



Internal Audit Overview
"Vigilance Through Knowing"

Records Unit Cash Handling Process Audit 10-02
September 2012

KCPD
Internal Audit Unit

RECEIVED
JAN 25 2013
1
CHIEFS OFFICE

Objectives

1. Identify cash handling processes to determine their effectiveness and efficiency.
2. Review the Records Unit, current processes to determine the level of compliance with department and unit directives in addition to sound fiscal practices.

Methodology and Scope

1. Conduct interviews with department members as needed to obtain information and other processes.
2. Review the Records Unit cash handling procedures.
3. Review the Records Unit manual and department directives to determine the level of compliance with department and unit directives.

Findings

1. It appears there are presently enough safeguards in place to ensure any accounting errors will be identified and the necessary corrective action taken.
2. The combination number to the Records Unit's safe is known by most of the unit members and has not been changed. The floor safe is too old to have a changeable combination number.
3. During this audit period there was no recorded incident involving a loss or misappropriation of these transitional funds except for the \$5.00 shortage that was found through the multi layered verification process.
4. To accommodate the Municipal Court, the Records Unit performs a duplicate process by making entries into CMS electronically and manually making entries onto the Bond Ledger Sheet Form 299 P.D., as they occur. Both the Form 299 and the daily crystal report are delivered to the Municipal Court each day, along with the bank deposit receipt as stated earlier.
5. The Mail-In Desk workload could be substantially reduced, if the department outsourced the bulk mail report requests to a third party vendor such as DOCVIEW which specializes in report reproduction services for law enforcement agencies. The costs for DOCVIEW's services would come from the \$11.00 per report copy fee the department currently charges. There is no mechanism currently in place that allows for an accurate assessment of committed time to all of the workflow processes presented in this audit.

Recommendation

1. Make the Records Unit safe combination number changeable and limit the number access.
2. Approve the Computer Services Unit to modify or create a new City Bond Ledger Sheet Form 299 P.D., Crystal Report, which shows all entries in a chronological order.
3. Perhaps consideration should be given to outsourcing the bulk mail requests.

For further information please contact: Officer Phillip Johnson, 889-1462, phil.johnson@kcpd.org

Endorsement Page

Re: Records Unit Cash Handling Process Audit, 10-02

Unit/Section Supervisor

Unit Commander

Major Kuehl,

Submitted for information and review by the Chief. I recommend after the Chief's review the report be presented to the Audit Committee.

the Dec 1/24/13

Division Commander

Chief Foster:

For your review prior to presentation to the audit committee.

Mag. Rando Kuehl 1/29/2013

Bureau Commander

Chief of Police

Approved for forwarding

Chief of Police
1-31-13

MEMORANDUM

November 1, 2012

TO: Major James Pruetting, Executive Officer, Chief's Office
FROM: Thomas Gee, Manager, Internal Audit Unit
SUBJECT: Request for Response to the Records Unit Audit, 10-02

RECEIVED
NOV 01 2012
2
CHIEFS OFFICE

RECEIVED
mmw NOV 07 2012 #7
Information Services

Sir,

Attached please find the Records Unit Cash Handling Process Audit, 10-02. I am requesting it be forwarded in the following manner for written response if any:

1. To the Administration Bureau to be routed to the Records Unit.
2. The appropriate personnel in the Records Unit should craft their written response and return the audit through their chain of command back to you in the Chief's Office.
3. I then request you send it back to me so we may prepare the audit for submission to the Chief.

By written policy the auditee has 30 working days to submit a written response. In this case their response would be due in the Internal Audit Unit on or before **Monday, December 17, 2012.**

Respectfully submitted,



Thomas Gee

Forward to the Records Unit for their response.

*A/oc J. Pruetting
11/4/12*

Records Unit Cash Handling Process Audit

10-02

September 2012

Internal Audit Unit

Kansas City, Missouri Police Department

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INTRODUCTION

On September 15, 2011 the reporting officer was assigned the Records Unit Cash Handling Process Audit which was initially approved by Chief Corwin. This Audit was later placed on hold for the higher priority Office of General Counsel Workflow and Time Study Audits.

Background

The Records Unit Cash Handling Process Audit, was selected because it represented the typical area of risk management, and was not a result of any activity attributed to improprieties or mismanagement.

OBJECTIVES

1. Identify cash handling processes to determine their effectiveness and efficiency.
2. Review the Records Unit current processes to determine the level of compliance with department and unit directives in addition to sound fiscal practices.

SCOPE and METHODOLOGY

The audit procedures included the following:

1. Conduct interviews with department members as needed to obtain information and other processes.
2. Review the Records Unit cash handling procedures.
3. Review the Records Unit manual and department directives to determine the level of compliance with department and unit directives.

DISCUSSION

The Records Unit is responsible for cash handling transactions involving bonding for City and outside warrants, sales of computer criminal history closed record checks (CHRC), and report sales to the public. Daily cash transaction responsibilities are divided up among personnel of the Records Unit. Some personnel are trained to perform additional

duties such as cashier and work the service desk. Working the service desk entails handling walk in requests from citizens for copies of reports, records (criminal history) checks and posting bonds. Either one or two cashiers are assigned to the service desk daily dependent upon the workload of the cashier. If it is extremely busy and staffing is available up to three cashiers can be used to accommodate the high customer demand.

The Records Unit maintains cash/currency on hand for the two cash register drawers labeled A, B and C. Register A has [REDACTED] for a daily startup and ending balance. Registers B and C, have [REDACTED] for daily startup and ending balance. It should be noted monies for C register/cash drawer (backup cash drawer) are kept in a bank money bag labeled C and is always kept in the Records Unit safe when not in use. Register drawers A and B are normally open for use 24 hours a day seven days a week. If a register is closed the money is removed from the cash drawer placed in a bank money bag, which is then placed in the Records Unit safe. It should be noted this safe is an [REDACTED] and the combination number is known by most of the Records Unit personnel. The combination to the safe may have never been changed since the safe has been in service.

Duties for cashiers vary by watch for the Records Unit. Cashiers assigned to Watch I are only responsible for conducting bonds and warrant payout transactions. The service desk is closed. Cashiers assigned to Watch II are responsible for conducting bonds and warrant payout transactions. These cashiers are also responsible for the service desk and mail desk duties (bulk records/report mail in requests). Watch III, cashiers are responsible for conducting bonds and warrant payout transactions. They are also responsible for service desk duties, but not the mail desk.

Bonding and Warrant Payout

Note: only four (4) members of the Records Unit are designated to conduct the daily money counts outlined below;

City Bond/Payouts: Bond Ledger Sheet Form 299 P.D., (exhibit 1) is used to manually record all City bond transactions for all watches daily for twenty-four hour (24) periods, beginning at 0600 hrs., daily with the closing of the Watch I cash drawer/register and the opening of the Watch II cash drawer/register. A daily electronic ledger is also generated and maintained via the Tiburon Corrections Management System (CMS). This Crystal Report is entitled, "City Bond Receipt Ledger" (exhibit 2).

- a) The Crystal Report which electronically captures all city bond transactions for twenty four hour periods (0600 to 0600 hrs.) is the automated version of the Bond Ledger Sheet Form 299 P.D. and is printed out daily for the verification process.
- b) All monies on ledger are counted and compared to receipts to ensure the total amount of currency matches ledger total.

- c) After verification is complete the member conducting the count generates a bank deposit slip (three part carbon form) for the total currency amount to be deposited into the Municipal Court's bank account.
- d) The member then takes the funds to the bank with a Police Officer escort for deposit and returns with the bank validated receipt (yellow and pink copies). The deposit slip original (white) copy is kept by the bank.
- e) The validated yellow and pink deposit slip copies are distributed as follows; the yellow copy is taken to Municipal Court along with the Bond Ledger Sheet Form 299 P.D., and the daily CMS Crystal Report entitled, "City Bond Receipt Ledger". The deposit slip pink copy is kept by the Records Unit.

It should be noted that when the department transitioned to the Tiburon System the Form 299 P.D., Bond Ledger Sheet became automated with all of the information on the Form 299, being captured in CMS. To accommodate the Municipal Court, the Records Unit performs a duplicate process by making entries into CMS electronically and manually making entries onto the Bond Ledger Sheet Form 299 P.D., as they occur. Both the Form 299 and the daily crystal report are delivered to the Municipal Court along with the bank deposit receipt as stated earlier daily. It appears the primary reason for the Court's request is the Bond Ledger Sheet's entries are in chronological order as opposed to the random order of all entries on the CMS generated report. Since the entries on the Bond Ledger Sheet are handwritten these entries are subject to being ineligible at times and the CMS generated report is used by the Court to verify the handwritten entries as needed.

State/Outside Bonds: A daily CMS Crystal Report entitled, "State/Outside Bond Receipt Ledger" (exhibit 3) is used to record all state and outside bond transactions.

- a) The Crystal Report which electronically captures all state bond transactions for twenty four hour periods (0600 to 0600 hrs.) is the automated version of the Bond Ledger Sheet Form 299 P.D. and is printed out daily for the verification process.
- b) All monies on ledger are counted and compared to receipts to ensure the total amount of currency matches ledger total.
- c) After verification is complete the member conducting the count takes the monies, receipts and copies of CMS Crystal Report ledgers (Form 299 P.D.) to the Accounting Unit.
- d) The Accounting Unit verifies the monies/receipts and the ledger entries are correct before accepting monies/receipts. The ledgers are then returned to the Records Unit member with notation of the date, time, and amount of funds received. The ledgers with the notations become a receipt for the Records Unit and are retained for a period of five years in a unit file.

Service Desk Process

Service Counter Report/Criminal History Records Check (CHRC) Sales;

As stated earlier report and CHRC sales to the public are only applicable to Watch II and III. The Records Unit accepts checks, cash and credit cards for payment of report reproduction and CHRC fees. Records Unit personnel assigned to counter duties take citizen requests for copies of reports.

- a) Counter personnel pull reports/CHRC, and generate a receipt (3 - part carbon white – customer copy, yellow – Accounting, and pink - Records Unit file) for the appropriate fee.
- b) Give the pulled report/CHRC and the receipt (white/yellow copies) to the cashier for payment. The pink copy receipt is placed in the designated unit file.
- c) Cashier completes transaction by accepting payment and giving customer the report and receipt.
- d) For all cash/check transactions the Cashier attaches the register tape receipt to the Accounting Unit's yellow receipt copy and places them in the "REPORTS" box.
- e) For credit card transactions the merchant's copy of the credit card receipt is attached to the yellow receipt copy.
- f) Designated cashiers complete a daily watch monies log (exhibit 4) in which the total of all funds received for bonds, reports, and CHRC's are recorded by Watch and verified by supervisors.
- g) All monies/checks/credit card receipts in the cash register drawer are counted and compared to receipts to ensure the total amount of currency/checks matches Watch daily receipts log total and verified by supervisors.
- h) After verification is complete the member conducting the count takes the monies, checks, and receipt copies to the Accounting Unit.
- i) The Accounting Unit verifies the monies/receipts are correct before accepting monies/receipts.

Mail Desk (bulk records/report mail in requests) Process

The majority of requests for report copies originate by bulk mail. According to the Records Unit approximately 60-70% of all requests for report copies originate through the Mail Desk. The Mail-In Desk receives on average 750 report requests a month at a cost of \$11.00 per report copy, which equates to \$8,250.00 monthly or \$99,000.00 annually. Third party clearing houses e.g., Lexis Nexis, will oftentimes contract with insurance companies and law firms to make bulk requests for report copies for them. These clearing houses will send payment in the form of checks attached to each report form request. The majority of bulk records requests occur this way, however, some companies will send advance payment to the department and the Accounting Unit

generates a "Coupon for Report Reproduction Form 5403 P.D.", (exhibit 5) which it sends back to the companies. The companies then submit coupons (Form 5403 P.D.) with their report reproduction requests as payment in lieu of multiple checks.

The Mail-In Desk accepts the following forms of payment if the requester is not a non-paying outside government agency; Prepaid Coupon for Report Reproduction, Form 5403 P.D., Cash, U.S. Postal Money Orders, and Business Check or Bank Draft.

- a) The Records Unit member assigned to the Mail-In Desk will open/sort the mail daily and put requests in numerical order by complaint number.
- b) A Mail-In Desk List Form is completed.
- c) Copies of requested reports will be made.
- d) The form is then wrapped around the listed report requests and placed in the designated cabinet until pulled.
- e) Report copies are processed and disseminated according to current Records Unit guidelines.
- f) All stamped mail is deposited in the designated unit U.S. Mail drop box.
- g) Mail that is not stamped is placed in the designated box for U.S. Mail to be processed by the Mail room.
- h) A Records Unit Draft Letter is used for returning any request, which cannot be fulfilled, along with any remittance.
- i) Prepaid Coupons are counted then taken to the Accounting Unit along with checks after the requests have been filled.
- j) Mail-In receipts are not issued to requesters, unless cash is received.
- k) All checks and money orders received on the previous day are endorsed on the back with the "Board of Police Commissioners" stamp.
- l) A Mail-In Receipt is issued daily that matches the total amount of money orders, checks and prepaid coupons received. This receipt along with the stamped checks, prepaid coupons and money orders are taken along with the monies/receipts from the Service Counter and State/Outside Bond desks daily morning money count, to the Accounting Unit.
- m) The designated supervisor is responsible for verifying the accuracy of Mail-In Receipt.
- n) The designated Watch II Cashier is responsible for transferring monies and receipts to the Accounting Section the next business day.

Daily Morning Money Count

The Daily Morning Money Count is conducted by a designated Watch II Cashier and it involves counting all monies, checks and receipts, also verifying the accuracy of all entries from cash handling transactions involving bonding for City and outside warrants, sales of computer criminal history closed record checks (CHRC), and report sales to the

public from all three Watches for a twenty-four hour period. As noted in the processes listed earlier in this Audit, the cashier makes bank deposits of all funds for city bonds/payouts. Funds from State/Outside Bonds, CHRC, report sales via service counter and mail-in are transferred to the Accounting Unit by the cashier. Each Watch Supervisor conducts a daily money count on all monies, checks and receipts when opening/closing cash register drawers and any monies in the unit safe during shift change.

During this Audit period there were a few notable areas in the Records Unit cash handling processes that have been presented below.

- 1.) The Mail-In Desk is not adequately staffed which results in incoming mail not being handled daily. The following represents a breakdown for a four week period beginning May 14, 2012.
 - a) Week 1 – May 14, thru May 18, 2012, Mail-In Desk staffed four (4) days.
 - b) Week 2 – May 21, thru May 25, 2012, Mail-In Desk staffed zero (0) days.
 - c) Week 3 – May 28, thru June 1, 2012, Mail-In Desk staffed two (2) days.
 - d) Week 4 – June 4, thru June 8, 2012, Mail-In Desk staffed three (3) days.

The Mail-In Desk was staffed a total of nine (9) days out of a possible of twenty days (excludes weekends) during this reporting period. The lack of staffing is compounded when a week goes by and the incoming mail is not handled and begins to accumulate for an extended period.

- 2.) There was one shortage during money count, which occurred on the bond desk on November 28, 2011.
 - a) The amount of the shortage was \$5.00 and a memorandum was submitted by the clerk and supervisor.
 - b) Investigation was initiated by Commander.
 - c) Surveillance tape (vhs format) was pulled and reviewed.
 - d) Due to the poor recording, the tape was forwarded to Investigations for enhancement. The tape even after enhancement could not provide visual evidence to support or refute any wrongdoing by the member.
 - e) The findings of the investigation indicated that the shortage most likely occurred during a bond transaction in which a citizen produced a large of amount of small denomination bills (one dollar) and coins to pay for the bond. It was determined that it was most likely the member gave the citizen an extra five dollars during the transaction resulting in the shortage.

- 3.) The Accounting Unit conducts random surprise Audits of the Records Unit's cash handling processes throughout the fiscal year. I contacted Supervisor Margaret

Harman, Accounting Unit to obtain the results of the latest Audit of the cash handling processes. She stated, "The Accounting and Payroll Section conducted a surprise cash audit on the Records Unit on April 13, 2012. All receipts numbers were in numerical order and the next receipts numbers were verified. All cash bonds were verified. All receipts, cash, check, and charges were balanced back to the change fund of \$700.00."

- 4.) The Records Unit has cameras covering the service counters to monitor transactions of department members and citizens. However, as stated earlier the system is an analog VHS video recording system. This system does [REDACTED] of transactions being conducted daily and [REDACTED] of a counter transaction that would be needed in case of discrepancies such as the shortage incident discussed earlier in this Audit. It is anticipated that the video system will be updated during the scheduled Records Unit renovation.
- 5.) Staffing is also an issue with the Records Unit as with most department elements since the department hiring freeze was implemented a few years ago. The Records Unit authorized staffing level is forty-three (43) positions, their current level stands at thirty-three (33). As stated earlier to accommodate the Municipal Court, the Records Unit performs daily a duplicate process by making entries into CMS electronically and manually making entries onto the Bond Ledger Sheet Form 299 P.D., as they occur. This obviously increases the workload of cashiers and service desk clerks when they have to manually write entries they previously entered electronically into the computerized system.
- 6.) The unit safe is a model that is too old to have reprogrammable combination number. The minimum amount of currency on hand for the Records Unit is [REDACTED] which represents the unit's change fund. Any additional monies are dependent upon transactions bonds/payouts, CHRC's, and report sales accumulated during a twenty-four period before deposits and transfers are made. This means a [REDACTED] amount of cash may be in the safe at any time during a twenty four hour period.

CONCLUSION

The cash handling processes for the Records Unit are multi-faceted, with cashiers conducting sales transactions of items such as paper reports, computer printout of criminal history records, and accepting currency for bonds/warrant payouts. Some of these processes require the Records Unit to act as an intermediary or agent for the Municipal Court and other area courts jurisdictions/agencies, in regard to bonds, warrant/payouts etc. These funds are being physically deposited into non department

banking accounts i.e., Municipal Court of Kansas City, Mo., or transferred to the Accounting Unit which conducts financial transactions with outside agencies to complete the transactions that originated in the Records Unit. The potential for thousands of dollars to pass through the cash handling processes of the Records Unit daily is very high and does actually occur weekly.

During this Audit period there was no recorded incident involving a loss or misappropriation of these transitional funds except for the \$5.00 shortage that was found through the multi layered verification process. This internal/external verification process begins with the Records Unit Cashier conducting a final money/receipt count, followed by the supervisor conducting a final money/receipt count of the cashiers count. The verification process continues with the Accounting Unit, Municipal Court, and banks, conducting a final money/receipt count of the monies/receipts received from the cashier. It appears there are presently enough safeguards in place to ensure any accounting errors will be identified and the necessary corrective action taken. Once the scheduled renovation of the Records Unit is complete the proposed new digital camera system will enhance the cash handling verification process.

As stated earlier 60 - 70% of all report requests the Records Unit receives comes in the form of bulk mail to the Mail-In Desk and over 50% of those are from third party clearing house servicers such as Lexus Nexus. Captain Natalina Baldwin, Commander, Records Unit, stated the Mail-In Desk workload could be substantially reduced if the department outsourced the bulk mail report requests to a third party vendor such as DOCVIEW which specializes in report reproduction services for law enforcement agencies. The costs for DOCVIEW's services would come from the \$11.00 per report copy fee the department currently charges. It is estimated that DOCVIEW's fee would be \$6.00 per report copy plus any administrative fees the department might add.

The duplicate entry process the Records Unit is doing for the Municipal Court can be eliminated with the changing of the Crystal Report entitled, "City Bond Receipt Ledger" (exhibit 2). The reporting officer contacted Civilian Supervisor Cynthia Colwell, Computer Services Unit who advised me that her unit could easily either modify the electronic City Bond Receipt Ledger to reflect the entries in a chronological order or create a new electronic City Bond Receipt Ledger. She also stated she could have the Bond Receipt Ledger modified so the ledger report could be broken down by element instead of the current view of all CMS entries (all patrol divisions and HQ Detention) combined on the same report.

FINDINGS

1. It appears there are presently enough safeguards in place to ensure any accounting errors will be identified and the necessary corrective action taken.
2. The combination number to the Records Unit's safe is known by most of the unit members and has not been changed. The floor safe is too old to have a changeable combination number.
3. During this audit period there was no recorded incident involving a loss or misappropriation of these transitional funds except for the \$5.00 shortage that was found through the multi layered verification process.
4. To accommodate the Municipal Court, the Records Unit performs a duplicate process by making entries into CMS electronically and manually making entries onto the Bond Ledger Sheet Form 299 P.D., as they occur. Both the Form 299 and the daily crystal report are delivered to the Municipal Court each day along with the bank deposit receipt as stated earlier.
5. The Mail-In Desk workload could be substantially reduced, if the department outsourced the bulk mail report requests to a third party vendor such as DOCVIEW which specializes in report reproduction services for law enforcement agencies. The costs for DOCVIEW's services would come from the \$11.00 per report copy fee the department currently charges.

RECOMMENDATIONS

1. Make the Records Unit safe combination number changeable and limit the number access.
2. Approve the Computer Services Unit to modify or create a new City Bond Ledger Sheet Form 299 P.D., Crystal Report, which shows all entries in a chronological order.
3. Perhaps consideration should be given to outsourcing the bulk mail requests.

This audit has been prepared and submitted for your review and approval.


Officer Phillip Johnson

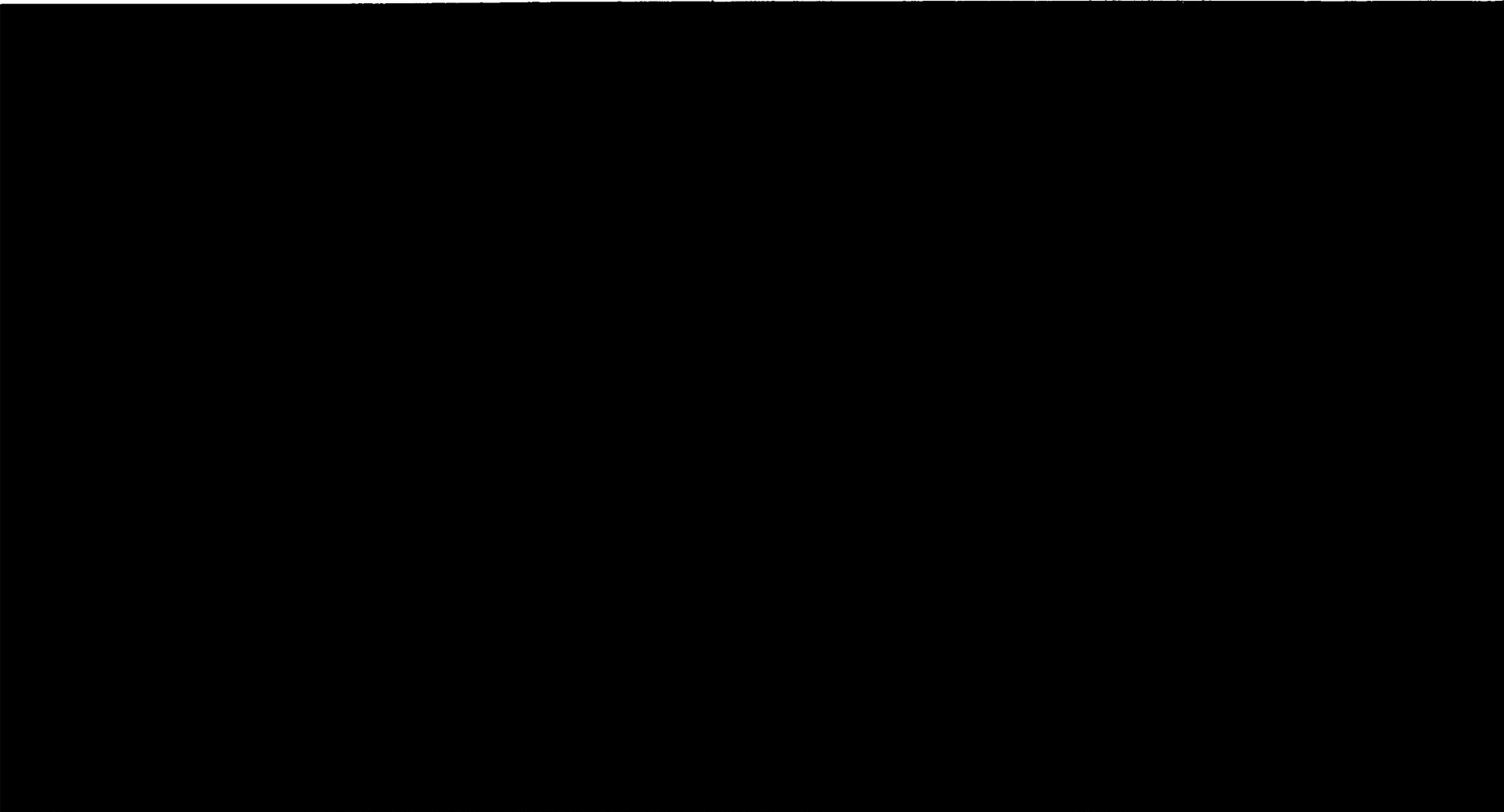
Exhibit 1

Bond Ledger Sheet Form 299 P.D.

BOND LEDGER SHEET
KANSAS CITY, MISSOURI
POLICE DEPARTMENT

BOND REPORT FROM: 0600 Date 5/2/12 TO: 0600 Date 5-3-12

DIVISION or UNIT VRD



TOTAL

I CERTIFY THAT ABOVE BOND MONEY WAS RECEIVED BY ME THIS _____ DAY OF _____

Exhibit 2

Crystal Report entitled, "City Bond Receipt Ledger"

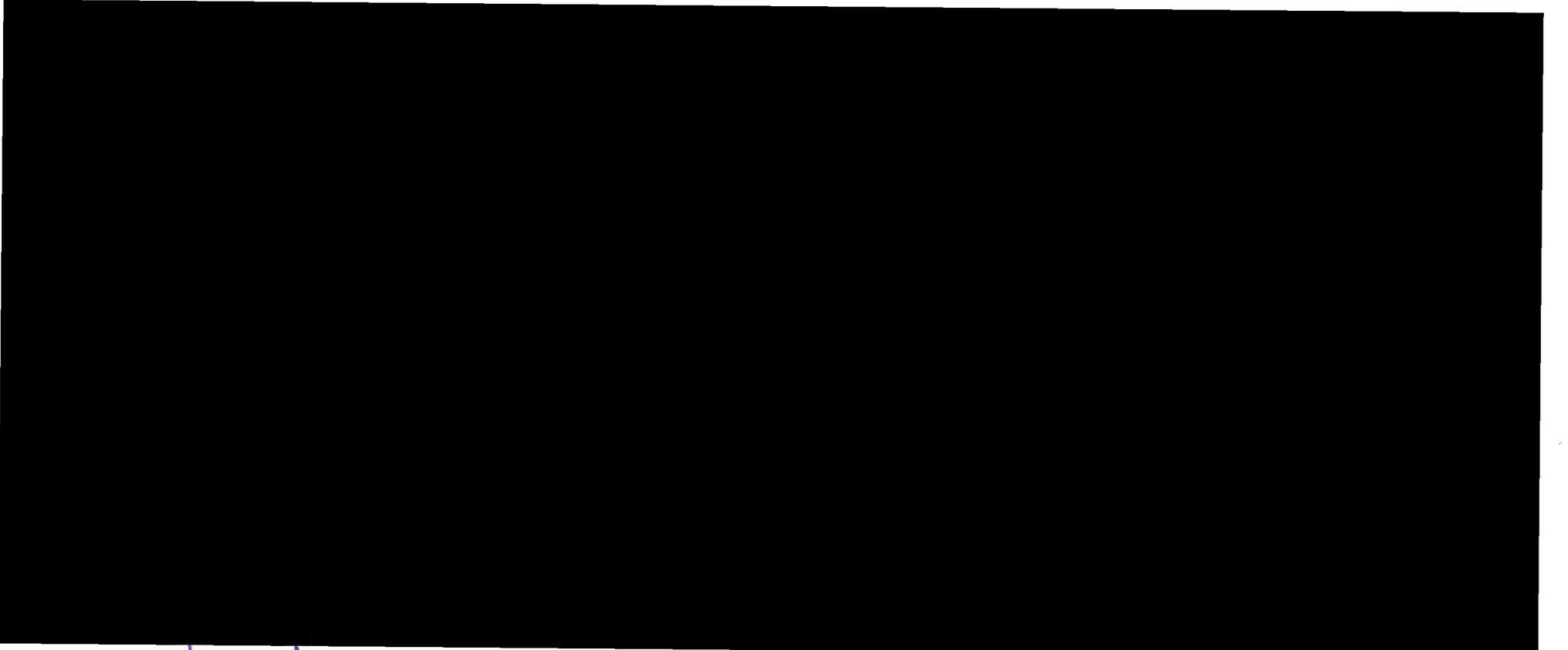
Police
KC/MO

City Bond Receipt Ledger

Parameter #1: (5/2/2012)

Kansas City, Missouri Police Department
1125 Locust Street
Kansas City, Missouri 64106

The dates on this report range from 5/2/2012 6:00AM to 5/3/2012 6:00AM

Date	Time	Bail No	Principle	Actual Paid Bail	Bond	Operato	Charge Status Code	Charge Description	GOS UTT	Court Date Time Room	Void Date Time Operator
											
MPD Total		0	Actual Bail Paid								
NPD											

Police
KC/MO

City Bond Receipt Ledger

Parameter #1: (5/2/2012)

Kansas City, Missouri Police Department
1125 Locust Street
Kansas City, Missouri 64106

The dates on this report range from 5/2/2012 6:00AM to 5/3/2012 6:00AM

Date	Time	Ball No	Principle	Actual	Bond	Operato	Charge	Charge Description	GOS UTT	Court			Void		
				Paid Bail			Status			Code	Date	Time	Room	Date	Time

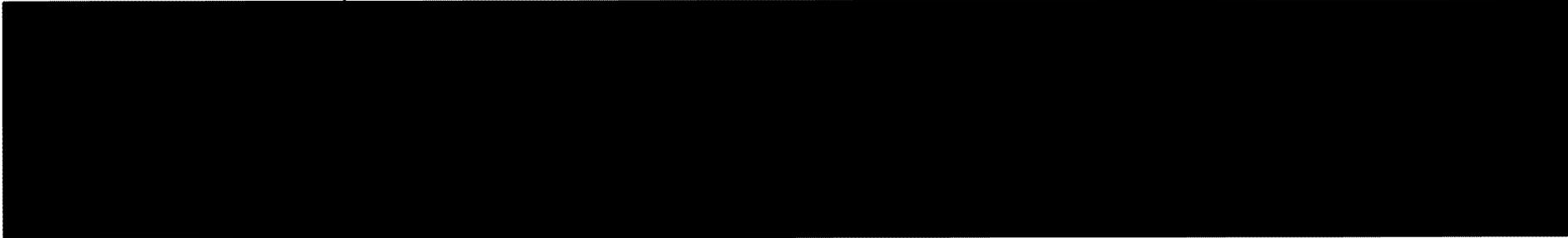


Exhibit 3

CMS Crystal Report entitled, "State/Outside Bond
Receipt Ledger"

Police
KC/MO

State/Outside Bond Receipt Ledger

Parameter #1: (5/2/2012)

Kansas City, Missouri Police Department
1125 Locust Street
Kansas City, MO 64106

The dates on this report range from 5/2/2012 6:00AM to 5/3/2012 6:00AM

Date	Time	Bail No	Principle	Actual Paid Bail	Bond	Operato	Court Date	Charge Status Code	Charge Description	Warrant No	Warrant Agency	Vold Date Time Operator
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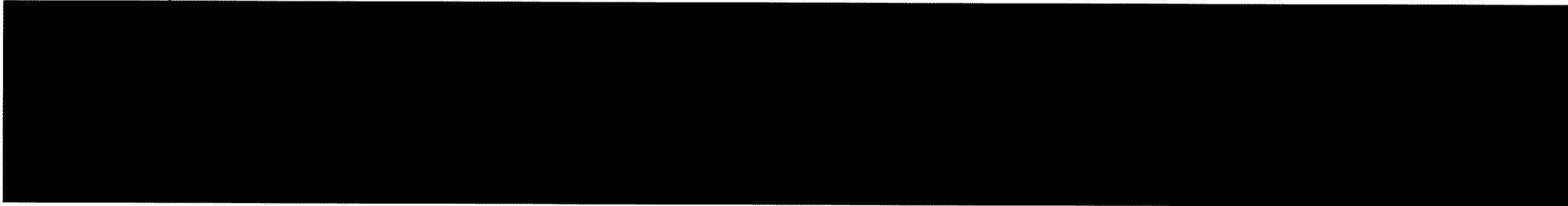


Exhibit 4

Daily Watch Monies Log

Exhibit 5

Coupon for Report Reproduction Form 5403 P.D.

Kansas City, Missouri Police Department
Coupon for Report Reproduction

Fill Out Completely.
Send With Self-Addressed, Stamped, Legal Size Envelope To:

Mail Order Desk
Records Unit
Kansas City, MO Police Department
1125 Locust Street
Kansas City, MO 64106-2687
T.F.N. 44-6000197

Date of Occurrence

8-24-01

Type of Report

Vehicular Accident

Other (Specify)



Form 5403 P.D. (Rev. 3-96)

No 236697

Exhibit 6

Records Unit Cash Handling Processes Flowcharts

Chart 1

BOND DESK PROCESS

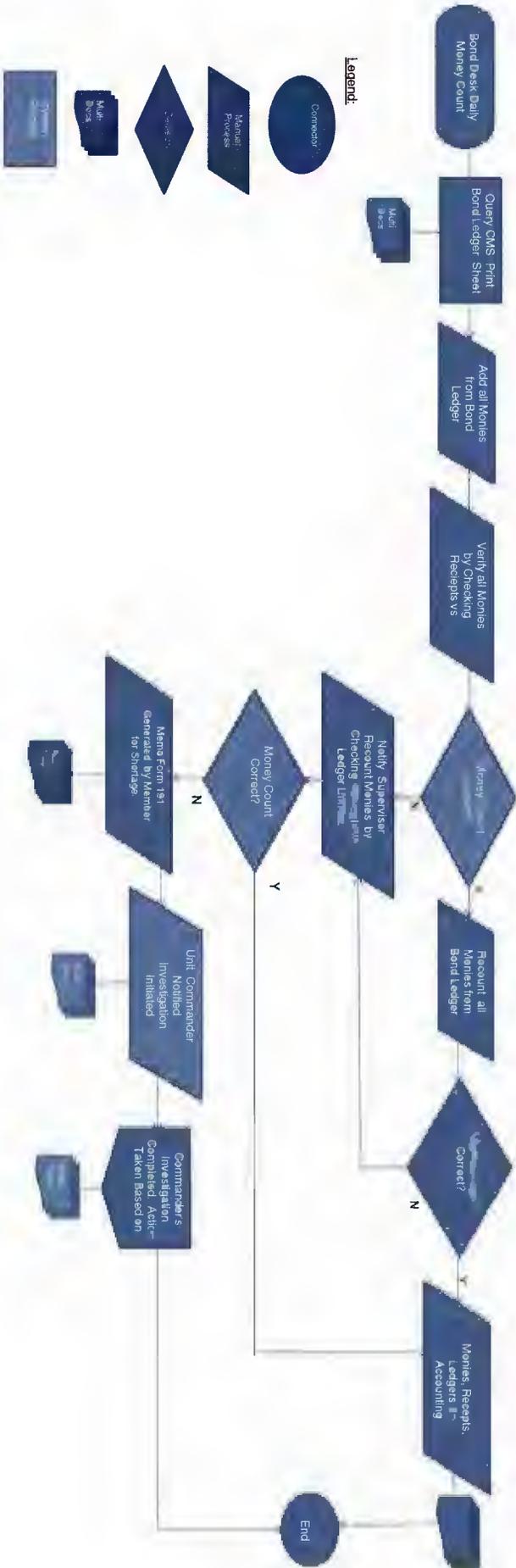
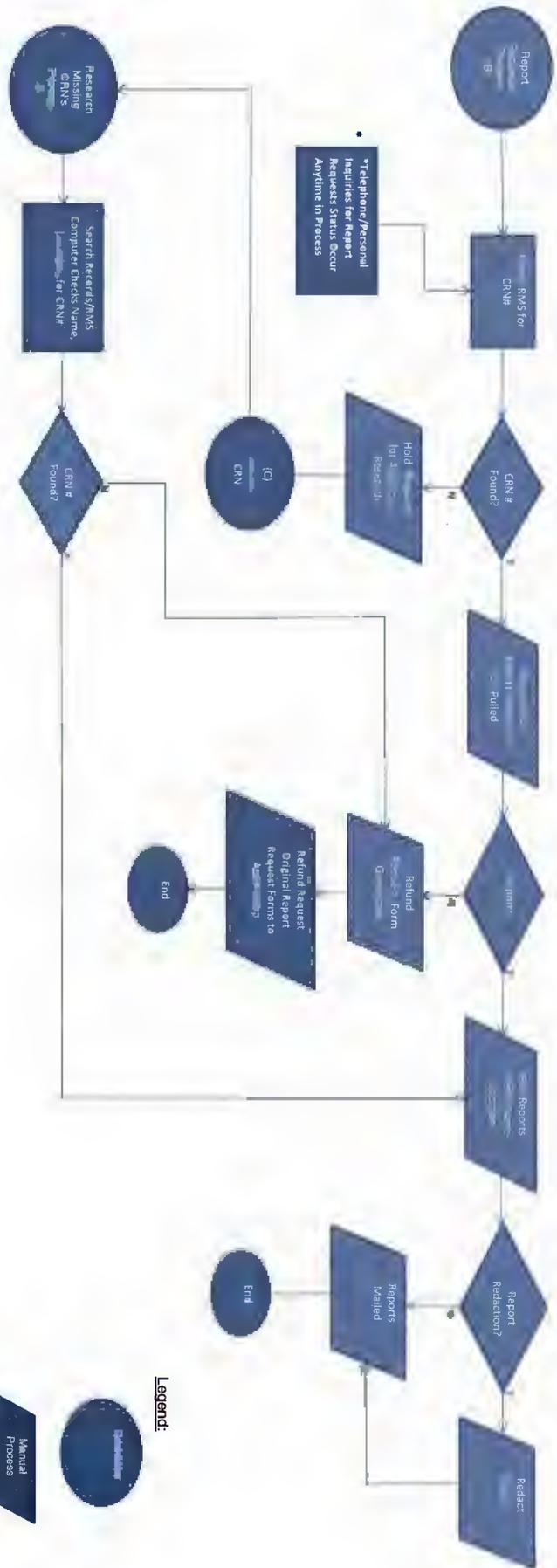


Chart 2

REPORT REQUESTS PROCESS



Legend:

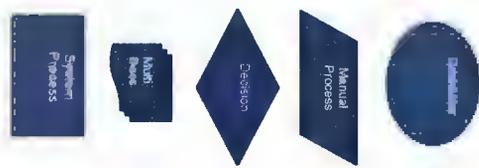
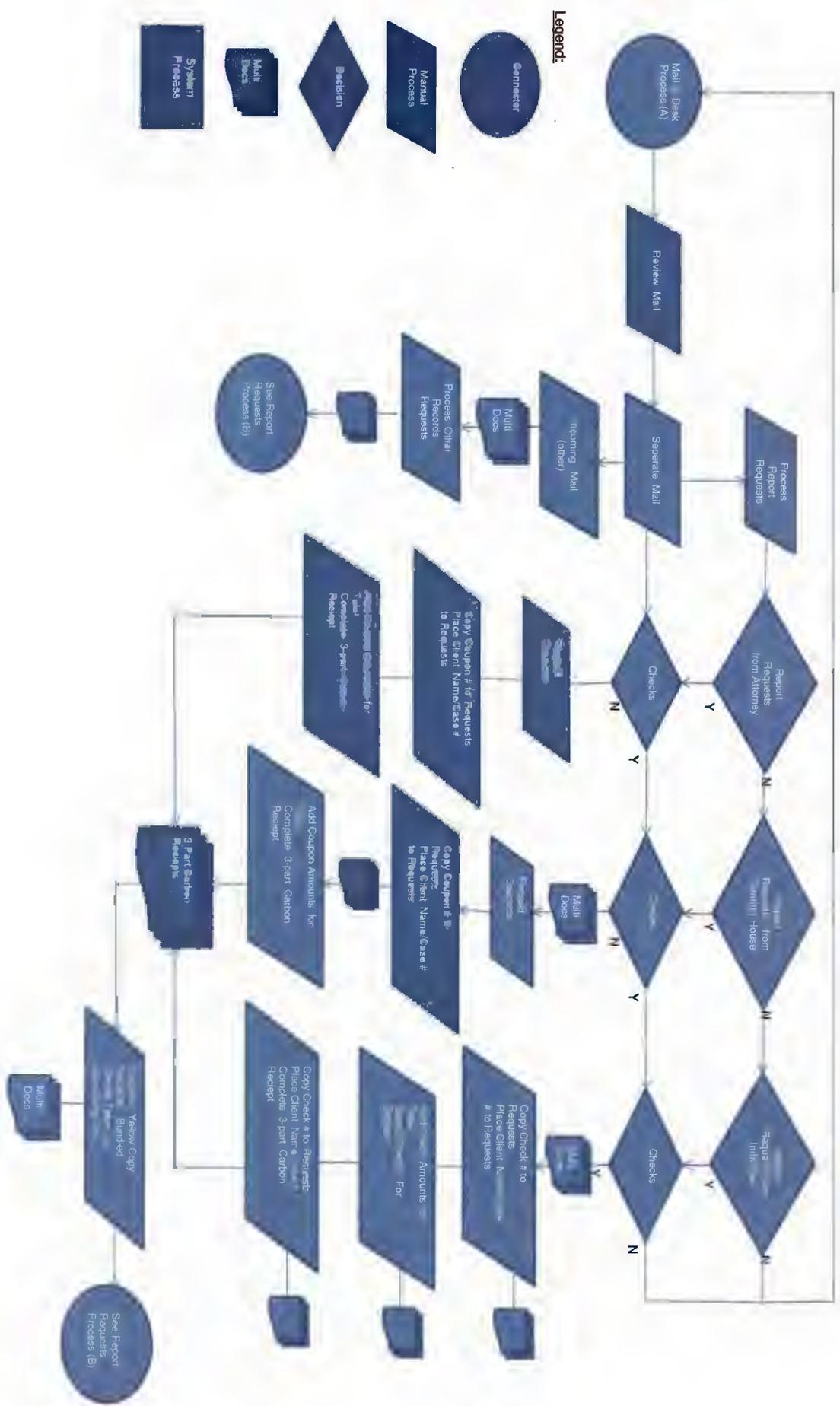


Chart 3

MAIL IN DESK PROCESS



Legend:



Exhibit 7

Management's Response to Records Unit Cash Handling Process Audit

MEMORANDUM

12-12-2012

RECEIVED
DEC 19 2012 #16
Information Services

TO: Capt. Greg Volker, A/Division Commander, Information Services Division
FROM: Capt. Natalina Ehlers, Commander Records Unit, ISD
SUBJECT: Internal Audit 10-02

RECEIVED

DEC 17 2012

Administration Bureau

A/Maj Volker,

I have reviewed the Internal Audit 10-02, by P.O. Phil Johnson. His assessment of the Records Unit money handling appears to be accurate. He made three recommendations that I would like to address.

1. Changeable combination safe – The current safe has been used in the Unit for as long as anyone in the Unit can remember. This would mean that the combination might also be known by employees who have left the Unit. I agree the safe should be replaced by one with a changeable combination. I have contacted Rhonda Schulte, who is the Project Officer for the Records Unit remodel. She advised they have not yet addressed the replacement of the safe in the planning process of the remodel. She advised there was an extra safe that the Unit might be able to acquire through Purchasing that could be used until we move into the remodeled unit and new equipment/furniture purchases have been finalized. I will check on obtaining the loaner safe.
2. Modified Crystal Report – I agree that the dual entry into Tiburon and the hard-copy City Ledger Sheet is a duplication of work, and we have been looking into ways to eliminate the manual process. The new bonding enhancement from REJIS might correct this issue when it is finalized. If not, I also recommend a new Crystal report be developed to include the information needed by the Court which is not currently included on the Tiburon Report.
3. Bulk Mail – All necessary work has been completed to migrate to the on-line sale of Accident Reports through the company DOCVIEW. This should eliminate the majority of the mail-in report requests. I recommend approval for proceeding with DOCVIEW implementation.

Capt. Natalina Ehlers
Commander
Records Unit

A/OC Major Prueh,
I agree with Captain Ehlers Assessment and
recommnd forward to the Internal Audit unit.
A/Johnson [Signature] 3885 12-13-12

mgr. See,
for your information. A/OC Prueh 12/17/12