# Performance Audit: Police Administrative Bureau – Identifying Potential Audit Topics

**October 2010**

City Auditor
City of Lawrence, Kansas

October 21, 2010

Members of the City Commission

This report identifies a number of potential performance audit topics based on my review of the Police Department's administrative bureau. I believe a performance audit addressing any of the identified topics would provide objective analysis that could help management and the City Commission provide oversight to improve services. I hope the report will encourage discussion about potential audit topics, including discussion of additional topics that I haven't covered.

The City Manager suggested that I identify the higher priority topics from those described in the report. I considered the extent to which the topics would be auditable, the likely benefit of independent review by the City Auditor, and general principles of audit selection described in my Policies and Procedures. Based on those considerations, I would place the highest priority on performance audits addressing: managing the Police Department's workload; handling complaints; and measuring and reporting on Police Department performance.

I provided the City Manager and the Interim Chief of Police with final drafts of this report on September 17, 2010.

I appreciate the cooperation and assistance I received from the Police Department as I worked on this project.


Michael Eglinski
City Auditor

# Performance Audit: Police Administrative Bureau

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# Performance Audit: Police Administrative Bureau

## Results in Brief

The administrative bureau of the Lawrence Police Department provides a range of services, including: animal and parking control, property and evidence, information systems, records, professional accountability, training, school and neighborhood resource officers and financial management. Many of the bureau's services support police patrol and investigation functions. The bureau's budget totals about $3.9 million and the department as a whole totals about $15.3 million.
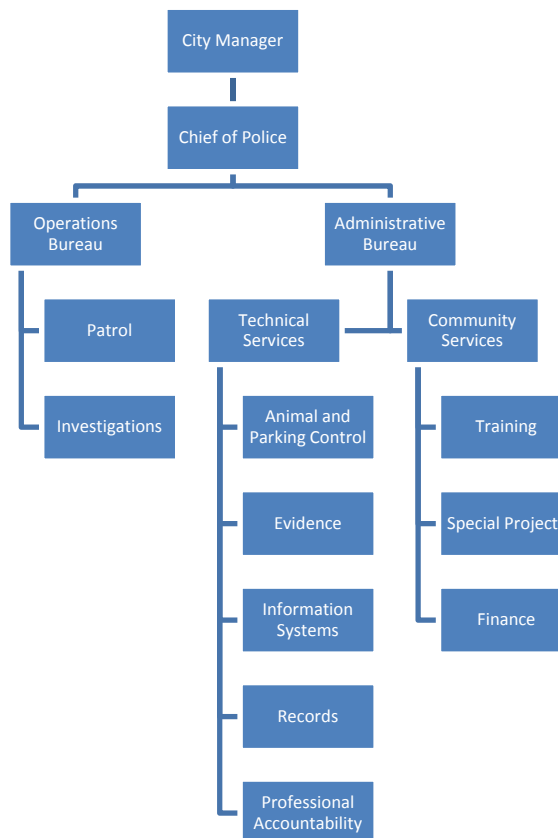
This report describes the administrative bureau functions and identifies ten areas for consideration for future performance audit work. The topics identified are:

- Managing shared services and facilities

- Ensuring adequate facilities and equipment

- Ensuring continuity of information technology

- Recruiting and training law enforcement personnel

- Managing work load

- Serving internal customers

- Handling complaints

- Measuring and reporting on performance

- Managing costs

- Safeguarding property and evidence

# Performance Audit: Police Administrative Bureau

## Administrative Bureau Overview

The Lawrence Police Department provides patrol, investigations, and administrative services. The report focuses on the administrative bureau. The administrative bureau provides a range of services, including: animal and parking control, property and evidence, information systems, records, professional accountability, training, school and neighborhood resource officers, and financial management.



The budget for the Police Department totals $15.3 million, with about $3.9 million of that for the administrative bureau functions in 2010. The general fund provides most of the budget, but the special alcohol and

public parking funds also provide funding for the department.[1]  In addition to the department budget, the city provides about $1.5 million for health insurance costs for Police Department employees and their families.

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**How common are contacts between residents and the police?**

Contacts between residents and the Police Department are common. A third (33.8 percent) of respondents to the 2007 citizen survey reported that they received assistance from the Police Department in the previous 12 months.

For the nation as a whole, the most common reasons for people to interact with the police are traffic stops and reporting a crime or other problem.

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The Police Department established a set of guiding principles:

- We exist to serve the community
- We believe in the personal touch
- We are fair but firm
- How we get the job done is as important as getting the job done
- We represent civility and order in a changing world

The department identified these principles as "paramount objectives to measure police conduct."

The Police Department has also established a goal:

> The goal of the Lawrence Police Department is to be the number one police organization.
>
> Police officers represent civility and order in a changing world. The Lawrence Police Department will strive to provide the citizens of Lawrence with the most efficient and effective police service available within the confines of existing resources.

**Animal and Parking Control**

The unit provides animal and parking control and school crossing guard services.  The unit employs three animal control officers, six parking control officers, 15 part time school crossing guards, and a manager. Animal control staff responds to calls, takes reports, issues tickets, investigates animal related calls, tracks repeat offenders and provides

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[1] The city also purchases police equipment from the equipment reserve fund, but that fund is not budgeted and is not included in the $15.3 million.

other animal control services.  The Lawrence Humane Society operates
the animal shelter and receives some funding from the city and county.
The parking control staff maintains city meters, collects money from the
meters, and enforces parking regulations downtown.

**Table 1 Citizen satisfaction, 2007**

| Service | Percent of respondents satisfied or very satisfied (excludes "don't know") |
|---|---|
| Animal control services | 57.6 |
| Parking enforcement services | 58.8 |

Parking enforcement, animal control, and school crossing services are
often, but not always, provided by municipal police departments.[2]  From a
sample of 436 municipal departments serving populations of between
40,000 and 120,000, more than half of the departments provided parking
enforcement and school crossing services, while nearly half provided
animal control.

**Evidence**

The evidence unit stores, maintains and disposes of property and evidence.
The unit includes two staff: a police officer and an evidence clerk.   Staff
tracks property and evidence through a database.  The evidence unit also
provides audio recordings of dispatch and 9-1-1 calls to attorneys.

The department stores property and evidence at several locations.  The
main property room is at the Law Enforcement Center.  The main property
room includes space for storing evidence, found and personal property,
including firearms, money, drugs and other miscellaneous items.

The city handles evidence for the county.  The County Sheriff recovers
property and evidence and stores it in the department's property room.
The Sheriff follows the same process for recovering property and evidence
as the Police Department.  The city maintains, stores and tracks the
property.

**Recovering property and evidence**.  Officers recover three broad types
of items: evidence, personal property, and found property.  Regardless of
the type of item, the department's recovery process is consistent.  A police
officer transfers the item to the Law Enforcement Center.  The officer
completes an evidence sheet which includes information about the items, a
case number, and documents the chain of custody.  The officer also marks

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[2] Based on analysis of data from the U.S. Department of Justice, Bureau of Justice
Statistics, *Law Enforcement Management and Administrative Statistics: 2003 Sample
Survey of Law Enforcement Agencies*, distributed by the Inter-university Consortium for
Political and Social Research.

each item with an item number and the case number. The officer puts the items into lockers in the property room. Property room staff transfer items from the lockers to storage, reviews the information on the evidence sheet, and transfer data from the evidence sheet into a computer database.

**Disposing of property and evidence**. Disposing of evidence or property seized for forfeiture generally requires approval by the District Attorney or a court order. In some cases, evidence can be returned to an owner after the police have photographed the evidence.

Found property and personal property will be returned to a rightful owner, or be destroyed or sold after being unclaimed for 6-months. Disposing of found or personal property requires the approval of an officer or the evidence custodian.

### Information Systems

The unit provides information technology services to the department. The unit includes three positions and a part-time intern. The unit provides IT support to the department, such as installing, maintaining, and upgrading computers and software; tracks software licensing; manages computerized records; and creates and maintains IT systems. The unit also provides IT support services to the county's emergency communications center. The Information Systems unit is separate from the Information Systems Department which provides similar services for the rest of city government.

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**Information technology security audit**

The Federal Bureau of Investigation audited the Lawrence Police Department's information technology security in August 2008 and reported no compliance issues. The audit covered roles and responsibilities, security enforcement, technical security, and administration of criminal justice services.

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The Police Department uses information technology to maintain data, provide in-field access to information and analyze data. The department maintains computerized information such as calls for service, incident reports, property and evidence records, and investigative information. Officers have in-field access to computerized records as well.

### Records

The records unit maintains and disseminates department records. The department stores records at both the Law Enforcement Center and the

Investigations and Training Center. The unit employs eight administrative support positions and one manager.

In addition to the main records functions, the records unit provides a range of other services, including: assisting with media relations, operating the front desk at the Law Enforcement Center, issuing merchant security licenses, providing fingerprinting, and handling cash transactions.

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**Criminal history record information audits**

The Kansas Highway Patrol audits the Lawrence Police Department's compliance with federal and state laws and policies on collection, storage and dissemination of criminal history record information. Audits in 2002 and 2005 found several compliance issues and made recommendations for additional improvements, such as additional training. The highway patrol completed the most recent audit in 2008 and found no compliance problems and concluded that the "agency is commended for its overall performance."

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**Professional Accountability**

The Office of Professional Accountability accepts and investigates complaints about police and provides the crime analysis function. The office employs a Sergeant and two non-sworn employees who provide crime analysis.[3] Crime analysis involves reviewing and compiling information from police reports, exchanging information with other law enforcement agencies, and providing information to other parts of the department.

In addition to dealing with complaints, the Office of Professional Accountability provides media relations and supervises the crime analysis and evidence functions. The Professional Accountability Sergeant acts as the department's central source of information for press releases and to respond to requests from the media.[4]

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[3] "Sworn" employees have the power of arrest.
[4] Throughout 2010, two Sergeants have been assigned these duties, with one assigned to professional accountability and the other to media relations.

## Training

The unit recruits and trains new police officers and provides ongoing training for current officers and specialized training open to outside agency employees. The unit also offers citizen academies. Four employees – three sworn – work in the training unit.

**Selecting candidates for the academy**. Selection begins with recruiting through career fairs and advertising for applicants. The city invites all candidates who fill out an application to sit for an entrance exam. Following initial testing and interviews, an interview panel ranks the candidates, the Chief interviews candidates, and the list is pared down further. At this point, the Police Department does background checks and interviews applicants' previous employers. Applicants are also subject to polygraph, psychological, and physical exams. Successful candidates then begin the department's training academy.

The Police Department teaches recruits the state mandated curriculum for law enforcement. The state requires 560 hours of training in a wide range of subjects to prepare police officers for the job. The Police Department's academy provides 376 hours more than the state requires, including practical information specific to Lawrence and additional training beyond

what the state requires.  After successfully completing the training academy, new officers participate in field training.  During field training, experienced field training officers observe and provide feedback on the new officers' performance.  After successfully completing field training, an officer is released to work by themselves as a Lawrence police officer.

The curriculum for the training academy covers a broad range of subjects.  Training topics include legal issues; police practice for patrol, investigation, firearms use, driving, and other topics; and specific offenses.

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**Comparing services among departments**

The Lawrence Police Department does not dispatch calls for service and operates a police training academy.  Most (80 percent) departments serving populations of between 50,000 and 150,000 dispatch calls for service.  Douglas County dispatches calls for service to the Lawrence Police Department.  Few (20 percent) departments serving populations of between 50,000 and 150,000 operate training academies.[5]

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## Special Projects

The unit includes school resource officers and neighborhood resource officers.  The unit employs nine sworn employees.  School resource officers take reports and investigate incidents at schools, develop and present lessons, provide crime and safety presentations, operate a police summer camp, and provide other services.  Neighborhood resource officers work with code enforcement, review graffiti reports, provide alcohol compliance training and enforcement, provide security at City Commission meetings, and provide other services.

**Table 2 Citizen satisfaction, 2007**

| Service | Percent of respondents satisfied or very satisfied (excludes "don't know") |
|---|---|
| School Resource Officers | 56.4 |

School resource officer and neighborhood resource officer programs are commonly provided by municipal police agencies.  Most (over 80 percent) of municipal departments that serve populations of between 40,000 and 120,000 provide the services.

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[5] Based on analysis of data from the U.S. Department of Justice, Bureau of Justice Statistics, *Census of State and Local Law Enforcement Agencies 2000*, distributed by the Inter-university Consortium for Political and Social Research.

**School Resource Officer program**

School Resource Officers are police officers assigned to provide education, intervention, counseling, deterrence, and law enforcement in local schools.  Goals of Lawrence's program include:

- Bridging the gap between students and police;
- Improving attitudes toward law enforcement;
- Encouraging cooperation between students and police officers;
- Reducing criminal activity on campus by being highly visible;
- Providing education through presentations; and
- Working with the schools to create a safe environment conducive to learning.

The city funds the SRO program and the school district provides office space and limited supplies and equipment.  Most commonly, law enforcement agencies and school districts share funding responsibilities.

## Finance

The finance unit provides budgeting, purchasing, and payroll functions. The unit consists of a single employee.  The unit provides purchasing and accounts payable, budget preparation and follow-up, grants administration, payroll, and other finance-related work.

**Auditors recommend strengthened grant administration**

The city's financial auditors made two recommendations about the city's grant administration in the April 2010 management letter.

- Departments should submit documents required by the city's grant administration policy to the Finance Department in a timely manner.

- The city should reconcile the general ledger back to grant documentation and periodically communicate with operating departments about federal grant compliance.

Both recommendations apply to Police Department grants.  In 2009, the Police Department administered federal grants totaling $550,000.

The Finance Department addressed the recommendations by developing an online tracking tool and providing training to city departments.  The Finance Department plans to compare grant revenues and expenditures on a quarterly basis for expenditure driven grants.

# Potential Performance Audit topics

The City Auditor identified ten potential performance audit topics based on the work completed:

- Managing shared services and facilities
- Ensuring adequate facilities and equipment
- Ensuring continuity of information technology
- Recruiting and training law enforcement personnel
- Managing work load
- Serving internal customers
- Handling complaints
- Measuring and reporting on performance
- Managing costs
- Safeguarding property and evidence

The report briefly describes each potential audit topic and provides examples of audit objectives. The objectives are provided as examples and not necessarily as the most important objectives a performance audit could address or as the only objectives a performance audit could address.

The City Auditor used several methods to identify potential audit topics. Those methods included: interviews with managers from the Police Department and with city management; analysis of the employee survey; interviews with police auditors and reviews of police performance audits from other jurisdictions; and reviews of city documents including budgets, budget requests, intergovernmental agreements and performance measure reports.

The City Auditor follows general principles in identifying potential performance audit topics that:[6]

- cover a range of city issues and functions;
- reflect residents' interests;
- reflect City Commission interests and priorities;
- reflect city management's interests;
- encourage and support performance measurement;
- encourage and support financial and management controls;

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[6] *Performance Audit Policies and Procedures*, Office of the City Auditor, City of Lawrence, KS, July 2008.

- recognize the broad scope of performance auditing;

**Managing shared services and facilities**

The Police Department provides some shared functions and shares facilities.  For example, the department provides records, property and evidence functions, and IT support functions for the county; the city funds the school resource officers who largely work within the schools; and the city and the county share the Law Enforcement Center building.  When shared functions are well managed, responsibilities and expectations of the different parties are clearly defined and understood, and costs and risks are shared equitably.

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**Agreements covering facilities, emergency communications, KU police, and school resource officers**

Reviewing city records and discussion with city staff identified several agreements that address shared space, functions and activities.

- Law Enforcement Center: The city and Douglas County entered into agreements that govern construction, operation and sharing of the Law Enforcement Center.

- Emergency Communications:  The city and Douglas County entered into an agreement that covers the funding and administration of the county's emergency communications center.

- University of Kansas Office of Public Safety:  The city and the University of Kansas entered into an agreement that addresses the law enforcement authorities of the university's police officers.

- Junior High School Resource Officers:  The city and Unified School District 497 entering into an agreement defining the roles and responsibilities of school resource officers.

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A performance audit of the management of shared functions could identify key shared functions and address:

- Do existing agreements incorporate good practices for inter-agency agreements?
- How are roles, responsibilities, costs, and risks defined?
- Are the roles, responsibilities, costs, and risks shared equitably?

### Ensuring adequate facilities and equipment

The Police Department relies on facilities and equipment to provide services.  The department operates out of several facilities throughout the city, including the Law Enforcement Center (111 E 11th), which houses the main property and evidence storage area, and the Investigation and Training Center (4820 Bob Billings Parkway).  Department employees rely on equipment, including about 100 vehicles.  Department employees rely on computer and electronic equipment both in the office and in the field.  Adequate facilities and equipment allow the Police Department to provide services efficiently and effectively.

Police employees who responded to the 2008 employee survey expressed concern with equipment.  Most department employees disagreed that they have the equipment needed to do their jobs well, have adequate resources to complete their jobs, and are satisfied with the quality and availability of equipment and resources.  Compared to city employees as a whole, Police Department employees expressed more dissatisfaction with equipment and facilities.

**Table 3 Employee survey, 2008**

| Item | Negative responses (percent) | |
|---|---|---|
| | Police Department | Citywide |
| I have the equipment I need to do my job well | 60.1 | 21.9 |
| The equipment I use is well-maintained | 50.9 | 15.3 |
| Repairs to equipment I need are completed in a timely manner | 57.4 | 20.4 |
| Facilities are well maintained in my work area | 30.2 | 17.6 |
| Adequate resources are available to complete my job | 72.3 | 32.6 |
| The items I need to do my job safely are readily available | 27.2 | 15.9 |
| Satisfied with quality & availability of equipment & resources | 71 | 24.6 |

A performance audit of ensuring adequate facilities and equipment could address:

- How does management identify and prioritize facility and equipment needs?
- Are specific facilities and equipment adequate to meet departmental needs?

**Ensuring continuity of information technology**

The Police Department relies on information technology to provide services. Among other uses of information technology, patrol officers access records and dispatch information in the field; the department manages records and accesses criminal histories; and staff track property and evidence. Police agencies, in general, rely heavily on information technology to provide services. Strong processes for IT continuity and controls help ensure that the department can provide services through disruption; and that data are secured, backed-up, and protected.

The Police Department expressed some concerns about information technology continuity. Management expressed concerns with aging hardware and software, risks associated with having facilities in different parts of town, and issues with backup power. The department has not developed a formal IT continuity plan.

A performance audit of continuity of IT could address:

- Has the Police Department adequately prepared continuity plans?
- Has the department developed appropriate IT control policies and procedures?

**Law enforcement agencies' use of computers**

Police agencies maintain information on computers and use computers for a variety of functions.  The table shows the most and least common types of information maintained and computer functions for a survey of 436 municipal policies agencies serving populations between 40,000 and 120,000.  The Department of Justice completed the survey in 2003.  The table shows how commonly agencies maintain information on computers and how commonly they use computers for different functions.

| Information maintained as computer files | Uses of computers |
|---|---|
| Very common (more than 2/3rds of agencies) ||
| Arrests<br>Calls for service<br>Incident reports<br>Traffic accidents<br>Alarms<br>Stolen property<br>Traffic citations<br>Warrants | Internet access<br>Records management<br>Dispatch (CAD)<br>Crime analysis<br>Crime investigations<br>Personnel records<br>Crime mapping |
| Common (between 1/3$^{rd}$ and 2/3rds of agencies) ||
| Traffic stops<br>Criminal histories<br>Use-of-force incidents<br>Fingerprints<br>Summonses | Analysis of community problems<br>In-field communications<br>Traffic stop data collection<br>Inter-agency information sharing<br>Intelligence gathering<br>Automated booking<br>In-field report writing<br>Hotspot identification<br>Fleet management<br>Resource allocation |
| Uncommon (less than 1/3$^{rd}$ of agencies) ||
| Intelligence related to terrorism<br>Illegal attempts to buy firearms<br>Biometric data for face recognition | Personnel early warning/intervention |

**Recruiting and training law enforcement personnel**

The Police Department recruits and trains law enforcement officers. The department has 142 sworn law enforcement positions. Filling a vacancy requires recruiting applicants and then putting them through a 936 hour training academy. After graduating from the training academy, new officers continue their education through a 560 hour field training program. After completing field training, officers receive continuing education to maintain their competence and certification. The department also handles firearms qualification and training. Recruiting and training officers ensures that vacancies are filled in a timely manner and that employee have the appropriate knowledge and skills to provide services.

Police employees who responded to the 2008 employee survey expressed concern with both the level of staffing and how quickly vacancies were filled. Most department employees disagreed that vacancies were filled in a timely manner or that the department had enough staff to do their jobs.

**Table 4 Employee survey, 2008**

| Item | Negative responses (percent) | |
| --- | --- | --- |
| | Police Department | Citywide |
| Job Vacancies are filled in a timely manner | 86.1 | 44.3 |
| We have enough staff in my department to do our job | 89.7 | 49.5 |

A performance audit of recruiting and training could address:

- Does the recruitment process incorporate recommended practices?
- Does the recruitment and training process result in timely filling of vacancies?
- How does management monitor the recruiting and training processes to ensure quality?

**2002 workforce analysis**

A city analysis of the workforce of the city and the Police Department found underutilization of women among patrol officers and sworn officials, men were underutilized in paraprofessional and office/clerical positions. The analysis compared the workforce with community labor statistics. The city prepared the analysis in 2002 and included sections of it in a federal grant application.

The city identified objectives for both the city as a whole and the Police Department to improve the areas of underutilization. Among the objectives were automating reporting systems to better monitor and report on the workforce; and evaluating recruiting and hiring practices to ensure the process was fair.

Nationally, women make up a relatively small portion of municipal law enforcement officers. Women accounted for about 15 percent of total sworn law enforcement officers in local police departments with more than 100 officers in 2007. Over time the portion of female officers in local police departments has gradually increased.

The city's 2002 analysis showed women making up 7 percent of the "protective services" workforce. The city's 2009 equal employment opportunity report showed women making up 5 percent of the "protective services" workforce.

## Managing workload

Much of the work of the Police Department involves responding to workload that may not be under the direct control of the agency, such as calls for service and crimes under investigation. When workload and resources balance, the department is in the best position to provide services efficiently and effectively.

Police Department management and staff identified several specific functions where they felt workload was an issue, including: records, property and evidence, information technology, and professional accountability and media relations.

Police employees who responded to the 2008 employee survey expressed concern with workload. Most department employees disagreed that they have enough employees to do their jobs. Compared to city employees as a whole, Police Department employees expressed more dissatisfaction with having enough time to do their jobs right and with the work they are asked to do during a shift being the right amount.

**Table 5 Employee survey, 2008**

| Item | Negative responses (percent) | |
| --- | --- | --- |
| | Police Department | Citywide |
| We have enough staff in my department to do our job | 89.7 | 49.5 |
| I am able to take the time to do my job right | 40.6 | 19.9 |
| The work I am asked to do during a shift is the right amount | 42.8 | 20.9 |

A performance audit of managing workload could address:

- How does management measure workload and ensure resources match workload?
- Have initiatives – such as using mobile data computers – affected workload?
- How has management attempted to reduce demands for service?

A performance audit of managing workload could address the overall workload and resources of the department or specific functions of the administrative or operations bureaus.

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**Simple analysis of total number of officers**

An overarching workload issue is the total number of law enforcement officers in the community. Staffing ratios – officers per 1000 residents – have been provided to the City Commission and included in grant applications supporting additional positions. Experts caution against using these ratios because staffing analysis requires considering many factors, including the demographic traits and characteristics of the jurisdiction and functions of the agencies.

While a more complete analysis was beyond the scope of this project, the City Auditor developed an equation to predict the number of law enforcement personnel based on population. The equation uses information from 101 municipalities with populations of between 25,000 and 150,000 and with sworn law enforcement personnel in both municipal and 4-year college departments. It predicts the combined total number of officers in both the municipal and college departments.

Combined total number of Sworn FTEs = (Population in 1000s * 1.746) + 19.59

The model predicts that Lawrence (assuming a population of 90,000) would have a combined total of 176.8 sworn officers in the city and university departments compared to the current combined total of 170.

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**Serving internal customers**

The Administrative Services Bureau provides services to internal customers. Internal customers include Police Department managers and staff who rely on services of the administrative bureau and include the department's operations bureau. Internal customers also include managers and staff in other city departments that interact with the administrative bureau. Police managers described the importance of administrative bureau functions in supporting patrol and investigations. Providing good services helps those customers provide services.

A performance audit of serving internal customers could address:

- How do internal customers view the quality of services provided by the Administrative Bureau?
- How do managers measure the quality of services provided by the Administrative Bureau to internal customers?

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**Crime analysis supports patrol and investigations**

The crime analysis unit provides information to support patrol and investigation activities. Examples include:

- Identifying local crime patterns and disseminating the information to patrol supervisors and officers;
- Creating and updating databases for stolen property and counterfeit currency which officers can use to officers compare with recovered property; and
- Mapping specific types of crime on a regular basis to identify "hot spots" for officers.

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**Handling complaints**

The Police Department accepts and investigates complaints through the Office of Professional Accountability. Handling complaints directly addresses the department's guiding principles, which include being fair but firm and that how the job is done is as important as getting the job done. Department management has emphasized the importance of police accountability to the public. Handling complaints allows management to identify and address problems and strengthens the relationship and trust between the community and the department.

Compared to employees citywide, police employees who responded to the 2008 employee survey expressed more concern with the department's reputation with citizens.

**Table 6 Employee survey, 2008**

| Item | Negative responses (percent) | |
|------|------------------|----------|
| | Police Department | Citywide |
| Department has a good reputation with citizens | 29.5 | 12.4 |

A performance audit of handling complaints could address:

- Has the department handled complaints in compliance with policies and procedures?
- How does the city's process compare with similar cities' processes for handling complaints?

**Measuring and reporting on performance**

The Police Department compiles data for both routine and special reporting.  For example, the department produces an annual report with performance data, includes data in the city's "balanced scorecard," and compiles statistics for crime reporting.  Department management has expressed concern with the department's ability to compile statistical information from the records management system.  Data on performance provides management, the City Commission, and the public with information to better understand and evaluate the department and to make informed decisions.

The Police Department yearend report and the city's "balanced scorecard" include performance data for the department.  Both reports are readily available through the city's web page.  Strengths of those reports include that most of the data are current and terms are defined or easily understood.  Weaknesses include a lack of comparison to goals, other time periods and other jurisdictions; and little focus on results.

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**Overland Park Police benchmarking report**

The Overland Park Police Department prepares an annual benchmarking report, comparing 25 different police departments on dozens of measures.  The 2008 report was 186 pages long, with 99 tables and 77 graphs.

The report provides information to help participating departments set goals and objectives and compare their performance.  The Chiefs of each department meet annually to discuss the data.

Lawrence does not participate in the benchmarking and most of the cities included are larger than Lawrence.  The average population of the 25 participating cities is 154,475.  The study includes three cities – Boulder, Lincoln, and Norman – with Big-12 universities.

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Performance measurement and reporting can encourage effective and efficient performance and improve services to residents.[7]  Compared to the city as a whole, Police Department employees have less understanding of the city's use of performance measures.  In addition, Police Department employees have more pessimism about the city becoming more effective, efficient and innovative.

**Table 7 Employee survey, 2008**

| Item | Negative responses (percent) | |
| --- | --- | --- |
| | Police Department | Citywide |
| Understand how the city is using performance measures | 73.2 | 43.7 |
| Think the city is becoming more effective | 86.0 | 46.1 |
| Think the city is becoming more efficient | 90.7 | 51.1 |
| Think the city is becoming more innovative | 86.9 | 48.0 |

A performance audit of measuring and reporting performance information could address:

- How does management compile and report data?
- Are reported data reliable?
- What measures would stakeholders find most useful?

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[7] Stacy Osnick Milligan and Lorie Fridell, *Implementing an Agency-Level Performance Measurement System: A Guide for Law Enforcement Executives*, Police Executive Research Forum, April 2006.

**2005 Resource Plan for Lawrence, Kansas Police Department**

The Resource Plan recommended the police budgets be tied to community outcomes and identified a number of measureable objectives.  Measures addressed a range of areas and focused on seven areas:

| Objectives | Measurement focus |
|---|---|
| Crime and emergency response | Clearance rate for major crimes<br>Response time for calls |
| Reduction of chronic call locations | Citizens reporting chronic, unresolved crime or disorder problems<br>Party and nuisance locations |
| Reduction of traffic safety problems | Injury accident rates<br>Fatality accident rates<br>Residents feeling neighborhood traffic safety a serious problem |
| Alcohol related problems | Alcohol-related disturbances downtown<br>Alcohol-related deaths<br>Resident perceptions of downtown safety<br>Resident perceptions of reducing and preventing underage drinking |
| Order maintenance and event management | Level of safety at major events |
| Public involvement and support | Resident perceptions of courteous and professional service<br>University student perceptions of Police Department<br>Resident understanding of role in crime reduction, prevention and problem solving<br>Middle and high school age youth perceptions of Police Department |
| Emergency preparedness and homeland security | Threat preparedness<br>Emergency preparedness |

**Managing costs**

The Police Department has a budget of over $15 million.  Department personnel administer grants, control the use of overtime, procure equipment and supplies, and develop and monitor budgets.  Managing costs protect resources, help ensure resources are available to provide services, help ensure efficient and effect procurement, and ensure fair and open competition for procurement.

A performance audit of managing costs could address:

- Has the department implemented good practices for improving efficiency and encouraging innovation?
- How does the department manage overtime?
- Has the department complied with purchasing policies and procedures?

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**Police workers compensation claims**

Police employees are exposed to a lot of work related risks and, as a consequence, have a high number of workers compensation claims. City claims data show that the Police Department had the second most claims of city departments, behind only Public Works, for the period of 2003-2009. While the Police Department had a large number of claims, those claims generally were for small dollar amounts.

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**Safeguarding property and evidence**

The Police Department stores evidence and personal and found property. Department management expressed concern with the adequacy of the property and evidence storage facilities and with resources available to dispose of property. Department personnel noted that they hadn't conducted regular inventories. Safeguarding property and evidence helps ensure that the Police Department property maintains and disposes of items and makes efficient and effective use of limited storage space.

A performance audit of safeguarding property and evidence could address:

- Has the department complied with policies and procedures regarding property and evidence?
- What barriers limit the department's ability to dispose of property to free up additional storage space?

**Potential criteria to evaluate property and evidence control practices**

The International Association for Property and Evidence recommends specific processes related to internal controls over property and evidence:

- Regular inventories to account for property and evidence items;
- Audits to compare policies, procedures and processes with standards, best practices, and statutes and codes;
- Inspections to check security, access, records, housekeeping, safety practices, and so on.

# Performance Audit: Police Administrative Bureau

## Scope, methods and objectives

This project was designed to address two objectives:

- Provide descriptive information about the Police Department's Administrative Bureau; and
- Identify areas for future performance audit work.

The City Commission approved the project as part of the work plan for 2008.

The City Auditor reviewed city documents, including: budgets and budget submissions; the City Code; grant applications; relevant interlocal agreements; relevant position descriptions; Police Department policies and procedures; training materials; the 2007 Citizen Survey; and the 2008 City Employee Survey.

The City Auditor reviewed other documents, including: state statutes related to interlocal agreements and police training; state law enforcement training curriculum; audits of the Lawrence Police Department completed by the Kansas Highway Patrol and the Federal Bureau of Investigation; performance audit reports from other local governments; and select literature on policing.

The City Auditor interviewed city staff in the Police Department; City Manager's Office; Finance Department; and Legal Services Department. The auditor rode along with patrol officers, a patrol supervisor and a parking control officer. The auditor toured police facilities including the Law Enforcement Center, the Investigations and Training Center and various property and evidence storage facilities. The auditor interviewed internal auditors in law enforcement agencies and auditors who have conducted performance audits of law enforcement agencies to identify common audit risks associated with policing.

The City Auditor reviewed suggestions for performance audits submitted by residents through a web-based form. Topics suggested relate to performance measures, handling complaints and managing workload.

The City Auditor reviewed databases from the Department of Justice, including: the *Census of State and Local Law Enforcement Agencies* (2000); *Law Enforcement Management and Administrative Statistics* (2003); and *Uniform Crime Reporting Program Data: Offenses Known and Cleared by Arrest* (2007). The auditor downloaded the databases from the Inter-university Consortium for Political and Social Research. All three datasets include responses from the Lawrence Police Department. To assess the reliability of the databases, the City Auditor reviewed the codebooks provided with each database. The codebooks describe the data collection and quality control measures.

The City Auditor reviewed some of the Police Department's performance measures using a checklist for effective measures.

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The checklist provides a quick evaluation of performance data. The checklist gets at three main characteristics of effective measures. Effective measures are useful, relevant, and reliable/verifiable.

For each performance measure:

☐ The data are included and current

☐ The reader can tell if the number represents a desirable level (if the number were higher, would that be good, bad, or not possible to tell?).

☐ The number is compared to something (e.g. a goal, other time periods, other jurisdictions)?

☐ The measure focuses on results (ideally an outcome rather than an output).

☐ Terms are defined or generally understood.

For each collection of performance information:

☐ The report identifies an audience.

☐ The report describes how the information was collected.

☐ The report describes how the information is, or should be, used.

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The City Auditor reviewed a draft analysis of department resources prepared by the Police Department. The auditor provided the Police Chief with technical advice about the draft in a May 2010 memo. The memo did not include any recommendations.

The City Auditor conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require planning and performing the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for the findings and conclusions based on the audit objectives. The City Auditor believes that the evidence obtained provides a reasonable basis for the findings and conclusions based on the audit objectives.

The City Auditor provided early drafts of portions of the report to the City Manager and the Chief of Police on August 2 and August 30, 2010. The auditor provided a final draft copy to the City Manager and Chief of Police on September 17, 2010. The City Manager's written response is included.

**Performance Audit: Police Administrative Bureau**

**Management's Response**

# Memorandum
# City of Lawrence

**TO:** **Mayor and City Commissioners**
**Michael Eglinski, City Auditor**
**FROM:** **City Manager David L. Corliss**
**Date:** **October 21, 2010**
**RE:** **Audit topics for Police Department**

I agree with the general topic selections for the Auditor's work plan concerning audit topics for the Police Department. A focus on workload measurements for the police department may produce information that will be helpful in assessing future staffing levels. I continue to believe that additional patrol resources remain an important goal for the Police Department. Workload measurements and improvements in measuring performance should be of worthwhile assistance to city operations and goals. LKPD has provided performance measurements in a number of categories, however, comparisons with other jurisdictions, necessary data collections, clearance rates, should all be improved. Additionally, improving the procedures for handling complaints is an important topic for the City, LKPD, and the community. Achieving the correct balance between public accountability and transparency while continuing to ensure appropriate personnel, management, and criminal justice values is also worthy of continuous improvement.

While not a top priority for the audit work plan, I do believe that the City Auditor's report has highlighted the importance of inter-governmental relations for a number of police department functions. I plan to follow through on examination of the City/County law enforcement topics, including an evaluation of the necessity of agreements governing the City's performance of certain functions for Douglas County and the City of Eudora (recordkeeping, etc.)