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MEMORANDUM

DATE: September 28, 2004

TO: Metropolitan King County Councilmembers

FROM: Cheryle A. Broom, County Auditor

SUBJECT: Performance Audit of the King County Sheriff's Office

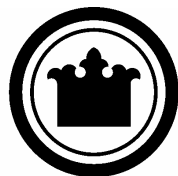
Attached for your review is the report of our Performance Audit of the Sheriff's Office (KCSO). The goals of phase one of this audit were to evaluate the Sheriff's Office's patrol staffing, overtime and cost recovery models to determine if they are appropriately designed and managed, and if opportunities exist for improvements or cost savings. Phase two will be completed in 2005 and will include a more detailed analysis of the KCSO's contract cost recovery model and the allocation of its services and resources by geographic area.

The general audit conclusions were:

- The Sheriff's Office has taken appropriate steps to respond to the impact that city incorporations and annexations have had on its patrol operations, through its reduction in unincorporated staffing and use of a reasonably designed contract cost recovery model.
- Management of patrol operations is consistent with traditional practices, but not with more contemporary, strategic approaches that link staffing needs with workload demands and performance or policy objectives.
- The Sheriff's Office is employing contemporary practices in the areas of response management and crime analysis, and to some extent has begun to apply community and problem oriented policing practices that have been shown to reduce crime.
- Oversight of patrol overtime has improved since our 2000 Management Audit of Sheriff's Overtime, and patrol overtime use has decreased. However, its oversight capabilities should be further improved, and staffing and overtime use could be more strategic.
- Cost savings of up to \$120,000 annually are possible if limits are placed on comp time. Additional savings are possible if the Sheriff's Office modifies its approach to relief staffing.

The Sheriff's Office concurs or partially concurs with the report's seven audit recommendations. Their official response is included as an appendix. The Auditor's Office sincerely appreciates the cooperation received from the Sheriff's Office management and staff.

PERFORMANCE AUDIT
KING COUNTY SHERIFF'S
OFFICE



King County

Presented to
the Metropolitan King County Council
Labor, Operations & Technology Committee
by the
County Auditor's Office

Cheryle A. Broom, King County Auditor
Elizabeth DuBois, Principal Management Auditor
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Report No. 2004-06
September 28, 2004

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We conduct audits and studies that identify and recommend ways to improve accountability, performance, and efficiency of county government.

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through independent audits and other studies regarding the performance and efficiency of agencies and programs, compliance with mandates, and integrity of financial management systems. The office reports the results of each audit or study to the Metropolitan King County Council.

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EXECUTIVE SUMMARY

Introduction

This performance audit of the King County Sheriff's Office (KCSO) was part of the King County Auditor's 2004 work program, as approved by the Metropolitan King County Council. The request was a result of council's questions that have arisen in light of the county's current expense fund shortfalls regarding the cost and extent of services provided by the Sheriff's Office and questions about its management of overtime expenditures. This report represents the first phase of this audit; the second phase will be completed in early 2005.

Scope and Objectives

Audit Evaluated Staffing, Overtime, and Contract Cost Model

The scope of phase one of this audit was to evaluate the Sheriff's Office's patrol staffing, overtime and cost recovery models to determine if they are appropriately designed and managed, and whether opportunities exist for improvements or cost savings. Our evaluations focused on answering the following questions:

1. How has the KCSO's budget changed in recent years and how have its costs and patrol workload been impacted by city incorporations and annexations?
2. Does the contract cost recovery model appear to have a reasonable design?
3. How has the Sheriff's Office been performing according to its stated goals and objectives?
4. How effectively is the Sheriff's Office managing patrol operations?

We also reviewed patrol performance in the context of the Sheriff's Offices overall goals and objectives and best practices in law enforcement.

**KCSO Responded
Appropriately to
Changes in Patrol
Workload**

General Conclusions

In recent years, the Sheriff's Office has experienced considerable changes in the population and areas it serves, changes that have impacted the workload of its unincorporated patrol operations. We found that the Sheriff's Office has taken appropriate steps to adjust to these changes by reducing the resources it dedicates to unincorporated patrol, and by utilizing a contract cost recovery model that has a reasonable design as well as benefits for both King County and the contract cities.

The Sheriff's Office has also developed a sound framework on which to build future performance measurement and reporting efforts. The KCSO could improve these efforts by clarifying the connection between the activities reported and its overall goals, and by developing outcome measures that are better indicators of effectiveness.

**More Strategic
Approach to Patrol
Management Is
Needed**

We found that the approach the Sheriff's Office uses to manage its unincorporated patrol staffing is consistent with traditional patrol practices, and that it is employing more contemporary practices in the areas of response management and crime analysis. However, more strategic approaches to deploying patrol resources and using them to reduce crime have come to represent current best practices in recent years, and these are not being implemented systematically by the Sheriff's Office. The KCSO could improve its patrol management if its staffing model was more systematically and objectively linked to workload demands and to strategic operational goals.

**Overtime Management
Has Improved;
However, It Should Be
More Strategic**

Finally, we found that the Sheriff's Office has noticeably improved its management and oversight of patrol operations overtime since our 2000 Management Audit of Sheriff's Overtime, and that patrol overtime use has been declining. Nevertheless, our analysis indicates that the current combination

of staffing and overtime used by the KCSO is based on historical staffing levels, rather than on a specific policy or operational goals with regard to efficiency or cost-effectiveness. Our analysis further shows that the costs of overtime are substantially less than hiring staff to provide coverage. These findings suggest that the Sheriff's Office should analyze its current staffing levels and overtime use and identify a combination of the two that maximizes cost-effectiveness and is consistent with officer safety considerations.

Summary of Findings and Recommendations

Budget Trends

Most Budget Growth Due to Increase in Revenue Backed Contracts

Our analysis of expenditure trends in the Sheriff's Office budget shows that while its overall budget and expenditures have grown substantially, about half of this growth is due to the increase in revenue-backed staff and services provided to cities and other entities. Between 1997 and 2003, its expenditures rose 55 percent, from about \$64 million to \$99 million, with revenue-backed contract staff and services accounting for most of the growth. The net cost of KCSO services to the county's current expense fund (CX), after accounting for contract revenues, increased by about \$12 million during this same time period, from \$44 to \$56 million. Increases in inflation and employee salary and benefit costs over the eight-year period can explain the remainder of this increase.

Workload and Staffing

Unincorporated Area Worked Has Declined

Sheriff's Office workload has been decreasing in recent years, as defined by volumes of "dispatched calls for service" (911 calls that require police assistance). Between 1998 and 2003, the Sheriff's Office experienced an eight percent decline in the number of dispatched calls for service. The unincorporated areas experienced a larger decline of approximately 12 percent,

while dispatched calls dropped by three percent in the contract cities.

Overall, the number of staff in the Sheriff's Office who are CX-funded increased 19 percent between 1997 and 2002, with nearly all of the growth occurring among staff working for the contract cities and other contract programs. CX staffing that is directly funded by the county (excluding the contracts) has remained essentially unchanged.

**KCSO Reduced
Unincorporated Area
Staffing Consistent
With Workload
Declines**

We reviewed unincorporated areas staffing in light of the recent declines in population, crime rates, and workload mentioned above, and found that the Sheriff's Office has reduced staffing accordingly. The number of 911 calls that officers responded to dropped by 12 percent between 1998 and 2003, and unincorporated area staffing was reduced by approximately 10 percent.

**Contracting Approach
Provides Benefits to
County and Cities**

Contract Services and Cost Recovery Model

We found that the contract cost recovery model uses a reasonable approach to allocating and recovering the costs of providing contract services. The contracting approach offers a variety of ways that cities can contract for patrol and other services, and allows both the cities and the county to operate more cost-effectively by leveraging each other's patrol resources. We will be conducting a more in-depth review of the model and its cost allocation methodology during the second phase of this project.

Overall KCSO Performance

The Sheriff's Office has taken some notable steps to monitor and report on its performance, as demonstrated by the goals and measures included in its business plans, annual reports, and contract city Service Effort and Accomplishment Reports. Much

useful information exists in these reports about the activities and initiatives underway; however, the limited amount of outcome measures and information on effectiveness make it difficult to get a clear understanding of how the Sheriff's Office is performing in terms of achieving outcomes or operational efficiencies. To more effectively monitor, improve, and report on its performance, the KCSO should clarify the relationship between the activities reported and its overall goals, and develop outcome measures that are better indicators of effectiveness.

**Patrol Management
Consistent With
Traditional Practices,
but Could Be More
Strategic**

Patrol Management and Performance

We found that the approach the Sheriff's Office uses to manage its unincorporated patrol staffing is consistent with traditional patrol practices, and that it is employing more contemporary practices in the areas of response management and crime analysis. However, more strategic approaches to deploying patrol resources and using them to reduce crime have come to represent current best practices in recent years. While the Sheriff's Office used a fairly comprehensive approach to evaluate the factors that impact its staffing needs, their patrol staffing plan was not connected in an objective or systematic way to the factors identified or to operational goals for patrol. This limits the KCSO's ability to determine how its patrol resources are being utilized, what level of service is being provided, and whether staffing levels are adequate to meet its operational objectives.

**Implementation of
More contemporary
Practices Has Not Been
Consistent**

Some more progressive practices, such as establishing expectations for workload and performance, and allocating staff to achieve defined objectives to reduce crime, are being carried out by individual managers across the Sheriff's Office. However, they are not being implemented or monitored in a systematic way across the department. The KCSO could improve its ability to effectively manage overall patrol resources if it used a staffing model that was more systematically and objectively linked to

workload demands, defined operational goals for patrol, and allocated resources towards achieving these goals.

**Patrol Overtime
Management Has
Improved, but Could be
Strengthened Further**

Patrol Staffing Costs and Overtime Management

Finally, we found that the Sheriff's Office has noticeably improved its management and oversight of patrol operations overtime since our 2000 Management Audit of Sheriff's Overtime, and that patrol overtime use has declined over the last five years. Nevertheless, additional improvements are needed to strengthen the effectiveness of its oversight.

In addition, our analysis shows that the current combination of staffing and overtime used by the KCSO is based on historical staffing levels, rather than on a specific policy or operational goals with regard to efficiency or cost-effectiveness. Our analysis further shows that the costs of overtime are substantially less than hiring staff to provide coverage. These findings suggest that the Sheriff's Office should analyze its current staffing levels and overtime use and identify a combination of the two that maximizes cost-effectiveness and is consistent with operational objectives and health and safety considerations.

**Cost Savings Are
Possible if Limits Are
Placed on Comp Time**

In addition, our analysis shows that compensatory (comp) time is more expensive than overtime or hiring additional staff, and has relatively few controls on it. If limits are placed on how comp time is earned and managed, the Sheriff's Office could save between approximately \$27,000 and \$120,000 annually. Additional savings may be possible in the area of relief staff management, but face some operational challenges.

Summary of Sheriff's Office's Response

The Sheriff's Office concurs or partially concurs with each of the audit's recommendations, and indicates that it plans to implement many of the recommendations as it begins its

Operational Master Plan project and revision of its agency goals and objectives. The KCSO included a partial concurrence in the instances where the audit's proposed timelines for implementation were likely too optimistic to complete with existing resources.

Summary of Auditor's Comments

We understand that the Sheriff's Office concurs in principal to our findings and recommendations, and believe that their response to our timeline proposals is reasonable. We plan to incorporate their revised timelines into our project follow-up schedule.

Acknowledgement

We would like to sincerely thank the management and staff of the Sheriff's Office, particularly Field Operations and Technical Services, for their cooperation and willingness to dedicate their time to assist us with this audit. We look forward to working with them through the second phase of this audit.

1 INTRODUCTION

OVERVIEW

This performance audit of the King County Sheriff's Office (KCSO) was requested as part of the King County Auditor's 2004 work program, as approved by the Metropolitan King County Council. The request was a result of council's questions about the cost and extent of services provided by the Sheriff's Office in light of the county's ongoing current expense fund shortfalls, as well as questions about the KCSO's management of overtime expenditures.

Scope and Objectives

The scope of phase one of this audit was to evaluate the Sheriff's Office's patrol staffing, overtime and cost recovery models to determine if they are appropriately designed and managed, and whether opportunities exist for improvements or cost savings. As part of this scope, we also reviewed patrol performance in the context of the Sheriff's Office' overall goals and objectives. This report addresses the following questions:

1. How has the KCSO's budget changed in recent years and how have its costs and workload been impacted by city incorporations and annexations?
2. Does the contract cost recovery model appear to have a reasonable design?
3. How has the Sheriff's Office been performing according to its stated goals and objectives?
4. How effectively is the Sheriff's Office managing patrol operations?
 - Is the KCSO's method of patrol management consistent with best practices in law enforcement?

- What methods does the KCSO use to determine the level of patrol resources it needs?
- Does the KCSO have strategic objectives for patrol operations and a means of monitoring patrol effectiveness?
- Is the KCSO using an efficient mix of staffing and overtime to cover its patrol posts and effectively managing overtime use?

The second phase of this audit will be completed in early 2005, and will include a more detailed analysis of the KCSO's contract cost recovery model and staffing and workload by geographic service delivery area.

Methodology

Budget and Workload

To answer our questions with regard to the KCSO's budget and workload changes, we used several information systems. Data from the county's ARMS system was used to analyze changes in the KCSO's budget and staffing between 1997 and 2003, and information from the IRIS (Incident Reporting and Investigation System) and CAD (Computer Automated Dispatch) systems were used to analyze historical workload.

For this first phase of the report, we carried out a review of the contract cost model that included checking to see that the total costs charged by the KCSO were being recovered consistent with the cost model, and working to understand the logic behind the model's design. We also reviewed accounting for the costs and revenues for the contract services. We will complete a more comprehensive review during the second phase of this audit

Overall Performance

To review the KCSO's overall performance and their monitoring and reporting efforts, we reviewed the KCSO's Five-Year Business Plans, annual reports, Service Efforts and

Accomplishment (SEA) reports, and other internal management documents. We evaluated their efforts by comparing their monitoring and reporting activities to practices and standards that have been established for effective government performance reporting. We also interviewed Field Operations management to determine what performance monitoring activities were being carried out with regard to patrol operations.

Patrol Management

We evaluated the Sheriff's Office's management of patrol staffing by developing a detailed understanding of its current patrol plan design and past practices that led to its development, reviewing relevant staffing policies, meeting with management staff at headquarters and in the precinct offices, and riding with patrol officers. We then reviewed national publications and studies to identify applicable standards and best practices for effective patrol officer management, and evaluated the KCSO's approach in light of these external findings and recommendations.

**Staffing and Overtime
Expenditures**

To evaluate the levels and costs of the staffing and overtime the KCSO is using to cover its patrol posts, we gathered detailed information on the KCSO's existing post staffing plan, overtime use, policies and procedures for staff management, collective bargaining agreements, and historical employee leave data (such as vacation, sick, and disability leave). With this information, we evaluated their post staffing plan and performed a binomial staffing analysis to learn if the Sheriff's Office is using a cost-effective mix of staff and overtime. We also reviewed the adequacy of the management controls in place to monitor overtime use and followed up the recommendations from our 2000 Sheriff's Office Overtime audit.

The following external resources were consulted as part of this performance audit:

- *King County Sheriff's Office: Crime Analysis Assessment Report*, Police Management Advisors, 1998.
- L.W. Sherman, D. Gottfredson, D. MacKenzie, *et. al.*, *Preventing Crime: What Works, What Doesn't, What's Promising*, 1997.
- M.J. Levine and J.T. McEwan, *Issues and Practices: Patrol Deployment*, National Institute of Justice, 1985.
- *Police Allocation Manual*, The Traffic Institute at Northwestern University, Center for Public Safety, 1993.
- Michael S. Scott, *Problem-Oriented Policing: Reflections on the First 20 Years*, U.S. Department of Justice: Office of Community Oriented Policing Services, 2000.
- T. McEwan, *et. al.*, *Call Management and Community Policing: A Guidebook for Law Enforcement*, Institute for Law and Justice, prepared for U.S. Department of Justice: Office of Community Oriented Policing Services, 2003.
- U.S. Governmental Accounting Standards Board (GASB), Service Efforts and Accomplishments reporting.

2 BUDGET OVERVIEW

Background

The King County Sheriff's Office currently provides law enforcement services to approximately 579,000 residents of incorporated and unincorporated King County, or about 32 percent of the county's total population. Of this number, approximately 357,000 live in unincorporated areas, and 222,000 are residents of the 13 incorporated cities that contract with the county for their police services. In addition to the cities, the KCSO also provides contract services to the Muckleshoot Tribe, Metro Transit Police, and to other contract entities such as the King County Housing Authority and local school districts.

Unincorporated County Population Levels Have Declined, but Population Served by KCSO Has Increased

Over the last decade, King County has experienced an increase in the number of city incorporations and annexations. As a result, the population of unincorporated King County, which has historically been the primary population served by the Sheriff's Office, has been declining. However, many of these newly incorporated cities have chosen to contract with the Sheriff's Office to provide their residents with police services, rather than start their own police departments.

The Sheriff's Office is organized into four separate divisions: Technical Services, Field Operations, Criminal Investigations, and Special Operations. Field Operations, which includes the KCSO's patrol deputies, is the largest of the four in terms of employees and expenditures, and is the subject of this performance audit. It represents 46 percent of the Sheriff's Office budget and 45 percent of its employees.

Field Operations divides its geographic territory into four areas called precincts, each of which has its own management team and typically operates independently of the others. These precincts include:

Precinct 2: Unincorporated King County north of I-90 and east of Lake Washington; cities of Sammamish, Kenmore, Woodinville, Carnation, North Bend, and Skykomish.

Precinct 3: Unincorporated county areas south of I-90 and east of Lake Washington and I-5; cities of Maple Valley, Covington, Newcastle, Beaux Arts Village, and the Muckleshoot reservation.

Precinct 4: Unincorporated county areas of North Highline, White Center, Skyway, and Vashon Island; cities of SeaTac and Burien.

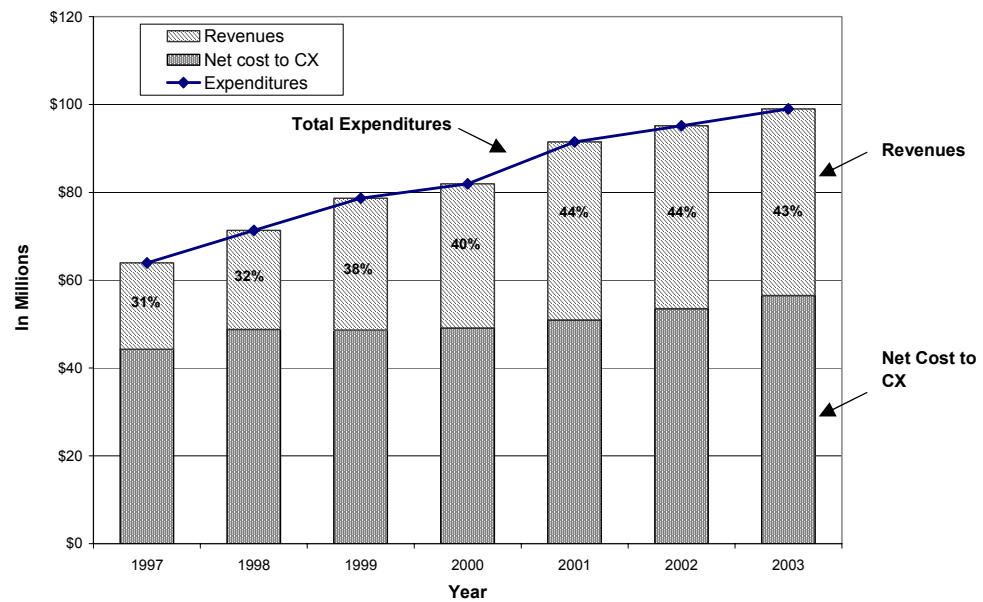
Precinct 5: City of Shoreline.

**Most of Budget
Increases Have Been
Revenue Backed by
Contracts**

Budget Trends

Our analysis of expenditure trends in the Sheriff's Office budget shows that its expenditures rose by \$35 million between 1997 and 2003, a 55 percent increase. Most of this increase is a result of the increased staffing and other services provided through the KCSO's contract services, which are revenue backed. The chart below shows the Sheriff's current expense fund (CX) expenditures over the last seven years. The bottom part of the bars represents the cost to the county (CX) and the top part represents contract revenues.

EXHIBIT A CX Expenditures and Revenues



SOURCE: ARMS reports.

As the chart shows, revenues from contracts grew faster than county expenditures, and the percentage of the Sheriff's budget covered by contract revenues increased from 31 to 43 percent. The net costs to the county after accounting for contract revenues rose more slowly, from \$44.2 million to \$56.5 million, an increase of 28 percent. Increases in inflation and employee salary and benefit costs can explain the remainder of the increase in the costs to the county.

Contract Services and Cost Recovery Model

Contracting Approach Provides Benefits to County and Cities

We found that the KCSO's contracting model is reasonably designed and has benefits for both the cities and the county. It offers a variety of ways that cities can contract for patrol and other specialized police services, tailoring their contract to their city's goals and budget. Providing a variety of services is not only attractive to the cities, but affords both the cities and the county the opportunity to take advantage of economies of scale.

For example, through “cross-dispatching” the county and cities can use each other’s patrol deputies to provide backup support to high priority calls. According to the Sheriff’s Office, this additional backup support has enabled the county to reduce unincorporated area staffing further than would have been otherwise possible, and cities have been able to keep their staffing levels lower as well. In addition, the contract cities also share a portion of the KCSO’s administrative and support costs, which has reduced the county’s net overhead costs.

**Model Has Reasonable
Design and Detailed
Accounting Approach**

We concluded that the cost recovery model takes a reasonable approach to allocating and recovering the costs of providing contract services. It uses a detailed methodology that appears to include the relevant costs, and it appears that the county is recovering its costs as calculated by the model. The model is also intended to ensure cost recovery in a way that avoids having either the cities or unincorporated King County subsidize the other. In addition, the model is directly tied to the KCSO’s budget and actual costs, and has a detailed accounting approach that allows it to accurately track the direct costs of providing contract services to the cities. These are elements expected in such a model.

Our conclusions were consistent with the findings of a recent consultant’s review of the contract services issued in 1999. The “Report on Regional-King County Public Safety Contract Services and Financial Review,” completed by Public Administration Service (PAS), found that the county had identified relevant costs in determining service costs, excluded costs that are not relevant to services contracts, and ensured that the costs of the contract services are accurate. The consultant also found that the county offered cities a large number of options to shape the services they contracted for and reduce their costs. Finally, the report found that the contract

system benefited both the county and the contract cities by allowing them to provide a higher level of service than they could without the contracts. The concerns raised in the report suggested that the model and cost-recovery process were somewhat complicated and possibly overly detailed, and the report authors recommended that they be simplified.

**Further Analysis of
Model Will Be
Completed in Phase
Two**

We will be completing a more in-depth review of the model and its cost allocation methodology during the second phase of this project.

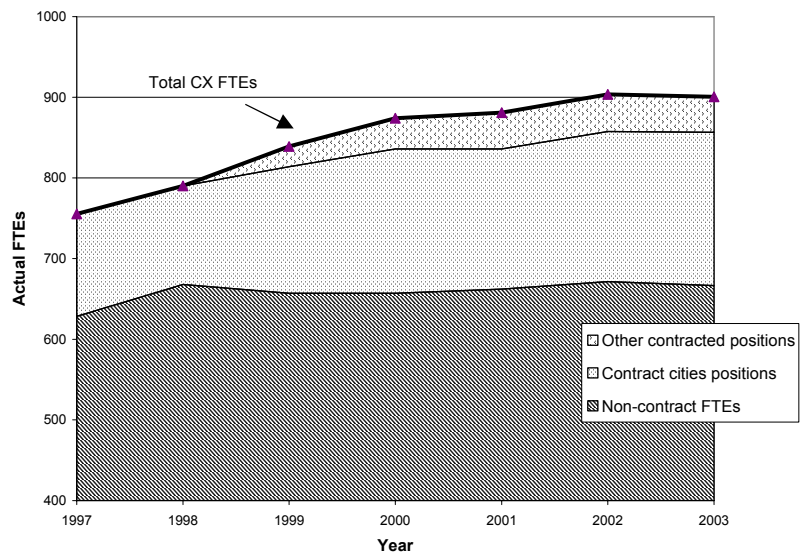
**Workload and Call
Severity Has Decreased
in Most Areas of the
County and Contract
Cities**

Workload and Staffing Trends

Overall, Sheriff's Office workload has been decreasing in recent years, as defined by volumes of "dispatched calls for service" (911 calls that require police assistance). Between 1998 and 2003, the Sheriff's Office experienced an eight percent decline in the number of dispatched calls for service. The unincorporated areas experienced a larger decline of approximately 12 percent, while dispatched calls dropped by three percent in the contract cities. (Some unincorporated areas and individual cities experienced increases.) Declines have also occurred in call priority (severity of the incident), which is consistent with the county's decreasing rate of violent crimes. In addition, response times have generally decreased (become shorter) in county areas, and increased (become longer) in the contract cities.

Overall, CX-funded staffing in the Sheriff's Office increased 19 percent between 1997 and 2002, with nearly all of the growth occurring among staff working for the contract cities and other contract programs. CX staffing, excluding the contracts, has remained relatively unchanged. The chart below shows these staffing changes.

EXHIBIT B Sheriff's Office CX Staffing



SOURCE: ARMS reports.

KCSO Reduced Unincorporated Staffing Consistent With Workload Declines

We reviewed unincorporated area staffing in light of the recent declines in population, crime rates, and workload in unincorporated areas and found that the Sheriff's Office has reduced patrol deputy staffing by approximately 10 percent. This is roughly what we would expect to see given that volumes of dispatched calls for service decreased by 12 percent.¹

Chapter 3 will discuss the results of our audit with regard to the KCSO's management and performance of patrol operations, and Chapter 4 will cover our analysis of staffing and overtime.

¹ We would not necessarily expect to see a one-for-one relationship between workload and staffing, because staffing levels are also based on other factors such as geographical coverage requirements.

3 MANAGEMENT AND PERFORMANCE

This chapter discusses our review of the Sheriff's Office's overall performance, and then moves on to our evaluation of the approaches used to manage patrol operations and determine its unincorporated patrol staffing needs. The primary questions addressed in this chapter are:

1. How has the Sheriff's Office been performing according to its own goals and objectives?
2. How effectively is the Sheriff's Office managing patrol operations?

Summary of Conclusions

Performance Management Is Underway, Yet More Information Is Needed on Outcomes and Impacts

Overall, we found that the Sheriff's Office has developed a sound framework on which to build future performance management and reporting efforts; however, its approach could be strengthened if it integrated its activities with overall goals and included more outcome information. Its approach to patrol management is consistent with more traditional patrol practices, and it is employing more contemporary techniques in some areas. However, its management could be more effective if it implemented the more systematic and strategic approaches that have come to represent best practices in recent years.

Patrol Overtime Management Has Improved; Potential Exists for Further Cost-Effectiveness

Our audit shows that the Sheriff's Office has noticeably improved its management and oversight of patrol operations overtime since our 2000 Management Audit of Sheriff's Overtime, and that overtime use has declined. However, the current combination of staffing and overtime used by the KCSO is not based on a specific policy or operational goals with regard to efficiency or effectiveness. Opportunities for improved cost-effectiveness may

exist if the Sheriff's Office adjusts the combination of staffing and overtime it uses, and changes its compensatory (comp) time policies and relief staffing practices.

OVERALL KCSO PERFORMANCE

Strategic Planning and Performance Measurement

To evaluate the KCSO's overall performance, we reviewed their mission and goal statements, and the performance information in its Five-Year Business Plan, annual reports, and the contract cities' Service Effort and Accomplishment (SEA) reports.²

As demonstrated by the regularly updated business plan, annual reports, and contract city SEA reports that have been published in recent years, the Sheriff's Office has taken a number of important steps to begin reporting on its performance. Our review shows that the KCSO has developed a clear mission statement, and the goals it selected are logically connected to that mission. In addition, it is tracking a substantial amount of workload and output measures that are related to its mission and reflect the KCSO's wide range of activities and responsibilities.

Current Reports Do Not Effectively Convey Progress or Results Achieved

Much useful information can be found in these reports about promising activities and various initiatives being pursued. However, it was not possible from the business plans and annual reports to get a clear understanding of how well the Sheriff's Office is performing in terms of results or cost-effectiveness. Little performance information exists that would inform the reader about how those activities are related to the KCSO's overall goals, what the outcomes or impacts have been, and whether sufficient progress is being made to achieve the goals.

² The idea of Service Effort and Accomplishment (SEA) reporting was initiated by the Governmental Accounting Standards Board (GASB). It is intended to supplement existing financial reporting requirements by providing a more complete picture of government performance.

**Objectives Are Needed
to Connect Activities
With Goals**

The primary reason for this is that the selected goals are somewhat broad, and specific objectives have not been identified that allow one to understand *how* the Sheriff's Office plans to accomplish the goals. The 2004 business plan has only a limited amount of information on how efforts are being tracked and progress measured. For example, one of the primary goals is to "reduce crime and the fear of crime." However, the KCSO has not developed objectives that might explain how the activities and measures listed in the report are related to the primary goal. "Percent change in the crime rate" is one of the measures. But objectives or strategies are not in place that would indicate how the KCSO is planning to reduce the crime rate and how it will measure its impact. There is also no acknowledgement that many factors beyond the control of the Sheriff's Office can affect the crime rate, so it is possible that the crime rate could go up despite their best efforts.

**Goals and Objectives
Should Be Achievable
and Measurable**

In performance measurement, it is advisable to select goals and objectives that are within an agency's ability to achieve, so that progress towards meeting them can be monitored and activities adjusted as needed to improve effectiveness and accountability. In this case, the Sheriff's Office could improve its ability to manage performance by selecting interim outcome objectives and measures that *contribute to* a reduction in crime, are directly related to its activities, and are within its control. Some hypothetical examples based on current Sheriff's Office activities are:

- Increase arrest rates of the "Top 10 Offenders" program by 2 percent
- Reduce auto thefts by 5 percent this year
- Reduce drug crime rates in Crime Free Multi Unit Housing (CFMUH) by 15 percent

In addition to being more specific, these objectives also indicate a way of measuring progress (such as arrest rates), and ideally would include specific targets for improvement (e.g., reducing auto theft rates by 5 percent) and timelines for accomplishing them. Again, these are only examples; the objectives and measures selected should be integrated with the KCSO's strategic initiatives and be representative indicators of the initiatives' degree of success.

**Measures Should Track
Not Only Activities, but
Also Effectiveness and
Outcomes**

For its 2005 Business Plan, the Sheriff's Office has drafted some potential effectiveness and efficiency measures for each division of the Sheriff's Office, which show that the Sheriff's Office is on the right track to improving its performance reporting and overall strategic oversight of its operations. In addition to linking these measures with higher level objectives, they could be improved if they were more *outcome* oriented. For example, tracking an effectiveness measure like "reduction in CFMUH crime" would provide important outcome information, whereas tracking the number of apartment complexes participating in the program only provides information on activity levels or outputs.

**Performance Reporting
Is Underway in Some
Contract Cities and
Precincts**

Worthy examples of performance reporting can be found in some of the contract city Service Effort and Accomplishment reports (SEAs). While these reports typically include a large amount of activity and "output" data and general data on crime trends, several of them also discuss objectives the police departments have been pursuing. Examples of these include strategies to reduce traffic accidents or school bullying, and then present data to demonstrate the progress made in these areas. As another example, in its "2003 Report on Service," Precinct 4 has begun to report on the unincorporated North Highline area as if it were one of its contract cities, presenting the same activity and outcome information that it does for SeaTac and Burien. These are good examples of performance reporting and of proactive

management that identifies strategic objectives, focuses staff and resources on achieving them, and monitors their progress.

Customer Satisfaction Survey

Most Citizens Satisfied With KCSO's Performance

The Sheriff's Office's survey of citizens for their satisfaction with its staff and services is also a good effort to solicit performance feedback and to provide a more complete picture of its performance. These surveys were performed in 1998 and 2001 by an outside consultant of citizens from unincorporated county areas and contract cities. The results of the 2001 survey indicated general overall satisfaction with the county's police services, with 63 percent giving the KCSO a rating of good or excellent. The KCSO is planning a third survey for the fall of 2004. With the completion of the upcoming survey, the Sheriff's Office will have a series of historical benchmarks to further compare and evaluate customer satisfaction.

Community Policing

Community Policing Activities Are Occurring and Impacts Should Be Monitored

One of the Sheriff's Office's three main goals is to "Commit to Community Policing," a somewhat new approach to law enforcement that supports more involvement with the community and requires a more proactive approach to addressing the causes of crime. Our review of patrol staffing and operations found that efforts to adopt and implement best practices with regard to community and problem oriented policing methods are occurring, but have not been reported on prior to 2004. Information and data exist that the Sheriff's Office could be tracking, such as the impacts of its "problem solving projects" that are being carried out by patrol officers, its citizen academies, and activities of unincorporated area storefronts. Some of these have since been included in the draft 2005 Business Plan. However, further opportunities exist for more strategic direction and performance reporting in this area, and are discussed in more detail later in this chapter.

PATROL MANAGEMENT AND PERFORMANCE

To address our objective of evaluating the design and management of the Sheriff's Office's patrol staffing model, we asked the following questions:

1. What methods does the KCSO use to determine the level of patrol resources it needs?
2. How does the KCSO monitor patrol effectiveness?
3. Is the KCSO's method of patrol management consistent with best practices in law enforcement?

**Management Approach
Uses Traditional
Methods, but Should
Be More Systematic
and Goal-Oriented**

We found that the Sheriff's Office is employing a combination of traditional approaches and more contemporary practices in its management of patrol staffing. In recent years, more proactive, strategically oriented approaches to patrol management, resource allocation, and crime prevention, have come to represent prevailing best practices. The Sheriff's Office could improve its ability to plan, allocate and manage its patrol resources if it more clearly defined its operational objectives and expectations with regard to patrol activity, and more closely monitored information on patrol resource utilization and the effectiveness of its activities. While the Sheriff's Office has shifted its approach in this direction, efforts are not occurring consistently throughout patrol operations.

Patrol Staffing***Best Practice: Systematic Resource Allocation and Planning*****Industry Standards for
Patrol Staffing Do Not
Exist**

To evaluate the approach used by the Sheriff's Office to determine its staffing needs, we reviewed law enforcement research on best practices for effective patrol management. The results show that standard methodologies, or measures of performance, do not exist for setting police staffing levels. This is because unique agency policy goals and crime characteristics create the need for different staffing plans.

“Response time,” the length of time it takes for police to respond to a call for assistance, used to be the primary measure of performance around which police departments based their staffing. In recent years however, research has shown that getting police to the scene of a crime as quickly as possible is only effective at catching a perpetrator or reducing crime in a very small number of cases, and that adding large numbers of officers to bring response times down by seconds or a couple of minutes was not cost effective. The law enforcement field has since moved away from basing staffing solely on response time.³

Systematic, Objective Data Is Still Necessary

However, patrol staffing studies continue to recommend that police departments base their staffing plans on systematic, objective data because they still need workload and performance criteria for determining their staffing needs. Such information informs management about how its staff resources are being utilized, whether they are allocated appropriately to meet objectives, and how workload or operational changes will affect resource needs and performance.⁴ It provides management with:

- More information for planning and decision making and greater control over the allocation of patrol resources.
- Added confidence that patrol resources are being directed to where they are most needed.
- Improved ability to focus on areas for improving effectiveness.
- Ability to understand and substantiate effects of potential operational or budgetary changes.

³ T. McEwan, *et. al.*, *Call Management and Community Policing: A Guidebook for Law Enforcement*, Institute for Law and Justice, February 2003, p. 6.

⁴ M.J. Levine and J.T. McEwen, *Issues and Practices: Patrol Deployment*, National Institute of Justice, 1985, pp.3-5.

**Standard Industry
Staffing Models Do Not
Exist**

Law enforcement agencies typically have unique characteristics and different operational objectives, so industry “standards” with regard to determining staffing levels and performance measures do not exist. However, as is common to many fields of work, certain information on workload is required for management to fully understand its staffing needs, allocate staff, and to monitor how resources are being utilized as conditions change. In addition, management should have information on how well staff are performing in the context of operational expectations and agency objectives. Listed below are some measures and types of information that are typically used to assess and plan patrol operations staffing needs.⁵

EXHIBIT C

Potential Patrol Workload Indicators and Measures

Patrol Workload and Activity	Effectiveness and Performance
Activity levels per officer (calls for service and self-initiated activity)	Officer safety indicators
Geographic coverage area	Response time targets for <i>high priority</i> calls
Probability that all units will be busy (unavailable to respond to new calls)	Time available for self-initiated activities
Crime rates, types, patterns	Cases closed by patrol arrests
Time required to handle calls and carry out administrative work	
Amount of uncommitted time	

SOURCE: *Issues and Practices: Patrol Deployment*

**Staffing Models
Intended to Augment,
Not Replace
Professional Judgment**

It is important to note that the systematic, data-based staffing models recommended as best practices are intended to be just one of many tools used by managers to plan and allocate their staffing. These systems are not intended to *replace* professional judgment, but to *augment* and strengthen it by giving managers more information on which to base their decisions.

⁵ Ibid, pp. 13-14.

Patrol Staffing in the Sheriff's Office

Consistent with trends in the field, the Sheriff's Office has moved away from using response time as the basis for its patrol staffing, and now considers many different factors in its staffing decisions. When the KCSO developed its current staffing plan and "minimum staffing levels," it evaluated factors such as officer safety, volumes of 911 calls for police assistance, response time to priority calls, geographical coverage needs, and crime patterns and trends.

Geographical Coverage Requirements Are a Key Staffing Driver

Geography has an especially significant impact because the county's large coverage areas and limited roadways in rural areas impact response times and the ability of deputies to provide timely backup to emergency calls.⁶ Reductions in unincorporated patrol staffing have also increased the relative importance of staffing to adequately cover geographic areas and to provide adequate officer backup. In addition, recent city incorporations and annexations have left isolated pockets of land, or "islands," for which the Sheriff's Office must continue to provide police services. The fact that they are not physically contiguous with the rest of unincorporated county areas makes it more expensive to provide staffing coverage because law enforcement services must be provided even though the geographic area and workload may not be very large. The Sheriff's Office loses some of the economies of scale it gains in its larger geographic areas where deputies can leverage the backup provided by neighboring areas or contract cities.

⁶ KCSO policy requires that two officers must respond to emergency calls (those designated as priority "X" and "1," where there is an immediate or imminent threat of harm).

Approach Was Comprehensive, but Plan Not Systematically Connected to Staffing Drivers

When the current staffing plan was developed several years ago, the Sheriff's Office considered the workload factors discussed above, decided that "officer safety" and geographic coverage responsibilities should be the primary basis of the plan, and used judgment to determine what their post staffing needs were. While their review was fairly comprehensive in terms of the factors considered, and the rationale behind their staffing decisions understandable, their eventual patrol staffing plan was not connected in an objective or systematic way to the factors identified as the primary staffing drivers: *officer safety* and *geography*. "Response time" was not replaced with other objective measures of workload, as recommended by law enforcement best practices, and other operational or performance objectives were not established on which patrol staffing could be based. Additionally, the data from the KCSO's original staffing analysis was not retained or used to monitor or update staffing levels, and was not available for our staff to review. In this sense the KCSO is still using a more traditional approach to patrol resource management.⁷

KCSO Uses a Fixed Staffing Plan, Rather Than a "Model"

The method used by the Sheriff's Office to manage its patrol staffing can therefore be described as a fixed plan rather than a dynamic staffing "model," in the sense that staffing levels are not systematically tied to workload indicators or other operational objectives. While the KCSO collects data on most of the workload and performance data that are listed in Exhibit C, this information is not systematically used as the basis for its staffing levels.

⁷ M.J. Levine and T.J. McEwan, *Issues and Practices: Patrol Deployment*, National Institute of Justice, 1985, p.9.

Current Approach**Limits Ability To****Answer Key****Management Questions**

The fact that patrol staffing is not systematically connected to workload data or to concrete operational objectives complicates the KCSO's ability to answer the following questions from a strategic management perspective:

- How busy are patrol officers? Are increases occurring that may be impacting their performance or officer safety? Would decreases allow deputies to be shifted to another area in need?
- What level of service is being provided? How effectively is patrol operations carrying out its duties and meeting its objectives?
- Are staffing levels adequate to mitigate threats to officer safety?
- When should staffing be increased, reduced, or reallocated, and what would the impact be if this was done?

As a more specific example of the limitations of this approach, "officer safety" is one of the primary bases for current staffing levels. According to the Sheriff's Office, a critical factor for officer safety is the ability of a deputy responding to a high priority incident to get backup assistance from another deputy. How quickly this additional support arrives can depend on how far away the backup deputies are and whether they are busy.

**For Example, Absence
of Measure for "Officer
Safety" Limits KCSO's
Ability to Evaluate
Adequacy of Staffing
Levels**

However, the KCSO does not currently have a basis for evaluating how officer safety conditions vary with different staffing levels, what an appropriate staffing level should be to maximize officer safety, and whether current staffing levels are adequate. Targets for average backup response times, combined with other factors such as officer assault rates and the types of incidents typically encountered, could help the Sheriff's

Office more effectively monitor the adequacy of its staffing levels, and ground its staffing plan on more objective data.

Some challenges exist that could complicate the implementation of a performance target in this area. For example, establishing formal backup response targets could potentially raise a risk management concern because this could increase the county's risk of liability claims. In addition, the current collective bargaining process could potentially make it difficult to modify this target as needed. As an alternative, other measures could be identified that might serve as indicators of officer safety, such as the degree of compliance with the KCSO's policy that two officers are required to respond to high priority calls. If the Sheriff's Office continues to use "officer safety" as the basis for its staffing plan, it needs to identify a more systematic means of determining staffing level adequacy and consistency, especially in light of the ongoing changes in its service delivery environment.

Until approximately three years ago the KCSO was using a computer program called MPP (Managing Patrol Performance) that helped it project staffing needs according to factors such as volumes of calls for service, response time targets, and the amount of time the Sheriff's Office wanted patrol officers to have available for self-initiated activity. The program was used as a successful part of regular operations in Precinct 4, and our 2000 management audit recommended that the Sheriff's Office expand its use, which the KCSO concurred with. The ability of this program to produce staffing estimates and based not only on workload, but also on policy goals for performance and how patrol officers spend their time, was one of its strengths. The program was briefly expanded to all precincts; however, its use was discontinued because the KCSO felt the value it added was not worth the level of effort required to maintain it.

Some Precinct Managers and Supervisors Have Set Standards and Objectives

Since then, some managers and staff in the precincts have attempted to collect the same information they used to get through MPP, such as the amount of officer time required to cover 911 calls compared to the time available for self-initiated activities, so that they have a more complete understanding of the demands placed on their staff. This is reportedly labor intensive and difficult to accomplish without access to a program such as MPP. Others have implemented more progressive practices on their own. For example, some have defined expectations for workload and performance, established operational objectives such as reducing traffic accidents and school violence, and allocated resources to help achieve these objectives.

The absence of a structured approach to staffing, whether it is a complex computer program or just a systematic approach to monitoring a few significant workload and performance indicators, prevents the Sheriff's Office from documenting its staffing needs and demonstrating how patrol resources are being managed.

Patrol Operations Practices

Once we determine how the Sheriff's Office sets its staffing levels, we also wanted to look at how it is deploying those resources. We found that the Sheriff's Office employs some important best practices with regard to how its patrol deputies are utilized, and that it uses other approaches to make more cost-effective use of its staff resources.

Best Practice: Cost-Effective Response Management

Historically, most police departments responded to 911 calls by sending a police officer regardless of the reasons for the call or the urgency of the situation. However, in recent years the law enforcement field has begun to change the way it responds to

Prioritizing Calls and Adjusting Levels of Response Is Cost-Effective

calls, and best practices now show that adjusting police responses to match the nature of the call is a better use of resources than sending an officer to every call.⁸ Under such a system, each 911 call received is given a priority code that is based upon the urgency of the situation. For example, high priority classifications are given to calls where the threat of physical harm exists and an officer is required, and lower classifications are assigned to calls that may not require an officer. This approach is not only more cost-effective, but it is also intended to relieve patrol workload and free up additional officer time for self-initiated activities, such as those discussed in the following section on Patrol Effectiveness.

The KCSO Uses a Structured Call Response System

The Sheriff's Office uses such a structured call system. Each call is assigned a priority code based on its urgency and the type of response the Sheriff's Office will provide. High priority calls require, by KCSO policy, a more resource intensive response in the form of immediately dispatching two deputies to the scene. Calls that require police assistance but without the threat of physical harm only require one deputy, and can be delayed or "stacked" if needed until other higher priority calls or activities have been handled. In contrast, a caller reporting a minor theft that occurred several days ago will receive a lower priority and be referred to non-commissioned staff in the 911 Communications Center where a report will be taken.

Cross-Dispatching Between Districts Allows More Efficient Use of Resources

Cost-Effective Practice: Cross-Dispatching

Another area where the Sheriff's Office has helped the cost-effectiveness of its operations is in its patrol allocation and response practices. Deputies are assigned to specific areas called districts, for which they have primary responsibility to respond to calls. However, in more urban areas where the

⁸ T.J. McEwan, *et. al.*, *Call Management and Community Policing: A Guidebook for Law Enforcement*, Institute for Law and Justice, 2003, pp. 23-29.

districts are smaller, closer together, and have a high number of calls to respond to, the deputies assigned to the area as a whole typically share the workload among them. For example, on a given day one district might be extremely busy while the neighboring ones might be very slow. Instead of remaining only in their own districts, deputies in the less busy districts can take calls in the busier districts, which is a more efficient use of resources. This also occurs to a lesser extent in the larger, more rural districts, but the driving time often precludes this from being an effective option.

**Cross-Dispatching
Between the County
and Contract Cities
Benefits Both Parties**

As mentioned in Chapter 2, cross-dispatching is also a standard operational practice that occurs between the unincorporated county areas and the contract cities. The ability of county and city deputies to respond and provide backup to each other's calls increases the "pool" of staff resources available to an area or region at a given time and allows them to handle calls more efficient and timely. According to the Sheriff's Office, if the ability to cross-dispatch like this was not possible, both the county and contract cities would have to have additional patrol deputies to meet backup response needs.

It is worth noting here that if the Sheriff's Office had a systematic staffing model based on workload and operational objectives, such as providing backup support within a targeted range of time, it could more easily assess the impacts of changes in city contracts on their own staffing needs. For example, if a city decided to end its contract with the county, the KCSO could no longer count on those city deputies to respond or provide backup to county calls. Conversely, if a new contract city were added, the additional city staff available for cross-dispatching might enable the KCSO to re-allocate staff to another area of need. A staffing system based on workload and performance targets could enable the Sheriff's Office to accurately simulate the

effects of these changes and make more informed staffing decisions.

Patrol Effectiveness: Preventing and Reducing Crime

Best Practices: Community and Problem Oriented Policing

A Paradigm Shift Is Occurring in Law Enforcement Practices

Our review of best practices with regard to patrol's effectiveness at reducing and preventing crime found that "community" and "problem oriented" policing are promising sources of effective crime prevention methods.⁹ These philosophies represent an ongoing paradigm shift in law enforcement practices, from one that was traditionally "reactive" and focused on being ready to respond to incidents after they happen, to a proactive approach that supports more involvement with the community and works to reduce crime by identifying and focusing resources on the causes of crime and disorder.

Proactive Patrol Efforts Are More Effective at Reducing Crime Than Reactive Responses

An example is the shift away from using randomly deployed reactive police patrol units. It was previously believed that "police presence" was the most effective method of deterring crime, and that responding to 911 calls as quickly as possible was the most effective way to catch perpetrators and deter criminals. Recent research has concluded that this is not the case.^{10,11} Instead, proactive "directed" patrol efforts that focus their time and attention on addressing problem "hotspots" in a community, identifying and arresting repeat offenders, and targeting addresses with recurring crimes, are more effective in most cases at reducing crime and catching perpetrators than increasing the number and presence of police officers.

⁹ L.W. Sherman, D. Gottfredson, D. MacKenzie, et. al., *Preventing Crime: What Works, What Doesn't, What's Promising*, 1997.

¹⁰ M.J. Levine and T.J. McEwan, *Issues and Practices: Patrol Deployment*, National Institute of Justice, 1985, p.6.

¹¹ L.W. Sherman, D. Gottfredson, D. MacKenzie, et. al., *Preventing Crime: What Works, What Doesn't, What's Promising*, 1997.

Community and Problem Oriented Policing in the Sheriff's Office

Our review found that the Sheriff's Office has adopted a policy supporting community and problem oriented policing, and is undertaking some activities consistent with the best practices above. For example, rather than frequently moving deputies around from one area to another, all deputies are assigned to specific patrol "districts" within their precincts and are expected to become very knowledgeable about their unique crime patterns, community members, repeat offenders, and trouble spots.

The KCSO's "Problem Solving Projects" Are an Example of Directed Patrol Efforts

In addition, the KCSO's "problem solving projects" initiative is intended to encourage patrol deputies to proactively identify chronic crime and disorder problems, investigate their causes, and to propose steps to address them. Precinct management teams then select projects that they decide are worthwhile. This is a very different approach to addressing crime than the traditional reactive patrol model, and is consistent with the directed patrol efforts cited in the best practices research.

KCSO management in the precincts has begun to implement some of these practices, such as structuring patrol resources and efforts around meeting crime prevention objectives specific to their precinct's characteristics, and monitoring patrol's effectiveness at achieving those objectives. Some managers and deputies are also proactively using the CAD (Computer Automated Dispatch) Switchboard developed by the Crime Analysis Unit, a tool that allows them to independently research crime patterns in their areas and develop appropriate strategies.

**Implementation of
Problem Oriented
Policing Activities Is
Not Consistent**

Problem oriented policing efforts are not occurring consistently across the Sheriff's Office, however. Although new deputies receive training on problem solving projects as part of their new hire training, the degree to which problem solving projects are being implemented varies widely among the precincts. In some precincts, these projects are required of all deputies, while in others it is optional. A policy and procedure has been drafted that states the KCSO's support for community and problem oriented policing, and provides guidance on how to carry out problem solving projects. It is still in the draft stage and has not been distributed.

In the late 1990's, the Sheriff's Office undertook an initiative called Alternative Call Handling that was intended to free up additional deputy time for self-initiated community and problem oriented policing activities. Report writing responsibilities for more minor offenses were shifted from deputies to non-commissioned staff in the 911 Communications Center. While the KCSO currently has the data needed to determine the amount of time freed up by alternative call handling, and to determine how much deputy time is available for self-initiated activities, it is not currently tracking this information.

Best Practice: Access to Crime Data

The ability to analyze crime patterns is critical to the success of directed patrol and other crime prevention efforts because it allows law enforcement to effectively focus resources on specific individuals and locations and times where crime is occurring.¹² Consistent with best practices, the Sheriff's Office:

¹² M.J. Levine and T.J. McEwan, *Issues and Practices: Patrol Deployment*, National Institute of Justice, 1985, p.7.

**KCSO Is Implementing
Recommended Best
Practices**

- Has an extensive database based on information from the CAD system that captures critical data from every call for service and all deputy activities.
- Established a crime analysis unit responsible for collecting and analyzing crime data, and sending out information and bulletins to the precincts on identified crime patterns, criminal suspects, etc.
- Developed a computer website called the “CAD Switchboard” which enables staff throughout the Sheriff’s Office to independently research and identify crime patterns in their assigned areas.
- Implemented a “Top 10 Offenders” program that informs field staff of who their high priority offenders are.

**Crime Analysis
Important to Proactive
Crime Prevention
Efforts**

The availability of this information enables field managers to identify the patterns and sources of the crime problems in their areas and to be more proactive about directing their patrol efforts. This data collected on police activity also includes information such as dispatched call activity, response times, backup response time, and the time deputies spend on calls versus the time they have available. This information is necessary for determining how patrol resources are being utilized and how much time is available for the community and problem oriented policing activities described earlier in this chapter.

Conclusions

Strategic planning and performance measurement are becoming standard requirements for the public sector as the public demands more accountability for their governments’ use of resources. Most agencies, like the Sheriff’s Office, are facing the challenges of developing strategic plans and reporting mechanisms that can be used not only to report on activities, but also to strategically direct (or redirect) resources and improve

KCSO Uses Mix of Traditional and More Contemporary Practices

agency effectiveness. The KCSO's business plans, annual reports, and SEA reports provide a sound framework on which to build future performance monitoring and reporting efforts.

Our evaluation found that the Sheriff's Office is employing a combination of traditional approaches and more contemporary practices in its management of patrol staffing. It is in the process of shifting its orientation towards community and problem oriented policing. However, these activities are not yet being consistently implemented agency-wide, which limits their potential effectiveness.

More Systematic and Strategic Approach Is Needed

Overall, the Sheriff's Office could improve its management of patrol operations by employing a more systematic and strategic approach to determining staffing needs and allocating resources. This would strengthen the KCSO's planning capabilities as well as its ability to demonstrate to decision makers and the public whether it is using its patrol resources cost-effectively and achieving results.

RECOMMENDATION 1

The Sheriff's Office should develop performance objectives and outcome measures for its strategic goals. It should also develop objectives and measures for patrol that reflect overall KCSO goals, operational expectations, and best practices for reducing crime.

RECOMMENDATION 2

The Sheriff's Office should develop a more systematic method for establishing and monitoring its unincorporated patrol staffing needs. The method should incorporate objective data on workload demands and operational or performance objectives, and enable staffing information to be easily monitored and updated.

4 PATROL STAFFING COSTS AND OVERTIME MANAGEMENT

Introduction

A primary objective of this audit was to evaluate current overtime management practices for unincorporated patrol operations and determine whether opportunities exist for improvements or cost savings. Our analysis of overtime costs was performed in the context of the KCSO's existing staffing plan and current operations, as discussed in Chapter 3.

We focused on answering the following questions:

1. Is the Sheriff's Office using an efficient combination of staffing and overtime to cover its patrol posts?
2. Is it effectively managing overtime use?

Patrol Overtime Management Has Improved; However, KCSO Needs a More Strategic Approach to Staffing Coverage

We found that management controls over overtime have noticeably improved since the conclusion of our 2000 Management Audit of Sheriff's Overtime. Our analysis of patrol staffing and overtime shows that the Sheriff's Office's current combination of staffing and overtime is not based on a specific policy or operational goals, but rather on historical staffing levels. Our analysis further shows that the costs of overtime are substantially less than hiring staff to provide coverage. These findings suggest that the Sheriff's Office should take a more strategic approach to determining how to best provide staffing coverage for its patrol posts, one that balances the cost-effectiveness of using overtime with officer health and safety considerations.

Our analysis also found that compensatory (comp) time is more expensive than using overtime or hiring staff. It also has an

important impact on staffing operations, yet has relatively few controls on it. Several opportunities exist for cost savings in the area of comp time and staff relief management. If limits are placed on how comp time is earned and managed, the Sheriff's Office could save approximately \$120,000 a year. Some of these new limits would require changes to labor bargaining agreements, but one of them can be implemented immediately. Additional efficiencies are possible in the area of relief staff management but face some operational challenges. This chapter discusses these findings in detail.

Staffing and Overtime Costs

The Sheriff's Office has established certain fixed patrol posts on each shift that must always be staffed and which it calls its "minimum staffing levels." When a deputy is absent from one of these posts, the KCSO backfills the position with another deputy who has a choice between being paid overtime or earning compensatory (comp) time. Therefore, posts are typically covered by a combination of deputies working their regular shift, and others earning overtime or comp time.

Current Staffing Levels and Overtime Are Based on Historical Practices and Resource Levels

Our review found that the particular combination of deputy FTEs (full time equivalents) and overtime the KCSO is employing is not based on a specific policy or staffing approach, such as an analysis of cost-effective staffing alternatives, or an analysis of the amount of overtime they feel their patrol deputies are able to work. Instead, it is based on historical staffing practices and resource levels.

When the minimum patrol posts were developed, the KCSO calculated the requirements necessary to staff them, covered as many posts with staff as they were able to given their existing resources, and planned to cover the remainder with overtime. The result was a staffing plan that aimed to cover posts with

regular staff approximately 80 percent of the time, and to cover the remaining 20 percent of post hours with overtime. This 80 percent coverage “plan” was essentially the result of applying existing staffing levels to the posts they wanted to staff, rather than a specific policy decision as to what was the most efficient mix of staff or appropriate level of overtime use to have.

Overtime Costs Are Lower Than Costs of Regular Staffing

Within the framework of the current staffing plan, our analysis of staffing and overtime costs determined that overtime costs are substantially less than the cost of hiring additional staff. The reason why using overtime to cover posts is less expensive than hiring new staff is because deputies working overtime already have their assigned patrol cars, paid health benefits, and they are only paid for when they work (i.e., not for annual leave or furlough). These three cost advantages far outweigh the fact that deputies working overtime earn one and one-half times their regular pay.

This information is important because it means the Sheriff's Office should give a new emphasis to identifying the most cost-effective combination of staffing and backfill overtime possible to meet its post staffing needs. However, while using overtime is a less expensive way to cover patrol posts, there are clearly health, safety, and personnel issues that should be taken into account. For this reason, when evaluating the various policy alternatives to the current 80/20 percent plan, the Sheriff's Office should consider any potential risk management concerns or labor issues that might be raised if the amount of staffing and overtime used to cover staffing posts is changed.

Compensatory Time Costs

Another factor that affects staffing operations and costs is comp time. It adds some complexity to our previous discussion about selecting a cost-effective mix of staffing and overtime because

backfilling for comp time absences is more expensive than using either regular staffing or overtime. If the Sheriff's Office attempts to reduce costs by reducing staff and increasing the use of overtime (per the discussion in the previous section), and more employees begin taking comp time instead of overtime, costs will actually increase for the KCSO.

**Deputies Can Choose to
Accrue Comp Time
Hours or Earn Overtime
Pay**

Under the current collective bargaining agreement between the Sheriff's Office and the police officer's guild, deputies working extra hours have the option of being paid overtime or accruing comp time. If they choose overtime, they are paid at a time and half rate for each hour they work. If they chose comp time, they accrue one and a half hours for each hour they work. In many cases throughout the KCSO this does not result in an additional cost, but an exception exists among patrol officers who work minimum staffing posts. When one of these patrol officers decides to use their comp time, management must find another deputy to cover the post, and that deputy must typically work on overtime.¹³

**Backfilling for a Comp
Time Absence Is More
Expensive Than Paying
Overtime**

Backfilling a comp time absence with overtime results in an additional cost to the Sheriff's Office because instead of paying for one hour of overtime, it is now paying for an hour and a half of overtime. The costs will increase even further if the relief deputy elects to earn comp time for the extra hour and a half worked. Therefore our previous finding that overtime is a less costly way to cover posts than using full time deputies does not extend to comp time.

¹³ We are assuming that when a deputy takes comp time, the position is backfilled by a deputy working on overtime rather than straight time. We feel this is a reasonable assumption because reactive patrol staffing levels are currently set to meet staffing minimums only 80 percent of the time, and in many cases are not meeting this level of coverage. We are also not accounting for the fact that comp time costs increase even further when a deputy chooses to accrue comp time while backfilling for another deputy who is using comp time.

**Options Are Available
for Controlling Costs of
Comp Time**

We have identified several different ways the Sheriff's Office could potentially control or eliminate the cost impact of comp time. For example, if comp time were awarded on the basis of one hour earned for each hour worked, instead of 1.5 hours earned for each hour worked, comp time would not create additional costs and the Sheriff's Office could save approximately \$120,000 annually. This change would require a modification to the current collective bargaining agreement and thus would have to be negotiated with the deputies' labor union. Another option is to annually cash out accrued comp time balances on July 1st of each year, which the KCSO has the authority to do according to the current collective bargaining agreement. This would save approximately \$27,000 a year in patrol backfill overtime costs.¹⁴

Sheriff's Office management has expressed concerns regarding its legal liability under the Fair Labor Standards Act (FLSA) to compensate employees for comp time in an expeditious manner. This is why it has chosen to grant comp time "on demand" rather than require that it be scheduled well in advance. However, the Sheriff's Office could potentially address this concern if it exercised its authority to cash out comp time balances each year. In addition, an internal precedent for scheduling comp time exists: the collective bargaining agreement between the Sheriff's Office and staff in the Communications Center (non-sworn staff) currently includes the provision that comp time be scheduled and distributed throughout the year in a manner similar to annual leave. It is advisable for the Sheriff's Office to obtain an opinion on this issue from the Prosecuting Attorney's Office.

¹⁴ This figure is only for unincorporated patrol deputies, who are funded out of the CX fund.

**Unplanned Absences
Currently Covered by
Deputies in Same
Precinct****Relief Staffing**

As explained earlier in this report, when deputies who cover one of the KCSO's minimum staffing posts are absent from work, their positions must be backfilled by other deputies who are typically working overtime or earning comp time. When the absence is planned in advance, the position may be filled by deputies working in the same precinct or by deputies working in other precincts.¹⁵ For unplanned absences, such as to cover for someone who calls in sick, current practice is to extend the shift of a deputy who is already at work, or to request a deputy who is scheduled for the next shift to come in early. In these cases the deputy earns overtime or comp time hours and is typically from the same precinct.

As is typical of a post staffing environment, there will also be some days when a precinct actually has more people at work than they need to meet their minimum staffing levels. If these "extra" deputies (who are working their regular hours at regular pay) could be used by other precincts who find themselves short on staff due to an unplanned employee illness (and would otherwise use their own staff through overtime or comp time), there would be a cost savings.

However, this practice of one precinct sharing its "extra" deputies to backfill for unplanned absences in another precinct is not a regular practice in the Sheriff's Office. The KCSO tried this approach in the past and encountered a number of operational difficulties, primarily in the logistics and time required for shift supervisors to locate an available deputy and wait for them to arrive. This is more cumbersome and time consuming than simply extending the shift of one of their own precinct's deputies.

¹⁵ Overtime sign up sheets are posted one month in advance. Deputies in the "home" precinct get first option to sign up before the slots are opened up to deputies outside of the precinct.

Savings Are Possible If Staff Are Shared Across Precincts to Cover Unplanned Relief Needs

Sharing staff between precincts for unplanned backfill purposes could produce a substantial cost savings for the Sheriff's Office depending on the extent it could be implemented. Our staffing analysis shows that if the KCSO could share deputies up to one-half of the time that unplanned backfill staffing was needed, it could realize a cost savings of up to \$500,000 annually. This savings figure is probably at the upper range of what would be possible to achieve and is included here to provide an idea of its magnitude. The actual savings realized would depend on how frequently "extra" staff are available at the same time they are needed in another precinct, something that is difficult to accurately predict.¹⁶ However, the Sheriff's Office would reduce its costs even if this practice could be implemented occasionally or only between neighboring districts.

Sharing Relief Staff Could Impact Problem Oriented Policing Activities

Another factor that should be considered is the impact this practice may have on the problem oriented policing activities and crime prevention activities discussed in the previous chapter. While deputies filling in for an absence in an unfamiliar precinct may be able to cover routine patrol functions, they will probably not be able to perform more proactive policing activities. Also, if a precinct shared its "extra" staff on a routine basis, it would presumably not have the additional staff resources it needs to carry out proactive community policing activities.

This is a prime example of why it would be valuable for the Sheriff's Office to have clearly defined objectives for patrol operations and effectiveness, and a more systematic staffing approach that reflects those objectives. With such a policy framework and staffing tool, it could determine what portion of its patrol staffing resources are needed to meet ongoing workload demands, whether any deputies (or blocks of deputy time) could

¹⁶ We calculated this figure using binomial staffing analysis, a statistical approach that projects staffing needs based on mathematical probabilities.

be allocated to community policing activities, and what the impact on resource availability would be if unplanned relief sharing were implemented.

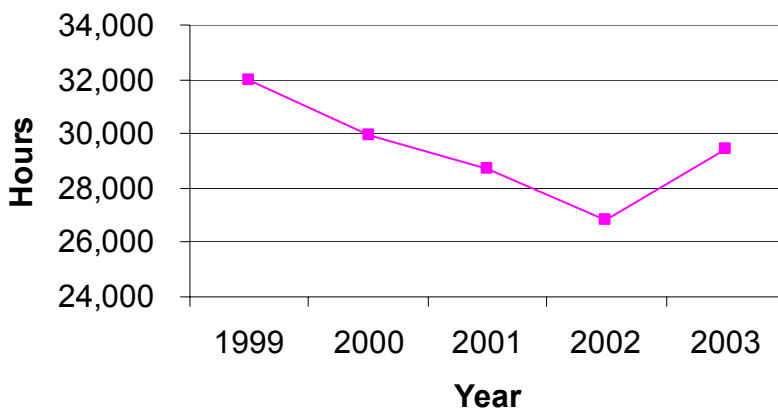
Overtime Management

The Sheriff's Office has improved its management of patrol officer overtime since our 2000 Management Audit of Sheriff's Overtime by implementing new management controls. Patrol overtime use has been steadily declining and precinct expenditures have remained within their budgets in most cases. However, some limitations remain that continue to impact the KCSO's ability to effectively manage overtime use.

Overtime Use Has Decreased

As is demonstrated in the chart below, overall overtime use in Field Operations decreased by eight percent between 1999 and 2003.

EXHIBIT D
Unincorporated Field Operations Overtime
1999 - 2003



SOURCE: ARMS and KCSO overtime reports.

This trend was consistent in all precincts with the exception of Precinct 4, which experienced a 70-percent increase in overtime

hours.¹⁷ Total overtime expenditures have increased by six percent despite the decline in hours worked, which can be explained by the increase in salary costs over the last five years.

**More Effective
Management Controls
Have Been Added**

Over the last several years the Sheriff's Office has implemented a number of management controls that have improved its ability to manage overtime, including:

- Holding precinct management accountable for keeping overtime expenditures within budget and requiring them to check overtime use on a regular basis.
- Making reporting changes that allow separate tracking of overtime worked in unincorporated areas from that worked in the contract cities.
- Developing a new "online" overtime management and tracking system that enables supervisors to easily view overtime requests, verify that the overtime was required, and approve or disapprove the request.
- Establishing monthly staffing plans in the precincts that are used to plan monthly staffing levels and overtime needs.

Some of these new measures are consistent with recommendations from our office's 2000 Management Audit of Sheriff's Overtime, while others were KCSO's initiatives. These are in addition to some effective overtime management measures the KCSO has had in place for a while, such as requiring that backfill overtime is allowed only for posts that require continuous staffing, and placing limits the number of deputies that can take annual leave at one time.

¹⁷ The one-time White Center Emphasis in 2003 accounts for about 20 percent of Precinct 4's overtime hours. Without it, Precinct 4's overtime hours increased about 50 percent and total unincorporated overtime decreased by 12.5 percent.

**Some Limitations
Continue to Impact
KCSO's Ability to
Proactively Manage
Overtime Use**

Certain limitations remain in the KCSO's ability to proactively manage overtime. Specifically, the tools used to track overtime record type of activity being performed by deputies on overtime, and not the original reasons the overtime was needed. For example, most of the overtime worked in patrol is classified as "backfill," "call out," or "shift extension," which describes the activity of the officer working the overtime, but not what initiated the need for overtime (e.g., vacation, sick leave, comp time, and training). In addition, the Sheriff's Office is not analyzing trends in the rates and types of its staff absences. This makes it difficult for the KCSO to understand the reasons behind changing trends in its overtime use, and prevents it from taking proactive steps to address undesirable trends.

In addition, the distinctions between some overtime categories are unclear and may be creating some reporting confusion. As an example, the amount of "call-out" overtime worked in Field Operations (overtime worked when deputies are called in to work on their days off) has increased substantially in the last five years and become a relatively large overtime driver, while "backfill" (overtime worked to cover minimum staffing posts) has decreased. Deputies can be "called out" on their day off to backfill for a staffing post, in which case their overtime could fall into either category. The instructions and policies are unclear in this regard, and for this reason the KCSO does not know whether a real change in activity is causing these trends or if overtime is simply being categorized differently.

This impacts the ability of the Sheriff's Office to effectively monitor the staffing and overtime it uses to cover its minimum staffing posts. Overtime expenditures for backfill purposes should be in line with its staff coverage analysis, as discussed earlier in this chapter, and verifying this is an important step in monitoring the accuracy of the staffing plan and its assumptions.

If some backfill overtime is being categorized as “call-out,” it will be necessary to correct this. Addressing these overtime reporting issues will further strengthen the KCSO’s oversight of its overtime expenditures.

RECOMMENDATION 3

The Sheriff’s Office should use binomial staffing analysis to assess the staffing levels and backfill overtime it currently uses to cover its minimum staffing posts, and select the most cost-effective combination. This policy target should reflect the least costly mix of staffing and overtime that can be achieved consistent with deputy safety and effectiveness considerations.

RECOMMENDATION 4

With regard to overtime management, the Sheriff’s Office should:

- Clarify the differences between overtime categories and improve its ability to track them separately.
- Monitor backfill overtime use to ensure it is consistent with the post staffing plan.
- Strengthen analytical efforts to identify causes of variations in overtime use.
- Update its overtime tracking policies and procedures accordingly.

RECOMMENDATION 5

The Sheriff’s Office should assess the potential for implementing the following options to control the staffing impact and costs of compensatory (comp) time:

- Grant comp time on the basis of one hour earned for each hour worked (1:1), instead of the current hour and a half for each hour worked (1:1.5).
- Cash out accrued comp time balances on July 1 of each year, per the collective bargaining agreement.
- Require comp time to be scheduled in advance and place limits on the number of comp time absences allowed per shift.

RECOMMENDATION 6

The Sheriff's Office should assess and identify those areas and circumstances where it would be feasible and cost-effective to share deputies between precincts for unplanned backfill purposes.

RECOMMENDATION 7

The KCSO should reassess its patrol staffing needs and current deployment plan, after addressing the following report recommendations:

- Identifying objectives and measures for patrol workload and performance (Rec. 1).
 - Developing a more systematic staffing method (Rec. 2).
 - Selecting a cost-effective combination of staffing and overtime (Rec. 4).
-

APPENDICES

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LIST OF RECOMMENDATIONS & IMPLEMENTATION SCHEDULE

Recommendation 1: The Sheriff's Office should develop performance objectives and outcome measures for its strategic goals. It should also develop objectives and measures for patrol that reflect overall KCSO goals, operational expectations, and best practices for reducing crime.

Implementation Date: July 31, 2005 (as part of 2006 Strategic Business Plan)

Estimate of Impact: Implementation will enable the Sheriff's Office to monitor progress towards meeting its strategic goals, and to evaluate the effectiveness of patrol operations.

Recommendation 2: The Sheriff's Office should develop a more systematic method for establishing and monitoring its unincorporated patrol staffing needs. The method should incorporate objective data on workload demands and operational or performance objectives, and enable staffing information to be easily monitored and updated.

Implementation Date: December 31, 2005

Estimate of Impact: Will improve accountability and provide more comprehensive management information on how patrol resources are utilized, if they are cost-effectively allocated and meeting performance objectives, and to what extent staffing needs are affected by external changes.

Recommendation 3: The Sheriff's Office should use binomial staffing analysis to assess the staffing levels and backfill overtime it currently uses to cover its minimum staffing posts, and select the most cost-effective combination. This policy target should reflect the least costly mix of staffing and overtime that can be achieved consistent with deputy safety and effectiveness considerations.

Implementation Date: April 1, 2005

Estimate of Impact: Fiscal savings is possible if KCSO decides to decrease staffing levels and increase use of backfill overtime.

Recommendation 4: With regard to overtime management, the Sheriff's Office should:

- Clarify the differences between overtime categories and improve its ability to track them separately.
- Monitor backfill overtime use to ensure it is consistent with the post staffing plan.
- Strengthen analytical efforts to identify causes of variations in overtime use.
- Update its overtime tracking policies and procedures accordingly.

Implementation Date: July 31, 2005

Estimate of Impact: Improved ability to monitor and control overtime use, and to ensure that backfill overtime use is consistent with patrol staffing plan.

LIST OF RECOMMENDATIONS & IMPLEMENTATION SCHEDULE (Continued)

Recommendation 5: The Sheriff's Office should assess the potential for implementing the following options to control the staffing impact and costs of compensatory (comp) time:

- Grant comp time on the basis of one hour earned for each hour worked (1:1), instead of the current hour and a half for each hour worked (1:1.5).
- Cash out accrued comp time balances on July 1 of each year, per the collective bargaining agreement.
- Require comp time to be scheduled in advance and place limits on the number of comp time absences allowed per shift.

Implementation Date: April 1, 2005

Estimate of Impact: Approximate savings possible between \$27,000 and \$120,000.

Recommendation 6: The Sheriff's Office should assess and identify those areas and circumstances where it would be feasible and cost-effective to share deputies between precincts for unplanned backfill purposes.

Implementation Date: April 1, 2005

Estimate of Impact: Savings possible between \$0 and \$500,000.

Recommendation 7: The KCSO should reassess its patrol staffing needs and current deployment plan, in the context of addressing the following report recommendations:

- Identifying objectives and measures for patrol workload and performance (Rec. 1).
- Developing a more systematic staffing method (Rec. 2).
- Selecting a cost-effective combination of staffing and overtime (Rec. 4).

Implementation Date: December 31, 2005

Estimate of Impact: More cost-effective utilization of patrol resources to meet workload demands and performance objectives.

SHERIFF'S RESPONSE



KING COUNTY SHERIFF'S OFFICE
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Seattle, WA 98104-2312
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David G. Reichert
Sheriff

September 24, 2004

TO: Cheryle A. Broom, King County Auditor

FROM: David G. Reichert, King County Sheriff *for, Deputy Sheriff Chief*

RE: RESPONSE TO PROPOSED FINAL REPORT OF KCSO PERFORMANCE AUDIT

Thank you for providing us with this opportunity to respond to Phase I of the Sheriff's Office Performance Audit. As we noted in the technical review, we believe that the Auditor's Office has conducted a comprehensive and balanced analysis of our performance and operations.

The recommendations you have provided reflect some of the more innovative approaches to law enforcement, and we will assess the feasibility of their implementation. As you are well aware though, instituting performance measurements and data-based staffing models will require the Sheriff's Office to reallocate resources from existing projects and/or find new resources. Successful implementation will depend on our having staff with the necessary time, expertise, and technology tools or training. Thus, we partially concur with many of the recommendations only because we are concerned that the implementation timeline proposed by your office may be too optimistic within our existing resources.

The following are our specific responses, in the format you requested.

Recommendation	Agency Position	Schedule for Implementation	Comments
1. The Sheriff's Office should develop performance objectives and outcome measures for its strategic goals. It should also develop objectives and measures for patrol that reflect overall KCSO goals, operational expectations, and best practices for reducing crime.	Partially Concur	Performance objectives and outcome measures for strategic goals will be developed as part of our Operational Master Plan project. This phase of the project should be completed by September 30, 2005. Patrol-specific measures and objectives can be developed to support the overall goals and objectives. The measures and a plan for their implementation can be completed by January 31, 2006.	The Operational Master Plan project will begin with an environmental scan. Following that, the Sheriff's Office will review its goals and objectives to ensure their alignment with a detailed assessment of our current and future operating environment. The Sheriff's Office will also need time to research the most proven strategies for reducing and preventing crime. For example, while there have been a number of studies that demonstrate the effectiveness of focusing on hot spots, there is less data on the types of strategies that work the best in preventing crime. In general, we agree a geographic focus can increase our effectiveness.

SHERIFF'S RESPONSE (Continued)

RE: RESPONSE TO PROPOSED FINAL REPORT OF KCSO PERFORMANCE AUDIT

September 24, 2004

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Recommendation	Agency Position	Schedule for Implementation	Comments
2. The Sheriff's Office should develop a more systematic method for establishing and monitoring its unincorporated patrol staffing needs. The method should incorporate objective data on workload demands and operational or performance objectives, and enable staffing information to be easily monitored and updated.	Concur	The Sheriff's Office will develop a proposal for purchasing or designing a patrol staffing software system that can include information such as goals, workload, and geography. At the latest, this proposal will be completed in time to be considered with our 2006 budget requests to ITS.	<p>We agree that the KCSO should develop a more uniform method to set and monitor our patrol staffing needs. We currently track a number of objective data sources than can be used to assess workload demands (e.g. CAD data). The challenge will be to research and identify the most appropriate patrol staffing program that is designed for an agency with urban and rural service areas, and is compatible with the data sources we have available, or can create within our limited resources.</p> <p>We also believe we cannot compare our performance just to ourselves. Part of our review of industry best practices should include benchmarks to agencies with similar service demands.</p>
3. The Sheriff's Office should use binomial staffing analysis to assess the staffing levels and backfill overtime it currently uses to cover its minimum staffing posts, and select the most cost effective combination. This policy target should reflect the least costly mix of staffing and overtime that can be achieved consistent with deputy safety and effectiveness considerations.	Partially Concur	<p>We are currently reviewing the binomial model developed by Auditor's staff, to determine the potential for application to the Patrol staffing.</p> <p>This analysis should occur after we've finalized our goals and objectives to ensure we do not model a staffing plan that is in the process of changing due to the implementation of our strategic plan.</p> <p>We also agree the use of a binomial staffing should augment, not replace, professional judgment regarding the deployment of staff.</p>	<p>We are reviewing the binomial staffing model provided by the auditor and agree with the conclusion that it is often less costly to staff on overtime than with dedicated deputies to meet minimum staffing needs. Upon initial review, it appears to be well designed, although it does not clearly reflect the existing organizational structure. The model does provide a base from which we can make further refinements.</p> <p>Because the "least costly alternative" may conflict with the strategic goals and objectives we develop, we believe that it is vital to secure Council and Executive concurrence with our goals and objectives, so that the alternative chosen can truly be consistent with effectiveness considerations.</p>
4. The Sheriff's Office should: <ul style="list-style-type: none"> Clarify the differences between overtime categories and improve its ability to track them separately. Monitor backfill overtime use to ensure it is consistent with the post staffing plan. Strengthen analytical efforts to identify causes of variations in overtime use. Update its overtime tracking policies and procedures accordingly. 	Partially Concur	<p>Completing this recommendation will be part of the existing Payroll Improvement Project. The project team will assess the steps needed to implement the recommendations and understand the results needed from the analysis. Programming and policy changes may be completed by September 30, 2005, but we cannot provide a firm date until we can do more analysis of the work involved. Training about the use of the analytics will likely take 2-3 months</p>	<p>Overtime use is currently tracked and managed in IRIS, and the Sheriff's Office is reviewing that system to determine how to prepare or replace the database for future technology changes. We need to assess the costs and benefits of immediate changes to that system in light of the need for future platform changes. It may be possible to make some enhancements for OT tracking purposes.</p> <p>The KCSO requested resources for this project in our 2005 Budget request.</p> <p>We have also begun preliminary work on using the IRIS system to create specific overtime management reports based on type of overtime and location.</p>

SHERIFF'S RESPONSE (Continued)

RE: RESPONSE TO PROPOSED FINAL REPORT OF KCSO PERFORMANCE AUDIT

September 24, 2004

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Recommendation	Agency Position	Schedule for Implementation	Comments
<p>5. The Sheriff's Office should assess the potential for implementing the following options to control the staffing impact and costs of compensatory (comp) time:</p> <ul style="list-style-type: none"> Grant comp time on the basis of one hour earned for each hour worked (1:1), instead of the current hour and a half for each hour worked (1:1.5). Cash out accrued comp time balances on July 1 of each year, per the collective bargaining agreement. Require comp time to be scheduled in advance and place limits on the number of comp time absences allowed per shift. 	Concur	<p>The Sheriff's Office will provide a report to the Department of Executive Services, Human Resources Division by December 31, 2005 assessing the options for consideration in future labor discussions.</p> <p>The Sheriff's Office will work with the Human Resources Division and the Guild to determine whether the county's failure to cash out accrued comp time balances has created a past-practice standard that cannot be breached. If not, we will work with the parties to reach a mutually-agreeable start date for this practice.</p>	<p>The Sheriff's Office can assess the potential for implementing these options, but notes that two of the three options will have to be a negotiated item in the Guild labor contract. We understand that the Executive Office has completed the bargaining agreement with the Guild for 2005-2007, so implementation is unlikely in the near-term.</p>
<p>6. The Sheriff's Office should assess and identify those areas and circumstances where it would be feasible and cost-effective to share deputies between precincts for unplanned backfill purposes.</p>	Concur	<p>The Sheriff's Office will conduct an initial assessment by April 1, 2005. A follow-up assessment will be conducted after the patrol objectives and measurements are completed, to ensure that any proposed staffing policy changes do not prevent us from implementing newly designed effectiveness strategies.</p>	<p>There will likely be a tradeoff between the most effective police strategies and the most cost-efficient methods for assigning patrol to meet minimum standards for life-safety considerations.</p>
<p>7. The KCSO should reassess its patrol staffing needs and current deployment plan, in the context of addressing the following report recommendations:</p> <ul style="list-style-type: none"> Identifying objectives and measures for patrol workload and performance (Rec. 1). Developing a more systematic staffing method (Rec. 2). Selecting a cost effective combination of staffing and overtime (Rec. 4). 	Concur		<p>We are beginning this process through our Operational Master Plan. The measures will be a mixture of meeting identified goals and objectives, and access to reliable and affordable data.</p> <p>Our staffing method will depend on the output of our strategic plan and the resources we have available to analyze and monitor the data.</p> <p>We can analyze changing the composition of staffing and overtime to use more overtime, but we must first assess the impact on community policing and our effectiveness strategies.</p>

SHERIFF'S RESPONSE (Continued)

RE: RESPONSE TO PROPOSED FINAL REPORT OF KCSO PERFORMANCE AUDIT

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General Comments

The Sheriff's Office intends to use this audit report as a base for further analysis, including our Operational Master Plan. The Auditor's analysis can be enhanced with information from other credible law enforcement sources such as the Police Executive Research Forum (PERF), the International Association of Chiefs of Police, and the National Academy of Sciences.

Further, we need to implement these recommendations in the context of the changes in our operating environment -- changing crimes, annexations, contract services, etc. You are correct that any good staffing model must allow us to change our assumptions about these key factors.

We look forward to working with you on Phase II of this audit. If you have any questions about our response, please contact Chief Denise Turner of our Technical Services Division at 205-0965.

cc: Chief Sue Rahr, Field Operations Division
Chief Denise Turner, Technical Services Division
Bill Wilson, Chief Financial Officer
Jason King, Project Program Manager II
Captain James Graddon, Contracting and Services Section

ABBREVIATIONS

CAD	Computer Automated Dispatch
CFMUH	Crime Free Multi Unit Housing
Comp	Compensatory
CX	Expense Fund
FSLA	Fair Labor Standards Act
GASB	U.S. Governmental Accounting Standards Board
IRIS	Incident Reporting and Investigation System
KCSO	King County Sheriff's Office
MPP	Managing Patrol Performance
PAS	Public Administration Service
SEA	Service Efforts and Accomplishment
WASPC	Washington Association of Sheriffs and Police Chiefs

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