



Internal Audit Overview
"Vigilance Through Knowing"

HQ Detention Unit Performance Audit 13-01
April 2013

KCPD
Internal Audit Unit

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CHIEFS OFFICE

Objectives

1. Identify current Detention Unit processes and map the workflow of all processes. Review the workflow processes that were identified to determine the efficiency of jail operations based on staffing levels and overtime usage.
2. Review Detention Unit current processes to determine the level of compliance with department and unit directives in addition to sound staffing practices.
3. Analyze the workload for the Detention Unit from 2005 - 2012 to determine what impact it had on jail operations.
4. Analyze overtime usage for the Detention Unit from 2005 - 2012 to determine if there were irregularities when compared to staffing levels and workload.
5. Review the electronic/computerized corrections, booking, and warrant modules to determine the impact those systems have on the overall performance of Detention Unit operations.

Methodology and Scope

1. Conduct interviews with department members as needed to obtain information and other processes.
2. Review the Detention Unit booking, bonding and release procedures.
3. Review/analyze historical data during the years 2005-2012, obtained from the Computer Programming, Accounting and Detention Unit.
4. Review the Detention Unit manual and department directives to determine the level of compliance with department and unit directives.

Findings

1. The Audit Unit was unable to determine the reason(s) for the high overtime usage beginning in 2005.
2. Taking into account the highs and lows of the overtime rate over the 8 year period overtime for the Detention Unit is actually on a downward trend.
3. The rates for overtime vs. total bookings indicate overtime expenditures for the Detention Unit has been trending upward since 2009, while total bookings have been trending downward during that same time period.
4. During this audit period it was determined that there has been a downward trend in the total number of arrests booked from 36,403 in 2006 to 20,750 arrests in 2012 (difference of 15,653).
5. In November 2012 the Detention Unit implemented a trial program utilizing nurses contracted by the City similar to the medical services provided by JACO for the city jail inmates. There were 145 medical transfers when there was no nurse staffing, compared to 36 medical transfers with nurse staffing. The reduction in medical transfers resulted in substantial monetary savings to the department and the city.
6. It appears that all of the changes that occurred during the audit period combined to create the unique outcome presented in this audit that probably would not have occurred had the changes occurred singularly.
7. From a risk management standpoint the Office of General Counsel reported there were six incidents (lawsuits) that were settled or judgments were made during the audit time period, 2005-2012. The total cost to the department was \$1,441,761.64.

Recommendation

1. Due to the department wide changes that have occurred recommend a post audit be conducted in a year unless the department opts to transition to another CMS/ARS/RMS system.
2. Consideration should be given to either expanding the scope of this audit or the initiation of another audit to review the department's arrest processes.
3. Recommend copies of this audit be forwarded the jail consolidation committee and the Research and Development Division.

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

Endorsement Page

Re: HQ Detention Unit Performance Audit, 13-01

Unit/Section Supervisor

Unit Commander

Major Young,

This audit was performed to assist management as it considers the outsourcing of the detention responsibility to Jackson County. It documents procedures, processes and challenges faced in running a detention facility. In addition, it attempted to find a cause for a perceived increase in the use of overtime with the conclusion that there were multiple variables including new technology implementation which affected the usage. Submitted for review by the Chief and recommend forwarding to the Audit Committee.

H Dec 7/11/13

Division Commander

CHIEF - AS IT WAS DETERMINED TO MOVE TOWARD AN M.O.U. FOR JAIL CONSOLIDATION AT THE 7/12/13 BUREAU COMM. MEETING, I RECOMMEND THIS AUDIT BE FORWARDED TO RESEARCH & DEVELOPMENT FOR THE HISTORICAL FILE

[Signature] X.O. 7/12/13

Bureau Commander

Approved. Forward to PDRB for the historical file.

AICOP DC Patti Higgins 7/12/13

Chief of Police

HQ Detention Unit Performance Audit

13-01

April 2013

Internal Audit Unit

Kansas City, Missouri Police Department

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- Exhibit 3 Special Order 07-1 entitled "Overtime/Court Time Policy"
- Exhibit 4 Management's Response to HQ Detention Unit Performance Audit 13-01

INTRODUCTION

On February 6, 2013 the reporting officer was assigned the HQ Detention Unit Performance Audit which was requested by Deputy Chief Higgins, Commander Executive Services Bureau and approved by Chief Forte'.

Background

The HQ Detention Unit Performance Audit, was initiated because consideration is being given to consolidating the HQ Detention operations with Jackson County (JACO). In 2009 the police department, the City (Kansas City, MO) and Jackson County entered into negotiations for the consolidation of detention services between the police department and Jackson County. These discussions also ran concurrently with the City and Jackson County negotiations that would move the Municipal Corrections operations to Jackson County, resulting in the closure of MCI.

After several months of discussion the City did enter into an agreement with Jackson County for all inmate services provided by MCI to be moved to Jackson County and MCI closed. The department's jail operations were not included in the consolidation agreement between the City and JACO. There have been on-going discussions since the 2009 MCI merger concerning moving the department's jail operations to JACO.

Another concern of management was/is the overtime expenditures for the Detention Unit may be excessive when compared to the staffing levels. Several years ago DFO's from the Division stations were pulled and reassigned temporarily to HQ Detention when a hiring freeze implemented by the City prevented replacement hiring of DFO personnel. The department was able to maintain the staffing level at HQ at the expense of closing or reducing the hours of operation of station detention units.

The Detention Unit compiles and submits a monthly summary report to their Bureau Commander which covers staffing, arrests processed, bookings broken down by gender, city, and state charges.

OBJECTIVES

1. Identify current Detention Unit processes and map the workflow of all processes. Review the workflow processes that were identified to determine the efficiency of jail operations based on staffing levels and overtime usage.
2. Review Detention Unit current processes to determine the level of compliance with department and unit directives in addition to sound staffing practices.

3. Analysis of the workload for the Detention Unit from 2005 - 2012 to determine what impact it had on jail operations.
4. Analysis of overtime usage for the Detention Unit from 2005 - 2012 to determine if there were irregularities when compared to staffing levels and workload.
5. Review the electronic/computerized corrections, booking, and warrant modules to determine the impact those systems have on the overall performance of Detention Unit operations.

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 Detention Unit booking, bonding and release procedures.
3. Review/analyze historical data during the years 2005-2012, obtained from the Computer Programming, Accounting and Detention Unit.
4. Review the Detention Unit manual and department directives to determine the level of compliance with department and unit directives.

DISCUSSION

The Detention Unit is responsible for the detention and processing of individuals who are arrested for violation of city ordinances, state and federal statutes. As stated in their unit manual (EXHIBIT 1) "Detention Unit personnel are charged with the responsibility to provide security and care to all persons detained in the facility in a humane manner without regard to race, sex, religion or social status". For the purpose of this audit the term Detention Unit will be applicable to the HQ Detention Unit, unless otherwise specified. Some of the division stations provided detention services until all divisional Detention Facility Officers (DFO's) were re-assigned to the HQ Detention Unit in June 2009. In order to get an accurate overview of the department's jail operations this audit will focus on the years 2005 thru 2012. In selecting this time frame the expected

outcome is to see if there were identifiable factors that would impact staffing, overtime, workload and overall unit performance levels of the Detention Unit.

This audit will focus on the following core functional areas of jail operations;

1. Workflow processes (booking, bonding and release)
2. Overtime vs. Staffing
3. Workload activities (booking, bonding and release of arrests)
4. Risk Management considerations

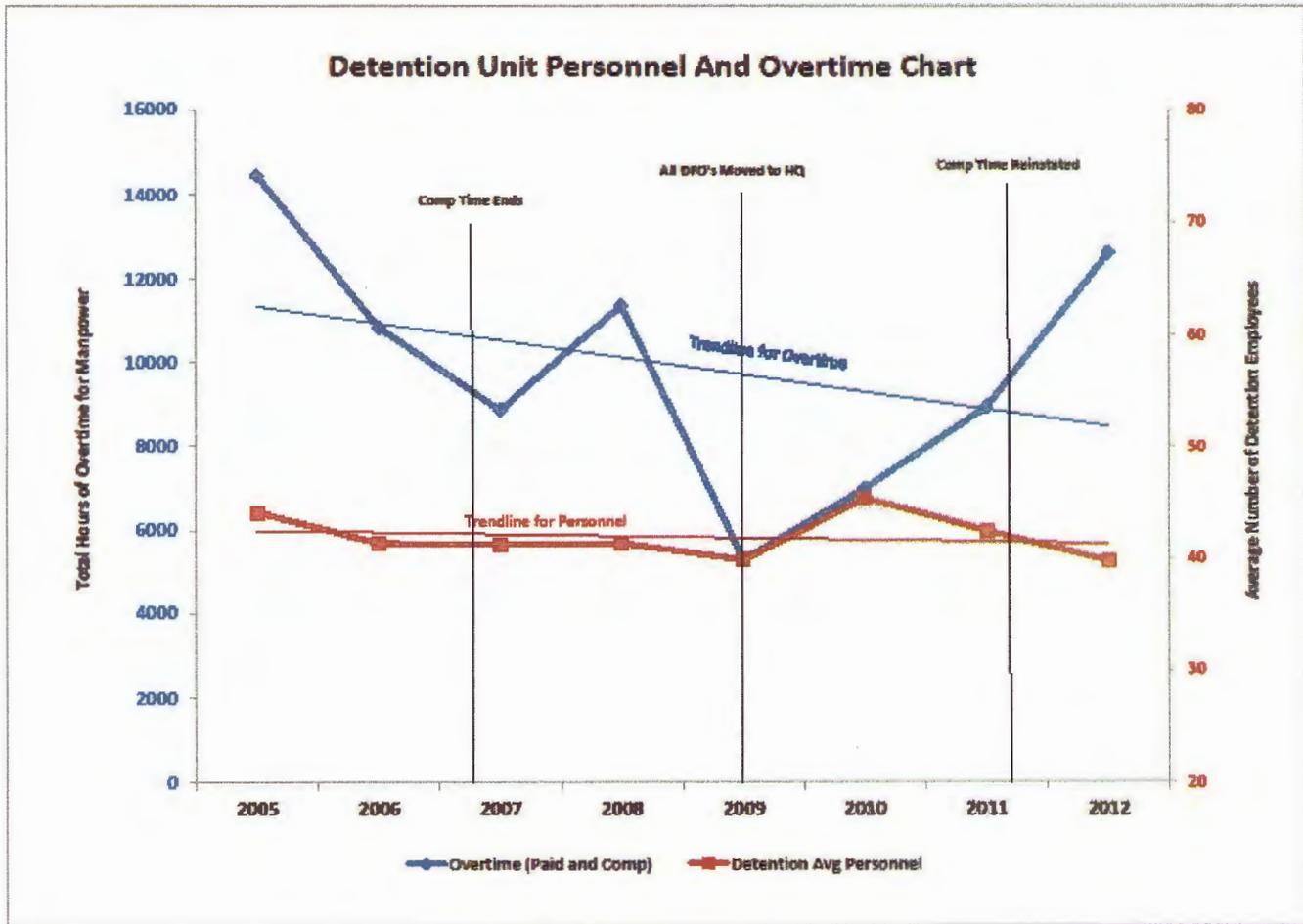
Workflow Processes Booking, Bonding and Release

The reporting officer met with Detention Unit Personnel and process mapped the workflow of the jail operations (Exhibit 2) in relation to the booking, bonding and release of arrestees brought to the unit. The purpose of mapping the workflow was to identify and capture the everyday processes being performed by Detention Unit personnel. There were eleven (11) manual, *four (4) system/automated, and two (2) external processes identified for the booking workflow at *HQ and division stations. **(*Note; HQ booking had four (4) system/automated processes compared to three (3) system/automated, for station bookings.)** There were four (4) manual, two system/automated and one (1) external processes identified for the release workflow at HQ and division stations. Three (3) manual, two (2) system/automated, and one (1) external processes were identified for the station bonding workflow. Nineteen (19) manual, three (3) system/automated, and five (5) external processes were identified for the HQ bonding workflow.

Overtime/Compensation Time vs. Staffing

As stated earlier the time frame for this audit was an eight (8) year period from 2005 to 2012. When looking at the Detention Unit overtime starting in 2005, it was higher than anything the audit unit had observed since then. The Audit Unit was unable to determine the reason(s) for the high overtime usage beginning in 2005. A chart was created to show the overtime and the number of Detention personnel over an 8 year period. Between 2005 and 2012, the overtime beginning in 2005 was very high and on a downward trend through most of 2007.

CHART 1



There were two (2) significant spikes in overtime usage for the Detention Unit identified during the reporting period. The first upward trend began toward the middle of 2007. Overtime spiked mid-year in 2008. After the spike, there was a sharp decline in overtime over the course of the next year. From mid-2009 through 2012 the overtime for the Detention Unit has increased year after year. Although one may notice from Chart 1 there are steep inclines and deep drops in the overtime over the course of the 8 year period, it's most beneficial to observe the trend lines over that time. The overtime is actually on a downward trend over the 8 year period. At the same time, the staffing level trend line shows that staffing is almost flat, meaning the trend is relatively even over the 8 year time period.

Table 1 shows the hours of paid overtime along with reasons for overtime for the Detention Unit over the audit time period. It should be noted that some of the reasons for overtime were combined into broader categories.

TABLE 1

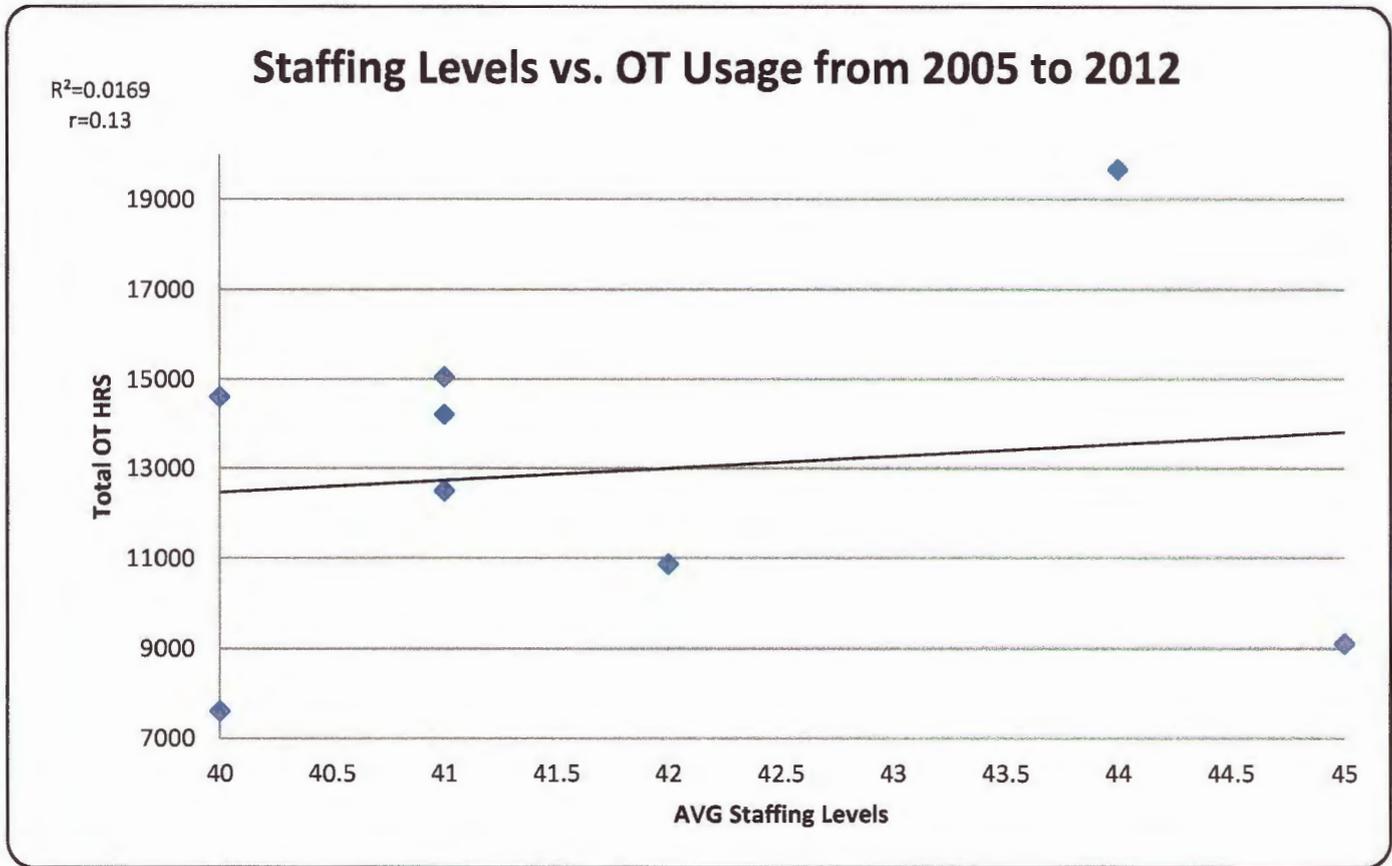
Detention Unit Overtime Paid Comparison 2005-2012

PAID OT Reasons for Overtime	Year								Grand Total
	2005	2006	2007	2008	2009	2010	2011	2012	
ADMIN	44.1	74.9	139.5	94.4	52.5	5.4	18.6	5.3	434.7
CMS	58.8	52.7	34.8	4.7	13.6	6.3	3.5		174.4
CONCENTRA	16	8	7.2	4.3	9.1	3	5.4	4.6	57.6
COURT	7.1	2.6	3.9	11.6	10.7	12.4	2.6	1.5	52.4
HOLIDAY	2154	2511	2436.4	2220.6	1936.4	1879	1710.6	1879.3	16727.3
INVESTIGATION		12	71.9	6.2	37.3	0.3	22.5	2.5	152.7
MANPOWER	6375.8	6727	8469.2	10558.3	4911.4	6985.6	8802.8	12107.7	64937.8
MEETING	36.8	43	308.6	90.8	21.7	9.5	28.7	23.5	562.6
MISC	2.6	20	60.8	11.1	26.3	11	16	25.5	173.3
SECURITY		134.5							134.5
SUPERVISOR DUTIES	74.6	154.2	135	51.8	53.3	145.8	21		635.7
TRAINING	156.5	229.8	281.6	185.7	31.7	12.1	70.9	5.3	973.6
Grand Total	8926.3	9969.7	11948.9	13239.5	7104	9070.4	10702.6	14055.2	85016.6

As noted in the above table, overtime for the reason of manpower for the time period was significantly higher than any other category.

Chart 2 on the preceding page, illustrates how the Audit Unit used the data set of combined comp and paid overtime and the data set of average detention personnel to perform a linear regression. Linear regression is used to determine if there is a correlation between a dependent variable (amount of overtime) and an independent variable (number of Detention Unit Personnel).

CHART 2



This test basically revealed that there was a relationship between staffing and overtime. However this relationship also showed a very weak correlation between staffing and overtime, indicating that staffing alone was not the only reason for the levels of overtime. There are other variables involved that also contributed to the Detention Unit's overtime.

Table 2 below shows hours of compensation time for the Detention Unit over the audit time period. It should be noted that some of the reasons for overtime were combined into broader categories.

TABLE 2

Detention Unit Compensatory Time Comparison 2005-2012

COMP TIME	Year								
Row Labels	2005	2006	2007	2008	2009	2010	2011	2012	Grand Total
ADMIN	21.9	49.9	5	1.5		6		7.3	91.6
CMS	1611.6	43.6							1655.2
CONCENTRA	141.2	174.7		3				0.5	319.4
COURT	28.7	4.3		2					35
HOLIDAY	168	136.5	56	112	64		8	32	576.5
INVESTIGATION	3.9	26	5.4	9			6	4.2	54.5
MANPOWER	8075.6	4105	402.1	801.7	384.1		149.8	495.7	14414
MEETING	78.6	93.2	16.1	9.7	30	24		1.4	253
MISC	17.4	34.8	5.7	3	6			5.7	72.6
SECURITY		36.8							36.8
SUPERVISOR DUTIES	200.6	113			3.5				317.1
TRAINING	389	264.4	64.7	25.1	6				749.2
Grand Total	10736.5	5082.2	555	967	493.6	30	163.8	546.8	18574.9

**Note these are the actual amounts submitted for overtime compensation.*

As with the Paid Overtime Table, the same information is presented in the Comp Time Table indicating that manpower is by far the largest category for the audit time period.

Table 3 below illustrates the average of Detention Unit personnel for the 8 years covered in this audit. There is a very slight downward trend in personnel over this time period.

TABLE 3

Average by Year of Detention Personnel	
Year	Total
2005	44.08
2006	41.36
2007	41.24
2008	41.32
2009	39.81
2010	45.32
2011	42.40
2012	39.68

More research was conducted into changes that were going on during the audit time period and the following changes were discovered.

- In 2005 the department transitioned to the Tiburon Correctional Management System (CMS) which is reflected in overtime/comp time increasing in 2005 and part of 2006.
- In January of 2007, the Overtime/Court Time Policy, Special Order 07-1 (EXHIBIT 3), required all members with more than one year of service, who were not Exempt-Managerial, to take all overtime as paid overtime instead of compensation time.
- In June of 2009, all DFO's were re-assigned to Headquarters Detention.
- Also in 2009, the Patrol Bureau stopped manning the Lobby Officer position and it was taken over by a DFO, thus reducing their manpower.
- Mid-2009 to the beginning of 2010, the Detention Unit began staffing the Patrol Division Stations with DFO's on a voluntary overtime basis. At first three Patrol Divisions, East, Metro and Shoal Creek Detentions were open for DFO overtime. There were two shifts, Watch-III (1800-2300) and Watch-I (2300-0400). **Note: Occasionally Detention Unit supervisors ran into OT scheduling difficulties in the*

Detention Unit and would cancel the division station assignment and schedule the member for the Detention Unit OT.

- Prior to October 2011, the overtime staffing at the Patrol Divisions was reduced from seven days a week to three days a week, Thursday, Friday, and Saturday.
- Mid-2012, the overtime staffing at the Patrol Divisions was reduced to just Friday and Saturday. **Note: The reasons for reducing staffing at the Patrol Divisions was to decrease overtime and also due to fewer officers taking arrests to the division station detention.*

As this audit has indicated so far, with all the changes taking effect during the time frame this audit covers, it would be nearly impossible to determine the impact of each change on overtime. It is believed that it is the combination of all these changes that have convoluted the work processes and has probably contributed to the current levels of overtime.

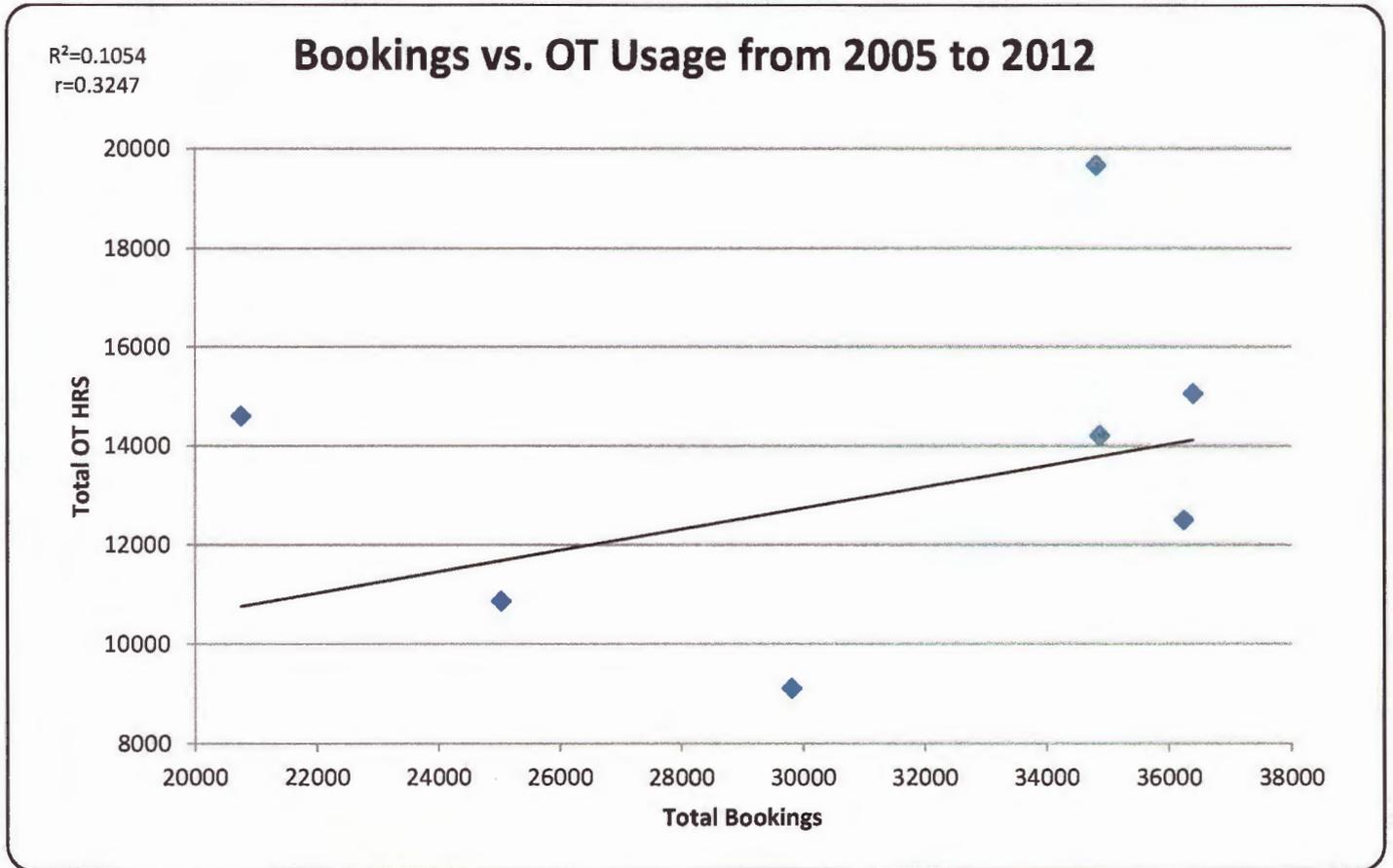
Workload Activities (Booking, Bonding and Release of Arrests)

During the period 2005 – 2012 the Detention Unit processed approximately 247,014 arrests (city/state). Charts 3 thru 7, on the subsequent pages breakdown the arrests processed/booked by the following categories; year, city, state, HQ Detention and division stations. After analyzing the eight year arrest data it was determined that there was a downward trend in the total number of arrests booked beginning in 2007. The years 2009 and 2010 appear to be outliers with a significant drop in arrests in 2009 followed by a slight increase in total arrests in 2010. A more significant downward trend in total arrests booked continued after 2010 culminating in 2012 with the lowest number of arrests booked dropping to 20,750. This is significant only in the sense that it represents a drop of 15,653 arrests (25%) booked, however without considering one important variable, how this drop compared to the crime rate during the same period. Due to the time constraints of this audit statistical crime data was not pulled and analyzed to determine if there was a correlation between reported offenses, crime rates and arrests made during this eight year period. Hypothetically speaking if the crime rate's trend line was relatively flat during this time (little upward/downward trend) that would indicate crime was not a factor in the drop in arrests and more importantly some other factor(s) would be responsible for the drop in arrests.

In comparing overtime to workload (arrests booked) as stated earlier in this audit, there were two (2) significant spikes in overtime usage for the Detention Unit identified during the reporting period. The first upward trend began toward the middle of 2007, and during this time the detention Unit processed 36,248 arrests in 2007. Overtime spiked mid-year in 2008, while the number of arrests booked began to trend downward beginning in 2007. In 2008 there were 34,871 arrests booked. After the spike, there was a sharp decline in overtime over the course of the next year (2009), which coincided with the drop in arrests to 29,077 in 2009. From mid-2009 through 2012 the overtime for the Detention Unit increased year after year. At the same time, the staffing level trend line shows that staffing is almost flat, meaning the trend is relatively even over the 8 year time period. Also during that same time while overtime increased, arrests with the exception of 2010 declined sharply to the low of 20,750.

Chart 3 illustrates how the Audit Unit used the data set of combined comp and paid overtime and the data set of total bookings to again perform a linear regression model. It appears that the correlation between overtime and the number of arrests processed (workload) during the audit period presented similar outcomes to what the Audit Unit found with the means test utilizing linear regression for staffing vs. overtime. In analyzing the data in the "Staffing Levels vs. Overtime 2005 - 2012" Chart 2, and the "Total Bookings vs. Overtime Usage 2005 - 2012" Chart 3, overtime usage does not appear to be closely related to workload, therefore workload does not appear to directly impact overtime nor staffing. A closer look at the rates for overtime vs. total bookings indicate overtime expenditures for the Detention Unit have been trending upward since 2009, while total bookings have been trending downward during that same time period. Staffing levels at the same time trended slightly downward until 2009 before rising slightly in 2010. During 2010 staffing raised to its highest level during the audit period before starting another slight downward trend ending at its lowest level during the audit period at the end of 2012.

Chart 3



As noted in the above chart there is a very weak correlation between bookings/arrests and overtime, indicating that workload alone was not the only reason for the levels of overtime. Therefore the Audit Unit can only conclude that there must be variables other than workload that have caused the upward trend in overtime usage by the Detention Unit and on the following pages of this audit we will review the other variables that have been identified as contributing factors.

CHART 4

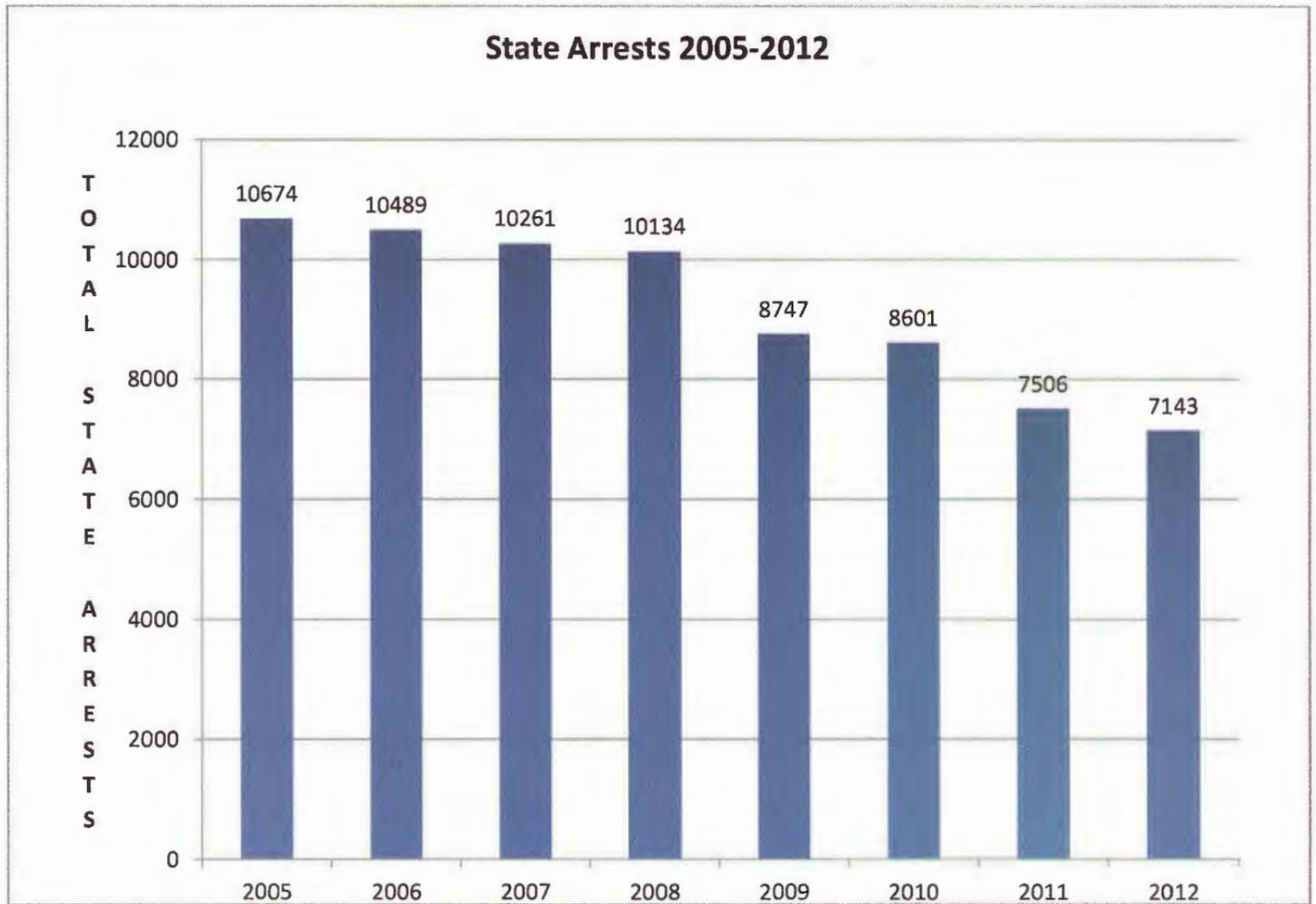


CHART 5

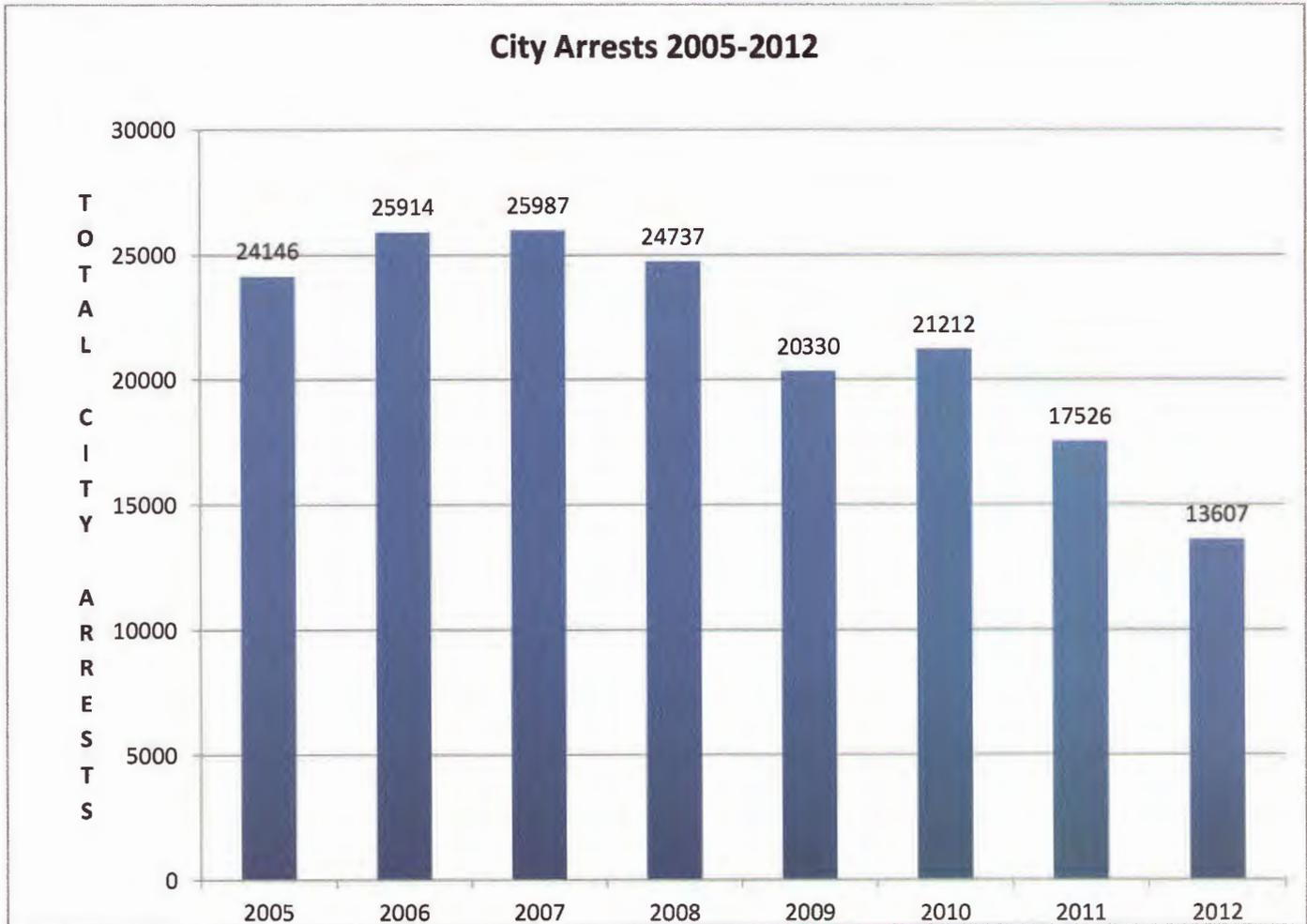


CHART 6

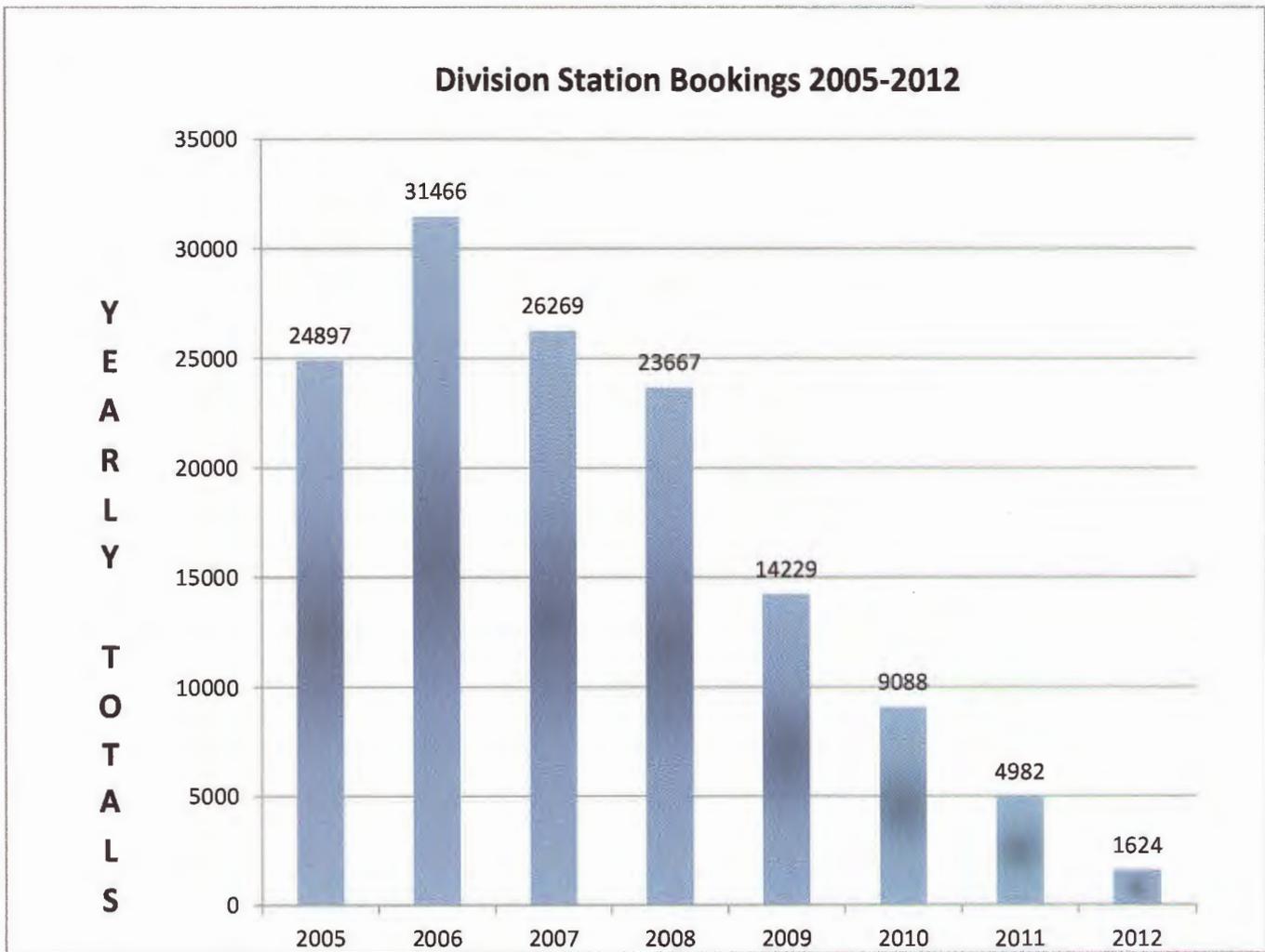
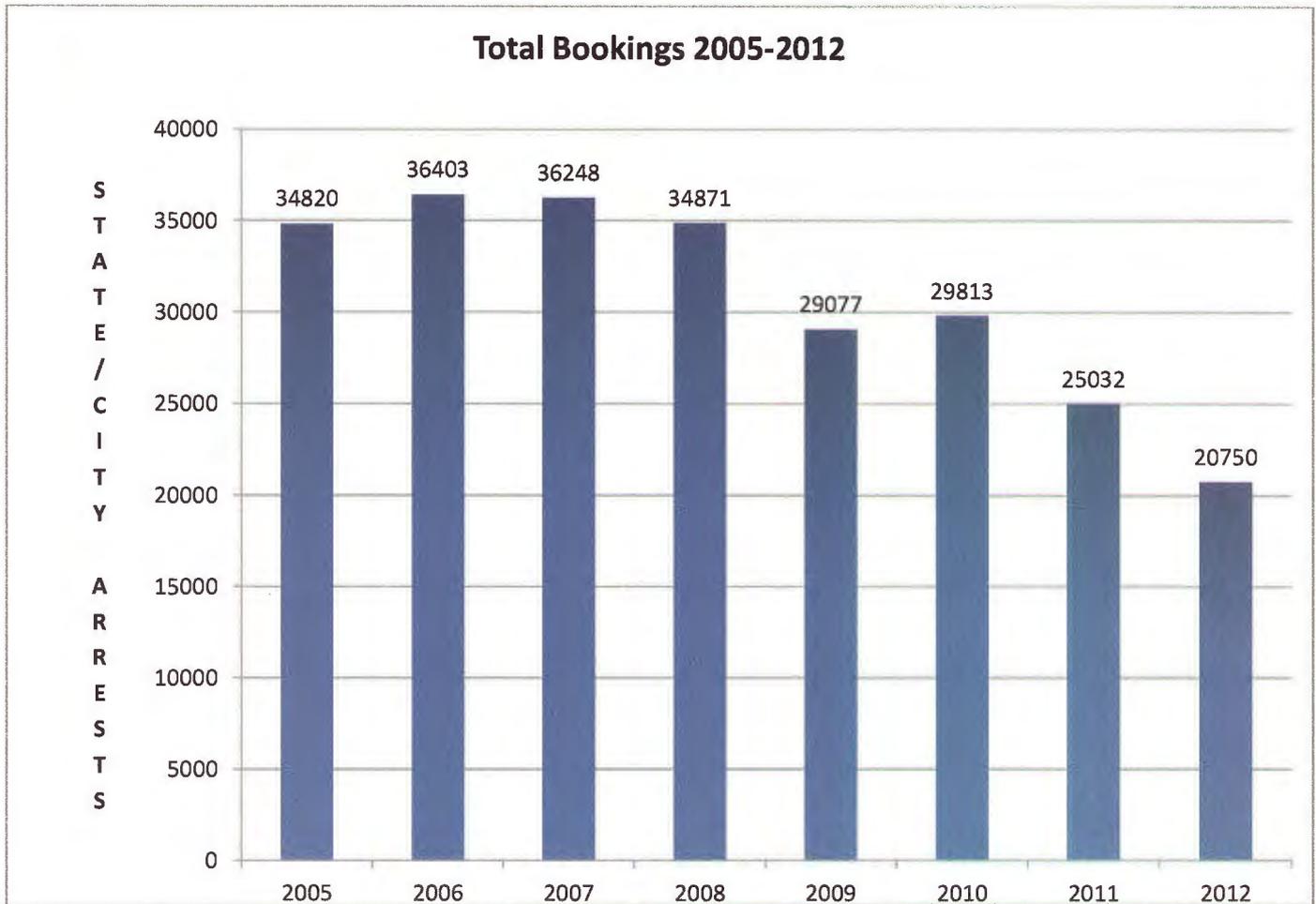


CHART 7



Some of the changes that were presented on page 12 of this audit are also applicable as factors that impacted workload and are repeated below along with other changes that were identified.

- In October 2006 the department transitioned to Tiburon ARS/ (Automated Reporting System) RMS (Records Management System) which represented a major change for patrol and investigative elements.
- In June of 2009, all DFO's were re-assigned to Headquarters Detention.
- Also in 2009, the Patrol Bureau stopped manning the Lobby Officer position and it was taken over by a DFO, thus reducing their manpower.

- Mid-2009 to the beginning of 2010, the Detention Unit began staffing the Patrol Division Stations with DFO's on a voluntary overtime basis. At first three Patrol Divisions, East, Metro and Shoal Creek Detentions were open for DFO overtime. There were two shifts, Watch-III (1800-2300) and Watch-I (2300-0400).
- In August 2011, the department transitioned to the REJIS system which replaced ALERT. This change had a major impact on the department since it involved how members handled arrest records, warrants, criminal records checks and all other criminal justice records.
- Also in 2011 the department transitioned to mobile ticketing which replaced paper UTT'S (Uniform Traffic Tickets) and GOS's (General Ordinance Summons).
- Prior to October 2011, the overtime staffing at the Patrol Divisions was reduced from seven days a week to three days a week, Thursday, Friday, and Saturday.
- Mid-2012, the overtime staffing at the Patrol Divisions was reduced to just Friday and Saturday. **Note: The reasons for reducing staffing at the Patrol Divisions was due to fewer officers taking arrests to the division station detention and also to decrease overtime.*

As stated earlier there was not a single variable that was identified as the primary contributing cause for the Detention Unit's overtime increase. Some of the changes occurring during the audit period however are believed to be major factors that impacted the performance level of the Detention Unit and other elements of the department.

The REJIS transition for example has had a negative impact on the ability of department members to process warrants electronically which also impacts the booking of all arrests since warrant checks are required on all arrests. The Detention Unit operates as a temporary facility for the short term housing of persons arrested by department members and outside agencies who arrest persons on charges originating from KCPD. The majority of all arrestees are held less than twenty (20) hours, with some investigative arrests being detained twenty hours or more without being formally arraigned or warrant signed by a prosecutor. Since the Detention Unit is a temporary holding facility most of the processes involve the intake of arrestees for the goal of processing and releasing these arrests through various means, e.g., bonding, court arraignment, transfers to outside agencies or other detention facilities and sometimes transfers for medical reasons.

The Detention Unit utilizes a Detention Ledger Officer (DLO) for each Watch that has the primary responsibilities of the following;

- Respond fifteen (15) minutes prior to duty time to conduct a count of arrestees with the ledger officer from the previous shift. Any inaccuracies will be reported immediately to the supervisor. Both ledger officers will remain in the unit until the count is accurate. Note; Overtime compensation is allowed.
- Monitor the twenty hour rule on all new city charges and twenty-four hour hold rule on all state investigations.
- Ensure required information is entered into the CMS system in accordance with the CMS manual and training. Ensure that a proper disposition has been obtained for all charges by checking the disposition (release order, bond slips, etc.) against all charges listed in the charge section of CMS.
- Computer check all arrestees being released. (Ref: Jake's Law DM No. 01-21)
- Confirm the identity of all arrestees being released.
- Ensure required fingerprints are on all arrest forms.
- Ensure fingerprints have been verified on all arrests, including city DUI's by checking the events section of CMS for the Fingerprint ID Unit event signifying that the FIO section has verified the arrest.
- Ensure that arrestees released from state investigations are rebooked on pending Federal, State or City warrants, if any.
- If an arrestee is brought in for a state investigation hold with a state warrant or hit confirmation attached to the "MAY I". Ensure that the state warrant is re-entered into REJIS. In the case of a hit confirmation being received, contact the agency listed on the "hit confirmation" and notify them that the arrest is on local charges only.
- On all state to state rebooks, a copy of the prisoners arrestee booking data report in crystal reports will be forwarded to Data Entry. The envelope is located behind the ledger tray.
- Provide the opportunity for an arrestee to make bond, when appropriate.

- Notify the proper investigative element if "Questioning Advisory" or "Notify Gang Squad" entry is noted in REJIS.
- Occasionally, the FID Unit will contact the ledger officer to advise of an arrestee's name or identifier change as a result of fingerprint identification. The ledger officer will immediately contact the on duty supervisor with the correct name or identifiers. The supervisor will make the appropriate corrections to CMS, TIPS, and, if appropriate, LE Web. Additionally, if the name or identifier change(s) involve an arrestee being held for a state investigation arrest, the ledger officer will exhaust all means to notify the appropriate investigative element of the changes. The notification will be documented by the ledger officer in the "*Remarks*" section of the CMS "*Booking*" tab to include the name, rank, date/time of the detective notified.
- The Watch I ledger officer shall assist in assembling and preparing the court docket (general and domestic violence) if necessary.
- Ensure that up-dated copies of the court docket and state holdover reports are printed, at the very least, at the midpoint and end of your shift. This will aid the ledger in maintaining an accurate count and in the event of emergencies, will provide a somewhat accurate record of arrestees in custody.
- Upon receipt of arrestee charges, check for prints and ensure that all charges belong to that arrestee before filing the charges in the ledger box.
- Twenty and Twenty-Four Hour Rule - No person will be detained beyond the statutory twenty or twenty-four hour limit, which commences from the time a person is taken into police custody, unless the person has been arraigned or a warrant obtained or city charges signed by a city prosecutor. Section 544.170 of the Revised Statutes of Missouri allows law enforcement agencies to hold persons for twenty-four hours for all state investigations.
- Monitor the time of arrest on all arrestees held to insure the twenty or twenty-four hour rule is not violated.
- With regard to any state investigation, if a warrant, release or communication from the investigative element has not been received by the (20th) hour, the ledger officer will do the following:

1. Call the unit with a hold on the arrestee and advise them that the twenty-four hours are running out. Determine if the unit is going to release the arrestee at the end of the twenty-four hour hold or if a warrant is being obtained.
 2. When the notification is made and the information listed above is obtained, in the remarks section of CMS, enter the information in the "*Booking*" tab of CMS:
- Check the state holdover sheet, court docket and twenty-hour and twenty-four hour holdover sheet at the beginning of each tour of duty to insure that all information has been accurately recorded. This check should also alert the ledger officer and supervisors to those persons who will approach the twenty or twenty-four hour limit during their tour.
 - Persons arrested on outside municipal and Missouri misdemeanor warrants including misdemeanor traffic warrants will be allowed to post bond or be held for the outside agency to respond. If the agency does not wish to respond and the subject cannot post bond, the subject will be released. If the outside agency cannot respond within a reasonable period of time (24 to 48 hours), the arrest will be released and the outside agency notified. Only a supervisor may approve the holding of a subject beyond 20 hours.
 - Holiday Court Docket Report/No Court - The Watch II ledger officer shall assist the City Prosecutor as follows: Fax the *CMS 20 Hour Report* to the city prosecutor. Following review by the prosecutor, the ledger officer will review the appropriate records and change the charge status field in CMS from "CO" to "BW" as it may apply. Release all arrestees authorized signature bond immediately. Release of arrestees - all arrestees will be promptly released upon receipt of authority, i.e., bond, investigative release, or the court.
 - CMS entries will be made at the time of release so that the system accurately reflects inmates in custody. The ledger officer will: Computer check all arrestees being released. Confirm the identity of all arrestees being released.
 - Obtain the arrestee's signature electronically on all bond receipts. If the arrestee refuses to sign enter "Refused".
 - Obtain signature for the arrestee's property when an arrestee is released to the custody of another agency or department member. If released to an outside agency, inform the transporting officer of arrestees claiming communicable diseases.

- Ensure that required prints are on all arrest forms (LE Web, summons, citations etc.).
- In the event state charges have been reduced to city charges, and the arrestee will be booked on any outstanding warrants, (*if none, when the arrestee's 20 hrs. are up on the reduced-to-city-charge, he/she will be released*) and held until bonded or the next available court date.
- Ledger officers will date-stamp the right hand *palm* of the person being released.

Detention Unit personnel state "the hyperlink used in REJIS by DLO'S to access warrant information, only works about twenty (20) percent of the time". According to DLO'S the majority of the time they get a response that reads "case not found." When this occurs they have to call either the Warrant Desk or Data Entry Section for the warrant information. In some cases the needed information is still not available. This type of action has a negative impact on all bonding processes.

According to Captain Rex Tarwater, Commander Detention Unit, bond requests are handled within the Detention Unit by the Detention Ledger Officer (DLO). The first hour or so of the DLO's shift is extremely busy. A physical count of all inmates is conducted by a Supervisor and the DLO at the beginning of the shift. DLO's are also responsible for following up on all in custody, 24-hour holds. This requires calling detectives and making sure that the inmate will be interviewed and charged or released prior to the expiration of the 24-hour time frame. 1500 to 1600 hours is routinely the time of day that Detectives are calling to complete any unfinished business they have with in custodies. Inmates already processing in, or out, must also be dealt with and midafternoon is when outside agencies typically arrive to make transfers. All of these issues have priority over an inmate posting bond.

DLO's and supervisors have repeatedly requested that all bond information be "tubed" to the Detention Unit rather than calling on the phone. If the initial request was received via the tube with a time stamp on it, the requests could be handled in order and more expeditiously by the DLO's. For whatever reason, Record Unit clerks generally choose to call five or six times within a very few minutes in regard to a bond. The phone calls will continue even after speaking with the DLO. In some cases the DLO will advise the bond desk that they are busy and ask that the information be sent via tube. Even when that request is accommodated, the clerks will continue to call. This practice makes it very difficult to start processing the first request when subsequent, successive phone calls are received.

According to Capt. Tarwater, this is the process the DLO follows when handling a single bond;

- Receives the information from the Bond Desk that a subject is ready to post bond.
- Runs the subject in "REJIS Hot File".
- Verifies each warrant individually and clicks on the "Highlighted Link".
- On the next screen, the DLO hand writes the arresting officer's serial number on the booking sheet. This is repeated for each additional warrant.
- After completing the above, the DLO goes to "*REJIS Home, My Department*", where they enter the arresting officers serial number. A valid court date is issued and that date is then written down on the booking sheet. This is repeated for each additional warrant.
- The Booking Sheet is then tubed down to the Records Unit.
- After receiving the Booking Sheet, the Records Unit will then complete the Bail Tab in CMS and tube up the completed bail sheet.
- If Bail Sheet(s) is correct, the DLO will access the Booking Sheet in REJIS and separately enter the court dates for each charge.
- In the "Remarks" they will enter the names of the bond desk clerk and bonding agent.
- The DLO prints out a new Booking Sheet and hand writes the court times and room numbers on each charge. (If a CMS Bail sheet is incorrect the DLO will have to send it back down to the Bond Desk for corrections and new signatures from the bondsmen, who in most cases have to be called to respond back to the Records Unit).
- The inmate is then brought to the front counter area of the Detention Unit where the CMS bail receipts are signed.
- Each CMS bail receipt is then printed out and tubed to the bond desk.
- A copy of the REJIS Booking Sheet is faxed to data entry with all new court information to be updated in Ccourt web.

Capt. Tarwater, also stated there were additional factors they had identified that contributed to the problems with the booking, bonding and release processes which are presented below;

- There are inconsistencies with the way the Records Unit notifies the Detention Unit that a bondsman is at HQ to bond out an inmate.
- Bonding requires the double entry of data. The Records Unit enters data into CMS and Detention enters the same information into REJIS.
- Copies of signed documents must be moved between the Detention and Records Units, using the pneumatic tube system.
- REJIS requires that each warrant be entered and court dates set separately.
- Given the current configuration of the Detention Unit the bonding process can only be administered by one DLO.
- The Record Unit has a habit of asking for the REJIS Booking Sheet before the bondsmen actually arrive at HQ. This often creates extra work for the DLO because the bondsmen don't respond.
- Due to construction at HQ, the pneumatic tube system will soon be removed. This will require work around processes to be developed when that occurs.

To illustrate a typical day in the Detention Unit here is a synopsis of two recent incidents involving four bonding companies that filed OCC Complaints alleging poor/substandard service during the bonding process. Capt. Tarwater and his staff investigated the bondsmen's complaints separately and submitted a formal response to the Commander of the Logistical Support Division which included a reconstructed event timeline surrounding the alleged incidents. Capt. Tarwater's findings are summarized as follow;

The agent for Bonding Company A spent an extended amount of time at headquarters while bonding out three clients. Approximately 5 1/2 hours. However, according to Capt. Tarwater, given the time of day that Agent A, chose to respond and the numerous other factors influencing the overall process, including the additional responsibilities of the ledger officer, he didn't believe that Agent A 's complaint is founded.

- It took approximately 3 1/2 hours to process Agent A's first client. During that 3 1/2 hours, the DLO prioritized and handled two requests by Agent A for the first client's

property, processed first client's 14 warrants, which takes over an hour with no other interruptions, and handled 12 other bonds and/or state warrant transfers/entries.

- Agent A's second client, was processed in less than 45 minutes. There is no record of Agent A's third client, being booked in or released from the Detention Unit.
- The agent representing Bonding Company B had one client who was bonded out in approximately one hour. This timeframe also included the return of paperwork to the Bond Desk for corrections.
- The agent representing Bonding Company C also had one client who was processed in less than an hour.

The second incident accounted for the fourth complaint from an agent representing Bonding Company D, who had one client in custody. Agent D was at headquarters for approximately 3 ½ hours. According to Capt. Tarwater there was an arrest in the process of bonding out on 14 warrants just prior to Agent D's arrival at HQ. This was compounded by a shift change that also delayed the bonding processes.

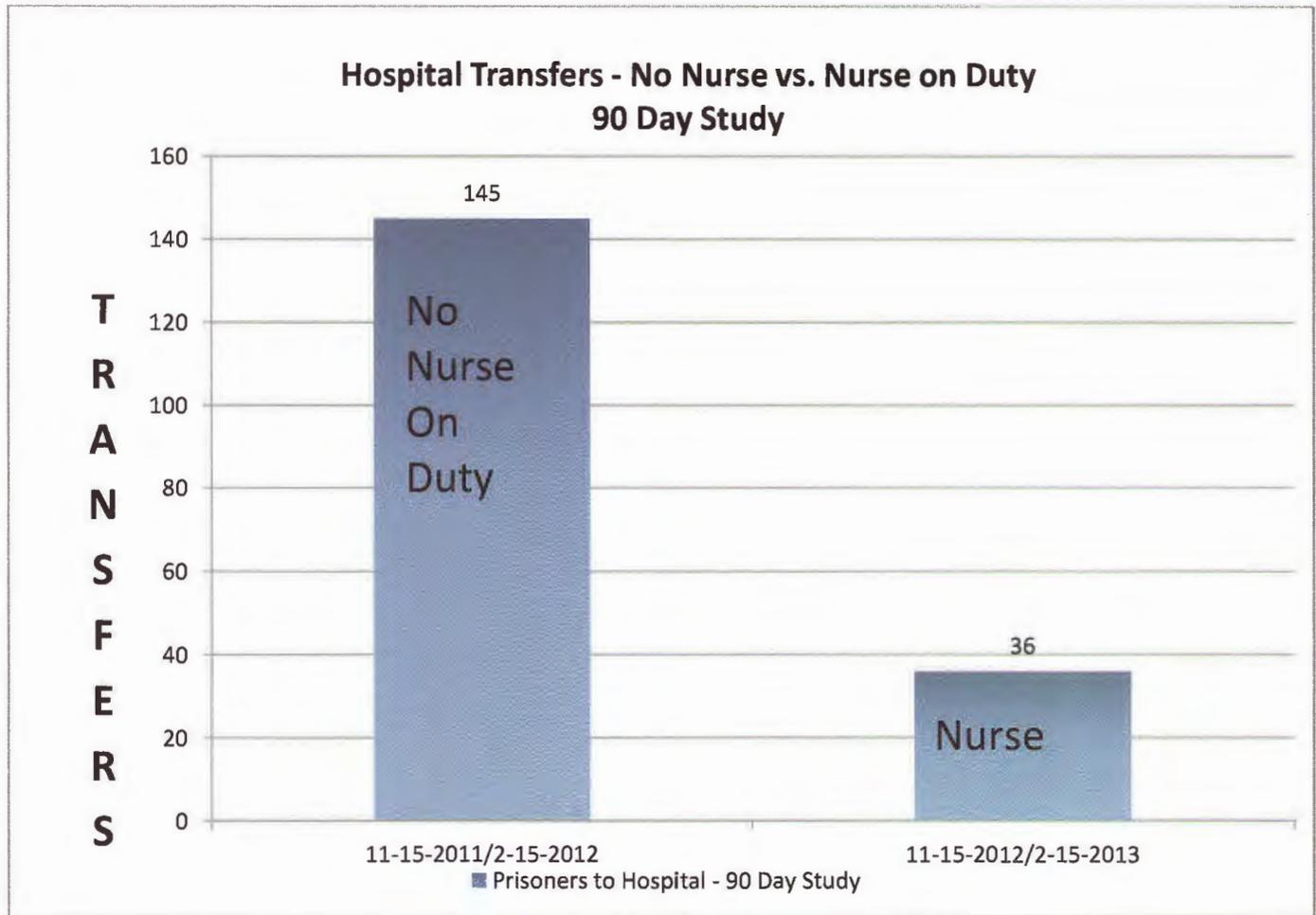
It appears that REJIS in its current configuration gives the end user (officers) greater access to law enforcement information than was possible with ALERT, which required designated secure ALERT computer terminals to access certain information. The drawback to REJIS is exemplified by the bonding incidents that were documented by the Detention Unit. The Detention Unit workflow processes appear to hit a bottleneck with the ledger officer at several different points in the booking, bonding and release processes as described in this audit when accessing REJIS. There are also inefficiencies in with the CMS and REJIS entry processes since department members must do dual entry when booking, bonding or releasing arrestees. This is supported by patrol officers who have also reported similar issues when pre-booking arrests with multiple warrants and these arrests records are re-entered (dual booking) by the Detention Unit. Overall many department members contacted state their efficiency has been reduced since the transition to Tiburon CMS and REJIS.

Hospital Transfers

In November 2012 the Detention Unit implemented a trial program utilizing nurses contracted by the City similar to the medical services provided by JACO for the city jail inmates. The Audit Unit conducted a 90 day comparison study of the Detention Unit (Chart 7) to determine the impact if any the nurses had on medical transfers from the Detention Unit. Using two identical 90 day periods, one period without nurse staffing and another period a year later with nurse staffing indicated that the presence of a nurse had a significant impact on medical transfers. The 90 day study shows there were 145 medical transfers when there was no nurse staffing, compared to 36 medical

transfers with nurse staffing. The reduction in medical transfers resulted in substantial monetary savings to the department and the city.

CHART 7



Risk Management Concerns Associated with Jail Operations

There are inherent liabilities that are associated with the department conducting jail operations. The Audit Unit contacted the OGC (Office of General Counsel) to determine if there were any incidents during the audit period that resulted in the department paying out for lawsuits or other liabilities. OGC reported there were six incidents that were settled or judgments were made during the audit time period, 2005-2012. The six incidents along with the amounts are as described below:

TABLE 4

LAWSUITS INVOLVING DETENTION UNITS 2005 - 2012		
October 2006	*Lost Property	\$750.00
July 2007	*Lost Property	\$200.00
October 2008	Miscarriage	\$750,000.00
March 2010	Death	\$150,000.00
April 2011	Fall (Broken Arm)	\$5,000.00
May 2011	Death	\$535,811.64
Total		\$1,441,761.64

*Note: Incidents were not necessarily the fault of the Detention Unit.

CONCLUSION

The purpose of this audit was to review the Detention Unit operations, evaluating how personnel perform their duties, identifying work flow processes, determine if staffing was adequate and/or utilized in an efficient manner. The Audit Unit also reviewed the Detention Unit's overtime usage and workload vs. staffing levels to determine what impact, if any internal or external factors had on jail operations.

During this audit period there have been many changes that impacted the Detention Unit's ability to meet its goals and objectives. Those changes included system changes (internal) such as the Tiburon CMS, ARS and RMS department wide transition, the transition to REJIS in place of ALERT, the transition to mobile ticketing. There were also external changes such as the economic downturn which prompted austerity measures by the city, resulting in hiring freezes, and budget cuts. The lack of pay increases was also contributing factor in the loss/separation of some department members.

As stated earlier in this audit when reviewing the Detention Unit's overtime usage it was at its highest level at the beginning of the audit period than any other time. The Audit Unit was unable to determine the reason(s) for the high start in 2005. Taking into account the highs and lows of the overtime rate over the 8 year period overtime for the Detention Unit is actually on a downward trend. The Detention Unit staffing level trend line over the same 8 year span is almost flat indicating the staffing trend was relatively even during this time.

However, there was a sharp increase in overtime usage over the last three years, despite a decrease in bookings (workload) and steady staffing levels. There are many adequate controls in place to make the likelihood of abuse of overtime highly unlikely. It is more likely that there are multiple confounding variables in the booking process (which include the new technologies) that have conspired to produce an overly complex, disjointed and inefficient system that is unnecessarily consuming too many resources. Such inefficiency has resulted in the increased need for overtime to make it work properly, i.e., it takes more time for one employee to book an arrest thus limiting his ability to perform other tasks which must be given to other employees often on an overtime basis.

FINDINGS

1. It appears that that there are multiple confounding variables in the booking process (which include the new technologies) that have conspired to produce an overly complex, disjointed and inefficient system that is unnecessarily consuming too many resources.
2. The Audit Unit was unable determine the reason(s) for the high overtime usage beginning in 2005.
3. Taking into account the highs and lows of the overtime rate over the 8 year period overtime for the Detention Unit is actually on a downward trend.
4. The rates for overtime vs. total bookings indicate overtime expenditures for the Detention Unit has been trending upward since 2009, while total bookings have been trending downward during that same time period.
5. During this audit period it was determined that there has been a downward trend in the total number of arrests booked from 36,403 in 2006 to 20,750 arrests in 2012 (difference of 15,653).

6. In November 2012 the Detention Unit implemented a trial program utilizing nurses contracted by the City similar to the medical services provided by JACO for the city jail inmates. There were 145 medical transfers when there was no nurse staffing, compared to 36 medical transfers with nurse staffing. The reduction in medical transfers resulted in substantial monetary savings to the department and the city.
7. From a risk management standpoint the Office of General Counsel reported there were six incidents (lawsuits) that were settled or judgments were made during the audit time period, 2005-2012. The total cost to the department was \$1,441,761.64.

RECOMMENDATIONS

1. Due to the department wide changes that have occurred recommend a post audit be conducted in a year unless the department opts to transition to another CMS/ARS/RMS system.
2. Consideration should be given to the initiation of another audit to review the department's arrest processes unless the department is has plans to replace the current reporting and booking systems.
3. Recommend copies of this audit be forwarded the jail consolidation committee and the Research and Development Division.

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


Officer Phillip Johnson

EXHIBIT 1

HQ Detention Unit Manual

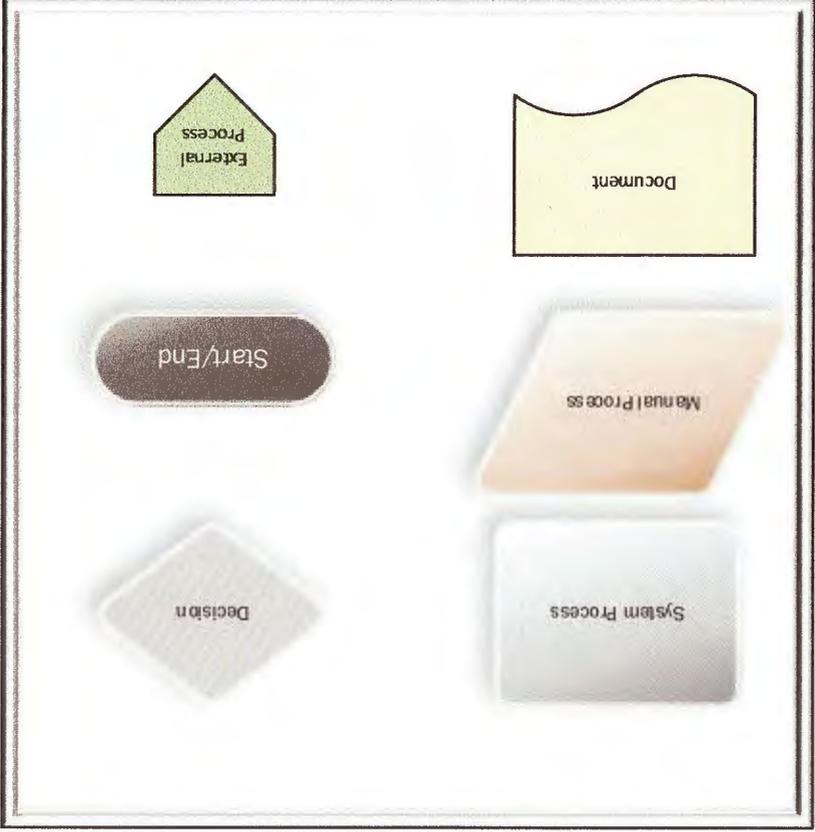
This is a large document and is not included in order to conserve resources.

Readers may request an electronic copy of this manual from the Internal Audit Unit.

EXHIBIT 2

Detention Unit Work Flow Charts

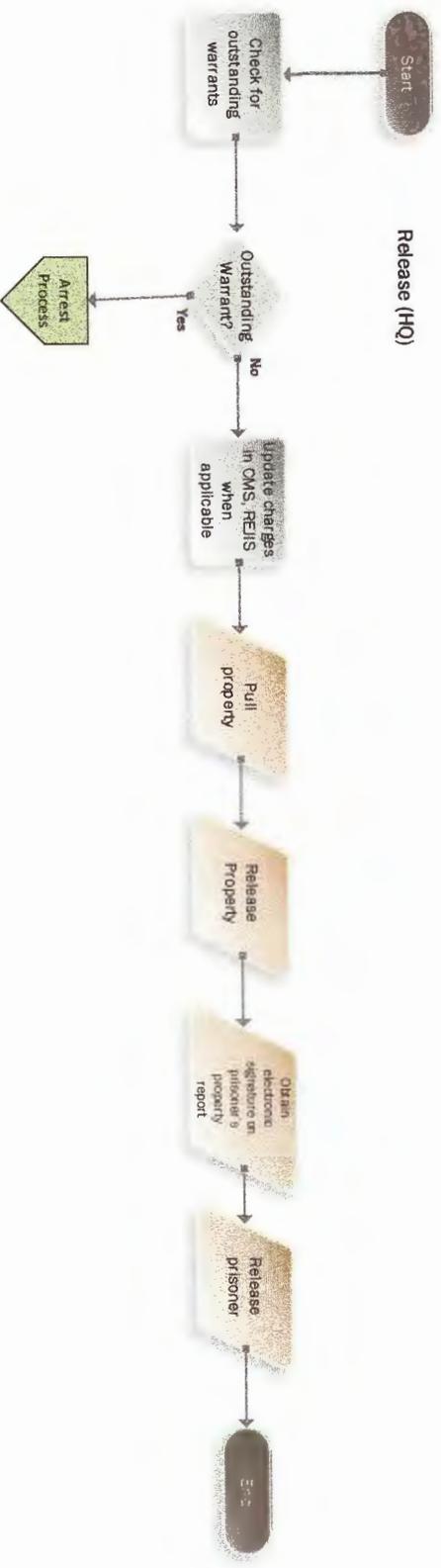
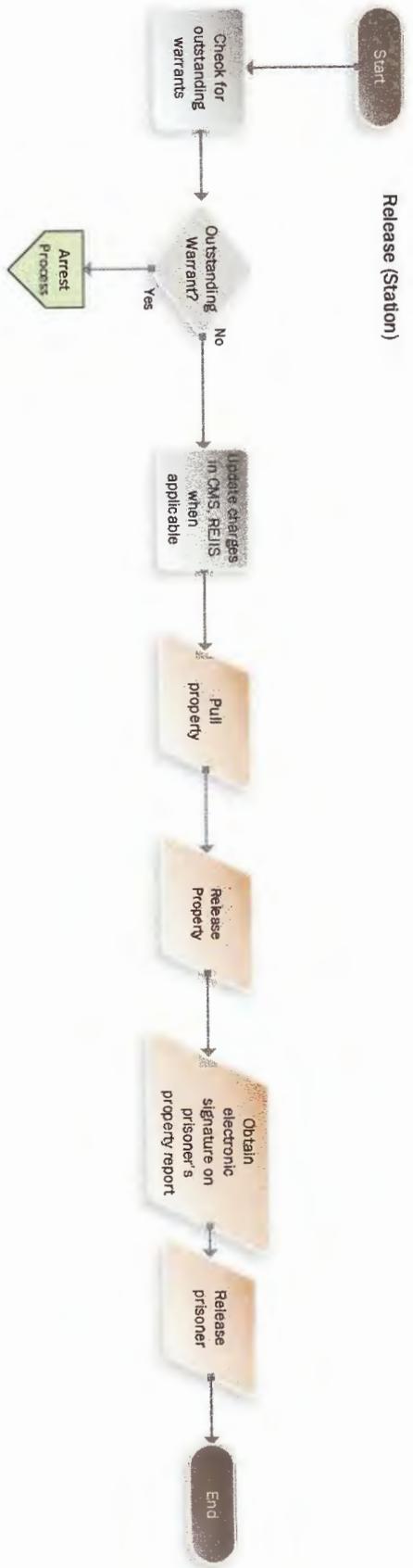
Flowchart Symbols



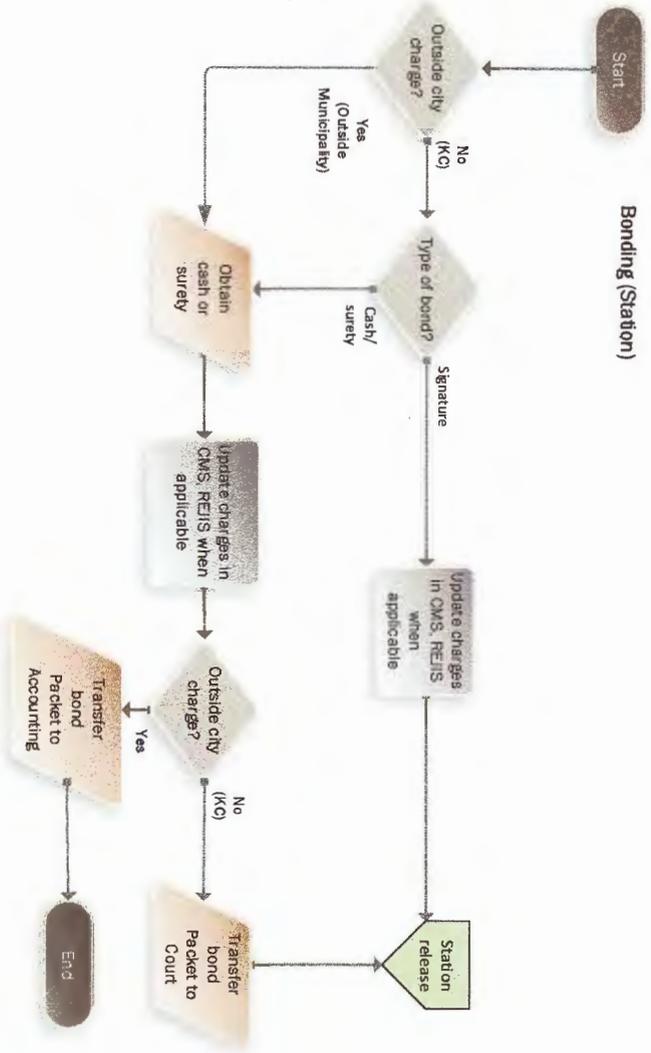
Notes

- Pre-booking for warrants and pickups includes making printout of RJIS record with court date, time and bond amount
- At any point, belligerent prisoner can go straight to HQ booking
- CMS will be updated throughout custody as status changes
- Property can be released to 3rd party at any time
- Original charge = new summons/citation
- On occasion, outside Missouri state warrant will be released on recognizance
- On occasion, bond may be posted at Jackson County criminal records or jail
- Process of outside agency notification via RJIS for bonding not captured

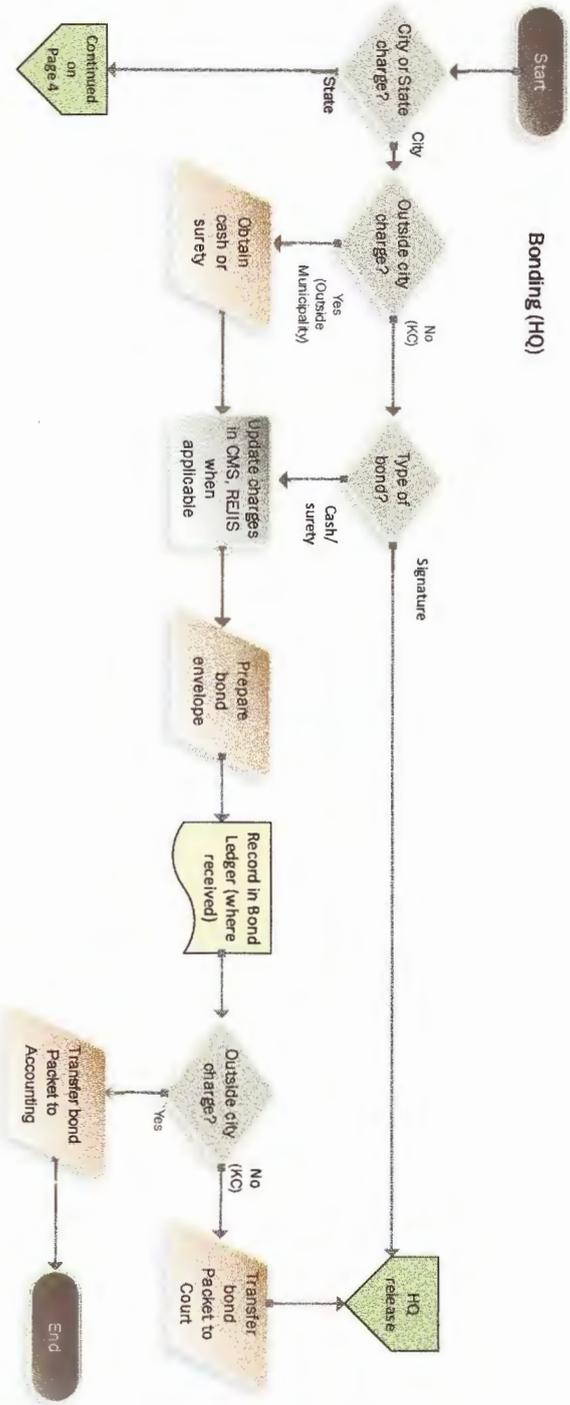
Booking, Bonding & Release (2013)
 KAMO Police Department



Bonding (Station)



Bonding (HQ)



Continued on Page 4

EXHIBIT 3

Special Order 07-01 entitled "Overtime/Court Time Policy"



KANSAS CITY, MO. POLICE DEPARTMENT

SPECIAL ORDER

DATE OF ISSUE

01-04-07

EFFECTIVE DATE

01-04-07

NO.

07-1

SUBJECT

Overtime/Court Time Policy

EXPIRES

12-31-07

REFERENCE

Timekeeping Policy

RESCINDS

AMENDS

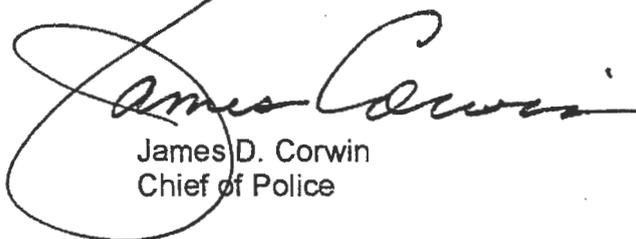
Until further notice overtime and court time for all members except Exempt-Manual and those members with less than one year of service will be taken as paid overtime and not compensatory time. Those members with less than one year of service will be allowed to take overtime as compensatory time within policy accumulation limits until they reach one year of service.

Policy 418-6, Overtime/Court Time Compensation Policy, states the limits for compensatory time accumulation balance. All members are required to either be within those limits or request an exception from the Chief of Police.

The Computer Programming Section has been instructed to revise the timekeeping system to limit the input of compensatory time to the accumulation levels provided by Policy 418-6.

Current procedures for monitoring overtime usage at the division level will continue to be followed with bi-weekly reporting. It is probable that the overtime guidelines will be exceeded, however that will not be the basis for allowing compensatory time.

These measures are being taken to ensure optimum staffing levels and compliance with policy approved by the Chief and Board of Police Commissioners. Executive Command staff will continue to monitor this situation and further directives may be issued or policy may be revised.



James D. Corwin
Chief of Police

EXHIBIT 4

Management's Response to HQ Detention Unit Performance Audit 13-01

DATE: 6-5-13

ITEM: # 8

MEMORANDUM

June 5, 2013

RECEIVED

JUN 12 2013

JAN, 30 #2
CHIEFS OFFICE

To: Major Eric Winebrenner, Commander, Logistical Support Division
From: Captain Rex A. Tarwater, Commander, Detention Unit
Subject: Response to the Detention Unit Performance Audit

I have reviewed the Detention Unit Performance Audit and I have also reviewed the comments forwarded to me by the Detention Unit Supervisors following their review of the audit.

I agree with my staff that there are numerous dynamics directly impacting the audit findings that weren't noted by the Audit Unit. Some of these factors are:

- The audit misses several important factors in the use of overtime. The most important being the Detention Unit's lack of a relief factor for most of the audit period. During this audit period we had multiple members on military, injury, and maternity leave. This is in addition to all of the sick and vacation leave taken by members. Almost without fail, if a member is on leave it will create a staffing shortage. This is also true of members attending any training. What the audit refers to as relative flat staffing numbers shows to have reduced approximately 4.5 members over the audit period. This has a significant impact on overtime use without a relief factor. Another overtime factor was the lobby and station assignments, which is not clearly explained.
- The audit notes that over the 8 year period that the overtime for the Detention Unit is actually on a downward trend. The variable responsible for this was the transfer of the side station DFO's to HQ which finally increased HQ Detention's personnel to an adequate number and substantially decreased the unit's overtime. Yet with the full staffing that we had when this occurred, we were still losing personnel due to resignations and transfers to other positions within the department and losing from 3 to 5 DFO's per academy class without the department replacing these personnel due to a hiring freeze. With proper staffing of the Detention Unit, overtime is minimal. A minimum number of staff is required, no matter what the number of arrests are, in order to respond to an emergency type of situation and to staff required positions; i.e., the Ledger, Booker 1, Booker 2, Video, and Cell Officer. If a shift is short due to any type of exception time, overtime is required staff those positions.
- The audit notes that the nursing medical service has resulted in a substantial monetary savings to the department and to the city, but fails to note that the nursing staff only

worked 6 to 10 hours a day. Having the medical staff in Detention also has a positive impact on the DFO's workload. A more in-depth evaluation of how having a full time nursing staff within the Detention Unit could impact overtime, staffing levels, reduce potential liabilities resulting from medical issues, etc. would be very useful information.

- The audit suggested that our current technology creates inefficiencies with our workflow by slowing the process causing a backup of work, resulting in members working overtime to finish this work. The amount of work within the unit has almost zero effect on overtime usage due to the relieving shift picking up where the prior shift left off.
- The findings state that the inefficiency of our booking process prohibits members from completing their work and moving on to other duties. Detention Unit members have assigned duties and for the most part, don't leave their assigned duties. For example, the booking officer cannot stop booking arrests and assume the role of intake officer. This holds true to all of the assignments in the unit.

I recommend that an additional, more detailed audit be initiated to ensure all factors impacting the dynamics of the Detention Unit. This should include interviews of all six supervisors.

Respectfully Submitted,

Captain Rex A. Tarwater

D.C. Higgins.

The audit results and the response by the Detention Unit have been included in the potential consolidation requirements for an outside central detention operation. The audit and responses have helped clarify the requirements needed for an outside detention facility. I recommend forwarding to the Internal Audit Unit.

*Mr. Wambler
7/10*

*Forward to Chief's Office, Executive
officer, to be returned to Audit.*

*6/7/13
DCIT/US 6/12/13*

*To Internal Audit 6/13/13
C.O.X.O.*

MEMORANDUM

RECEIVED

JUN 24 2013

6-5-2013

Administration Bureau

TO: Major Greg Volker, Division Commander, Information Services Division

FROM: Capt. Natalina Ehlers, Commander Records Unit, ISD

SUBJECT: Detention Performance Audit 13-01

Maj Volker,

The HQ Detention Unit Performance Audit 13-01 was completed prior to several necessary changes in the bonding process. Those changes address several of the concerns noted in the Audit. Additionally, the specific noted concerns about the Records Unit came in response to Citizen Complaints from several bondsmen, over several days, regarding the delays in bonding arrests. These complaints were forwarded to the Detention Unit for investigation and through the course of the Investigation each one was addressed, however it occurred after the completion of the Audit review and was therefore not included. The specific changes are noted below.

Bonding Changes:

1. During the Audit review, the tube system was still operational for transfer of materials between the Detention Unit and Records. Due to the Construction occurring on the 1st floor and changes related to e-ticketing, it was decided that the tube system was no longer necessary. The system will be dismantled during the construction process and will not be reinstalled in the new Unit.
2. To replace the tube system, we implemented an email procedure whereas requests as well as information can be emailed between units. This change should help to cut down phone calls and track when requests are sent, received and given replies.
3. To account for technology problems, back-up options were created to address internet outages or other issues. Faxing information was identified as the first back-up, followed by manual transfer of the information via the phone and elevator.
4. Records Staff has been instructed to utilize the above practices, across all three watches, to communicate with the Detention Unit. Phone calls should only be needed when an excessive amount of time has passed since sending a request.
5. While working through the bonding process, several redundancies were identified on both the Detention and the Records side, which created additional delays in the procedure. Although these redundancies can't be eliminated at this time, they were noted with the anticipation that they could be eliminated with proposed technology changes in the near future.

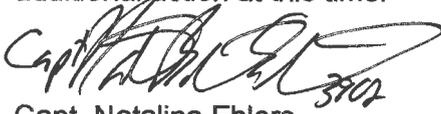
Audit Concerns:

1. Excessive phone calls (page 24)– Number 4 above addresses the concern about excessive phone calls. This problem should be resolved. I have heard no additional complaints since the implementation of the procedural changes.
2. Inconsistencies with notifications (page 26)– The inconsistencies noted were the result of different relationships between the staff of Records and Detention. Watch II staff members were friendlier with each other and therefore utilized the phone more often to

make initial notifications, whereas the other watches were more formal and utilized the tube system. This difference should be resolved now with the utilization of the email procedure on all three watches.

3. Booking sheet requests (page 26)- I was unable to identify specific individuals who have asked for REJIS booking sheets prior to the arrival of a bondsman. This practice is not acceptable in the Unit and is contrary to established procedures. Unit staff has been reminded that this inconsistency in the treatment of one bonding company over another is inappropriate and will not be tolerated.

In conclusion, the deficiencies noted in HQ Detention Unit Performance Audit, 13-01, have been rectified through changes in procedure. We will continue to monitor the new procedures to identify efficiencies or problems and will address each as they come up. I recommend no additional action at this time.



Capt. Natalina Ehlers
Commander
Records Unit

D.C. Hundley,

I recommend forwarding to the Internal Audit Unit for their information and no further action.



Approved - To Internal Audit
Unit for information. (Rec'd)
D. Randall Hundley 6/24/2013