



Transmitted via e-mail

May 2, 2014

Ms. Michele Meadows, Assistant Director of Administration (Acting)  
Office of Traffic Safety  
2208 Kausen Drive, Suite 300  
Elk Grove, CA 95758

Dear Ms. Meadows:

**Final Report—Bakersfield Police Department, Traffic Safety Grant Audit**

The Department of Finance, Office of State Audits and Evaluations, has completed its audit of the Bakersfield Police Department's (Department) grants AL1009 and PT1146, awarded by the California Office of Traffic Safety.

The enclosed report is for your information and use. The Department's response to the report observations and our evaluation of the response are incorporated into this final report. This report will be placed on our website.

We appreciate the assistance and cooperation of the Department. If you have any questions regarding this report, please contact Kimberly Tarvin, Manager, or Rebecca McAllister, Supervisor, at (916) 322-2985.

Sincerely,

Original signed by:

Richard R. Sierra, CPA  
Chief, Office of State Audits and Evaluations

Enclosure

cc: Ms. Leslie Witten-Rood, Assistant Director of Operations, Office of Traffic Safety  
Ms. Janise Truelock, Regional Coordinator, Office of Traffic Safety  
Ms. Trina Nguyen, Associate Accounting Analyst, Office of Traffic Safety  
Ms. Deborah Hrepich, Associate Accounting Analyst, Office of Traffic Safety  
Mr. Greg Williamson, Chief of Police, Bakersfield Police Department  
Mr. Joe Mullins, Lieutenant, Bakersfield Police Department  
Mr. Darrin Branson, Business Manager, Bakersfield Police Department

# AUDIT REPORT

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## Bakersfield Police Department DUI Enforcement and Awareness and Selective Traffic Enforcement Programs Grant Agreements AL1009 and PT1146

Prepared By:  
Office of State Audits and Evaluations  
Department of Finance

**MEMBERS OF THE TEAM**

Kimberly Tarvin, CPA  
Manager

Rebecca McAllister, CPA  
Supervisor

Staff  
Jason Narayan

Final reports are available on our website at <http://www.dof.ca.gov>

You can contact our office at:

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# BACKGROUND, SCOPE AND METHODOLOGY

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## BACKGROUND

The Office of Traffic Safety's (OTS) mission is to effectively and efficiently administer traffic safety grant funds to reduce traffic deaths, injuries, and economic loss. OTS implements its mission by awarding grants to local and state public agencies from several federal funding sources. The ten priority areas of concentration for grant funding include the following: Alcohol-Impaired Driving, Distracted Driving, Drug-Impaired Driving, Occupant Protection, Pedestrian and Bicycle Safety, Traffic Records, Emergency Medical Services, Roadway Safety, Police Traffic Services, and Motorcycle Safety.<sup>1</sup>

The Bakersfield Police Department (Department) received the following grants:

- **Grant AL1009**—\$589,000 for the Driving Under the Influence (DUI) Enforcement and Awareness Program to reduce the number of persons killed and injured in alcohol related crashes. The grant activities include DUI/Driver's License checkpoints, DUI saturation patrols, stakeout operations, warrant services, and "Hot Sheets" program development.<sup>2</sup>
- **Grant PT1146**—\$489,445 for the Selective Traffic Enforcement Program to reduce the number of persons killed and injured in crashes involving alcohol, speed, red light running, and other primary collision factors. The grant activities include: DUI/Driver's License checkpoints; DUI saturation patrols; speed, aggressive driving, and seat belt enforcement; court sting operations; warrant services; "Hot Sheet" program development; and "Life Interrupted" presentations at regional high schools.<sup>3</sup>

## SCOPE

In accordance with an interagency agreement, the Department of Finance, Office of State Audits and Evaluations, audited the following grant agreements:

<u>Grant Agreement</u>	<u>Audit Period</u>
AL1009	October 1, 2009 through September 30, 2010
PT1146	October 1, 2010 through September 30, 2011

The audit objectives were to determine whether the Department's grant expenditures claimed were in compliance with applicable laws, regulations, and grant requirements; and to determine whether the grant objectives were completed as required. We did not assess the efficiency or effectiveness of program operations.

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<sup>1</sup> Excerpts from [www.ots.ca.gov](http://www.ots.ca.gov).

<sup>2</sup> Excerpts from Grant Agreement AL1009.

<sup>3</sup> Excerpts from Grant Agreement PT1146.

Department management is responsible for ensuring accurate financial reporting and compliance with applicable laws, regulations, and grant requirements. OTS is responsible for the state-level administration of the grant program.

## **METHODOLOGY**

To determine whether grant expenditures were in compliance with applicable laws, regulations, and the grant requirements; and if the grant objectives were completed, we performed the following procedures:

- Interviewed key personnel to obtain an understanding of the grant-related internal controls.
- Examined the grant files, the grant agreements, and applicable policies and procedures.
- Reviewed Department accounting records, vendor invoices, and personnel records.
- Selected a sample of claimed expenditures and determined whether they were allowable, grant-related, incurred within the grant period, supported by accounting records, and properly recorded.
- Evaluated whether other revenue sources were used to reimburse expenditures claimed for reimbursement under the grant agreements.
- Evaluated whether a sample of grant objectives were met by reviewing supporting documentation.

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

The results of the audits are based on our review of documentation, other information made available to us, and interviews with staff directly responsible for administering grant funds.

Except as noted below, the grant expenditures claimed complied with the grant agreement requirements. Additionally, several grant objectives were not fully met as specified in the grant agreements. The Schedule of Claimed Amounts is presented in Table 1, with the observations presented below.

**Table 1: Schedule of Claimed Amounts**

<b>Category</b>	<b>Grant AL1009 Claimed<sup>1</sup></b>	<b>Grant PT1146 Claimed<sup>2</sup></b>
Personnel	\$ 486,766	\$ 391,706
Travel	3,918	6,481
Contractual Services	13,881	10,998
Equipment	-	18,382
Other Direct Costs	7,227	6,276
<b>Total Expenditures</b>	<b>\$ 511,792</b>	<b>\$ 433,843</b>

**Observation 1: Travel Expenses in Excess of Budget**

The Department claimed \$6,481 in travel expenses for grant PT1146 which exceeded the budget authorized maximum of \$5,000 for travel expenses by \$1,481 (30 percent). While the total grant expenditures were less than the award amount, a grant revision was not approved by OTS to authorize these expenditures. The OTS Grant Program Manual (2/08), Chapter 3, section 3.8, states Schedule B cost category increases in excess of ten percent requires a formal grant revision with OTS approval.

**Recommendation:**

For future grants, ensure that a budget revision is approved by OTS prior to incurring the excess costs.

**Observation 2: Grant Objectives Not Fully Met**

The Department did not meet 2 of the 15 grant objectives from grant AL1009 and 5 of the 24 grant objectives from grant PT1146, as described in Table 2 below. The grant agreements outline the objectives required to be accomplished by the Department. Failure to meet the

<sup>1</sup> OTS awarded \$589,000 for grant AL1009 and the Department claimed \$511,792.

<sup>2</sup> OTS awarded \$489,445 for grant PT1146 and the Department claimed \$433,843.

objectives may result in withholding or disallowance of grant reimbursements, the reduction or termination of grant funding, or denial of future grant funding.

**Table 2: Schedules of Objectives Not Fully Met**

<b>Grant Agreement AL1009</b>		
<b>Objective</b>	<b>Grant Requirement</b>	<b>Results</b>
11	Conduct 11 "Stakeout" operations that employ police officers to observe the "worst of the worst" repeat DUI offender probationers with a suspended or revoked driver's license by September 30, 2010.	The Department reported in the Final Quarterly Progress Report that it completed 9 of the 11 required "Stakeout" operations.
13	Conduct 122 "The Life Interrupted Program" alcohol/drug educational presentations impacting 5,000 students by September 30, 2010.	The Department completed 117 of the required 122 "The Life Interrupted Program" presentations. While the Department reported they conducted 123 presentations, 6 of these presentations were checkpoint operations. The Department did not provide supporting documentation, such as a confirmation from the host organization confirming the number of students that attended the presentations, to verify the reported number of students impacted.

<b>Grant Agreement PT1146</b>		
<b>Objective</b>	<b>Grant Requirement</b>	<b>Results</b>
9	Conduct 55 DUI saturation patrols by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that 43 of the 55 required DUI saturation patrols were completed.
14	Increase total department-wide seat belt citations as a percent of total hazardous or moving citations issued by 6 percentage points from the 2009 Federal Fiscal Year (FFY) base of 13 percent to 19 percent by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that it did not achieve 19 percent in seat belt citations as a percent of total hazardous or moving citations.
17	Conduct 3 "Court Sting" operations to cite individuals driving from court after having their license suspended or revoked by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that 2 of the 3 required "Court Sting" operations were completed.

Grant Agreement PT1146		
Objective	Grant Requirement	Results
18	Increase the total department-wide number of vehicles impounded as a result of suspended/revoked or unlicensed citations by 10 percent from the 2009 FFY base total of 7,798 to 8,578 by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that 7,496 of the 8,578 required vehicles were impounded.
20	To conduct 122 "The Life Interrupted Program" alcohol/drug educational presentations impacting 10,000 students by September 30, 2011.	The Department completed 114 of the required 122 "The Life Interrupted Program" presentations. While the Department reported they conducted 137 presentations, 23 of these presentations were checkpoint operations. The Department did not provide supporting documentation, such as a confirmation from the host organization confirming the number of students that attended the presentations, to verify the reported number of students impacted.

**Recommendations:**

For future grants, the Bakersfield Police Department should perform the following:

- A. Effectively plan and monitor the grant activities to ensure objectives are fully met.
- B. Maintain adequate supporting documentation to demonstrate the required objectives were met.

OTS will determine the actions, if any, to take related to the unmet objectives.





**GREG WILLIAMSON**  
Chief of Police

CITY of  
**BAKERSFIELD**

OFFICE OF THE CHIEF OF POLICE



(661) 326-3821

*Transmitted via e-mail*

March 11, 2014

Richard R. Sierra, CPA  
Chief, Office of State Audits and Evaluations  
Department of Finance  
915 L Street  
Sacramento, CA 958174-3706

Re: Response to Traffic Safety Grant Audits

Dear Mr. Sierra:

Thank you for the opportunity to respond to findings of the Department of Finance audit on grants AL 1009 and PT 1146.

I have enclosed our responses regarding objectives 11 and 13 of Grant AL 1009, as well as clarification of travel expenses related to Grant PT 1146 and a response to unmet objectives 9, 14, 17, 18, and 20.

Bakersfield Police Department staff will continue to streamline the process of documenting our concentrated enforcement efforts as they relate to the DUI enforcement and awareness, and selective traffic enforcement programs.

Sincerely,

Original signed by:

Greg Williamson,  
Chief of Police

Enclosure

### **Response to Observation 1: Grant PT1146 Travel Expense in Excess of Budget**

**Observation:** The Department claimed \$6,481 in travel expenses for grant PT1146 which exceeded the budget-authorized maximum of \$5,000 for travel expenses by \$1,481 (30 percent). While the total grant expenditures were less than the award amount, a grant revision was not approved by OTS to authorize these expenditures. The OTS Grant Program Manual (2/08), Chapter 3, section 3.8, states Schedule B cost category increases in excess of ten percent requires a formal grant revision with OTS approval.

**Response:** During the grant period at issue, Department received OTS authorization to expend grant funds for travel for personnel to attend an OTS Summit in San Diego. The expenditure was to be split between the then-active AVOID and STEP grants. It appears the amounts were either coded incorrectly or, through verbal authorization, billed to one grant. In support of this response, the AVOID grant for the period did in fact have remaining funds sufficient to cover this excess. No error was brought to Department's attention at the time of billing.

**Improvement Action:** Department has added a full-time Accounting Clerk who tracks and reports expenses bi-weekly. In addition, training expenses are recorded and balances updated when training is approved rather than when it is paid.

**Responses to Table 2: Schedules of Objectives**

<b>Grant Agreement AL1009</b>		
<b>Objective</b>	<b>Grant Requirement</b>	<b>Results</b>
11	Conduct 11 "Stakeout" operations that employ police officers to observe the "worst of the worst" repeat DUI offender probationers with a suspended or revoked driver's license by September 30, 2010.	The Department reported in the Final Quarterly Progress Report that it completed 9 of the 11 required "Stakeout" operations.
<b>Response</b>		
The Bakersfield Police Department depended on the cooperation and assistance of the Kern County Probation Department in order to identify the selected offenders. The Kern County Probation Department experienced a significant turnover in personnel at the time, which delayed the distribution of the updated probationer information lists. This reduced the number of operations completed.		
13	Conduct 122 "The Life Interrupted" Program alcohol/drug educational presentations impacting 5,000 students by September 30, 2010.	The Department completed 117 of the required 122 "The Life Interrupted" program presentations. While the Department reported they conducted 123 presentations, 6 of these presentations were at checkpoint operations. The Department did not provide supporting documentation, such as a confirmation from the host organization confirming the number of students that attended the presentations, to verify the reported number of students impacted.
<b>Response</b>		
The Bakersfield Police Department Traffic Division obtained guidance from the Office of Traffic Safety (OTS, Kevin Yokoi) regarding the "Life Interrupted" display being placed at a checkpoint and being counted as a presentation. This guidance affected our planning and statistical data. Since that time, and in subsequent iterations of this grant, ALL presence at DUI checkpoints was documented on the OTS-provided forms in its own category of presentations, as indicated by this 2011 version of the OTS template:		

**Objectives**

7. To conduct 122 “A Life Interrupted” educational presentations impacting at least 10,000 students by September 30, 2013.

**10/01/12 - 12/31/12** – A Life Interrupted educational presentations were conducted at schools, community events, etc. The wrecked car trailer was displayed at DUI/DL checkpoints throughout the community as well.

**01/01/13 – 03/31/13** – A Life Interrupted educational presentations were conducted at schools, community events, etc. The wrecked car trailer was displayed at DUI/DL checkpoints throughout the community as well.

**04/01/13 – 06/30/13** – A Life Interrupted educational presentations were conducted at schools, community events, etc. The wrecked car trailer was displayed at DUI/SL checkpoints throughout the community as well.

**07/01/13 - 09/30/13** – A Life Interrupted educational presentations were conducted at schools, community events, etc. The wrecked car trailer was displayed at DUI/SL checkpoints throughout the community as well.

**Total Educational Presentations**

	1 <sup>st</sup> Quarter	2 <sup>nd</sup> Quarter	3 <sup>rd</sup> Quarter	4 <sup>th</sup> Quarter
# of Presentations @ Schools	21	1	43	1
# Impacted (Schools)	10600	700	17250	2500
# of Presentations @ Events	12	7	19	21
# Impacted (Events)	9550	2350	11830	37100
Display at Checkpoints	3	1	4	6
# Impacted (Checkpoints)	1971	670	3481	9939

*The ALL display at checkpoints is listed by OTS in its own category in a table headed “Total Educational Presentations.”*

To characterize the checkpoint displays as merely “answering questions” would be incorrect. A substantial part of the “Life Interrupted” presentation is the visual impact of the wreckage which includes the actual vehicle in which a young person lost his or her life. The custom-designed display trailer used for presentations contains multiple media displays. These videos include Chief Greg Williamson and the mothers who have lost children as a result of DUI accidents. All of these aspects are fully operational at DUI checkpoints. In addition, an officer is assigned to the trailer while at the checkpoint to provide information and actively invite participation and one-on-one interaction. This is not always practical in a large-scale assembly setting.

It is the department’s position that dedicating the Life Interrupted presentation and displays at checkpoints is another effective way to have a positive informative impact on the community. Those who have experienced the display at a checkpoint are a very different audience from school assemblies or business meetings. Their extended presence at a checkpoint is often the result of being in the car with a suspected DUI driver, being a suspected DUI driver themselves, or being a pedestrian in an area known for a high number of DUI arrests. This places these individuals squarely in a demographic that is at higher risk of driving under the influence or becoming the victim of someone who does. In short, these educations at DUI checkpoints are a direct message to those who could be most impacted.

Since no stated definition of a “presentation” existed, Department sought and received guidance for the use of “display at checkpoints” as “presentations,” and OTS adjusted their forms for clarification in the following year, it is Department’s position that Department reported the correct number of presentations for this year under the guidance provided at the time and fulfilled this objective.

With regard to supporting documentation as to the number of students in attendance at presentations, no requirement for third-party documentation was included in the original grant. The numbers were provided by the presenting officers, much as the numbers of vehicles screened at a checkpoint are provided by Department personnel. Department has since implemented a system where presenting officers obtain a signature from school or organization officials verifying the numbers.

<b>Grant Agreement PT1146</b>		
<b>Objective</b>	<b>Grant Requirement</b>	<b>Results</b>
9	Conduct 55 DUI saturation patrols by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that 43 of the 55 required DUI saturation patrols were completed.
<b>Response</b>		
In October 2010, the Bakersfield Police Department took on the responsibility of administering both the Kern Avoid and our own STEP grants. Staffing levels and a reduction of participation from allied agencies made it necessary at times to adjust personnel dedicated under the STEP grant to work under the AVOID grant. These staffing adjustments were necessary but did not always meet the goals and objectives of both grants. Since that time we have implemented quarterly planning sessions which schedule upcoming enforcement activities to ensure the goals and objectives for both grants agreed upon between the City of Bakersfield and Office of Traffic Safety are accomplished or exceeded.		
14	Increase total department-wide seat belt citations as a percent of total hazardous or moving citations issued by 6 percentage points from the 2009 Federal Fiscal Year (FFY) base of 13 percent to 19 percent by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that it did not achieve 19 percent in seat belt citations as a percent of total hazardous or moving citations.
<b>Response</b>		
We have continued to make seat belt enforcement a priority but have found a decline in violations resulting in fewer citations. Seat belt enforcement will remain a priority.		
17	Conduct 3 "Court Sting" operations to cite individuals driving from court after having their license suspended or revoked by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that 2 of the 3 required "Court Sting" operations were completed.
<b>Response</b>		
The final "Court Sting" was not completed due to a lack of availability of court personnel.		
18	Increase the total department-wide number of vehicles impounded as a result of suspended/revoked or unlicensed citations by 10 percent from the 2009 FFY base total of 7,798 to 8,578 by September 30, 2011.	The Department reported in the Final Quarterly Progress Report that 7,496 of the 8,578 required vehicles were impounded.
<b>Response</b>		
The enforcement of driving with a valid driver's license continues to be a priority. During this grant period, officers encountered fewer individuals driving in violation of these laws and were unable to legally impound more vehicles.		

20	Conduct 122 “The Life Interrupted Program” alcohol/drug educational presentations impacting 10,000 students by September 30, 2011	The Department completed 114 of the required 122 “The Life Interrupted Program” presentations. While the Department reported they conducted 137 presentations, 23 of these presentations were checkpoint operations. The Department did not provide supporting documentation, such as a confirmation from the host organization confirming the number of students that attended the presentations, to verify the reported number of students impacted.
<b>Response</b>		
The number of presentations was in question due to the counting of DUI Checkpoint presentations (see above). This misunderstanding has been resolved by creating attendance verification sheets to be managed by the presentation officer. This will clarify the type of presentations and provide third-party verification of attendance.		

Original signed by: Greg Williamson, Chief of Police – Bakersfield Police Department

## EVALUATION OF RESPONSE

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The Bakersfield Police Department's (Department) response to the draft report has been reviewed and incorporated into the final report. In evaluating the Department's response, we provide the following comments:

The Department agreed with Observation 1 and portions of Observation 2 as follows:

- Grant agreement AL1009—Objective 11
- Grant agreement PT1146—Objectives 9, 14, 17, and 18

We appreciate the additional comments and willingness to implement corrective actions indicated in the response. Therefore, no additional comments are provided for these items.

The Department disagreed with the portions of Observation 2 as follows:

- Grant agreement AL1009—Objective 13
- Grant agreement PT1146—Objective 20

Both of these objectives related to conducting "Life Interrupted" presentations. Specifically, the Department disagrees with our observation that the "Life Interrupted" program did not recognize activities performed at checkpoint operations as presentations. In support of their position, the Department included the 2011 OTS Quarterly Performance Report (OTS-88) which now includes the "Life Interrupted" display placed at a checkpoint in its own category of presentations. However, at the time of the grant, the OTS-88 (Rev 9/10) did not categorize the "Life Interrupted" displays at checkpoints as presentations and OTS did not regard "Life Interrupted" displays at checkpoints as a presentation. This was further confirmed with our discussions with OTS. Therefore, the observation remains as originally reported.

The Department also disagrees with our observation that the documentation provided to support the presentation attendance numbers did not meet the grant documentation requirements. However, the documentation provided was not sufficient to verify the number of students attending the presentations. We appreciate the Department's corrective action plan to obtain documentation from the host organization to support the number of students impacted. The observation remains as originally reported.