

City of Austin



**A Report to the
Austin City Council**

Mayor
Lee Leffingwell

Mayor Pro Tem
Sheryl Cole

Council Members
Chris Riley
Mike Martinez
Kathie Tovo
Laura Morrison
Bill Spelman

**Office of the
City Auditor**

City Auditor
Kenneth J. Mory
CPA, CIA, CISA

Deputy City Auditor
Corrie E. Stokes
CIA, CGAP

FOLLOW-UP AUDIT REPORT

Police Operations Follow-Up Audit

October 2011



REPORT SUMMARY

Austin Police Department (APD) management fully implemented 10 of the 15 recommendations we selected for the follow-up, and implementation of 3 additional recommendations is underway. APD management no longer concurs with the remaining two recommendations and will instead maintain the current practices.

TABLE OF CONTENTS

BACKGROUND 1

OBJECTIVES, SCOPE, AND METHODOLOGY 1

AUDIT RESULTS 2

Exhibits

Exhibit 1: Verified Status of the Selected Recommendations..... **2**

Exhibit 2: APD Management No Longer Concurs with two Remaining Recommendations **3**

GOVERNMENT AUDITING STANDARDS COMPLIANCE

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

AUDIT TEAM

Olga Ovcharenko, CGAP, CICA, Auditor-in-Charge
Jojo Cruz, CICA, Auditor

Office of the City Auditor
Austin City Hall
phone: (512)974-2805
email: oca_auditor@austintexas.gov
website: <http://www.austintexas.gov/auditor>

Copies of our audit reports are available at <http://www.austintexas.gov/auditor/reports>



Printed on recycled paper
Alternate formats available upon request

October 2011



Audit Report Highlights

Why We Did This Audit

This follow up audit was conducted as part of the Office of the City Auditor's FY 11 Strategic Audit Plan. The initial audit issued 107 recommendations aiming at improving Police operations in Austin.

What We Recommend

Since we did not identify any ongoing risks, we did not issue any recommendations.



For more information on this or any of our reports, email oca_auditor@austintexas.gov

POLICE OPERATIONS FOLLOW-UP AUDIT

Mayor and Council,

I am pleased to present this follow-up audit on Police operations.

BACKGROUND

In 2007, the Office of the City Auditor (OCA) contracted with MGT of America, Inc. (MGT) to assess public safety operations in the Austin Police Department (APD), Office of the Police Monitor (OPM), and Public Safety and Emergency Management Department (PSEM).

The main themes of the findings were that APD should:

- organize its units and divisions based on a common mission;
- improve coordination, cooperation, and communication with other police operations groups as well as external stakeholders; and
- improve efforts to establish, track, and communicate meaningful measures related to demand and performance and use the information in its decision-making process.

The MGT report included 123 recommendations, including 107 for APD, 8 for the PSEM, 7 for the OPM, and 1 for the City Manager's Office.

OBJECTIVE AND SCOPE

Our objective was to confirm whether, and to what degree, APD management has implemented 15 key recommendations from the 2008 Operations audit. The audit scope includes the steps taken by APD since 2008 to implement the selected recommendations.

WHAT WE FOUND

We found that APD management implemented 10 of the 15 recommendations we selected for the follow up, and implementation of 3 additional recommendations is underway. For the two remaining recommendations, APD management determined that the partial concurrence in the original report should be changed to "does not concur."

We appreciate the cooperation and assistance we received from APD staff during this audit.

Kenneth J. Mory, City Auditor

BACKGROUND

In 2007, OCA contracted with MGT of America, Inc. (MGT) to assess public safety operations in the Austin Police Department (APD), Office of the Police Monitor (OPM), and Public Safety and Emergency Management (PSEM) Department.

The main themes of the findings were that APD should:

- organize its units and divisions based on a common mission;
- improve coordination, cooperation, and communication with other police operations groups as well as external stakeholders; and
- improve efforts to establish, track, and communicate meaningful measures related to demand and performance and use the information in its decision-making process.

The MGT report included 123 recommendations, including 107 for APD, 8 for PSEM, 7 for OPM, and 1 for the City Manager's Office.

OBJECTIVES, SCOPE, AND METHODOLOGY

The Police Operations follow-up audit was conducted as part of the Office of City Auditor's FY 2011 Strategic Audit Plan, as presented to the City Council Audit and Finance Committee.

Objectives

Our objective was to confirm whether, and to what degree, APD management has implemented selected recommendations from the 2008 Operations audit.

Scope

The audit scope includes the steps taken by APD since 2008 to implement recommendations to APD selected from the MGT report.

Methodology

To accomplish our audit objectives, we performed the following steps:

- Used a risk-based judgmental sampling process to select 15 recommendations from the MGT report;
- Interviewed APD staff;
- Reviewed documentation supporting implementation status;
- Performed sample testing to verify the testimony and documentation provided; and
- Considered risks of fraud, waste, and abuse.

AUDIT RESULTS

We reviewed 15 of 107 recommendations addressed to Austin Police Department. Exhibit 1 shows the status of 13 recommendations reviewed. Exhibit 2 shows that APD management did not concur with the remaining 2 recommendations.

Finding 1: APD management implemented 10 of 15 recommendations selected for review and implementation of 3 additional recommendations is underway.

**Exhibit 1
Verified Status of Selected Recommendations**

RECOMMENDATIONS/APD Response	Status Verified by Auditor As of October 2011
3-4 Develop a formal process for analyzing and correcting training deficiencies identified in Internal Affairs Division investigations and document this process in the Austin Police Department's policies and procedures. <i>APD Response: Concur</i>	IMPLEMENTED
3-5 Provide a more accessible link to the Internal Affairs Division through the Austin Police Department website. <i>APD Response: Concur</i>	IMPLEMENTED
3-10 Amend Austin Police Department policy to establish a lateral entry program. <i>APD Response: Concur</i>	IMPLEMENTED
4-1 Establish clear and consistent directions regarding the duties of corporals when a sergeant is on and off duty. Corporals should be assigned to patrol cars and actively patrolling and responding to calls when sergeants are on duty. <i>APD Response: Partial Concur</i>	IMPLEMENTED
5-9 Reorganize the Violent Crimes sections to include only those units that actually investigate violent crimes and create an After Hours Investigators Unit to serve as "first responders." <i>APD Response: Concur</i>	IMPLEMENTED WITH ALTERNATIVE SOLUTION - <i>APD expanded hours of operations in lieu of creating a separate unit.</i>
5-27 Merge the Major Crimes Task Force with the Gang Suppression Unit. <i>APD Response: Partial Concur</i>	IMPLEMENTED
5-29 Conduct a fee study and set rates for special event coverage that accurately reflect the city's costs; and increase the minimum hours paid to officers for working these events. <i>APD Response: Concur</i>	IMPLEMENTED
5-46 Conduct a workload study to determine appropriate staffing levels for all investigative units of the Investigations Bureau as well as the area commands' detective units. <i>APD Response: Concur</i>	IMPLEMENTED
6-4 Develop a budgeting process that obtains input from department managers and provides them with training needed to conduct proper budget oversight. <i>APD Response: Concur</i>	IMPLEMENTED
6-5 Control overtime costs by improving budgeting and monitoring of expenditures and implement accounting procedures to ensure all billable overtime is reimbursed. <i>APD Response: Concur</i>	IMPLEMENTED

RECOMMENDATIONS/APD Response (Cont'd)	Status Verified by Auditor As of October 2011
4-8 Retrofit new patrol vehicles with cages that extend across the entire seat. <i>APD Response: Concur</i>	UNDERWAY – Only 91 vehicles (out of 444) or 20% are left still in half cage. The new target for completion is June 2011.
4-9 Assemble a task force to consider and recommend ways to reduce the amount of time patrol officers spend on transporting offenders. <i>APD Response: Concur</i>	UNDERWAY – APD management implemented the general recommendation and plans to implement an additional step next year.
4-10 Modify the CAD system’s programming to ensure that more than one unit is automatically dispatched for all Priority 1 events. <i>APD Response: Concur</i>	UNDERWAY – APD revised the procedures to standardize dispatch for priority one calls, but CAD dispatch system is not automated at this time.

SOURCE: OCA analysis of implementation status

Finding 2: APD management decided not to implement the remaining two recommendations and instead maintain the current practices.

In the original 2008 report, MGT recommended that APD management should modify the mission of the Fugitive Apprehension Unit. APD management originally expressed partial concurrence with the recommendation. However, APD later determined that the sex offenders, domestic violence suspects and gang members/organized criminals need the focused expertise of the detectives in the Units that investigate those crimes. APD management also stated that the creation of the department's "Top Offender" list in 2010 has streamlined the focus of Fugitive Apprehension so they are arresting the most serious of criminals as quickly as possible.

MGT also recommended that APD management should “Eliminate the Crisis Intervention Unit (CIU) and assign its staff and responsibilities to the Patrol Bureau.” APD management stated that the original “partial concurrence” focused on assigning Mental Health Officer responsibilities to the Patrol Bureau staff through training. However, APD management believes that the benefits provided by the ongoing centralized staffing of the CIU continues to be of value to the department, and therefore they no longer concur with eliminating the Unit.

**Exhibit 2
APD Management No Longer Concurs with Two Remaining Recommendations.**

RECOMMENDATIONS/APD Response	Status Verified by Auditor As of October 2011
5-10 Modify the mission of the Fugitive Apprehension Unit to include researching and monitoring individuals currently tracked by the Domestic Violence Emergency Response Team, Sex Offender Apprehension and Response and Career Criminal units. <i>APD Response: Partial Concur</i>	DOES NOT CONCUR
5-13 Eliminate the Crisis Intervention Unit (CIU) and assign its staff and responsibilities to the Patrol Bureau. <i>APD Response: Partial Concur</i>	DOES NOT CONCUR

SOURCE: OCA analysis of implementation status