level	Increased one level
701 – PROPERTY AND EVIDENCE			
❖ Improper handling of evidence (not related to criminal conduct)	Oral Reprimand to 1-3 days	Increased one level	Increased one level
❖ Improper destruction of evidence	Written Reprimand to 4-15 days	Increased one level	Increased one level
328 – BIASED BASED PROFILING			
❖ Biased based profiling	Fact Specific		

Violation General Category/Sub Category (APD POLICY MANUAL)	1st Occurrence	2nd Occurrence	3rd Occurrence
303 & 304 – MOBILE AUDIO VIDEO RECORDING OPERATION			
❖ Mobile Audio Video recording violations	Written Reprimand to 1-3 days	Increased one level	Increased one level
❖ Intentional Mobile Audio Video recording violations	4-15 days	IS	
❖ Intentional Mobile Audio Video recording violation in a critical incident	IS		
305 – RADIO AND MOBILE DATA COMPUTER USE			
❖ Inappropriate Electronic Messages *1	Written Reprimand	1-3 days	4-15 days
1000 & 1002 – DEPARTMENT TECHNOLOGY USE			
❖ Internet/Computer Violations	Written Reprimand to 1-3 days	Increased one level	Increased one level

Discipline Matrix

Violation General Category/Sub Category (APD POLICY MANUAL)	1st Occurrence	2nd Occurrence	3rd Occurrence
CHAPTER 2 – RESPONSE TO RESISTANCE			
❖ Objectively unreasonable use of deadly force	IS		
❖ Objectively unreasonable use of force	Fact Specific		
❖ Negligent discharge involving serious bodily injury or death	Fact Specific		
❖ Accidental discharge not involving serious bodily injury or death	1-3 days	4-15 days	4-15 days up to IS
803 – DUTY WEAPONS			
❖ Violations of duty weapons policy	Written Reprimand to 1-3 days	Increased one level	Increased one level
214 – VEHICLE PURSUIT POLICY			
400 – OFFICER RESPONSE TO CALLS			
804 – DEPARTMENT VEHICLES			
❖ Violations of pursuit policy	Written Reprimand to 1-3 days	Increased one level	Increased one level
❖ Pursuit policy, Aggravated	1-15 days	4-15 days	4-15 days to IS
❖ Operation of Police Vehicles (non-collision)	Oral Reprimand to 1-3 days	Increased one level	Increased one level
❖ At-Fault collision (Not involving serious bodily injury or death) *2	Oral Reprimand to 1-3 days	Increased one level	Increased one level
OTHER			
❖ Negligent/Reckless conduct resulting in SBI or death	IS		
❖ Violation of tactics, other than above "A".	Fact Specific		

Notes:
*1 If inappropriate Electronic Messages bring discredit to the Department, increase one level.
*2 A written reprimand will normally be administered for violations under this heading as a first occurrence. Supervisors will take into account the employees previous driving history, the severity of the collision and other contributing factors involve in the negligent collision.

Eff. Date 01/06/2017

Purpose

This procedure outlines the guidelines and expectations for the Madison Police Department's (MPD) response to complaints and the steps involved in the investigation of complaints. Investigatory responsibilities, the Police Bill of Rights and the Seven Steps for Just Cause are also detailed. This procedure begins with a description of the Discipline Matrix. A police discipline matrix aims to achieve consistency in discipline and to eliminate the appearance of disparity. This matrix does not remove discretion; it provides a range of possible sanctions, thus providing clarity.

Procedure

The matrix lists both code of conduct violations and Standard Operating Procedural (SOP) violations. It then provides sanction categories **A** through **E.** The least punitive sanctions are category **A,** with sanctions becoming more severe as the categories progress to category **E.**

In each category, there is a recommended guideline of sanctions. These guidelines are based on comparable sanctions for each violation from Professional Standards & Internal Affairs (PSIA) cases in years past.

This matrix captures most violation sanctions that have occurred in the past 25 years. There are code of conduct/procedural categories that are not covered in this matrix. There is the expectation that all policies and procedures will be followed. MPD understands that as times change, policies and expectations will change, and there will be violations that are not covered on the matrix. These violations shall be added to the matrix as deemed appropriate. For code of conduct violations not specified on the matrix, the sanction will be determined by the Chief of Police.

Sanction Categories

Category A	Category B	Category C	Category D	Category E
Conduct violation in a single incident that has a minimal negative impact on the operations or reputation of the MPD. Sanctions listed in the below categories are not considered discipline. Sanction guidelines may include: • Verbal Counseling • Mediation • Documented Counseling A single sanction or a combination of the above listed sanctions may be deemed appropriate. **Training** and/or **Work Rules** can also be ordered in conjunction with any sanctions listed above.	Violations that have more than minimal impact on the operations or reputation of the MPD or that negatively impacts relationships with other officers, agencies or the public. This includes repeated acts from Category A within time frames listed below. Sanction guidelines may include thereof: • Verbal Counseling • Mediation • Documented Counseling • Letter of Reprimand (First Level of Discipline) A single sanction or a combination of the above listed sanctions may be deemed appropriate. **Training** and/or **Work Rules** can also be ordered in conjunction with any sanctions listed above.	Violations that have a pronounced negative impact on the operations or reputation of the MPD or on relationships with employees, other agencies or the public. This includes repeated acts from Category B within time frames listed below. Sanction guidelines may include: • Letter of Reprimand • Suspension without pay for one to five days **A single sanction or a combination of the above listed sanctions may be deemed appropriate. Training** and/or **Work Rules** can also be ordered in conjunction with any sanctions listed above.	Violations that are contrary to the core values of the MPD or that involve a substantial risk of officer or public safety. This includes repeated acts from Category C within the time frames listed below. Sanctions guidelines may include: • Suspension without pay for five to fifteen days **Training** and/or **Work Rules** can also be ordered in conjunction with any sanctions listed above.	Violations that are contrary to the core values of the MPD. This includes acts of serious misconduct or acts of criminal conduct. This also involves any conduct that will effectively disqualify an employee from continued employment as a law enforcement officer. Sanction guidelines may include: • Suspension without pay for fifteen days or more • Reduction in rank • Separation from service **Training** and/or **Work Rules** can also be ordered in conjunction with any sanctions listed above.

Repeated Acts

Repeated acts of category **A** violations within **one year** will increase the repeated violation into category **B.**

Repeated acts of category **B** within **two years** will increase the violation to category **C.**

Repeated acts of category **C** within **three years** will increase the violation to category **D.**

Repeated acts of category **D** within **five years** will result in **separation of service.**

This matrix does not apply to employees with a last chance agreement.

The matrix categories may not be sequentially followed in cases where there may be a number of violations or in cases where there are particularly egregious circumstances. The matrix is considered a guideline only and it is within the Chief of Police's discretion to deviate from the matrix based on the individual case.

Discipline Matrix

Corresponding Code of Conduct Manual Listing *Categories skipped have not had recent previous discipline associated.*	Category				
	A	B	C	D	E
2. **Truthfulness**					
Failure to be truthful.					X
Employees shall not make false reports or knowingly enter false information into any record.					X
3. **Performance of Duties**					
Failure to respond to dispatch.		X			
Failure to properly perform duties assigned.		X			
Failure to respond to subpoena or scheduled training.	X				
Failure to comply with SOPs (excludes property handling code of conduct).	X				
Failure to meet expectations of special initiatives.	X				
Failure to notify supervisor of custodial arrest.	X				
Failure to obtain supervisor approval for strip search.			X		
Failure to assist backup officers.			X		
Failure to make an effort to check email and mailbox once per shift and respond accordingly.		X			
Failure to pursue flagrant law violations that they are aware of.		X			
Engaging in activity on duty that does not pertain to MPD business.		X			
Employees shall not sleep, idle or loaf while on duty.		X			
Supervisors shall not knowingly allow employees to violate any law, code of conduct or procedure.			X		
All employees shall report fit for duty.				X	
All MPD members shall not be impaired as a result of any drug usage or alcohol. All employees are prohibited from having any measurable amount of alcohol in their system while on-duty. No MPD member shall consume or purchase any intoxicants while in uniform. No MPD member shall consume intoxicants while armed except with the approval of the Chief of Police. It is the responsibility of the employee to consult with their physician to determine their fitness for duty based on their medical condition and/or prescribed treatment.				X	
4. **Absence from Duty**					
Employees shall not be late or absent from duty without prior permission from a supervisor or the Officer in Charge (OIC).		X			

Corresponding Code of Conduct Manual Listing *Categories skipped have not had recent previous discipline associated.*	Category				
	A	B	C	D	E
5. **Unlawful Conduct**					
Employees shall not engage in conduct that constitutes a violation of criminal law, or ordinance corresponding to a state statute that constitutes a crime.				X	
Employees convicted of first offense OWI.			X		
Failure to immediately notify a supervisor whenever investigating an incident involving a law enforcement officer who is a suspect in any criminal activity or OMVWI.			X		
6. **Notification Required of Law Enforcement Contact**					
Failure to notify of contact by any law enforcement agency regarding their involvement as a suspect, witness, victim or contact in criminal conduct, violation of municipal ordinance for which a corresponding state statute exists (ex. OWI or Hit and Run). The employee SHALL report the incident to their commanding officer or the OIC within 24 hours of the contact, or their return to duty, whichever comes first. This must be done in person or via telephone.		X			
7. **Equal Protection**					
Employees shall not show bias based on relationships in investigative decisions, or assist in investigations or enforcement decisions.		X			
Employees are prohibited from interfering in the normal processing of traffic/parking citations or otherwise disrupting enforcement of the law by other members of the MPD. If a supervisor orders a change in an enforcement decision and a subordinate feels it is wrong, it should be reported to a commanding officer.		X			
9. **Harassment**					
Employees shall not engage in harassment or to retaliate against an employee who reports such harassment. (For definition of harassment, see APM 3-5.)			X		
Supervisors shall not allow employees under their command to engage in harassment or permit retaliation against an employee who reports such harassment.			X		
Employees shall not engage in sexual harassment, this includes unwanted sexual advances.			X		
10. **Courtesy, Respect and Professional Conduct**					
Failure to be courteous to the public and to coworkers and shall avoid the use of profane language or gestures. Employees shall also avoid actions that would cause disrespect to the MPD.		X			
Employees shall not act so as to exhibit disrespect for a supervisor.		X			
Employees shall not speak derogatorily to others about orders or instructions issued by supervisors.		X			
Employees shall use police communications systems, email, radio only for official police business and shall exhibit courtesy during the transmission of all messages.		X			
11. **Public Criticism**					
Employees shall not publicly criticize the operations or personnel of the MPD if such criticism undermines the discipline, morale or efficiency of the MPD. This applies both on duty and off duty.		X			
12. **Use of Force**					
9A Employees shall not use deadly force when a lesser degree of force was reasonable.					X
9B Employees shall not use excessive force when a lesser degree of force was objectively reasonable.				X	
13. **Vehicle Operation**					
Employees shall operate city vehicles with due regard for safety.		X			

Corresponding Code of Conduct Manual Listing	Category				
Categories skipped have not had recent previous discipline associated.	A	B	C	D	E
14. **Insubordination**					
Failure to promptly obey lawful orders from any supervisor. This includes violations of work rules. If these orders conflict with code of conduct or procedure, the ordered member shall call attention to this conflict. Any unlawful orders shall be promptly reported to the Chief of Police.			X		
16. **Criminal Association**					
Failure to avoid regular or continuous associations or dealings with persons known to be engaged in ongoing criminal activity, under indictment, on probation, parole, house arrest or Huber. Association consists of more than a single occurrence.			X		
20. **Cooperation with Investigations Required**					
Failure to cooperate in internal investigations of alleged misconduct, illegal activity or code of conduct violations. This includes failure to answer questions or submit to proper investigative techniques.					X
21. **Access to Police Records**					
Employees shall not access MPD official records for any reason inconsistent with their professional duties.			X		
Employees shall not release official records of the MPD for reasons inconsistent with their professional duties.			X		
Employees shall not tamper with any MPD records system.			X		
STANDARD OPERATING PROCEDURES					
SOP **Transportation and Treatment of Prisoners**					
Failure to take all reasonable precautions necessary to secure and safely transport prisoners in accordance with SOP.		X			
SOP **Status Changes**					
Failure to report changes in address or telephone number within 24 hours after making such changes by submitting in writing the changes to the Chief of Police's Office, their commanding officer and the shift OIC. All employees shall maintain a working telephone number. Officers shall promptly notify their commanding officer if their drivers license status changes.	X				
SOP **Search and Seizure**					
Failure to obtain Command Approval for search warrants for any building or dwelling. This does not include search warrants for property or vehicles that are already in MPD custody. Tactical execution of warrants will only be performed by personnel with appropriate training and who are in uniform or otherwise clearly identifiable as police officers.		X			
SOP **Police Weaponry**					
Failure to adhere to the specifics of this procedure as described in the SOP.		X			
SOP **Firearms Safety**					
Employees who have been trained in MPD firearms safety shall strictly adhere to all safety guidelines when handling firearms to prevent unintentional discharges. This applies both on and off duty.			X		
Unintentional discharge on the range line (no injury or horseplay).		X			
Failure to ensure the security and safe storage of MPD approved weapons. This applies both on and off duty.		X			

Corresponding Code of Conduct Manual Listing Categories skipped have not had recent previous discipline associated.		Category				
		A	B	C	D	E
SOP	**Use and Care of City-Owned Property**					
	Failure to adhere to prescribed procedures for check out and use of any MPD owned property. Members of the MPD are responsible for the good care of MPD property and shall promptly report to their supervisor in writing the loss of, damage to or unserviceable condition of such property.		X			
	Unintentional discharge of electronic control device if it occurs in the armory during the check out process and no injuries (documented counseling).	X				
	Failure to drive city owned vehicles with due regard for safety at all times.			X		
	Employees shall not use any MPD property for private purposes unless permission is first obtained from the Chief of Police.		X			
SOP	**Property Handling**					
	Failure to take all precautions necessary to guarantee proper handling of evidence and any property seized, received or found and shall conform to MPD procedure for handling and disposition; a written record of the property disposition shall be included in the employee's report.		X			
	Destruction of property without following normal tagging procedures.			X		
	Failure to adhere to the specifics listed in detail in this SOP.		X			
SOP	**Personal Appearance**					
	Failure to adhere to personal appearance code of conduct described in the SOP.	X				
SOP	**Identification of Employees**					
	Failure to identify with name, rank and employee number when requested to do so. Plain clothes officers will ID themselves with badge and ID card.		X			
SOP	**Reporting**					
	Failure to write accurate and complete reports and reports shall be completed promptly.		X			
	Failure to complete reports in all arrests, use of force, stops, frisks, criminal investigations, property/evidence handling and other cases outlined in SOPs.		X			
SOP	**TIME System Access**					
	TIME system access will be in strict compliance with their procedures and information gleaned shall be disseminated in accordance with the SOP.		X			
SOP	**Stop and Frisk**					
	Failure to adhere to the specifics listed in this SOP.	X				
SOP	**Searches**					
	Failure to adhere to the specifics listed in this SOP.		X			
SOP	**Handling of Evidence, Contraband, Found or Lost Property**					
	Failure to adhere to the specifics listed in this SOP.	X				
SOP	**Use of Mobile Data Computers**					
	Failure to adhere to the specifics listed in this SOP.		X			
SOP	**Off-Duty Officer Responsibilities**					
	Failure to adhere to the specifics found in the SOP.		X			
SOP	**Traffic/Parking Enforcement and Crash Investigation**					
	Failure to promptly report to an on-duty supervisor any accident with damage to any city owned motor vehicle operated by them or in their charge. An employee shall request a field supervisor be dispatched to supervise any accident investigation.		X			
SOP	**Outside Employment**					
	Failure to adhere to the specifics as described in the SOP.	X				
SOP	**In-Car Video System**					
	Failure to log into squad video system		X			
	Failure to sync in-car video microphone		X			
	Failure to wear microphone		X			

Corresponding Code of Conduct Manual Listing	Category				
Categories skipped have not had recent previous discipline associated.	A	B	C	D	E
SOP **Social Media – Off Duty**					
Failure of personnel to appropriately represent MPD honestly, respectfully, and/or legally while on- or off-duty through the use of social media. Personnel are expected to represent the Core Values of the MPD at all times even when using the internet for personal purposes.		X			

See Code of Conduct manual and SOPs for detailed description of code of conduct/procedures. The above-described policies/procedures are general summaries and are not meant to be all inclusive.

Not all policies are listed in the matrix, however, all code of conduct/procedural violations will be enforced.

For code of conduct violations not listed in the matrix, sanction levels will be determined by the Chief of Police.

Sanction Options in Internal Investigations

These levels **are not considered formal discipline:**
1. Verbal Counseling.
2. Training.
3. Mediation - in minor complaints, if both parties are MPD employees and mutually agree, mediation will be arranged through Employee Assistance Program (EAP) using a professional mediator.
4. Work Rules.
5. Documented Counseling.

The levels covered below **are considered formal discipline** and are placed in the employee's personnel file:
1. Letter of Reprimand.
2. Suspension without Pay.
3. Reduction in Rank.
4. Separation of Service.

Multiple Violations

In cases where there may be multiple code of conduct/procedural violations involved with a single investigation, each violation may receive a separate and distinct sanction.

Police and Fire Commission (PFC)

The PFC is established by Wis. Stats. Sec. 62.13. The PFC appoints all commissioned officers and establishes hiring guidelines. Charges may be filed against an officer by the Chief of Police, member of the PFC or by any aggrieved party. These charges may request that an officer be reduced in rank, suspended or removed. Under the statute, the PFC shall hold a hearing on the charges and evidence shall be presented. After the presentation of evidence, the PFC must determine that the seven just causes (outlined in Wis. Stats. Sec. 62.13(5)(3m)) have been met. If the PFC determines there is just cause to sustain the charges, the PFC may suspend, reduce in rank, suspend and reduce in rank or remove the officer.

Rights of the Chief of Police/Right of Deviation

The Chief of Police reserves the right of suspension, transfer of assignment and extension of probation, counseling, alcohol/drug assessment, psychiatric evaluation, fitness for duty evaluation, or any other training, treatment or evaluation reasonably deemed necessary by the Chief of Police, in certain cases. The Chief of Police also reserves the right to file charges with the PFC as outlined above. The Chief of Police also reserves the right to terminate civilian employees for just cause.

The Chief of Police or designee will approve all discipline.

The Chief of Police reserves the right to hold suspension days in abeyance.

The Chief of Police reserves the right to deviate outside the recommended Matrix guidelines. If a deviation occurs, the factors leading to the deviation shall be addressed in the discipline notice to the employee. Deviation may be based on mitigating or aggravating factors.

The Chief of Police will make the final determination of disposition.

EXAMPLES OF MITIGATING AND AGGRAVATING FACTORS

Mitigating factors include but are not limited to:
- Ordered by supervisor.
- Mistake of facts.
- Necessity.
- Unintentional.

Aggravating Factors include but are not limited to:
- Inappropriate use of force.
- Personal motive.
- Intoxication.
- Conspiracy.
- Criminal conduct.
- Deception.
- Intentional act.

Nothing in this code of conduct shall be construed to limit the management prerogative of the Chief of Police, nor any other supervisory officer, to take corrective action whenever appropriate.

The Chief of Police may file formal charges against an employee, with the appropriate authorities, irrespective of an internal investigation.

Civilian Employees

All employees are expected to adhere to the MPD code of conduct, SOPs, city administrative procedural memoranda (APMs) and the City of Madison Employee Benefits Handbooks. This discipline matrix is not meant to cover civilian employees of the MPD. Discipline matters resulting from a sustained finding involving non-commissioned personnel follow the overall City of Madison Personnel Rules.

In situations where there is a conflict between the MPD Code of Conduct, SOP, APM or the Employee Benefit Handbook the most stringent rule, code, guideline shall apply.

Probationary Police Officers

This matrix SOP may not apply to probationary police officers whose employment status is subject to their probationary performance.

Original SOP: 02/27/2015
(Revised: 02/29/2016, 03/21/2016, 01/06/2017)

CITY OF PORTLAND, OREGON

Bureau of Police
Charlie Hales, Mayor
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Integrity • Compassion • Accountability • Respect • Excellence • Service

DATE: February 28, 2014

TO: All Bureau Employees

SUBJECT: Discipline Guide

As Chief of Police, it is my responsibility to ensure accountability for our individual actions and to improve employee behavior and performance. In doing so, we reinforce our organization's values and maintain our credibility and trust with the community we serve.

Typically, disciplinary action is used as a means to correct unacceptable behavior and as a tool in setting and enforcing Bureau standards. When making recommendations to the Commissioner-in-Charge for discipline or imposing discipline, I ask for and receive input from a wide variety of resources, including the Police Review Board, union representatives, and other management and advisory personnel such as the RU manager and the Bureau of Human Resources.

My goal is to apply disciplinary standards in a fair and consistent manner. Nationally, many law enforcement agencies use a discipline matrix when considering the appropriate level of discipline resulting from administrative or performance investigations.

At my direction, the Professional Standards Division convened a workgroup to develop a Discipline Guide. The workgroup collaboratively gathered and reviewed historical PPB data, and policies of other agencies, in order to develop a guide to be used by Portland Police Bureau, RU managers, the Police Review Board, and the Chief of Police when recommending corrective action.

Workgroup stakeholders invited to attend and participate included representatives from the Operations Branch, Services Branch executive lieutenants, Training Division, Personnel Division, Independent Police Review Division (IPR), City Attorney's Office, PPA, PPCOA, AFSCME, Professional Standards and Internal Affairs.

The objectives of the workgroup in the development of the guide included: providing a mechanism for improved timelines within the discipline process; promoting a mechanism for positive change in behaviors and/or performance; making recommendations to improve the corrective action and discipline process; providing guidance to supervisors who make disciplinary recommendations; promoting and providing consistency in disciplinary actions; providing officers with an understanding of possible outcomes; and improving accountability.

The workgroup has developed a Discipline Guide through a thoughtful collaborative process over a period of several months. In practice, the guide will accompany Internal Affairs and/or performance investigation investigative material to be reviewed by the RU manager; Police Review Board, and the Chief of Police when considering corrective action recommendations to the Commissioner-in-Charge.

The Discipline Guide will become effective on March 1, 2014. This new Discipline Guide replaces the previous standard of "past practice" when deciding what discipline is appropriate to recommend.

The discipline process can be difficult and emotional for everyone involved. My hope is that as we continue to support one another in meeting expectations, there will be fewer disciplinary decisions that will need to be made.

MICHAEL REESE
Chief of Police

Refer to category description when determining the severity of the violation for directives that fall in multiple categories.

Categories and Descriptions *Examples noted (but not limited to)*		Mitigated	Presumptive	Aggravated
CATEGORY A: Conduct that has or may have a minimal negative impact on operations or professional image of PPB. *Failure to provide name, badge, card* *Use of profanity* *Failure to write a report* *Failure to appear in court* *Minor deviation from policy resulting in vehicle crash* *Rude or dismissive behavior/language*	1st violation in 1 Year		CC	LOR
	2nd violation in 1 Year	CC	LOR	One Day SWOP
	3rd violation in 1 Year	LOR	One Day SWOP	Two Day SWOP
CATEGORY B: Conduct that has or may have a negative impact on operations or professional image of PPB; or that negatively impacts relationships with other officers, agencies or the public. *Deviation from policy resulting in vehicle crash* *Failure to warn (prior to use of force)* *Improper control hold* *Minor deviation from vehicle pursuit policy* *Failure to write an ORS mandated report* *Minor deviation from confrontation management performance policy* *Minor deviation from search and seizure policy* *Deviation from policy resulting in N/D of Less Lethal/Taser*	1st violation in 2 Years	CC	LOR	One Day SWOP
	2nd violation in 2 Years	LOR	One Day SWOP	Two Day SWOP
	3rd violation in 2 Years	One Day SWOP	Two Day SWOP	One Workweek SWOP
CATEGORY C: Conduct that involves a risk to safety or that has or may have a pronounced negative impact on the operations or professional image of the department, or on relationships with other officers, agencies or the public. *Significant deviation from policy resulting in vehicle crash* *Disclosure of confidential information* *Significant deviation from policy resulting in N/D of Less Lethal/Taser* *Failure to adhere to ORS mandated arrest* *Minor deviation from use of physical force policy* *Deviation from policy resulting in N/D of F/A* *Deviation from vehicle pursuit policy* *Deviation from confrontation management performance policy* *Deviation from search and seizure policy* *Offensive or discriminatory language (Example: Epithets)*	1st violation in 3 Years	LOR	One Day SWOP	Two Day SWOP
	2nd violation in 3 Years	One Day SWOP	Two Day SWOP	One Workweek SWOP
	3rd violation in 3 Years	Two Day SWOP	One Workweek SWOP	Two Workweek SWOP
CATEGORY D: Conduct substantially contrary to the values of the PPB or that substantially interferes with its mission, operations or professional image, or that involves a serious risk to officer or public safety, or intentionally violates bureau policy. *Disparate treatment* *Deviation from use of physical force policy* *Significant deviation from vehicle pursuit policy* *Sustained 2.02 Violations (Mandatory PRB Review)* *Significant deviation from policy resulting in N/D of F/A*	1st violation in 5 Years	One Day SWOP	Two Day SWOP	One Workweek SWOP
	2nd violation in 5 Years	Two Day SWOP	One Workweek SWOP	Two Workweek SWOP
	3rd violation in 5 Years	One Workweek SWOP	Two Workweek SWOP	Three Workweek SWOP

Yellow shading indicates automatic referral to Police Review Board Board

See Page 2 for information about the use of this guide.

CC - Command Counseling   LOR - Letter of Reprimand   SWOP - Suspension without Pay
Workweek = Forty Hours   N/D - Negligent Discharge   F/A - Firearm

Refer to category description when determining the severity of the violation for directives that fall in multiple categories.

Categories and Descriptions *Examples noted (but not limited to)*		Mitigated	Presumptive	Aggravated
CATEGORY E: Conduct that involves misuse of authority, unethical behavior, or an act that could result in an adverse impact on officer or public safety or to the professionalism of the PPB. *Display of a firearm or badge for personal gain* *Significant deviation from use of physical force policy* *Significant deviation from confrontation management performance* *DUII* *Significant violation of search and seizure policy* *Evidence Tampering*	1st violation in 7 Years	Two Day SWOP	One -Two Workweek SWOP	3 Workweek SWOP - Termination
	2nd violation in 7 Years	One -Two Workweek SWOP	3 Workweek SWOP - Termination	Demotion - Termination
Supervisor failing to take action on 2.02 violation *Retaliation*	3rd violation in 7 Years	3 Workweek SWOP - Demotion	Termination	
CATEGORY F: Any violation of law, rule or policy which: could result in death or serious bodily injury; or constitutes a willful disregard of PPB values; or involves any act that demonstrates a serious lack of integrity, ethics or character related to an officers fitness to hold the position of police officer; or involves misconduct substantially contrary to the standards of conduct reasonably expected of one whose sworn duty is to uphold the law ; or involves any conduct which constitutes the failure to adhere to any contractual condition of employment or failing to maintain certification mandated by law. *Out of policy use of deadly force* *Significant deviation from confrontation management performance policy during use of deadly force* *Any felony or D.V. conviction* *Untruthfulness*	Violation	3 Workweek SWOP - Demotion	Termination	

Yellow shading indicates automatic referral to Police Review Board

Any prior sustained violation involving the same or similar misconduct within the specified time frame, in a category greater than or equal to the current violation, may be considered as one prior violation.

Any prior sustained violation involving the same or similar misconduct within the specified time frame, in a category lower than the current violation, may be considered as an aggravating factor.

In cases involving multiple concurrent sustained violations, the presumptive discipline level will be set at the category of the most serious sustained violation. The additional violations may increase the penalty level by 1.

Disciplinary actions are determined by the Police Commissioner and/or the Chief of Police and/or their designee. The Police Commissioner and/or Chief of Police may deviate from this guide as conditions and circumstances warrant.

One year is defined as one calendar year from the date of discipline.

Mitigating factors to consider include (but are not limited to): circumstances surrounding rule violation; complimentary history including commendations, letters of appreciation, awards and medals; prior work history, such as positive evaluations and/or work performance, volunteerism, advanced job-related training; discipline history; the member's years of service; training received specific to the behavior in question; willingness to accept responsibility; member's intention in taking or not taking action.

Aggravating factors to consider include (but are not limited to): potential or actual injury or harm to the member of the public or bureau member; rank of the officer who committed the violation; member's prior discipline history or corrective action history; potential impact to the Bureau mission or operations; loss or damage to city or private property; unsatisfactory work performance; failure to meet documented expectations (i.e. Letter of Expectation, Work Plan); training received specific to the behavior in question; documented history of unsatisfactory performance; failure to accept responsiblity; member's intention in taking or not taking action.

This guide supplements existing City and Bureau policies, including Directive 341.00 andCity of Portland HRAR 5.01.