

## 17-2093 - Action Plan

Recommendations		Action Plan	Target Completion Date
<b>1.0 Employee Discipline and Internal Affairs</b>			
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.	The Department will complete a comprehensive SOP manual for Internal Affairs.	Q4FY2018
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 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.	The Department will develop language in the employee notice that the findings are pending if recommendation differ from CPRC and possible change with approval of ACM.	Q4FY2018
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.	Working with CPRC for congruent language.	Q4FY2018
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	Already in practice - will provide additional training to supervisors and CPRC.	Q4FY2018

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	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.	Will take into consideration and develop an SOP. IA Lieutenant will consult Legal.	Q4FY2018
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 members(s) and that the philosophy of progressive discipline is implemented.	Developing along with IA SOP.	Q4FY2018
1.7	Consider implementing some form of 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.	Concurrence of 1.1 with development of SOP - this action item will be completed by DC Administration	Q4FY2018

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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.	In Progress	Q4FY2018
<b>2.0 Criminal Case Review and Case Management</b>			
2.1	Ensure that commanders and supervisors in the CIB, SACA, SIU 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 the preventing, intervening in and suppressing crime in the City of Riverside. The new RMS should help facilitate such an approach.	New RMS will aid this recommendation. This will be a goal of the CAU in the Strategic Plan that is under development. As stated with the implementation of the new RMS the NPC's will strive to work closely with CAU to transition from reactive to proactive analytics.	Q4FY2018
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.	Not concur - The Department will review staffing needs and make changes based on the needs of the entire Department in conjunction with the SP and best policing practices. New RMS will aid in more informed staffing needs. RMS will have capacity for more robust analytical tools; additional staffing in Crime Analysis may be needed to maximize RMS abilities.	Q4FY2018

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2.3	Ensure that RPD command staff considers analyzing which of the two methodologies used in the NPC Units to assign cases to detectives is more effective: (1) assigning detective's 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.	Not concur - due to the size and dynamics of the city, each NPC is unique to the other with regards to crime and crime trends. A uniformed system for case assignment is in direct conflict with the City's Ward Action Team philosophy. The Area Commanders and sergeants generally assign detectives to a crime type as well as specific RD's. The sergeants need to have the ability to assign cases with flexibility should a detective be working on a large case or heavy case load.	Q4FY2018
2.4	Consider stressing to patrol officers and supervisors the importance of fast-forwarding to the detective unit's crime reports involving property crimes with good solvability potential, as they often do for cases involving crimes against persons.	Concur - ongoing and reinforced with training. The RMS will result in a need to change procedures/SOP (RMS-check to trigger text/automated notification).	Q4FY2018
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.	To be completed with training and supplemented with the installment of new RMS with requirement to complete check boxes - Field Based Reporting	Q4FY2018
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	Concur - This was emphasized in the RMS kickoff meeting. The focus of the command staff to make all effort the emphasis the importance of the RMS to the department.	Q4FY2018

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	opportunity not only automate the criminal case review and management processes, but to rethink the current processes so they reflect the best practices and take advantage of the capabilities of the new RMS.		
2.7	Ensure that those commanding and supervising detectives in the CIB, SACA, SIU 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.	Concur - in progress with RMS implementation	Q4FY2018
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.	Not concur -This will be an automated process in the RMS - Field supervisor will ensure that the proper crime report has been taken in the field.	Q4FY2018
<b>3.0 Use of Data</b>			
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	Concur - Dept. will be moving towards pro-active approach. This is an excellent recommendation and all in the CAU agree it would be beneficial. The plan will	Q4FY2018

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	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.	include all of the topics recommended in addition to the following: 1) planned transition from a reactive unit to a proactive unit. 2) a list of current products and those we hope to accomplish 3) projection of staffing needs in order to imbed staff in specialized units	
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.	Concur - Crime Analysis Strategic Plan (evaluation of potential positions in other places within dept. will be redeployed). This issue has been identified previously and currently imbed staff in patrol and NPC's. We will start imbedding staff in CIB 211 PC weekly meetings beginning 4-25-17. As we progress, we plan to imbed staff in specialized units with the hope of increasing staffing levels in the CAU. Other units identified are PACT and Special Investigations. This will assist in accomplishing the goal of becoming more proactive by using intelligence-based analytics. Another goal this will help accomplish is receiving feedback on the products being offered to investigators and others (example GTA repeat offenders). This recommendation has created another goal to target specific crime problems such as GTA or 459 and have a short discussion with detectives after Crime Suppression meetings with regard to feedback on analytical products.	Q4FY2018
3.3	Ensure that CAU plays a strong role, in coordinating with Records Bureau and other key stakeholders, in helping to define use case requirements, fostering	Concur - Crime Analysis Strategic Plan to enhance. CAU currently has a good working relationship with data entry and frequently communicate back and forth. There is a	Q4FY2018

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	optimal user experience for end-users and providing controls and assurance for the quality of data as part of the ROD's prospective RMS.	need for CAU to work closely with Records and Communications with regard to proposed changes. CAU will have to play a role in all aspects of the RMS planning and implementation. The CAU supervisor plans to attend meetings with all involved parties throughout the process.	
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.	Concur - CAU Strategic Plan to enhance. CAU previously held training sessions with patrol and some are able to complete tasks on their own; however, time constraints in roll call etc. can sometimes be an issue. For this reason, CAU has made themselves available to patrol at Lincoln Street in a dedicated office. We plan to continue with training as new officers arrive. More training and interaction with detectives will be key to decentralizing. The CAU has found that detectives are more often contacting CAU with requests and are learning to complete them by themselves. By embedding staff in "high use" units, we hope to improve on decentralizing.	Q4FY2018
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	Concur - As RMS is implemented, we should see an increase in the ability to conduct predictive analysis of crime trends. There is a need to complete a response time analytical tool, which would help in developing future staffing schedules. The analysts do spend a considerable amount of time on producing reports of past crime trends. By embedding staff in various units, moving toward intelligence based analysis and the implementation of a new RMS with real time data; we	Q4FY2018

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	learn how data can help inform staffing deployment, predictive analytics and business intelligence.	expect to see analysts spending more time on proactive or predictive analysis.	
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.	Concur - This is an on-going process. Currently new officers are assigned to a one-hour session with CAU in the orientation phase of training for exposure and introduction to products.	Q4FY2018
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.	Concur - RMS to enhance. As we progress toward more intelligence based and real time data analytics, POP should be a natural outcome in CSM and MAP. When we develop our Strategic Plan, this recommendation should be a key goal with regard to the way we conduct future CSM and MAP meetings. The current process of producing old data is not conducive to a POP mentality. We have had success when analysts are able to identify crime series and work proactively with detectives and officers to apprehend suspects.	Q4FY2018
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.	Concur - RMS to enhance.	Q4FY2018
3.10 (3.9 missi ng)	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	Concur - CAU Strategic Plan to enhance. Report writing and data entry will be greatly improved with the new RMS. A Kaizen session would be ideal to receive feedback on the analytical products the CAU is offering. These	Q4FY2018



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	and data entry processes.	type of meetings can be included as part of the multi-year strategic plan.	
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.	Concur - Migration will be moved on acceptance of California reporting mandates.	Q4FY2018
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.	Concur - this is an on-going effort. We currently accomplish this through CSM and Crime Bulletins; however, we should investigate the possibility of making the CAU products available in a web based or Intranet type application. We can also explore other ways to share information as technologies are developed. These are related to the next recommendation (3.13).	Q4FY2018
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	Concur - As stated above, a web based or intranet portal with access to CAU products would greatly enhance the ability to share information with patrol, POP and investigators. The S drive is unavailable to the majority of personnel in the field or out of the city. Cloud type storage may be a better option. We can schedule meetings with IT as part of the overall strategic plan.	Q4FY2018

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	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.	Concur - This needs further investigation and dialogue.	Q4FY2018
<b>4.0 Use of Technology and Communications Systems</b>			
4.1	<p>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:</p> <ul style="list-style-type: none"> <li>• Enterprise view of entire IT environment</li> <li>• Scope statement and scope management protocols</li> <li>• Project documentation including timeline, resources, tasks, milestones and deliverables</li> <li>• Change management protocols</li> <li>• Vendor management protocols</li> <li>• Understanding of the critical path and interdependencies of tasks</li> <li>• Identify all key stakeholders and include them in the process</li> <li>• Develop project metrics and measurements (e.g., burn rate, task management,</li> </ul>	RMS Implementation team and processes were in process prior to the start of this audit.	Q4FY2018

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	<p>milestone, deliverable management)</p> <ul style="list-style-type: none"> <li>Executive sign-off at each milestone</li> </ul>		
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.	Concur - Need to collaborate with IT to develop	Q4FY2018
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.	Concur - Need to collaborate with IT to develop	Q4FY2018
4.4	Develop IT strategic and tactical plans based on the standardization model of enterprise architecture and device and application inventory of portfolio management.	Concur - Need to collaborate with IT to develop	Q4FY2018

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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.	Concur - Need to collaborate with IT to develop	Q4FY2018
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.	Concur	Q4FY2018
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.	Concur	Q4FY2018
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	RMS implementation - this will be a collateral process	Q4FY2018

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	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.	Concur and working with IT. True replacement cycle for equipment	Q4FY2018
<b>5.0 Staffing and Development</b>			
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.	Staffing decisions will be made by the Office of the Chief based on the needs of the Department	Q4FY2018
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.	Concur - in progress	Q4FY2018
5.3	Fill the current dispatcher vacancies and add new positions to reduce mandatory overtime, which can lead to burnout and turnover.	In progress	Q4FY2018
5.4	The following actions during the implementation phase of the updated CAD system: <ul style="list-style-type: none"> <li>Improve data quality by enforcing edit</li> </ul>	Concur - The CAD upgrade project was already in place prior to this audit	Q4FY2018

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	<p>checks.</p> <ul style="list-style-type: none"> <li>• Consider limiting the number of incident types to no more than 200.</li> <li>• Review the incident codes that have no definition other than just the abbreviation.</li> <li>• Limit the number of call signs.</li> <li>• Standardize the use of time stamps.</li> </ul>		
5.5	Ensure that edit checks and data quality are included as major themes in the new RMS.	Concur - In progress	Q4FY2018
5.6	As the department gets additional officers, assign the officers according to places and times that generate the greatest CFS workload.	Staffing needs will be analyzed by the Field Operations Captain and the DC of Operations to best assess the needs of the Department.	Q4FY2018
5.7	Assign new officers first be to cover the swing shift period once they are ready for solo patrol work.	Staffing needs will be analyzed by the Field Operations Captain and the DC of Operations to best assess the needs of the Department.	Q4FY2018
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.	Staffing needs will be analyzed by the Field Operations Captain and the DC of Operations to best assess the needs of the Department.	Q4FY2018
<b>6.0 Financial Audit</b>			
<b>General Observations</b>			
6.1	Document a version history, including date of changes and updated signatures, on all revised policies.	The Internal Audit Division is responsible for the administration of the Administrative Manual Policies. Currently, the Administrative Manual Policies include revision dates.	

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6.2	Modify forms to include the printed name of signatories. This will assist with identification and facilitate accountability.	Disagree - Generally, signatory authority is delegated by Departments. The Authorized Signature list is updated annually by Departments, executed by Department heads and is available on the City's Intranet page.	
6.3	Ensure policies clearly define appropriate methods for paying for travel expenses, training, conferences, and group meals.	The Finance Department is currently updating the Travel and Meeting policy and Request for Payment Policy.	July 2017
	<b>Accounts Payable Transactions and Journal Entries</b>		
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.	Staff will have the opportunity to review expenditure categorizations during the FY 2018-2020 Two Year Budget process, commencing in December 2017.	December 2017
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 type 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.	Refresher training is needed. The Finance Department's Purchasing Division and City Attorney's Office can provide training on professional services.	

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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.	Disagree. All journal entries are reviewed by multiple Finance Department personnel. Additionally, each Department Head delegates authority for submitting journal entries to the Finance Department.	
6.7	Require invoices or receipts for payment, with the exception of confidential funds.	The Department will continue to require these documents when necessary.	
6.8	Require employees to follow policies regarding Purchase Requisitions and Purchase Orders.	Finance Department's Purchasing Division will provide training as necessary. The City's Purchasing Policies and Procedures are currently being updated as part of a Purchasing Task Force. Estimated completion and review/approval by City Council is August 2017.	August 2017
6.9	Revise the Request for Payment policy to clearly define when Purchase Requisitions and Purchase Orders are not required.	The Finance Department has reviewed the Request For Payment Policy and made changes, effective June 2017. The changes limit the types of purchases that can be made and state requirements for documentation submitted by Departments. Finally, the title has been change to Request for Disbursement to avoid confusion with another RFP, request for proposal.	June 2017
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.	Refer to 6.9	



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6.11	Validate whether fully executed contracts with appropriate vendors exist and ensure these contracts are readily available as support for expenditures.	Disagree. Because of exemptions in Resolution 22576, contracts and/or competitive bids are not required for these procurements and therefore unavailable.	
6.12	Ensure that bid specifications and Request for Proposals are created in line with policy and are readily available when requested.	The City's Purchasing Policies and Procedures are currently being updated as part of a Purchasing Task Force. Estimated completion and review/approval by City Council is August 2017.	August 2017
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.	Refer to 6.12	
6.14	Validate the amount invoiced with supporting documentation, including current agreements, and maintain this information on file with the invoice.	Disagree. Documentation for purchase, depending on the nature of payment (e.g. Request for Disbursement vs Partial Purchase Order Payment vs Purchase Card), may be located in different online repositories (e.g. IFAS, SPL/UWAMS, LaserFiche, etc.). As it relates to Request for Disbursement, Finance Department updated the policy in June 2017 to clarify what documentation is required prior to approval of payment.	

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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.	Disagree. Finance Department has advised that as long as sufficient documentation is included in back-up (e.g. incorrect sales tax), a modified invoice should be sufficient.	
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."	Refer to 6.12	
6.17	Update Request for Payment policy 07.006.00 to reflect appropriate procedures and train employees on the proper method to request payment.	Refer to 6.9	
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.	Refer to 6.9	
6.19	Revise the Request for Payment policy to specify whether expenditures permitted under the policy are exempt from competitive bidding as well as specify the documentation required, such as contractual agreements.	Refer to 6.9	

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6.20	Validate amounts invoiced from other governmental entities with an executed contract.	Refer to 6.14	
6.21	Revise the Competitive Bids policy to identify required procedures and documentation, such as the Justification of Single Source, and the contract.	Refer to 6.12	
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.	Refer to 6.12	
6.23	Ensure appropriate contracts have been executed and approval has been obtained from the City Council before purchasing goods and services.	The Department will continue to ensure contracts have been fully executed and approval has been obtained from the City Council before furnishing goods or services.	July 2017
	<b>Purchasing Card (P-Card) Transactions</b>		
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.	Disagree. The City's Purchasing Resolution provides an exemption for purchases made for Police Department vehicles and equipment, including helicopters (Section 201d). Use of the P-Card provides for an efficient manner to make purchases and keep public safety vehicles in service; staff may look into bidding these services, and allow for the use of P-Cards in that agreement. Additionally, as approved in May 2017, the responsibility for Police Department vehicle maintenance has been moved to the General Services Department's Fleet	

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		Division.	
6.25	Evaluate whether the P-Card may be used for making payments for multiple invoices and clarify policy accordingly.	The City's Purchasing Card Policy is currently being updated with an estimated completion date of July 2017. Allowing for payment of multiple invoices; however, the process for submitting documentation will be clarified to ensure transparency.	July 2017
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.	Disagree. Limits can be modified; however, the current policy language and documentation forms are not clear. This will be addressed with the policy update.	July 2017
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.	Disagree. Meal purchases are allowed; however, the current policy language and documentation forms are not clear. This will be addressed with the policy update.	July 2017
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.	The Finance Department is currently updating the Travel and Meeting policy and Request for Payment Policy.	September 2017
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	Requirements for expenditures regarding charitable events and donations will be clearly stated with the policy update.	July 2017

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	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.	Upon completion of the revised P-card policy, the Finance Department's Purchasing Division will provide citywide training, where needed.	July 2017
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.	Items that are restricted and the policy to allow certain restricted items will more clearly stated with the P-card policy update.	July 2017
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.	Refer to 6.31	
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. Do not accept quotes or proposals as support for P-Card charges.	Refer to 6.25	

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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 as approval signature. The approver should be identified as a direct supervisor or above.	Refer to 6.25	
	<b>Travel and Expense Reimbursements</b>		
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.	The Finance Department's position is that additional software is not needed at this time; the City will look to utilize its existing systems (e.g. Sharepoint) to assist with these issues.	
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	Disagree. The Finance Department will review the current practice and work with the Police Department and other City Departments on enhancements to documentation and internal controls needed for this practice to continue.	

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	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.		
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