



## Internal Audit Overview *"Vigilance Through Knowing"*

KCPD  
Internal Audit  
Unit

### Central Patrol Division Audit (12-02)

July 2012

#### Objectives

- Check if the Bond Money Process is in compliance with DM 05-06.
- Check the Property and Evidence Process for security and patterns of denials.
- Determine if station Information Security is adequate.
- Pattern and practice detection for OCC Complaints.
- Determine if the 10% rule is being followed.
- Compare Weekend versus Weekday Staffing levels.

#### Methodology and Scope

- The scope of this audit will be specific methods and issues that affect Central Patrol Division.
- Review current policy regarding all issues listed in the objectives.
- Conduct interviews with Department personnel as needed.
- Request information from Department personnel as needed.

#### Central Patrol Division Audit Findings

1. CPD Detention has been closed for over a year. No bond money received.
2. CPD property rejection rate was a relatively low 7%.
3. Information security at CPD appeared to be in compliance with all rules and regulations by the Department, MULES, and NCIC.
4. The OCC information indicated 60.5% of all CPD complaints were either Excessive Use of Force or Improper Member Conduct.
5. It is unclear if Central Patrol Division is following the 10% Rule due to the vagueness of the rule itself.
6. Overall, it appears that the staffing level averages for the months analyzed are relatively even between Weekday and Weekend staffing levels with less than a 3% difference between the monthly averages.

#### Recommendations

1. The Property and Evidence Section is currently keeping a copy of the rejected property sheet, I recommend the station also keep a copy of the rejected property sheets for its own purposes. I also recommend the current camera in the sally port be re-positioned or a new camera installed to monitor the property room [REDACTED]
2. I recommend that the Division management should continue to monitor the OCC data and remain aware of any patterns that develop.
3. I recommend doing away with or modifying Patrol Bureau Memorandum 95-5.

For further information please contact:

Officer Christopher Kincaid, 234-5077,  
Christopher.Kincaid@kcpd.org

**Endorsement Page**

**Re: Central Patrol Division Audit, 12-02**

**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.

Unit/Section Supervisor

*H. Gee 12/10/12*

**Division Commander**

Chief,

For your review. Once completed, this will be forwarded back to Mgr. Gee to be scheduled in a future Audit Committee Meeting.

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

*Major Paul Kuehl 1/14/2013*

**Bureau Commander**

Division Commander

**Chief of Police**

*Noted-Forward as recommended*

*Chief D. J. ...  
1-14-13*

Bureau Commander

# Central Patrol Division Audit

July 2012

Internal Audit Unit  
Kansas City, Missouri Police Department

## Table of Contents

Introduction .....	4
Scope .....	4
Objectives .....	4
Methodology .....	4
Research/Discussion/Findings.....	5-12

## **Table of Exhibits**

- EXHIBIT #1 Department Memorandum 05-06 "Bonding/Implementation of Corrections Management System (CMS)"
- EXHIBIT #2 PPBM 260 "Employee Guidelines – Computer Use and Security"
- EXHIBIT #3 MULES Policies and Procedures Manual
- EXHIBIT #4 CJIS Security Policy
- EXHIBIT #5 Chart of CPD OCC Complaints by Category
- EXHIBIT #6 Chart of CPD OCC Complaints by Findings
- EXHIBIT #7 Patrol Bureau Memorandum 95-5 "Vacation Scheduling – Patrol Divisions"
- EXHIBIT #8 Chart of CPD Watch-I Weekday vs Weekend Staffing
- EXHIBIT #9 Chart of CPD Watch-II Weekday vs Weekend Staffing
- EXHIBIT #10 Chart of CPD Watch-III Weekday vs Weekend Staffing
- EXHIBIT #11 Auditee's Response Memorandum

---

## Introduction

On January 3, 2012, Chief Daryl Forte directed the Internal Audit Unit to conduct an audit of Central Patrol Division.

---

## Scope

The scope of the audit encompasses specific methods and issues that affect the Central Patrol Division.

---

## Objectives

Check if the Bond Money Process is in compliance with DM 05-06.

Check the Property and Evidence Process for security and patterns for denials.

Determine if station Information Security is adequate.

Pattern and practice detection for OCC Complaints.

Determine if the 10% Rule is being followed.

Compare Weekday vs Weekend Staffing.

---

## Methodology

- The auditor conducted interviews with department personnel as needed.
- The auditor made requests for information from department personnel as needed and made on-site visits to verify said information.

### **Bond Money Process**

The Watch-II desk sergeant is responsible for calculating the bonds/fines and completing the deposit slip for the bank deposit every morning, excluding weekends and holidays. The bank deposit is taken to the bank first thing in the morning. After the bank deposit is done, the person transporting the money to the bank then goes to the Municipal Court Building and to Headquarters for the mail run, leaving all required paperwork regarding bonds/fines in their respective places, i.e. copies of bond packets, ROR-PRM/PRS forms, etc. to Municipal Court. The Watch-II desk sergeant then files the bank receipts. I contacted CPS's Watch-II Desk Sergeant who indicated that Central Patrol Division's Detention has been closed since 2010. Unlike the other patrol division's, Central Patrol Division Detention does not open on the weekends.

**Findings:** No records could be obtained for the time period covering this audit due to the CPD Detention being closed for over a year.

### **Station Property Rooms**

The regular desk sergeants indicated that they have a security monitor in the desk sergeant's area that monitors the sally port, where the property room is located, but the camera does not face the property room [REDACTED]. It's not physically possible for the desk sergeant to observe the property room from the desk sergeant's area and it cannot be continually monitored. There is a key locked drug locker in the desk sergeant's area. The desk sergeant monitors and possesses the key for this drug locker. Officers and civilian personnel recovering property typically have the desk sergeant sign the Form 236 P.D.; therefore he/she would be aware that they would be entering the property room.

An objective of this audit was to analyze the division's property and evidence rejections and determine the rejection rate, as well as to determine if there were any trends in regard to the property rejections. Eighteen weeks (01-23-2012 to 05-27-2012) of data was used to identify the property rejection rate for the Central Patrol Division. The property and Evidence Section has initiated the process of keeping the rejected property forms as a result of my other station audits. Due to the short time period this process has been in place, there was not enough data to cover the time period analyzed. The following table shows the total number of items recovered by the week, as well as the total number of items rejected. After speaking to the Property and Evidence Section, it was determined that rejected property was included in that week's

recovered property but was also counted in the subsequent week when it was corrected and picked-up.

Week Ending	Recovered Property	Rejected Property	Percentage of Property Rejected
29-Jan	100	7	7.0%
5-Feb	77	7	9.1%
12-Feb	73	9	12.3%
19-Feb	40	2	5.0%
26-Feb	110	8	7.3%
4-Mar	91	3	3.3%
11-Mar	65	13	20.0%
18-Mar	77	6	7.8%
25-Mar	65	5	7.7%
1-Apr	55	11	20.0%
8-Apr	87	8	9.2%
15-Apr	100	7	7.0%
22-Apr	91	3	3.3%
29-Apr	159	3	1.9%
6-May	81	6	7.4%
13-May	65	4	6.2%
20-May	142	6	4.2%
27-May	86	2	2.3%
Total	1564	110	
Percentage of total rejected Property for Time period			
	7.0%		

**Finding:** The total rejected property rate for Central Patrol Division is 7%. While that number is low, it may warrant looking into deeper once enough of the property rejection sheets have been retained. No trends in rejected property were able to be calculated.

**Recommendation:** I recommend the division station keep a copy of rejected property forms for their own use in determining problems in the property recovery process. I also recommend the current camera be re-positioned or a new camera installed to monitor the property room [REDACTED]

## **Information Security**

The objectives of this portion of the audit were to determine who has access to ALERT at Central Patrol Division and to determine if the placement of the computers could lead to the general public being able to view or have access to information contained on the screens of station computers.

In regard to ALERT certification, it was determined that all officers and civilians assigned to the Patrol Bureau are allowed the same access to the ALERT System. It should be noted that Logistical Support Division personnel, i.e. DFO's, also have access to ALERT. Any other KCPD employees at Central Patrol Division with access to ALERT would be limited, such as anyone not assigned to the Patrol Bureau or Logistical Support Division may have to access to ALERT for timekeeping purposes.

A check of Central Patrol Division's lobby area revealed the following. The desk personnel are located in a large windowed area. There are three computers located at the front desk all facing away from the public area. While I was at Central Patrol Division, there were two desk clerks working at the time. The extra computer that was not in use was logged off, no information could be seen on this screen. Central Patrol Division does have a community room in the lobby area of the station. You do not have to enter the restricted area of the station to access the community room. The community room does not have a computer in it, nor is there access to the restricted area of the station through the community room. During my site inspection, the report writing area of the station had no officers present. Of the four computers there, three were logged off and one was turned off. There are also two computers located in the Sergeant's Office in the downstairs portion of the station. At the time of inspection, one sergeant was using one of the computers and the other was logged off. Additionally, right beside the Sergeant's Office is the Roll Call Room, which contained one computer. No one was in the Roll Call Room and the computer was logged off.

**Findings:** All computers checked were secured per Department policy. The public had no access to areas where information could be obtained from vacant computers.

## **OCC Information**

The Office of Community Complaints classifies all complaints filed with their office with one of six overall classifications; 1) Biased-Based Policing, 2) Discourtesy, 3) Excessive use of Force, 4) Harassment, 5) Improper Member Conduct, or 6) Improper Procedure. They also categorize the findings of complaints in the following manner. 1) Unfounded- The act alleged by the complainant did not occur or the subject officer was not

involved. 2) Exonerated-The alleged act did occur but the Department member engaged in no misconduct because the actions of the Department member were lawful, justified and/or proper. 3) Not Sustained-The evidence fails to prove that an act of misconduct occurred. 4) Sustained-The alleged act occurred and was without lawful police justification. Other dispositions are 5) Resolved without Investigation, 6) Withdrawn, 7) Non-cooperation, and 8) Closed-The complaint was closed due to the following circumstances: lack of jurisdiction, no violation of policy or procedure, mediation, pending litigation, complainant anonymity, or third party complaint.

I obtained from the Office of Community Complaints information for the Central Patrol Division for a 5 year time period, from 01-01-2007 to 12-31-2010. The information revealed the following: A total of 308 complaints were filed on Central Patrol Division personnel for the 5 year period. Of these complaints, 3 (1%) were classified as Biased-Based Policing, 11 (3.6%) were Discourtesy, 95 (30.9%) were Excessive Use of Force, 22 (7.1%) were Harassment, 91 (29.5%) were Improper Member Conduct, 85 (27.6%) were Improper Procedure. The two largest categories of complaint classifications for this data set were Excessive Use of Force and Improper Member Conduct which accounted for 60.5% of all the complaints filed against Central Patrol Division personnel.

In regard to the findings by the Office of Community Complaints the following findings were rendered. 15 (4.9%) were Sustained, 54 (17.5%) were closed for Non-Cooperation, 6 (1.9%) were Withdrawn, 128 (41.6%) were Not-Sustained, 61 (19.8%) were Exonerated, 25 (8.1%) were closed/other, 18 (5.9%) remained open at the time the information was provided to me. The two largest findings categories in this data set were Not-Sustained and Exonerated which accounted for 61.4% of the complaints filed against Central Patrol Division personnel. A chart showing CPD complaints broken down by Category has been included as Exhibit #5. A chart showing CPD complaints broken down by Findings has been included as Exhibit #6.

**Findings:** A pattern in the data emerged, showing that 60.5% of all the complaints for Central Patrol were in two categories, Excessive Use of Force and Improper Member Conduct. Civilian employees were not included in these calculations.

The following has been included for your consideration. The highest complaint category and findings are as follows: Excessive Use of Force accounted for 95 total complaints. The findings were as follows: Not-Sustained 46; Exonerated 16; Non-Cooperation 11; Closed 8; Open 8; Sustained 6; Withdraw 0.

The second highest complaint category was Improper Member Conduct, which accounted for 91 total complaints. The findings were as follows: Not-Sustained 38; Non-Cooperation 18; Exonerated 17; Closed 10; Open 5; Withdraw 2; Sustained 1.

The third highest category was Improper Procedure, which accounted for 85 total complaints. The findings were as follows: Not-Sustained 28; Exonerated 25; Non-Cooperation 16; Open 5; Sustained 4; Withdraw 4; Closed 3.

**Recommendation:** *Division management should continue to monitor the OCC data and remain aware of any patterns that develop.*

### 10% Rule

Patrol Bureau Memorandum 95-5 (Exhibit #7), which addresses Vacation Scheduling, also mentions the 10% rule for personnel deployment. The policy states, "Each watch may allow up to 10% of the officers assigned to field duty to be off on V, E, or O days, at any one time." This policy does not account for any other exception time, such as, Q, Y, Z, S, D, Limited Duty, or Special Assignment. Statistics were obtained from the Exception Entry sheets over a four month period. One month was selected in each season to get an accurate picture of an entire year and also to pick up any patterns to include the effects of vacations. I utilized the months March, July, October and January, which all happened to have 31 days in each month.

The initial calculations are of actual officers that were working in the field on the day examined minus the people on exception time and then divided by the total officers scheduled to work in Sectors on the date in question (S series). The alternate calculation is the officers working in the field on the day examined minus the people on exception time and then divided by the total officers assigned to the Watch (W series).

The table below shows the total number of days in the corresponding month that the particular Watch was over the 10% rule for a given grouping. **Group-1** was figured using just V, E, and O time off, the way the Department Memorandum currently reads. **Group-2** adds Q, Y, and Z time to the V, E and O time. **Group-3** shows all time off under nearly any circumstance from time working the desk/detention and injury time to V, E, O, Q, Y, Z, including limited duty and special assignment.

W-I	S	W	S	W	S	W
July '11	18	3	21	4	27	24
Oct '11	5	0	11	1	28	19
Jan '12	10	1	14	4	26	20
Mar '12	9	0	15	2	28	24

W-II	S	W	S	W	S	W
July '11	23	4	23	5	30	21
Oct '11	10	4	11	4	30	19
Jan '12	6	1	11	2	27	20
Mar '12	12	2	16	3	26	23
W-III	S	W	S	W	S	W
July '11	17	2	20	5	31	23
Oct '11	11	2	11	5	29	22
Jan '12	3	0	8	0	21	8
Mar '12	8	0	9	0	27	13

When the Total Watch Officers (W) is used in the 10% Rule calculation, the days each watch was over the 10% Rule is significantly decreased over using the Total Sector Officers (S) calculation. Another observation is that the more time off added to the calculation, Group-1 to Group-2 and Group-2 to Group-3, the number of days working outside the 10% Rule typically rises.

In an attempt to determine how the Desk Sergeants are calculating the 10% Rule and if it's being followed, the Central Patrol Division Desk Sergeants were sent a survey.

Each Desk Sergeant had a different method of figuring the 10% rule. Some Sergeants limited the type of exception time that counted toward the 10% rule and others used all exception time in the calculation.

**Findings:** It is unclear if Central Patrol Division is following the 10% Rule due to the vagueness of the rule itself. It is clear that each sergeant interprets the 10% Rule differently.

**Recommendation:** *I recommend doing away with or modifying Patrol Bureau Memorandum 95-5 for the following reasons. Since 1995 when this Patrol Bureau Memorandum was written, there have been numerous designations of time off added to time keeping that are not accounted for in this Patrol Bureau Memorandum. The Patrol Bureau Memorandum only takes into account V time, E time and O time and no other designation that could require people to be out for extended periods of time, such as Injury time, Limited Duty, etc. This Patrol Bureau Memorandum should be replaced or modified and allow the Commander of a Division to decide the lowest limit of people he/she can operate his/her station on and let that person determine how many people can be allowed off.*

## Staffing Levels

Utilizing the statistical information from the 10% Rule calculations, I set out to determine the difference between Weekday and Weekend staffing levels. The following table depicts the actual statistical averages for the months listed. The **W-Series** is the average number of officers assigned to the station in the given month (Total Officers). The **S-Series** is the average of the number of officers scheduled to work in the given month (before exception time). PO in cars- is an average number of officers that worked in the given month (after exception time). The % is the average number of officers per day who worked divided by the number of officers scheduled to work (**S-Series**).

The information on the table below indicated that on Watch-I, the officers in cars percentages are very close. However, on the weekends a slightly higher percentage of officers are in the cars.

Weekday						Weekend					
W-I		W	S	PO in cars	%	W-I		W	S	PO in cars	%
	July	36.07	21.27	16.19	76.1%		July	36.27	20.67	15.94	77.1%
	Oct	36.47	20.88	17.02	81.5%		Oct	36.43	21.35	16.72	78.3%
	Jan	36.00	20.80	16.09	77.4%		Jan	36.00	20.15	16.34	81.1%
	Mar	34.29	19.76	14.36	72.6%		Mar	34.36	19.57	15.91	81.3%
	<b>Avg</b>	<b>35.71</b>	<b>20.68</b>	<b>15.92</b>	<b>76.9%</b>		<b>Avg</b>	<b>35.76</b>	<b>20.44</b>	<b>16.23</b>	<b>79.4%</b>

The following table depicts W-II's staffing level comparison. The Watch Officers and the Sector officers are generally close between the weekdays and weekends. The table shows a slight increase of officers in cars for the weekends.

Weekday						Weekend					
W-II		W	S	PO in cars	%	W-II		W	S	PO in cars	%
	July	34.00	20.19	15.50	76.8%		July	34.29	18.21	13.84	76.0%
	Oct	34.00	20.65	14.89	72.1%		Oct	34.14	17.79	13.99	78.6%
	Jan	34.00	20.67	16.13	78.0%		Jan	30.00	17.55	14.48	81.1%
	Mar	34.00	21.46	15.32	71.4%		Mar	34.14	17.36	12.79	73.7%
	<b>Avg</b>	<b>34.00</b>	<b>20.74</b>	<b>15.46</b>	<b>74.6%</b>		<b>Avg</b>	<b>33.14</b>	<b>17.80</b>	<b>13.77</b>	<b>77.4%</b>

The following table depicts Watch-III's staffing level comparison. The weekends had higher Watch Officer staffing than weekdays for Watch-III. The Sector Officers are

slightly lower on the weekends. The percentage of officers in cars is better on the Weekdays for Watch-III during this time period.

		Weekday				Weekend					
W-III		W	S	PO in cars	%	W-III		W	S	PO in cars	%
	July	42.25	24.50	17.92	73.1%		July	42.40	24.13	18.80	77.9%
	Oct	40.53	24.06	19.21	79.8%		Oct	40.71	22.43	16.92	75.4%
	Jan	46.00	25.56	21.71	84.9%		Jan	46.00	24.77	21.22	85.7%
	Mar	44.00	23.23	20.89	89.9%		Mar	44.14	25.71	21.30	84.5%
	Avg	43.20	24.34	19.93	82.0%		Avg	43.31	24.14	19.56	80.9%

**Findings:** Overall, it appears that the staffing level averages for the months analyzed are relatively even between Weekday and Weekend staffing levels. There was less than a 3 percentage point difference between the percentages of officers in cars for each Watch over the specified monthly averages.

*P.O. Christopher Kincaid* 4660

Officer Christopher Kincaid  
Internal Audit Unit

EXHIBIT #1

Department Memorandum 05-06 "Bonding/Implementation of Corrections Management System (CMS)"

March 4, 2005

**DEPARTMENT MEMORANDUM NO. 05-06**

**SUBJECT:** Bonding/Implementation of Corrections Management System (CMS)

**RESCINDS** Procedural Instruction 98-5 and 98-5A, entitled, "Bonding – General Ordinance and Traffic Violations." Annex J of Procedural Instruction 03-9, entitled, "Arrest Guidelines." Department Memorandum No. 02-22, entitled, Multiple Charges – BOOKEM System.

I. PURPOSE

To update bonding procedures due to the implementation of the Corrections Management System (CMS) for persons who have been arrested for general ordinance violations and/or traffic violations.

II. TYPES OF BONDS AUTHORIZED

A. Cash Bond

A cash bond is made by depositing the amount of money for the violation involved as suggested by the Kansas City Municipal Division of the 16<sup>th</sup> Judicial Circuit Court (Municipal Court). Bond may be deposited by the principal or a surety.

B. Personal Checks/Payout Fines

Personal checks can only be written for "payout" fines, however, starter checks will not be accepted. Checks must be made payable to the "Clerk of the Municipal Court" in the exact amount of the payout fine. Valid identification must be presented by the check writer in person and the person's social security number must be written legibly on the check for accountability purposes. Personal checks can also be written by anyone, including third parties, with proper identification and can be written with out-of-state checks.

C. Money Order, Traveler's Check, Cashier's Check, Certified Check

The instrument must be made payable to the "Clerk of the Municipal Court" in the exact amount of the bond.

\* D. Surety Bond by Qualified Bonding Companies

The Circuit Court furnishes the department with the list of qualified bonding companies authorized to make bonds. Licensed agents of qualified bonding companies may sign as surety for the release of a prisoner.

E. Auto Club Bond (AAA, American Oil Club, etc.)

A current membership card must be produced and will be either stapled or, if unable to staple, placed in a small envelope and then stapled to the bond receipt. The card will be held by the court until after the defendant's appearance. Bond may not be valid for certain charges as indicated on the membership, i.e., driving while intoxicated, leaving the scene, failure to appear bench warrants, etc.

F. Casualty Company Bond

An agent of the company must appear in person with the notarized power of attorney for the company. The power of attorney is surrendered and stapled to the bond receipt. A separate power of attorney is required for each charge.

\* G. Priority Release Bond (PRF – PRS – PRM)

A priority release bond is used to release a person on his/her own recognizance (ROR) without a cash deposit or other surety in circumstances where such is ordinarily required. The person authorizing a priority release bond is not a surety and will not sign as surety (See Section III, G).

### III. BOND DETERMINATION GUIDELINES

A. Officers have the discretion to permit signature bonds on GOS arrests, with the following exceptions:

1. The arrestee refuses to sign the promise to appear on a GOS.
2. The arrestee has an outstanding warrant or has a prior record for failure to appear.
3. The arrestee is charged with escape or aiding escape from the Municipal Correctional Institution.
4. There is substantial likelihood that the offense would continue, or persons or property would be endangered, if a summons were issued without bond.
5. The aggravated circumstances of the offense or some other material factor, i.e., arrestee gives false information to police, increases the likelihood that the arrestee will fail to appear on written promise.
6. The arrestee is under the influence of intoxicating drugs or alcohol, unless the party can be released to a responsible adult.

7. The arrestee is charged with domestic violence.
  8. The arrestee's identity is in doubt.
- B. Persons arrested for traffic violations will be required to post bond when the violation involved the following:
1. Operating a motor vehicle under the influence of intoxicating liquor or drugs, or permitting another to operate said motor vehicle while under such influence.
  2. Leaving the scene of an accident. Exception: An on-duty Kansas City Area Transportation Authority bus driver may be released on a signature bond when issued a Uniform Traffic Ticket (UTT) for leaving the scene of a non-injury vehicular accident.
  3. Driving with a suspended or revoked driver's license.
  4. Fleeing or attempting to elude an officer.
  5. Operator refuses to sign the UTT.
  6. Operator's identity is in doubt and/or operator gives false information.
  7. The operator has an outstanding warrant. The officer may use discretion, depending on the circumstances.
- \* C. Any juvenile at least fifteen and one-half years of age, who is alleged to have violated a non-felony state or municipal traffic ordinance will be treated in court as an adult traffic violator. He/she will be released on a signature bond, as outlined in this directive. In all other cases involving juveniles, refer to Procedural Instruction entitled, "Juvenile Apprehension Procedures."
- D. A drivers license will not be accepted in lieu of bond.
- \* E. Arrested persons who are required to post bond will be transported or escorted to a patrol division station. Detention personnel at the station will ensure that arrestees are given at least four hours to post bond before they are transferred to the Detention Unit. If the four-hour period elapses, the desk sergeant may extend the period if doing so will enable the arrestee to make bond. This policy will be followed except in the following circumstances, which will require the arrest be transported to the Detention Unit.

1. Persons arrested for the following city ordinance violations will be transferred directly to the Detention Unit, at Headquarters, for processing:

a. Carrying or concealing a handgun or long gun. (The Fingerprint Identification Section will determine if fingerprints will be taken.)

NOTE: This pertains to individuals not authorized by State Statute to carry a concealed weapon.

b. When it is the person's first time offense for promoting prostitution, or agreeing to or performing an act of prostitution.

(1) These arrests may be transported to a patrol division where they will be booked in, their property recovered and packaged, and then transported to Headquarters Detention Unit where they will be fingerprinted.

(2) If a person has previously been arrested for one of these offenses, and a full set of their fingerprints are on file, that person will be transported to a patrol division where they will be booked according to Procedural Instruction entitled, "Arrest Guidelines."

NOTE: A full set of fingerprints are not required for male and female solicitors arrested during decoy operations. They will, however, be booked according to Procedural Instruction entitled, "Arrest Guidelines."

(3) Persons arrested on sex offense state charges will be transported to Headquarters Detention Unit where they will be booked and, fingerprinted according to Procedural Instruction entitled, "Arrest Guidelines."

c. Obstructing and resisting arrest.

d. Stealing, if the person has three prior convictions for stealing, or the value of property stolen is in excess of \$150.00.

NOTE: Notify the Fraud Unit prior to transporting the arrest, or the Violent Crimes Supervisor when the Fraud Unit is unavailable.

2. Arrestees who become extremely belligerent or refuse to give the necessary information for proper booking may be transferred to Headquarters Detention Unit at the desk sergeant's discretion. The desk sergeant will notify the Detention Unit supervisor prior to transporting.
3. Arrestees who claim or appear to be ill or injured will be transferred to a medical facility for examination. (Refer to Procedural Instructions entitled, "Ambulance Calls and Arrests Taken to Hospitals" and "Arrest Guidelines".)
4. If there is no likelihood of the arrest making bond within the four hour period, the arrestee will be transferred to Headquarters Detention Unit if holding the arrest at the patrol division will cause the person to miss the morning hold over docket.

\* NOTE: The arrestee must be received at Headquarters Detention Unit prior to 0500 hours if they are to be placed on the 0900 video arraignment court docket. The arrestee must also be transferred to Headquarters prior to 0100, 0700, 1100, and 1700 hours if they are to receive a meal.

\* F. If positive identification of the arrestee cannot be established due to lack of any identification material, the identification material presented is determined to be false, or cannot be confirmed via computer data, the arrestee will be transported to a patrol division station and booked on the identification provided by the arrestee. A fingerprint will be obtained and faxed to the Fingerprint Identification Unit with a copy of the charges. The arrestee will be held at the patrol division station until positive identification is confirmed by the Fingerprint Identification Unit. The arrestee will only be transported directly to the Headquarters Detention Unit when criteria set forth in Section III, E. of this policy have been met.

\* NOTE: If a fax machine with an adjustable resolution is used to fax the fingerprint to the Identification Unit, the **superfine resolution** will be used.

\* G. Priority Release of Arrests

\* 1. A person in custody for a municipal charge on a GOS/UTT may be priority released (released on signature) when that person has pending state/federal charges or psychological/medical care is requested or required. When priority releasing an arrest, the following procedures should be followed:

- a. The court date will be written in the space designated for the court date on any GOS/UTT that is issued.

b. The reason for a priority release will be written in red directly on the GOS/UTT. The following three (3) reasons may be utilized for a priority release:

(1) Priority Release for State Charges (ROR-PRS).

(2) Priority Release for Federal Charges (ROR-PRF).

(3) Priority Release for Required Medical or Psychological Treatment (ROR-PRM).

\* 2. Persons in custody for a city warrant issued by Kansas City, Missouri may be priority released (released on signature) only when requesting medical attention. Additionally, Headquarters Detention Unit commander, or designee, may priority release an arrest for extenuating circumstances. Generally, domestic violence arrests will not be priority released. If a domestic violence arrest is priority released, Headquarters Detention Unit personnel will notify the Domestic Violence Section. When priority releasing an arrest for a city warrant, the following procedure should be followed:

a. The court date(s) will be written in the space designated for the court date(s) on the Municipal Warrant Booking Record that is issued.

b. The reason for a priority release will be written in red directly on the Municipal Warrant Booking Record. The following three (3) reasons may be utilized for a priority release:

(1) Priority Release for Required Medical or Psychological Treatment (ROR-PRM).

(2) Priority Release by Detention Unit commander, or designee, due to extenuating circumstances, i.e., overcrowding, arrest is not a repeat offender, etc. (ROR-SIG).

(3) Letter of Incarceration (ROR-LOI).

c. An arrest will not be booked on city warrant(s) when an arrest has pending state/federal charges. The state/federal charges take precedence over city warrant(s).

\* H. The following officials may authorize the release, on signature recognizance (ROR) in lieu of the cash bond, of arrestees detained for bond on general ordinance or traffic violations only. This does not apply to warrants or domestic violence incidents.

1. Any municipal judge.
2. The city prosecutor.
3. The department general counsel.
4. Commanding officers.
5. Patrol Division desk sergeants.
6. Detention Unit supervisor.

NOTE: The same procedures will be followed as stated in Section III, G, 1.

- I. The following officials may authorize an earlier release of an arrest on domestic violence incidents.
  1. Any municipal/associate circuit court judge.
  2. The city/state prosecutor.
  3. The Domestic Violence Section supervisor or designee.

NOTE: The same procedures will be followed as stated in Section III, G, 1.

#### IV. PROCEDURE

##### \* A. Bond Receipt Packet

- \* 1. The bond receipt packet is used for all types of bonds for the Municipal Court. The bond receipt packet consists of the bond receipt, stapled to the outside of a coin envelope containing the currency, coin, or check used to make bond. Multiple bond receipts may be stapled to a single coin envelope when an arrestee is making bond on multiple charges.

\* a. One receipt packet will be used for each charge (i.e., UTT, GOS, Municipal Warrant Booking Record.)

\* b. Payout warrants will be completed on a fine receipt packet. Each payout warrant will require a separate fine receipt packet

\* c. Bond/fine receipt packets will be distributed as follows:

- (1) A bond/fine receipt is given to the surety.
- (2) A bond/fine receipt is given to the arrestee.
- (3) Two(2) copies of the bond/fine receipt and the money envelope are delivered to the Municipal Court.

\* NOTE: No corrections will be made on the bond/fine receipt packet. If a mistake occurs, the bond/fine receipt packet will be marked "VOID" and approved by the supervisor in charge. The voided receipt will be forwarded to the municipal courts. A new bond/fine receipt packet will be prepared.

- \* 2. The member receiving the bond and completing the receipt will enter the bond receipt number in the space provided on the GOS or Municipal Warrant Booking Record.
- \* 3. The member receiving the bond will require the principal and surety, if applicable, to sign the electronic signature pad within the Corrections Management System (CMS), for the bond receipt packet before giving the bond receipt to the surety.

A second party may post a cash bond only, for a defendant named in a municipal parking violation warrant, when that defendant is not in custody or is unable to be present to post bond. The identity of the second party will be verified by some form of identification. The second party will be instructed to sign his/her name in the "Signature of Depositor" portion of the CMS.

- \* 4. A copy of the bond/fine receipt will be provided to the arrestee in all cases for notification purposes regarding court date and court room information.
- \* 5. A bond/fine receipt packet will be used when a violator is arrested on an Execution and Commitment Order (E&C) or Probation/Parole Violation (PV) and a fine payment or bond is required. The money will be deposited with the other bond monies. The bond/fine receipt packet will be distributed as follows:
  - a. A bond/fine receipt is given to the person paying the balance.
  - b. A bond/fine receipt is given to the arrestee.
  - \* c. Two (2) copies of the bond/fine receipt are delivered to the Municipal Court.

\* B. Posting Bond on Percent/Secured

Ten percent of the posted bond will be made by the arrestee (or another person on the arrestee's behalf.)

1. If the bond states that a 10% deposit may be posted, the arrestee will be required to post a bond in the amount equal to 10% of the amount on the bond.
2. If the warrant or court order requires a secured bond, the arrestee must post an amount equal to the bond through a qualified bonding company.

\* C. Bond Ledger Sheet

- \* 1. The Bond Ledger Sheet contains the same information as the bond receipt packet. The Bond Ledger Sheet, generated by CMS, is available within the CMS system in the Crystal Reports option of the CMS Browser.
- \* 2. The Bond Ledger Sheet automatically tracks bonds on a 24-hour basis, from 0600 hours to 0600 hours the following day. A separate Bond Ledger Sheet is maintained for fines, Kansas City municipal bonds, and outside city and state bonds. A separate bond numbering system is utilized on each Bond Ledger Sheet. The bond receipt packets for each day will be placed with the Bond Ledger Sheet and delivered to the Municipal Court.
3. When a cash bond/fine is made or money is received from an Execution and Commitment Order (E&C) or Probation/Parole Violation (PV), the money of the bond/fine receipt packet will be kept in a secure place.
- \* 4. At the end of each watch, the desk sergeant will:
  - \* a. Examine each bond/fine receipt, count the money, to ensure correctness against the Bond Ledger Sheet of the CMS system.
  - b. Total all the money for the watch, place the money in an envelope, and seal it. The total, appropriate designator, desk sergeant's signature, and date will be written on the envelope which will be placed in a secure place
- \* 5. At the end of each 24-hours period (0600 to 0600), a new Bond Ledger Sheet will be printed. The desk sergeant will review, sign,

and date the bottom of the Bond Ledger Sheet. The Bond Ledger Sheet will be delivered to the Municipal Court.

- \* 6. Copies of the Bond Ledger Sheet(s) will be maintained electronically in the CMS system for at least 25 years.

#### D. Deposit Slip

- 1. Each element accepting bond will have its own bank deposit slips with one of the following designators: HQ, CPD, MPD, EPD, NPD, SCPD (Shoal Creek Patrol Division), SPD.

- 2. Each deposit slip consists of three parts as follows:

Original (white)	-	to bank
First Copy (pink)	-	retained at station
Second Copy (yellow)	-	to court

- 3. Each day, the Watch II desk sergeant or Watch II detention facility officer will complete the deposit slip as follows:

- a. Date – Date of deposit.
- b. Currency – Sum of paper money.

All paper money will be totaled, grouped in denomination order with each bill facing the same direction, and bundled together. The total of the currency and the appropriate designator will be placed on the bundle.

- c. Coin – Sum of coins.

All coins will be totaled, separated by denomination, placed in envelopes, and sealed. The total will be written on the front of the envelope with the appropriate designator.

- d. Checks.

Money orders, traveler's checks, cashier's checks, certified checks, and personal checks will be listed separately and stamped with the current issue Municipal Court bank deposit stamp.

- e. Total – Sum of "Currency," "Coin," and "Checks."
- f. Total Items

Collective number of items being deposited, i.e., currency counts as one, all coins count as one, and five checks count as five; therefore, total items would be seven.

- g. Net Deposit – Sum of “Currency,” “Coin,” and “Checks.”

#### E. Delivery of Monies and Forms

##### \* 1. The Watch II desk sergeant will:

- a. Check the Watch I bond monies and bonding information.
- b. Check the Watch II bond monies and bonding information from the previous day.
- c. Check the Watch III bond monies and bonding information from the previous day.
- d. Complete one deposit slip per twenty-four hour period.
- e. Ensure the “Cash” column of the Bond Ledger Sheet equals the amount on the deposit slip.
- f. Ensure the monies and deposit slip are placed in an envelope. Write on the envelope the element designator, money total, date, and sergeant’s initials, and seal the envelope with tape. The envelope will be placed in an approved bank bag and delivered to the bank, designated by the department, by 0900 hours, Monday through Friday (except holidays).
- g. The Watch II desk sergeant will ensure the bond receipt packets are placed in an envelope marked “Municipal Court” and ensure they are delivered to Window No. 1, Bonds, by 1000 hours.

##### 2. Bond money from each division station is deposited at the department’s designated bank.

- a. Listed below are the holidays when a deposit will not be made to the bank and paperwork will not be delivered to the Municipal Court:

New Year’s Day  
Martin Luther King, Jr.’s Birthday  
President’s Day  
Memorial Day  
Independence Day

Labor Day  
Columbus Day  
Veteran's Day  
Thanksgiving Day  
Christmas Day

- b. On weekends and the previously listed holidays, bond receipts **will not be transferred**. The monies for deposit and the bond receipt packets will be kept in a secure place and transferred the next court and bank workday.
3. The following will be delivered in an approved bank bag to the department's designated bank.
  - a. All currency, coins, and checks (stamped with the current issue Municipal Court bank deposit stamp).
  - b. A deposit slip completed by the desk sergeant.
4. The officer delivering the bank bag will watch the teller count the money.
  - \* a. If the amount of money in the bank bag does not equal the net deposit on the deposit slip, the officer will immediately return all the bond paperwork and monies to the station and inform the desk sergeant who completed the deposit slip.
  - \* b. The desk sergeant will immediately review the bonding information to locate the error, make the necessary corrections, and complete a new deposit slip.
5. If the bank teller agrees with the amount shown on the deposit slip, or after the error is corrected and the bank teller has agreed, the following steps will be taken:
  - a. The original (white) copy of the deposit slip will remain with the bank teller.
  - \* b. The first pink copy will be returned to the original element making the deposit to be maintained on file for at least 25 years.
  - c. The second yellow copy will immediately be delivered to Municipal Court with:
    - \* (1) A printed copy of the Bond Ledger Sheet(s) from the CMS system

- (2) The bond receipts listed on the Bond Ledger Sheet(s)
- (3) All paperwork received for Execution and Commitment Orders and Probation/Parole Violations

V. BONDING – OUTSIDE AGENCY RECIPROCAL BONDING

A. Kansas City, Missouri Warrants:

When an outside law enforcement agency within the state of Missouri detains a person on a warrant issued by the Kansas City, Missouri Municipal Court:

1. The outside agency will contact Warrant Services, Records Section, by phone and verify the warrant for the subject in custody.
2. When an outside agency accepts bond, the agency will make a check payable to "Clerk of the Municipal Court" and mail it to the following address:

Clerk of the Municipal Court  
1101 Locust  
Kansas City, Missouri 64106
3. When a bonding company is utilized, it must be on an approved Jackson County Circuit Court bonding list.
4. Warrant Services will be responsible for the following:
  - a. After verifying the warrant for the outside agency and after being advised by teletype the subject will be making bond, the warrant will be canceled in the ALERT II computer system.
  - b. A court date and time will be given to the outside agency so the subject arrested is advised when to appear.
  - c. An Outside Recognizance, Form 67 P.D., will be completed and forwarded to the Municipal Court.
  - d. When the warrant is verified as an original warrant, an Outside Recognizance, Form 67 P.D., will not be completed. The original warrant will be pulled and routed per present procedures. A notation will be made in the signature block of the original warrant that an outside bond was made.
5. When an arrest is unable to make bond, the outside law enforcement agency should notify the appropriate division station.

The desk sergeant will consider the division's current manpower status and the gravity of the warrant to determine if the subject will be released or transported to Kansas City, Missouri. The Communications Unit will then dispatch a vehicle to transport the arrest to the appropriate detention facility. The transporting officer will secure the prisoner's personal property as directed by Procedural Instruction entitled, "Prisoner's Personal Property Procedure."

The patrol division designated to respond to area law enforcement agencies are as follows:

- North Patrol Division -
  - Gladstone Police Department
  - \*Missouri State Highway Patrol (Platte County)
  - Northmoor Police Department
  - Oakview Police Department
  - Parkville Police Department
  - Platte City Police Department
  - \*Platte County Sheriff's Department
  - Platte Woods Police Department
  - Riverside Police Department
  - Smithville Police Department
  - \*MOSHHP – Gaming Commission at Argosy Casino
  
- \* Shoal Creek Patrol Division -
  - Avondale Police Department
  - Claycomo Police Department
  - \*Clay County Sheriff's Department
  - Excelsior Springs Police Department
  - Kearney Police Department
  - Liberty Police Department
  - Missouri State Highway Patrol (Clay County)
  - \*MOSHHP – Gaming Commission at Ameristar
  - Pleasant Valley Police Department
  - Randolph Police Department
  
- South Patrol Division -
  - Belton Police Department
  - Cass County Sheriff's Dept
  - Grandview Police Department
  - Harrisonville Police Department
  - Jackson County Sheriff's Dept
  - Lee's Summit Police Dept

Missouri State Highway Patrol  
(Jackson-Cass County)

Central Patrol Division -

North Kansas City Police  
Department  
\*MOSH - Gaming Commission  
at Harrah's Casino

Metro Patrol Division -

Raytown Police Department

East Patrol Division -

Blue Springs Police Dept  
Independence Police Dept  
Sugar Creek Police Dept

B. Warrants Outside Kansas City, Missouri:

When Kansas City, Missouri Police Department personnel detain persons for outside municipal and state misdemeanor warrants issued by outside law enforcement agencies:

1. Persons will be given the opportunity to post bond. Bond may be posted by the following:
  - a. Cash, money orders, cashier's checks, or certified checks. Money Orders, cashier's checks, and certified checks must be made payable to the Board of Police Commissioners. The bonds will be transferred to the Accounting Section by patrol elements after 0800 hours each morning (except weekends and holidays).
  - b. An approved bonding company may be used if approved by the outside agency where the warrant was originated.

NOTE: Outside agencies will determine which form of payment will be received for outside bonds.

2. If the subject desires to post bond, detention facility officers will contact, by telephone or teletype message, the agency entering the warrant in the computer. Information needed to complete the Outside Warrant Bond Receipt packet and the Outside Bond Receipt Ledger, will be requested, along with approval of any bonding company utilized.

NOTE: Do not fax messages or request information be faxed. Information cannot be tracked if it is faxed.

3. The listed steps will be followed when a bonding company is used.

The Outside Warrant Bond Receipt, will be given to the individual if the individual is posting bond, or to the Bonding Agent who is posting the bond. A copy of the receipt in a white envelope will be forwarded to the Accounting Section.

4. Once the individual has posted bond or paid their payout fine, the detention facility officer will send a teletype message to the agency that entered the warrant so they can remove the warrant information from their computer.

James D. Corwin  
Chief of Police

**DISTRIBUTION:** All Personnel  
All Department Elements  
Post on bulletin boards for two weeks.

**EXHIBIT #2**

PPBM 260 "Employee Guidelines – Computer Use and Security"



KANSAS CITY, MO. POLICE DEPARTMENT

DATE OF ISSUE

EFFECTIVE DATE

NO.

PERSONNEL POLICY

02-09-10

02-09-10

260

SUBJECT

**Policy Series 200: Employee Guidelines  
260 - Computer Use and Security**

AMENDS

REFERENCE

RSMo. 569.094; 569.095; 569.097; and 569.099  
PPBM: 330, "Department-Owned Equipment-Privacy and Security"

RESCINDS

PI: 01-8  
DM: 02-28  
ABM: 08-4

## I. PURPOSE

To provide instructions for members regarding computer systems, electronic mail (e-mail), and Internet usage.

## II. POLICY

The security of the department's computer system is of paramount importance in maintaining an efficient and well-guarded database for referencing computerized information. Users will strictly adhere to the following guidelines on the usage of department computers and associated software to ensure compliance with federal copyright laws and protection against computer viruses.

## III. TERMINOLOGY

- A. **Breach** - A break in the system security that results in admittance of an unauthorized person or program to a department computer system.
- \*B. **Electronic Mail (E-mail)** - A system for sending and receiving messages electronically over a computer network accessed through a department owned computer.
- C. **Firewall** - A system (hardware or software) designed to prevent unauthorized access to or from a private network.
- D. **Hardware** - The physical computer system or any physical part or mechanism used as an integral or peripheral component of a computer system, e.g., a floppy or hard drive mechanism, memory modules, display monitor and interface card.
- E. **Intranet** - Uses Internet based technologies within an organization to facilitate communication and provide integrated access to information.
- F. **Internet** - A worldwide network of computers linked together by various communication systems including local telephone services.
- \*G. **Network** - A system of computers, printers, and storage devices linked by direct connection, over data circuits, fiber optic lines or via other electronic transmission methods that allows shared access to all resources on the network.
- \*H. **Malware** - Short for "malicious software," malware refers to software programs designed to interfere with normal computer functions or sends personal data about the user to unauthorized parties over the Internet.

- \*I. **Microsoft Outlook** - A software application used to create, receive, transmit, store, and archive E-mail messages as well as store calendar, tasks and contact information.
- \*J. **Tiburon** - The vendor contracted to provide records management, corrections management, automated field reporting and computer aided dispatching software applications for the Police and Fire Departments.
- \*K. **Software** - The programming instructions the computer executes to perform tasks.
  1. **Freeware Software** - Software freely obtained from public sources.
  2. **Shareware Software** - Software obtained through public sources with normally limited features, periodic visual reminders to purchase, or a time limit cutoff to prevent use without purchase.
  3. **Open Source Software** - Computer software whose source code is available under a license or arrangement such as the public domain that permits users to use, change, and improve the software, and to redistribute it in modified or unmodified form.
  4. **Commercial Off the Shelf Software (COTS)** - software that is purchased from a retail outlet and installed to the user's computer.
- \*L. **Unauthorized Equipment or Software** – Equipment or software that has not been provided by the department or is not properly licensed to the department.
- M. **Virus** - A self replicating computer program capable of attaching itself covertly to files. Can also be an executable program designed to perform actions not authorized by the system's user.
- \*N. **Virtual Private Network (VPN)** - A private communications network often used by companies or organizations to communicate confidentially over a public network.
- O. **Worm** - A computer program designed to covertly destroy or manipulate data, but cannot attach itself to other programs. A worm still replicates itself to other computers and uses memory, but will always arrive in the same program.

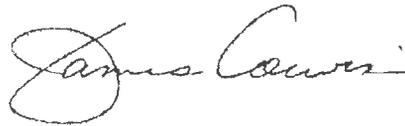
#### IV. ADMINISTRATIVE GUIDELINES

- A. These procedures apply to all members of the Kansas City, Missouri Police Department utilizing department computer equipment or department computer systems. Use of these systems implies that members agree to comply with all applicable policies, guidelines and laws regarding their use.

- B. Only the Information Technology Division or its designee will install hardware/software on department computers, with the exception of those elements which have an authorized network administrator.
- C. The Information Technology Division is responsible for granting and monitoring access to department computer systems by issuing each department member a User ID. Members are prohibited from using any User ID which is assigned to another person. Members needing assistance acquiring User ID and/or password are directed to contact the Computer Help Desk.
- D. Members are responsible for access to and use of their User ID and password, regardless of who actually uses it; therefore, members are responsible for logging off the network upon completion of their computer activity and locking their workstation.
- E. Members may not alter or copy a file belonging to another user unless they need to access those files in the performance of their duties.
- F. Members may not use the department computer systems to invade the privacy of other department members by unnecessarily reviewing their files and e-mail.
- G. Members will not interfere with or disrupt any department computer system, Internet user, program, or equipment. Disruptions include but are not limited to propagation of computer worms, viruses, or other debilitating programs, and using the department computer system to make unauthorized entry to any other machine accessible via the computer system or Internet.
- H. Each member is responsible for taking reasonable precautions to avoid introducing viruses, worms and malware to department computer systems and notifying the Computer Help Desk if a virus has been introduced to the network.
- \*I. Files saved to the Public Drive (P:\Public Drive) on the network should be backed up. Anyone on the network has access to that drive and has the ability to delete the files located on that drive.
- \*J. No unauthorized equipment will be attached to the network.
- K. The Department reserves the right to access, view and copy any user's electronic communications messages, files, data, correspondence, log files, etc. created by or stored on a Department owned electronic communication system or device. The Department reserves the right to use the data and/or content for any purpose.

V. TABLE OF ANNEXES

<b>ANNEX A</b>	<b>Department Owned Computer Equipment</b>	
	Software and Hardware Usage	A-1
	Damaged Computer Equipment	A-2
<b>ANNEX B</b>	<b>Email Usage</b>	
	General Guidelines	B-1, B-2
<b>ANNEX C</b>	<b>Internet Usage</b>	
	General Guidelines	C-1



James D. Corwin  
Chief of Police

Adopted by the Board of Police Commissioners this \_\_\_\_\_ day of \_\_\_\_\_, 2010.

Mark C. Thompson  
President

**DISTRIBUTION:** All Department Personnel  
Post on Bulletin Boards for two weeks  
Public View Master Index - Internet  
Department Master Index - Intranet

**EXHIBIT #3**

**MULES Policies and Procedures Manual**

# **Missouri Uniform Law Enforcement System**

## **Policies and Procedures Manual**

Supplement to the CJIS Security Policy and NCIC Operating Manual

Revision 12/10

## **Local Agency Security Officer**

Every Terminal Agency Administrator (TAA) shall appoint Local Agency Security Officer (LASO) for security related matters. The agency must provide the CSA with an appointment letter on company letterhead that contains the signature of the TAA and LASO. The LASO for an agency may also serve as TAC or TAA.

## **Computer center security**

A computer center or device location must have adequate physical security to protect against any unauthorized personnel gaining access to computer equipment or stored data.

## **Device Security**

Devices must be protected from unauthorized viewing of response displays or printer copies.

### **Mobile Access Devices - MDTs, MCDs, Laptop Computers**

Mobile devices must be secured or positioned to prevent viewing by unauthorized personnel. When such a device is unattended, using a password protected screen saver, the Windows "Lock Computer" function, or a CAD equivalent is necessary.

## **Computer Center Personnel**

Personnel employed in a computer center must be screened by nationwide background check utilizing fingerprints. Refer to the Operator Access portion of this section for further details on background checks.

### **Non-operators with unescorted access**

Employees of an agency or computer center who are not certified operators, but have unescorted access to system devices or data storage areas, must undergo a background screening utilizing fingerprints. One example would be after-hours custodial staff that arrives after all certified operators have gone for the day.

### **Non-operators with escorted access**

A certified operator may escort non-operator employees and visitors to the computer center. All visitors to the computer center must sign a visitor log. If visitors or uncertified employees or contractors are under the direct supervision of a certified operator while they are present, a background screening is not required.

Employees who have provided notification of their decision to resign, or who are the subject of disciplinary action of any kind, may present a special risk situation. The TAA should consider reviewing the access privileges of such employees.

## **Security Incidents**

A security incident is the act of violating an explicit or implicit security policy. All security incidents, whether actual or suspected, must immediately be reported to the ISD Call Center at 800-877-2897. A security incident may consist of an employee intentionally or unintentionally releasing protected information, the discovery of unauthorized access, or infection of a system device with malicious software. Security incidents may include, but are not limited to:

- Attempts, failed or successful, to gain unauthorized access to a system or its data
- Unwanted disruption or denial of service
- Unauthorized use of the system for processing or storage of data
- Changes to system hardware, firmware, or software without the owner's knowledge or consent

The CSA reserves the right to reduce or revoke the access of any operator suspected of misuse of the CJIS network.

**EXHIBIT #4**

**CJIS Security Policy**



---

# **Criminal Justice Information Services (CJIS) Security Policy**

Version 5.0  
2/09/2011

CJISD-ITS-DOC-08140-5.0



Prepared by:  
CJIS Information Security Officer

Approved by:  
CJIS Advisory Policy Board

#### **5.9.1.6 Monitoring Physical Access**

The agency shall monitor physical access to the information system to detect and respond to physical security incidents.

#### **5.9.1.7 Visitor Control**

The agency shall control physical access by authenticating visitors before authorizing escorted access to the physically secure location (except for those areas designated as publicly accessible). The agency shall escort visitors at all times and monitor visitor activity.

#### **5.9.1.8 Access Records**

The agency shall maintain visitor access records to the physically secure location (except for those areas officially designated as publicly accessible) that includes:

1. Name and agency of the visitor.
2. Signature of the visitor.
3. Form of identification.
4. Date of access.
5. Time of entry and departure.
6. Purpose of visit.
7. Name and agency of person visited.

The visitor access records shall be maintained for a minimum of one year. Designated officials within the agency shall review the visitor access records frequently for accuracy and completeness.

#### **5.9.1.9 Delivery and Removal**

The agency shall authorize and control information system-related items entering and exiting the physically secure location.

#### **5.9.2 Controlled Area**

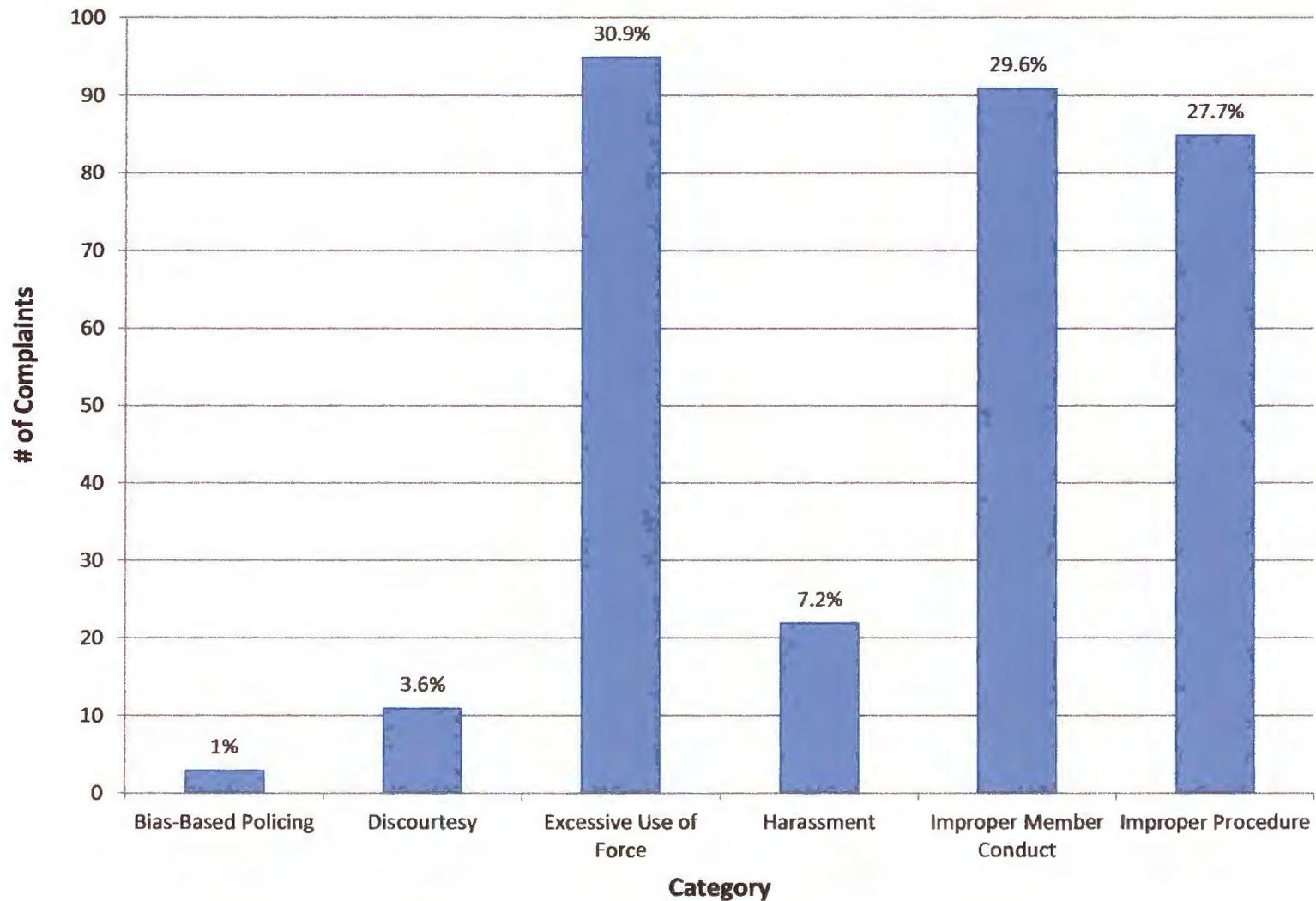
If an agency cannot meet all of the controls required for establishing a physically secure location, but has an operational need to access or store CJI, the agency shall designate an area, a room, or a storage container, as a "controlled area" for the purpose of day-to-day CJI access or storage. The agency shall, at a minimum:

1. Limit access to the controlled area during CJI processing times to only those personnel authorized by the agency to access or view CJI.
2. Lock the area, room, or storage container when unattended.
3. Position information system devices and documents containing CJI in such a way as to prevent unauthorized individuals from access and view.
4. Follow the encryption requirements found in section 5.10.1.2 for electronic storage (i.e. data "at rest") of CJI.

**EXHIBIT #5**

**Chart of CPD OCC Complaints by Category**

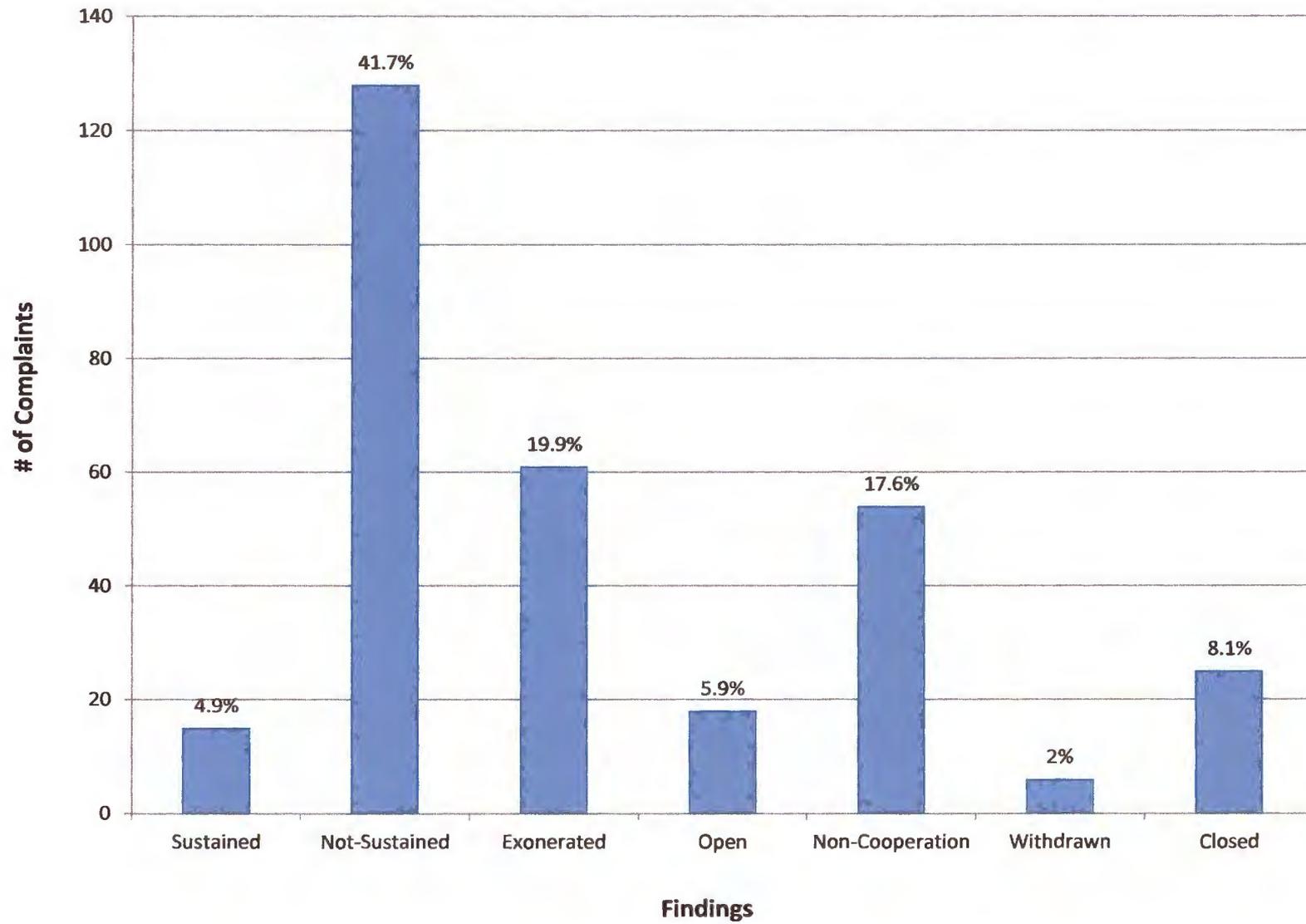
### Central Patrol Division OCC's by Category



**EXHIBIT #6**

Chart of CPD OCC Complaints by Findings

## Central Patrol Division OCC's by Findings



**EXHIBIT #7**

**Patrol Bureau Memorandum 95-5 "Vacation Scheduling – Patrol Divisions**

June 7, 1995

**PATROL BUREAU MEMORANDUM NO. 95-5**

**SUBJECT:** Vacation Scheduling - Patrol Divisions

In order to assure adequate staffing levels at each patrol division, the following leave policy is hereby established.

1. Vacation requests submitted on or before February 15th will be approved on the basis of law enforcement seniority with department. The last date of appointment as a law enforcement officer will be used in cases of reappointment.
2. Vacation requests submitted after February 15th will be granted as the schedule permits, on a first come basis.
3. In cases where more than one vacation is requested, the Application for Leave, Form #1 P.D. should be marked to indicate which is the officer's first choice. (Seniority (as referred to above) will apply only to the first choice.
4. Sergeants' vacation requests will be reviewed by the assistant division commanders who will approve them based on the supervisory requirements of the watch.
5. Each watch may allow up to 10% of the officers assigned to field duty to be off on V, E, or O days, at any one time.
6. In the event an officer transfers into a different watch or division with a previously approved vacation request, every effort will be made to honor that request. However, vacation requests already scheduled by personnel at the new assignment will take precedence. This shall apply regardless of the nature of transfer.
7. Vacation days which are unscheduled as of October 1st will be assigned by the respective desk sergeant with the approval of the assistant division commander.
8. Recognizing that unusual and/or emergency situations may arise, division commanders may deviate from this policy if necessary. However, these exceptions must be approved by the division commander and the documentation retained in file for auditing purposes for a period of five years.

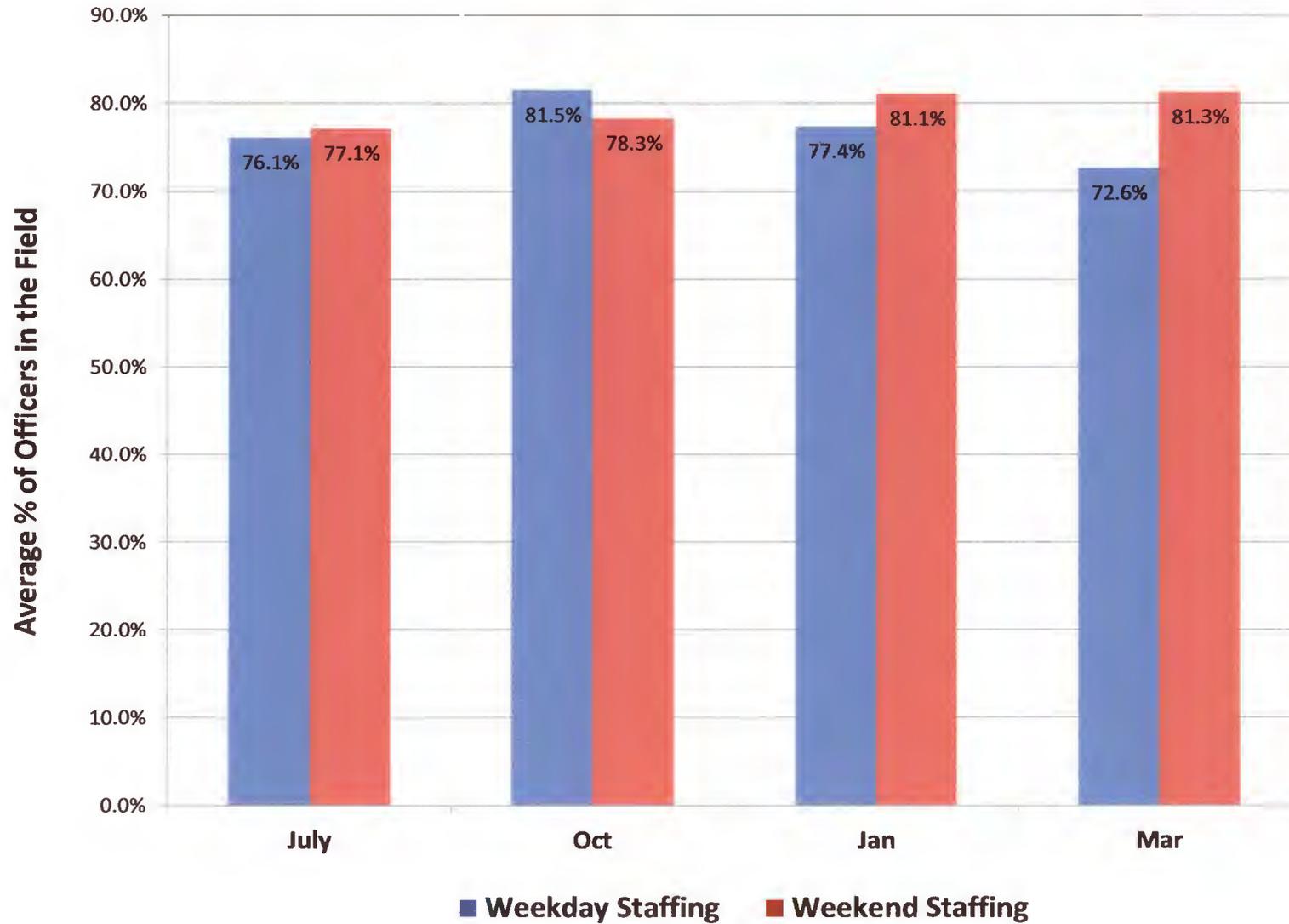
Deputy Chief Stephen R. Staffer  
Commander  
Patrol Bureau

**DISTRIBUTION:** All Patrol Bureau Personnel  
All Department Elements

**EXHIBIT #8**

**Chart of CPD Watch-I Weekday vs Weekend Staffing**

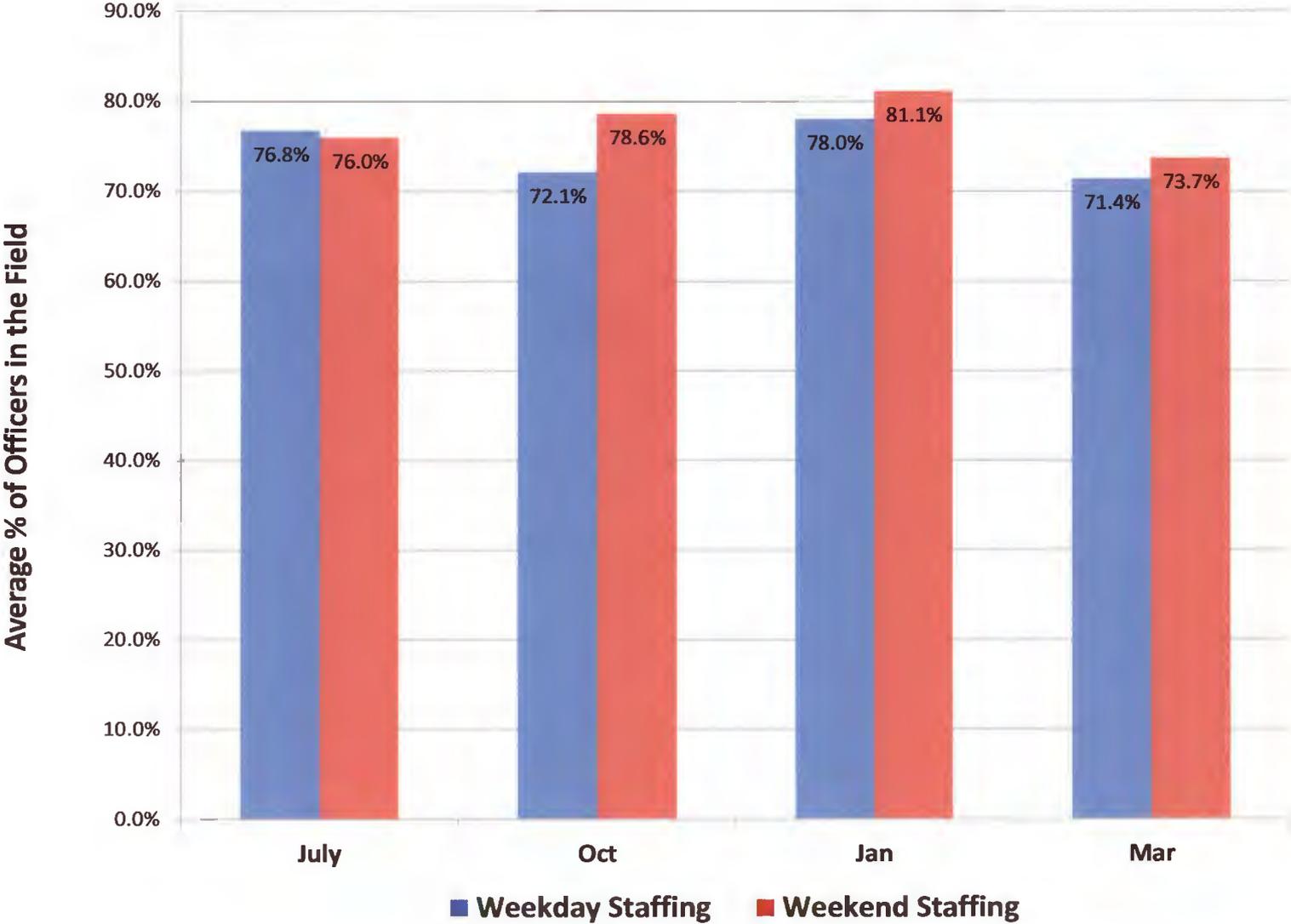
## Watch-I CPD Weekday v's Weekend Staffing



**EXHIBIT #9**

**Chart of CPD Watch-II Weekday vs Weekend Staffing**

### Watch-II CPD Weekday v's Weekend Staffing



**EXHIBIT #10**

**Chart of CPD Watch-III Weekday vs Weekend Staffing**

### Watch-III CPD Weekday v's Weekend Staffing

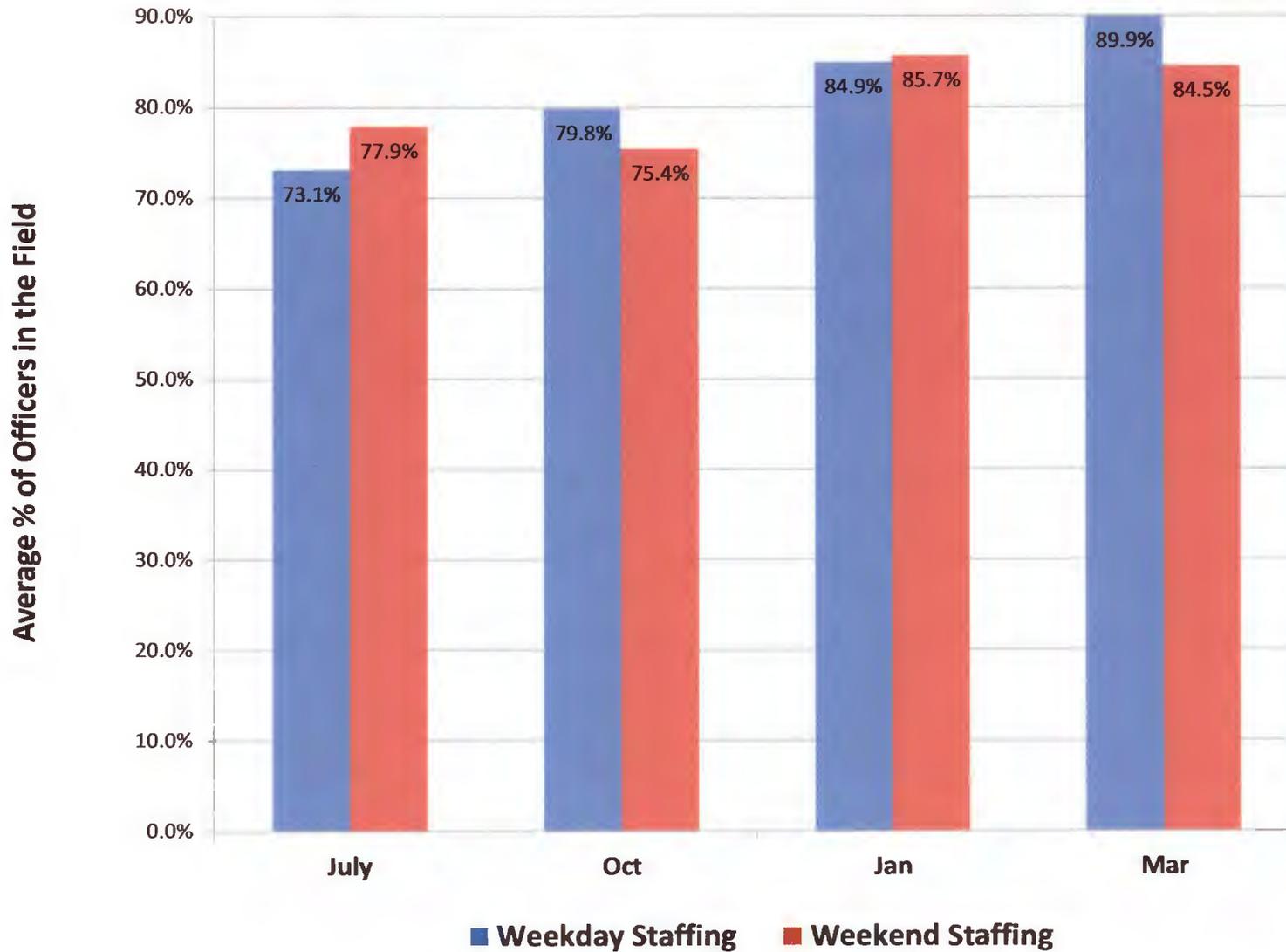


EXHIBIT #11

Auditee's Response Memorandum

MEMORANDUM

SEND

DEC 17 2012

December 14, 2012

CENTRAL PATROL DIV.

TO: Deputy Chief Cheryl Rose, Commander, Patrol Bureau  
FROM: Major Wayne Stewart, Commander, Central Patrol Division  
SUBJECT: RESPONSE TO AUDIT

RECEIVED  
DEC 17 2012  
PATROL BUREAU OFFICE

Central Patrol received the audit findings conducted in July. I was contacted by Manager Gee last week requesting a response to the audit.

The audit had three recommendations, one of which is not in the control of Central Patrol. I address the remaining two. I attach the cover letter.

*(#3)*  
It was recommended the camera to the property room be pointed at the property [redacted]. That was done. Recommend CPD keep copies of rejected property slips for our own purpose. That has not been done. The audit revealed the return rate was low and there were no trends.

It was also recommended CPD continue to monitor OCCs. That is in place.

*Wayne Stewart*  
Wayne Stewart

*Agree. Forward to the Internal Audit Unit for information.*  
*DC Cheryl Rose 12/26/12*