

SUMMIT COUNTY, OHIO

BERNARD F. ZAUCHA, CPA, MBA, CIA, DIRECTOR

October 20, 2005

Sheriff Drew Alexander
Summit County Sheriff
53 University Ave., 4th floor
Akron, OH 44308

Sheriff Alexander:

Attached is the final report of the Sheriff Office: Corrections Division's preliminary audit which was discussed with members of senior management on July 7, 2005. In addition, please note that the Sheriff's office management action plan was incorporated into the final report.

The report was approved by the Audit Committee at its September 28, 2005 meeting at which time it became public record.

We appreciate the cooperation and assistance received during the course of this audit. If you have any questions about the audit or this report, please feel free to contact me at extension (330) 643-2655.

Sincerely,

Bernard F. Zaucha

cc: Audit Committee

**COUNTY OF SUMMIT
SHERIFF OFFICE:
CORRECTIONS DIVISION**

**Preliminary Audit
05-Jail.Sheriff-27
June, 2005**

**Approved by Audit Committee
September 28, 2005**

**Summit County
Internal Audit Department
175 South Main Street
Akron, Ohio 44308**

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**SUMMIT COUNTY SHERIFF CORRECTIONS DIVISION
PRELIMINARY AUDIT
TABLE OF CONTENTS**

I.	Executive Summary.....	3
II.	Background.....	6
II.	Objectives.....	9
III.	Scope.....	9
IV.	Detailed Comments.....	10

Objective 2: Review of Internal Controls

Personnel Files

- C. Upon review of 25 personnel files, haphazardly selected, it was noted that some files did not contain some of the required and/or necessary forms.

IAD recommends that the Sheriff's Office – Corrections bring all personnel files up to the current file expectations.

- D. IAD noted that the Jail's Policies and Procedures Manual did not contain a standardized list of required documentation to be maintained in personnel files.

IAD recommends the Sheriff's Office create a listing of required forms/documents that are to be maintained in all personnel files. IAD further recommends incorporation of the new hire checklist into the Summit County Jail Policies and Procedures.

- E. IAD noted that confidential information was contained in the personnel files reviewed. The Director of Administration – Personnel stated there should be no confidential information contained in personnel files.

IAD recommends that all confidential and medical information be removed from personnel files to comply with O.R.C. and federal mandates.

Inmate Accounts

- F. IAD obtained and reviewed the deposits made in October 2004 for Inmate Accounts to verify that proper receipting, recording, and posting procedures were being conducted and deposits were made in accordance with O.R.C. § 9.38. The following issues were noted:

1. Deposits were not made on a timely basis in violation of O.R.C. § 9.38.
2. Of the 159 inmates booked into the Jail in October 2004 that were reviewed, IAD could not reconcile 138 property sheets to their property logs because IAD was unable to obtain the sheets from the Inmate Accounts Department. IAD was informed that Inmate Account Clerks do not receive the property sheets on a timely basis from the property deputy and the updated policies and procedures state that the property deputy shall be responsible for entering the inventory into the computer.
3. There is no sign-off requirement, in the procedures, by the witnessing deputy of a cash envelope of an uncooperative inmate.
4. The prisoner cash log from the Intake Department did not reconcile with money envelopes received by the account clerks.
5. Some of the required information (name, DOB or SSN, total amount, denomination breakdown, deputy's name and Personal ID number, time stamp and inmate signature) was missing from the prisoner cash logs and corresponding money envelopes on 111 of the 159 tested.
6. A lack of segregation of duties among the inmate account clerks exists.
7. No sign-off of inmate cash logs by the property deputy to verify that the inmate account clerks removed the money from the safe in the booking area.

IAD recommends the following:

- a. Funds be deposited in accordance with O.R.C. § 9.38.
- b. Enforce policy regarding computer entry of cash received by the property deputy for timely inclusion on property sheets.

- c. Institute a sign-off by a witnessing deputy to the cash envelope of an uncooperative inmate.
- d. All inmate monies should be logged on the prisoner cash log by the intake deputy while the prisoner is present to ensure proper documentation to prevent the misplacement of inmate monies.
- e. Enforce Sheriff's policy on money envelopes to ensure reconciliation and deposits.
- f. Review the cash receipting process to properly segregate the job duties of each account clerk so that cash collection, input of amounts collected in the computer system and preparation of deposits are not all done by the same person.
- g. Enforce and review the documented policy and procedure regarding cash-log sign-off by intake deputies on the cash logs.

Training

- G. Upon testing of 25 training files haphazardly selected, some files did not contain the certificates of required training (i.e. Ohio Peace Officer Basic Training Academy, Ohio Peace Officer Corrections Training Academy) of the employee. It was also noted that six of the 125 days of In-Service Training were missing sign-in sheets and signatures of three employees were missing on forms from their training days.

IAD recommends that all employee training files contain certificates for all training programs attended thus complying with Summit County Sheriff Training Bureau Policies and Procedures 4:1.0 requiring deputies to document In-Services training.

Property Room

- H. Significant issues identified in this area are as follows:
 - 1. Of the property receipts selected, 58 of the 58 were missing the Deputy's signature.
 - 2. Sixteen of the 74 property receipts from the felony cases selected for review were unable to be found, therefore the sample size was reduced to 58.

IAD recommends enforcement of the Jail Policies and Procedures chapter 9:7.0 regarding Property Management.

- I. Summit County Jail Policies and Procedures Chapter 9:7.0 regarding Property Management conflicts with Summit County Jail Policies and Procedures Chapter 9:9.1.

IAD recommends that the Summit County Sheriff's Office - Corrections review and update their procedures to ensure that they are consistent and that they do not conflict with other procedures.

TIME FRAME Start Date: May 23, 2005 Completion Date: June 24, 2005

BENEFITS Financial Impact Internal Control Improvements
 Directly Recoverable Costs Operational Improvements
 Policy Alternatives Other

INFORMATIONAL MATERIALS IAD provided the Sheriff's Office - Corrections Division with various websites, checklists, forms, and other materials relating to policies and procedures, human resources. IAD furnished these materials to assist the auditee with addressing the audit recommendations and offer some information on best practices.

**SUMMIT COUNTY SHERIFF: CORRECTIONS DIVISION
PRELIMINARY AUDIT
BACKGROUND**

Auditors: Lisa Skapura, Joseph George, Jennifer Cuenot, and Jason Fulks (Intern)

Background:

The Summit County Jail, located at 205 East Crosier Street in Akron, Ohio, opened on August 1990. An addition to the jail that replaced the Akron Correctional Facility (formerly operated by the City of Akron and formerly known as the "Workhouse") opened on May 1, 1995. The Summit County Jail has a total inmate capacity of 588, which includes 508 male beds, 80 female beds.

The Summit County Jail is classified by the State of Ohio as a "full service" detention center. That means it is operated twenty-four hours a day, three hundred sixty-five days a year.

The Summit County Sheriffs Office also provides security services for the Glenwood Jail, a satellite minimum-security facility operated in conjunction with Oriana House, Inc. Thirteen deputies and two supervisory staff the 150-bed facility, which provides treatment for DUI offenders and overflow for non-violent Summit County Jail prisoners.

The staff required to operate both facilities is two hundred fourteen sworn personnel, twenty-five supervisors, and forty-five full-time and civilian employees. Staff is scheduled as needed for inmate supervision, intake, general security, medical transport, trusty security, and numerous civilian assignments. Another twenty-five full-time and twenty-nine part-time contract employees staff the medical, behavioral health, maintenance, and food service units in the Jail. All deputies assigned to the two facilities are certified peace officers and are utilized by the Sheriff to respond to civil disturbances and other emergencies within the community.

The Summit County Jail was the first large county jail in the State of Ohio to operate using "direct supervision" management. In this setting, deputy personnel are locked inside inmate housing areas to maintain order and control. All housing units are designed to provide optimum visibility by deputies in order to monitor inmate behavior and protect staff and inmates from assault. All personnel who frequently access inmate-housing areas carry radios with "panic alarms" to enhance personal safety. High and medium security risk inmates are housed in individual cells. Medium and low risk inmates are housed two to a cell or in dormitories. An objective inmate classification system is employed to determine housing assignments based on inmates' tendencies for violence or nonviolence.

Support Services staff provide state mandated services in the jail that include mental health treatment, food service, programming (e.g. religious services, educational programming, physical exercise, etc.) and medical treatment. A medical "co-pay" system is employed at the jail whereby inmates are charged fees for medical treatment provided. The jail utilizes many volunteers from the community as well as numerous social service agencies within the county to assist in the provision of support services.

The jail is operated using state of the art security and surveillance equipment including over 75 closed circuit television cameras and various computerized door controls and alarm systems. The "booking and release" process utilizes computer technology for video imaging for "mug shots", an electronic inkless fingerprint system, and the inmate management information system. Aside from the advanced technology available to staff, the key element to the effective management of the jail is the staff's humane manner, use of communication skills, and continuing training and education in modern methods of inmate management.

The Summit County Jail has been in operation since August 5, 1990. The capacity of the facility when opened was 402 inmates.

During recent years, changes in the operation of the Summit County Jail were made as follows:

- In September 1994, the Common Pleas Court approved double bunking in 24 cells on Unit 3 to avoid overcrowding. Double bunking was permitted only when the population reached the court-approved maximum.
- In May 1995, the new expansion was occupied by merging the Akron Correctional Facility inmates into the population of the Crosier Street Facility. The expansion increased inmate capacity of the Summit County Jail to five hundred fifty-four inmates.
- Summit County entered a contract with the United States Marshals Office to rent them twenty-four beds. In May of 1995, the court approved double bunking in another 24 cells on Unit 3. This order from the court increased the capacity to five hundred seventy-eight inmates.
- In January 2000, the County discontinued the boarding contract with the United States Marshals Service when they were unable to reach an agreement on the boarding rate for the 24 beds. In February, the City of Akron expanded their boarding agreement with the County by contracting for 15 of the 24 beds formerly used by the Marshals Service. The remaining 9 beds were added to the general population.

The day-to-day operation of the Summit County Jail is very similar to the operation of a small city. The inmates are reliant upon the staff of the facility for their every day needs and care from basic nourishment, mental health, and medical care to supplies for personal hygiene. There are rules established for inmates to follow and when they are violated; the inmates are disciplined through loss of privileges and "lockdown" time in their cells. Inmates that damage or destroy county property are made to pay restitution and/or are charged criminally. The Summit County Jail is also a non-smoking facility.

The Chief of Corrections is responsible for the overall operation of the facility and a Shift Commander is in charge of each shift and responsible for the day-to-day operation. There are sergeants present on each shift, who are under the direction of the Shift Commander. Each Sergeant is responsible for the supervision of deputies assigned throughout the facility. Central Control is the "nerve center" of the facility. The deputies assigned to operate this area control the facility's communication systems and monitor all movement throughout the facility. The movement is controlled by monitoring various closed circuit television cameras located throughout the facility, both inside and outside.

The Intake area is the main receiving and release area of the facility. The Intake area is where a prisoner is first introduced to the facility. The prisoner is booked, fingerprinted, photographed, showered, and changed into a jail uniform. Inmates that are being taken to court or transported from this facility to another facility also exit through this area.

The Property Room is the next step in the process. After a prisoner has been showered and changed into a jail uniform, all of his personal property and clothing is inventoried and stored until his release. All money is put into an account established in the inmate's name. The facility has an "objective" inmate classification system. All inmates are classified at the time of booking according to the severity of their current crime and their criminal history. The inmates are then housed according to their classification. Also taken into consideration for classification are past behavior problems, medical and mental health concerns, or other special needs. During their stay in the facility, inmate behavior is constantly monitored and, if necessary, inmates will be reclassified to a higher or lower classification in the facility.

During peak activity periods, there are deputies that are assigned as movement officers. These officers are responsible for the movement of all inmates throughout the facility. During a normal day, inmates may be moved for: programs, medical and mental health care, video court, transportation outside of the facility (for court or transfer to another facility), a conference with their attorney, an interview by another agency, etc.

Inmate trusties (i.e. low risk offenders sentenced to the jail) assist with facility cleaning, kitchen operation, and laundry. Deputies are assigned to supervise these work details. Those deputies are also responsible for ordering and maintaining the supplies and equipment necessary to operate the Crosier Street Facility twenty-four hours a day, seven days a week. The jail laundry is open sixteen hours a day, Monday through Friday and is operated by civilian staff. Uniforms are exchanged and laundered twice a week. Inmate linens and towels are exchanged each week and blankets are exchanged every two weeks.

An integral part of the operation of the Sheriff's Office and Crosier Street Facility is the Operational Development team. The deputies that are assigned to this unit are responsible for continually reviewing and updating the policies and procedures. This is accomplished by reviewing different phases of the facility and departmental operations and making whatever changes necessary to improve the operation. Operational Development deputies also administrate the various computer systems utilized in the jail, assist in training other staff, and plan renovation and new construction.

Command Stat

Command Stat is a management accountability program with the primary goal of improving the operational efficiency and professionalism through holding commanders and managers accountable for their commands. The program is patterned after nationally known programs established at New York City's Police Department (Com Stat) and Florida's Broward County Sheriff's Office (PowerTrac & StarTrac). The Sheriff's Office sent a team of supervisors to the Broward County Sheriff's Office to observe PowerTrac, investigate its operational functions, and to prepare a report summarizing their observations. The Summit County Sheriff's Office conducted the first Command Stat on 12/2/04. Commanders are brought before a command Stat Review Board composed of senior management. The commanders are then questioned on the following managerial and operational items: attendance, overtime usage, training requirements, overdue evaluations, citizen complaints, use of force/use of restraints occurrences, and staff inspection reports. Deputies also receive certificates of appreciation for being recognized as deputy of the month. These deputies are chosen for their outstanding performance, consistency, and faithfulness to duty.

**SUMMIT COUNTY SHERIFF: CORRECTIONS DIVISION
PRELIMINARY AUDIT**

Objectives:

1. To obtain and review the current policies and procedures.
2. To review the internal control structure through employee interviews and observation.
3. To perform a general overview of the physical environment and security of the facilities, data, records and departmental personnel.

Scope:

An overview and evaluation of the existing policies, processes, procedures, contracts and internal control structure utilized by the department.

Testing Procedures:

The following were the major audit steps performed:

OBJECTIVE 1 – POLICY AND PROCEDURES REVIEW

1. Obtain and review the current policies and procedures.
2. Meet with the appropriate personnel to obtain an understanding of the current department processes and procedures. Compare those existing processes to the policies and procedures manual for consistency, noting all exceptions.
3. Test procedures for mandatory compliance where applicable.
4. Identify audit issues and make recommendations where appropriate.

OBJECTIVE 2 – REVIEW OF INTERNAL CONTROLS

5. Meet with the appropriate personnel to obtain an understanding of the control environment.
6. Document the existing control procedures in narratives and/or flowcharts.
7. Compare existing processes to the policies and procedures manual for consistency.
8. Test procedures for compliance where applicable, noting all exceptions.
9. Investigate discrepancies and summarize results.
10. Make recommendations where appropriate.

OBJECTIVE 3 – REVIEW OF SECURITY

11. Perform a general overview of the physical environment and security of the department/ agency being audited.
12. Interview various personnel to determine that confidential information is secure and processed only by appropriate parties.
13. Obtain and review the document retention policy and determine if policies and procedures are currently in place and being followed.
14. Test security issues where appropriate.
15. Analyze current policies and make recommendations.

**SUMMIT COUNTY SHERIFF: CORRECTIONS DIVISION
PRELIMINARY AUDIT
DETAILED COMMENTS**

It was noted during audit planning, preparation, and fieldwork that the Sheriffs - Corrections staff was very professional and cooperative in providing the requested documentation and personnel scheduling for audit questions. IAD also commends the Sheriffs Office for implementing Command Stat. Command Stat is a management accountability program with the primary goal of improving operational efficiency and professionalism by holding commanders and managers accountable for their commands.

I. Policies & Procedures Review:

The Internal Audit Department (IAD) obtained and reviewed the current Jail Policies and Procedures for the Summit County Sheriff - Corrections and the Rules and Regulations/General Policies and Procedures to ensure that they were up to date and reasonable.

1) Issue

The following issues were noted with the Sheriff's General Policies and Procedures:

- a) IAD noted that the Sheriff's General Policies and Procedures were inconsistently numbered and contained missing pages throughout the manual. Cover pages of procedures contained numbering which agreed to the table of contents but the pages following the cover page contained numbering that did not agree. Therefore, IAD was unable to determine if the procedures were complete.
- b) Cover pages of procedures had the Sheriffs approval yet the effective date was before the term of Sheriff Alexander, January 2001, and they did not contain a date of revision. It was also noted that in some instances, the status of the procedure was listed as "new", however; the effective date was also before the Sheriff's term in office.
- c) Chapter headings on procedures were inconsistent with the table of contents chapters.

Recommendation

IAD recommends that the Sheriff's office thoroughly review, update, and communicate the general policies and procedures to ensure that they are consistent with the mission and goals of the current administration as well as contain proper numbering. These policies and procedures should include dates of creation and revision. This will ensure that procedures are in place to achieve these goals as well as ensuring that they are being performed consistently. Per a memo from the Jail Commander, all policy and procedure notebooks issued to Sheriffs office employees dealing with General Policy, Procedure, and Rules and Regulations will be reviewed and updated.

Management Action Plan

The General Policy and Procedure & Rules and Regulations are currently being reviewed, revised and restructured. Upon completion the updated policy will be reissued to all SCSO employees. This project should be completed by the end of the first quarter of 2006.

2) Issue

Upon review of the Sheriff's General Policies and Procedures and the Jail Policies and Procedures, it was noted that there are no IT disaster recovery procedures or any procedures for the functions performed by the Operational Development Computer Technician.

Recommendation

IAD recommends that the Sheriff's office create IT disaster recovery procedures for the jail. This will ensure that in the event of disaster employees of the Sheriff's office are aware of the procedures necessary to protect and recover mission critical technological information. IAD also recommends that procedures be created for the Operational Development Computer Technician job functions. This will ensure that the functions of this position can be completed in the absence of the employee.

Management Action Plan

The IT Disaster Recovery Policy and Procedure for the SCJ will be developed and put into place by the end of the third quarter of 2005. Post Orders are being created specifying the job functions for the position of Operational Development Computer Technician by the end of the fourth quarter of 2005.

II. Internal Control Testing:

Internal control testing and/or observations were performed in the following areas:

- Personnel Files
- Inmate Accounts
- Interviews
- Training
- Property Room

PERSONNEL FILES

IAD obtained and reviewed employee personnel files maintained at the Sheriff's Administrative offices for the Sheriffs - Corrections to verify that appropriate file documentation is maintained for all Sheriffs - Corrections staff. The Jail Policies and Procedures manual states what may be contained in the personnel files; therefore, IAD obtained the specific file documentation requirements per discussion with the Director of Administration-Personnel. A personnel file questionnaire was also utilized to gain a further understanding of the Sheriff's Human Resource function. IAD also obtained and reviewed the American Federation of State, County and Municipal Employees (AFSCME), Fraternal Order of Police (FOP), and Supervisors union contracts to gain an understanding of performance evaluation requirements. The contracts were in effect from 4/1/02 to 3/31/05, 1/1/02 to 12/31/04, and 10/16/01 to 10/15/04 respectively. Twenty-five employees from the Sheriff's - Corrections current active employee list were haphazardly selected for personnel file testing. IAD then tested the personnel files for the applicable documentation contained in the HR files.

3) Issue

Upon review of 25 personnel files selected for detailed testing of the HR file requirements, the following issues were noted:

- a. One of 25 personnel files tested did not contain an application or resume.
- b. Nine of 22 applicable personnel files tested did not contain a 2003 performance evaluation. (Three of the 25 files were not applicable because the employee was hired after 2003.) O.A.C. Section 5120:1-8-17 states that annual standardized performance reviews of jail employees shall be conducted.
- c. Nine of 24 applicable personnel files tested did not contain a 2004 performance evaluation. (One of the 25 files was not applicable because the employee was hired after 2004.)
- d. One of 25 personnel files tested did not contain an Ohio IT-4 withholding form. Upon review of a Banner Employee Deduction query IAD noted that the withholding is being deducted.
- e. One of 20 applicable personnel files tested did not contain an I-9. (Five of the files were not applicable due to the employee being hired before November 1, 1986 which is the effective date set by the Immigration and Naturalization Act.)
- f. One of 23 applicable personnel files tested did not contain a health insurance enrollment card. (The sample was reduced to 23 because 2 of the employees selected were part-time and part-time employees are not eligible to receive benefits.) Upon follow up IAD noted that the Secretary II obtained a copy of the health insurance information and included it in the file.
- g. There was no signature on the mass employee sign-off sheet for one of 25 employees indicating the receipt and understanding of the Summit County Sheriffs Office General Policy and Procedure manual.

Recommendation

IAD recommends that the Summit County Sheriff - Corrections bring all HR personnel files up to the current Summit County Sheriff - Corrections file expectations where applicable. Per a memo from the Jail Commander, all Sheriff's employees will have their evaluations brought up to date with the personnel office placing them in the proper file.

Management Action Plan

All personnel files will be reviewed to ensure that each file contains all items required to be present in the file. If an item is determined to be missing, the item will be tracked down or the employee will be required to complete necessary documentation to complete the file. Personnel will determine what evaluations are missing; see that the commanders are notified; and update the spreadsheet bringing everything up to date. This will be completed by the end of the fourth quarter of 2005.

The employee whose signature was missing from the mass employee sign-off sheet indicating receipt and understanding of the Summit County Sheriffs Office General Policy and Procedure manual was on injury leave. The employee has signed an absentee form acknowledging receipt of the Policy and Procedure book.

4) Issue

It was noted upon review of the Summit County Jail's Policies and Procedures as well as the Sheriff's Office General Policies and Procedures that there was no standard listing indicating the required documentation to be maintained in the Sheriff's Office personnel files.

Recommendation

IAD recommends that the Sheriff's Office establish/create a listing of all required forms/documents that are to be maintained in the personnel files. IAD also recommends that the new hire information checklist currently utilized for new hires be incorporated in the Summit County Jail Policies and Procedures.

Management Action Plan

Personnel will create and implement a policy to include a checklist for all required documents to be maintained in the personnel files. Also, the checklist used for new hires will be included as an appendix to the policies and procedures. Timeline for this plan would be 60 days.

5) Issue

Upon review of personnel files, IAD noted confidential information in 6 of the 25 files selected for testing. Per the Director of Administration-Personnel, there should be no confidential information contained in the personnel files.

Recommendation

IAD recommends that all confidential and medical information be removed from the specified personnel files. This will ensure the privacy of this information.

Management Action Plan

All personnel files will be reviewed and all confidential information will be removed from the files. The confidential information will be secured and maintained in a separate file in compliance with both state and federal privacy laws. This will be completed by the end of the fourth quarter of 2005.

INMATE ACCOUNTS

IAD obtained and reviewed the deposits made in October 2004 for Inmate Accounts to verify that proper receipting, recording, and posting procedures were being conducted in accordance with the Inmate Accounts Funds policies and procedures. Deposits were also reviewed to verify that they were made in accordance with O.R.C Section 9.38. The Summit County Jail policy and procedure manual, which contained a section on Inmate Fund Accounts, was obtained and reviewed to gain an understanding of Inmate Accounts. The month of October 2004 was haphazardly selected for testing due to a new policy and procedure that was put into effect in June of 2004. IAD haphazardly selected five business days (two of the days were Mondays which included monies collected Friday evening, Saturday and Sunday) of prisoner cash logs in October 2004 for

detailed testing of inmate booking. Additionally, IAD haphazardly selected one week (five business days) of receipts in October 2004 for detailed testing of the intake window procedures for inmate accounts.

6) Issue

Upon discussion with the Inmate Accounts Supervisor and review of deposits made in October 2004, IAD noted that deposits are not made on a timely basis. Per the Inmate Accounts Supervisor, deposits are made on Tuesdays and Fridays. Therefore, in October 2004, there should have been eight total deposits. Upon review of the deposits in October 2004, however, there were only four deposits made. This is a violation of O.R.C. § 9.38. In addition, IAD noted that deposits are not made in accordance with the Inmate Fund Account Policy and Procedure, which states that deposits are made daily and delivered to the Shift Commander's kiosk for pick-up by the court services deputies. O.R.C § 9.38 states that:

“A person who is a state officer, employee, or agent shall pay to the treasurer of state all public moneys received by that person as required by rule of the treasurer of state adopted pursuant to section 113.09 of the Revised Code. A person who is a public official other than a state officer, employee, or agent shall deposit all public moneys received by that person with the treasurer of the public office or properly designated depository on the business day next following the day of receipt, if the total amount of such moneys received exceeds one thousand dollars. If the total amount of the public moneys so received does not exceed one thousand dollars, the person shall deposit the moneys on the business day next following the day of receipt, unless the public office of which that person is a public official adopts a policy permitting a different time period, not to exceed three business days next following the day of receipt, for making such deposits, and the person is able to safeguard the moneys until such time as the moneys are deposited. The policy shall include provisions and procedures to safeguard the public moneys until they are deposited. If the public office of which the person is a public official is governed by a legislative authority, only the legislative authority may adopt such a policy; in the case of a board of county commissioners, the board may adopt such a policy with respect to public offices under the board's direct supervision and the offices of the prosecuting attorney, sheriff, coroner, county engineer, county recorder, county auditor, county treasurer, or clerk of the court of common pleas. If a person who is a public official receives public moneys for a public office of which that person is not a public official, that person shall, during the first business day of the next week, pay to the proper public official of the proper public office the moneys so received during the current week.”

Recommendation

IAD recommends that the Sheriff's Office - Corrections deposit funds in accordance with O.R.C § 9.38. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development and daily deposits will be made by a supervisor.

Management Action Plan

In accordance with ORC § 9.38 as stated in a memo dated 8/1/05 from the Jail Commander all deposits shall be made on a daily basis by a Shift Supervisor and

recorded on the Shift Commanders log. The Summit County Jail policy 2:4.0 Section V. C will be reviewed and updated to include this change. This will be completed by the end of the fourth quarter of 2005.

7) Issue

Upon review of one week (five business days) of prisoner cash logs and corresponding property sheets for October 2004, there were 159 inmates booked into the jail. IAD was unable to determine if the individual amount on the prisoner cash log agreed to the amount on the property sheet for 138 inmates because IAD was unable to obtain the corresponding property sheet. In addition, of the remaining 21 inmates, ten of the inmates' names agreed to the inmate name on the property sheets, however, the amount listed on the property sheets was zero. Per the Inmate Accounts Supervisor, she provided IAD with all of the property sheets that were given to inmate accounts. IAD noted in the Inmate Fund Account Policies and Procedures that the inmate account clerks are to collect the cash logs, personal property sheets, and money envelopes from the safe as scheduled. However, per discussion with the Inmate Accounts Supervisor, the clerks have not received the property sheets since January of 2005. In addition, the updated policy and procedure implemented in June 2004 states that the "property deputy will still be responsible for entering the amount in the computer at the time of the property inventory".

Recommendation

IAD recommends that the Sheriff's Office - Corrections enforce the policy in regards to the property deputy entering the amount of cash received into the system so that it is included on the property sheets. This will provide for an additional source of reference in the instance that money is not documented on the prisoner cash logs and ensure that all of the inmate's property is accounted for and documented upon the inmate's booking. In addition, IAD recommends that the Sheriff's Office - Corrections review the policy to ensure that it is line with the objectives and goals of the Sheriff's office. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development. Additionally, Deputy staff will be advised to follow the existing policy and procedure until they are advised of the policy change.

Management Action Plan

Due to updates in booking procedures, the property sheet is now generated in the computer. An inmate's property can not be entered until after the inmate has been booked and entered in the jail system. An interoffice memo dated August 3, 2004 was put out advising that the booking deputy will enter the inmate's property in the computer and not the property deputy. Due to this change, a hard copy property sheet is no longer generated for Inmate Accounts. Inmate Accounts can cross reference amounts through the computer, if necessary, to reconcile.

Policy and procedure will be reviewed and updated to reflect current changes that have been made to procedures through inter office memos. This process may be delayed due to an anticipated new jail management system that will be implemented in late fall of 2005 or early 2006.

The new policy will correspond with the new management system. Until that time, the procedures that are in place, at the present time, will be followed. A revised interoffice memo was issued 8-24-05 indicating changes that will be put into effect immediately. Each Intake Deputy and Inmate Accounts personnel will sign off acknowledging receipt of the memo.

8) Issue

Upon review of the inmate fund account policies and procedures, IAD noted that in the event of an uncooperative inmate, another deputy, prior to placing the cash envelope into the safe, will witness the amount. There is no requirement stating that the deputy must sign the envelope to account for witnessing the process.

Recommendation

In the event of an uncooperative inmate, IAD recommends that another deputy sign the money envelope as witness to the amount counted and placed into the envelope. This will ensure that a third party is observing and documenting that the correct amount is counted and recorded. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development. Additionally, Deputy staff will be advised to follow the existing policy and procedure until they are advised of the policy change.

Management Action Plan

The interoffice memo distributed on 8-24-2005 clarifying proper procedures from Issue 7 shall include advising that an additional deputy shall witness and sign off on the money envelope for any uncooperative inmate. Policy and Procedure shall be updated to reflect this procedure. This will be completed by the end of the fourth quarter of 2005.

9) Issue

Upon review of the prisoner cash logs for October 2004 for inmate accounts, IAD noted 47 instances where the inmate account clerks documented the inmate name and amount collected on the prisoner cash log. Per the Inmate Accounts Supervisor, when the inmate account clerks verified the money in the envelopes to the inmates and amounts documented on the cash logs, these 47 instances were additional money envelopes that were not documented on the cash logs by the intake deputy.

Recommendation

IAD recommends that the Sheriff's Office - Corrections ensure that all inmates who are booked with money are logged on the prisoner cash log by the intake deputy as stated in the Summit County Sheriff's Office Inmate Accounts Policies and Procedures. This will ensure that all monies received are documented while the inmate is present. This will also prevent the possibility of monies being unaccounted for or misplaced. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and

updated beginning with a structural meeting on July 11, 2005 with Operational Development. Additionally, Deputy staff will be advised to follow the existing policy and procedure until they are advised of the policy change.

Management Action Plan

Please refer to issue #7.

10) Issue

Upon review of the prisoner cash logs and corresponding money envelopes for five business days in October 2004, IAD noted that 111 of 159 total money envelopes did not contain all of the required information as stated in the Inmate Fund Account policies and procedures dated June 4, 2004. Per the policy and procedure, the money envelopes are to contain the inmate's full name, DOB or SSN, total amount, denomination breakdown, deputy's name and Personal ID number, time stamp and inmate signature.

Recommendation

IAD recommends that the Sheriff's Office - Corrections enforce their policy in regards to the required information that is to be documented on the money envelopes. This will ensure that monies can be accurately accounted for when reconciled and inputted into the inmate's account. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development. Additionally, Deputy staff will be advised to follow the existing policy and procedure until they are advised of the policy change.

Management Action Plan

Please refer to issue #7.

11) Issue

Upon review of the prisoner cash logs for October 2004 and the Inmate Fund Account Policy and Procedure which states that a new column was added to the prisoner cash logs titled "VER" for the inmate account clerks to sign off after verifying the money listed on the log to the money inside the envelope, IAD noted that the inmate account clerks were documenting the actual amount of money counted as opposed to signing off on the cash log. In addition, for the prisoner cash logs dated 10/16/04-10/18/04, there were two instances where the inmate account clerks did not initial off or document the amount counted in the VER column.

Recommendation

IAD recommends that the Sheriff's Office - Corrections enforce the documented policy and procedure and review it to ensure that it is in line with the objectives and goals of the sheriff's office. This will ensure that there is verification of the clerk that reviewed the cash logs. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development.

Management Action Plan

Inmate Account personnel have been issued an interoffice memo dated 8-24-05 referencing procedural changes for the VER field on the cash log and have been instructed that this column is for initials and not dollar amounts. Inmate Accounts personnel have signed off acknowledging receipt of the memo. Policy and Procedure shall be updated to reflect this procedure. This will be completed by the end of the fourth quarter of 2005.

12) Issue

Upon discussion with the Inmate Accounts Supervisor and review of the Inmate Fund Account Policy and Procedure, there appears to be a lack of a segregation of duties in inmate accounts. IAD noted that the inmate account clerks are responsible for collecting cash at the intake window, inputting the amounts collected into the system, and preparing the deposits.

Recommendation

IAD recommends that the Sheriff's Office - Corrections review the cash receipting process over inmate accounts to ensure that there is a proper segregation of duties. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development.

Management Action Plan

An addendum to the policy is presently being constructed to define a segregation of duties for Inmate Account Personnel. This project will be completed by the end of the third quarter of 2005.

13) Issue

Upon review of the Inmate Fund Account Policy and Procedure, IAD noted that the property deputy is to initial the cash logs to verify that the inmate account clerks removed the money from the safe in the booking area. However, per the Inmate Accounts Supervisor and review of the October 2004 prisoner cash logs, as of June 2004 when the new policies were implemented, the property deputies no longer initial the cash logs.

Recommendation

IAD recommends that the Sheriff's Office - Corrections enforce and review the documented policy and procedure to ensure that it is line with the objectives and goals of the Sheriff's office. Per a memo from the Jail Commander, all policies and procedures dealing with inmate accounts will be revised and updated beginning with a structural meeting on July 11, 2005 with Operational Development. Additionally, Deputy staff will be advised to follow the existing policy and procedure until they are advised of the policy change.

Management Action Plan

This issue is incorporated into the Management Action Plan of issue #7.

Note: ALL ISSUES DEALING WITH INMATE ACCOUNTS WHICH ARE PRESENTLY BEING FOLLOWED UNDER CURRENT POLICY AND PROCEDURE WILL BE REVIEWED AND REVISED UPON COMPLETION AND IMPLEMENTATION OF THE JAIL MANAGEMENT SYSTEM.

INTERVIEWS

To gain an understanding of the Sheriff - Corrections, IAD interviewed the following positions throughout the department:

- a) Chief of Corrections
- b) Jail Commander
- c) Operations Captain
- d) Support Services Captain
- e) Operational Lieutenant
- f) Asst. Director of Administration - Corrections
- g) Inmate Accounts Supervisor
- h) Deputy Sheriff Operational Development
- i) Budget and Management Director in the absence of the Director of Administration Fiscal
- j) Support Services Administrator
- k) Director of Administration - Personnel

No issues were noted.

TRAINING

IAD obtained and reviewed the Minimum Standards for Jails in Ohio to gain an understanding of training requirements. IAD met with the Training Bureau Commander to gain an understanding of what training documents should be contained in a Deputy's training file. Twenty-five Employees were haphazardly selected for testing.

14) Issue

Upon review of the training files selected for detailed testing, the following issues were noted:

- a) Four of the 25 files tested did not contain an Ohio Peace Officer Basic Training Academy certificate.
- b) Eleven of the 25 files tested did not contain an Ohio Peace Officer Corrections Training Academy certificate.
- c) Six of the 125 days tested for In-Service Training were missing sign in sheets.
- d) Three of the employees were missing their signatures on one of their respective training days.

Recommendation

IAD recommends that the Summit County Sheriff Training Bureau maintain all training certificates in an employees training file. IAD also recommends that the Summit County Sheriff Training Bureau enforce their Policies and Procedures 4:1.0 that all employees document that they have completed the necessary In-Service training. Upon follow up with the Training Bureau Commander, it was noted that the commander sent out a memo to all Deputies whose certificate(s) were not in the training files stating that all certificates not found in the training files must be furnished by 7/1/05.

Management Action Plan

All OPOTA Basic Training Certificates for personnel who attended the Summit County Sheriff's Academy are forwarded to the Training Bureau by OPOTA. The original certificate is issued to the cadet and a photocopy is maintained in academy file. Agency personnel who did not attend the Summit County Sheriff's Academy must present a valid OPOTA basic training certificate to the SCSO background investigation unit during the background investigation process. A copy of the certificate is forwarded to the Training Bureau for filing. Follow up will be initiated to locate missing certificates not found during the audit. This will be completed by the end of the fourth quarter of 2005.

New in-service attendance forms will be utilized to insure accurate accountability starting in the fall in service session beginning 9-12-05. The forms will be pre-printed with the name of the in-service participant and those forms will be co-signed by the appropriate instructor. Further, they will be audited daily by the In-Service Duty Officer to insure compliance.

PROPERTY ROOM

IAD obtained and reviewed the Inmate Property Receipts to ensure that the forms contained the required documentation as stated in the Summit County Jail Policy and Procedure Chapter 9:7.0 regarding Property Management for inmates released in 2004. IAD haphazardly chose a sample of 74 felony cases that were bound over in 2004 from Cuyahoga Falls, Barberton, and Akron municipal courts. The sample was selected for a previous jail overcrowding timeline project.

15) Issue

Upon review of the Summit County Jail Inmate Property Receipts selected for detailed testing, the following issues were noted:

- J. Sixteen of the 74 property receipts from the felony cases selected for review were unable to be found, therefore the sample size was reduced to 58.
- K. Seven of the 58 property receipts selected for review were missing the inmate's incoming signature.
- L. One of the 58 property receipts selected for review was missing the inmate's release signature.
- M. Fifty-eight of the 58 property receipts selected for review were missing the Deputy's signature.

Recommendation

IAD recommends that the Sheriffs Office - Corrections enforce the Jail Policies and Procedures chapter 9:7.0 regarding Property Management.

Management Action Plan

Due to changes in the property forms there is no longer a line for the deputy's signature. Current policies and procedures requiring necessary signatures by the inmate and the maintaining of all property forms will be enforced. Policy and procedure will be reviewed and updated to reflect current changes. This process may be delayed due to an anticipated new jail management system that will be implemented in late fall of 2005 or early 2006.

16) Issue

Summit County Jail Policies and Procedures Chapter 9:7.0 regarding Property Management conflicts with Summit County Jail Policies and Procedures Chapter 9:9.1 regarding Inmate Release. IAD noted 9:7.0 Section III C 2 a. states if an inmate refuses to sign the property receipt upon release than the Deputy shall write, "refused" on the inmate signature line and then complete the Deputy signature line. IAD also noted that 9:9.1 Section IV D 2 a. states if an inmate refuses to sign the property sheet, another deputy will be summoned to witness the return of the property and the refusal.

Recommendation

IAD recommends that the Summit County Sheriffs Office - Corrections review and update their procedures to ensure that they are consistent with goals of the Summit County Sheriff's Office - Corrections and that they do not conflict with other procedures.

Management Action Plan

Due to changes in the property sheet with updates to booking procedures the property form no longer has a field for another deputy to witness the refusal and inmate to sign his property sheet. If an inmate refuses to sign the property sheet the deputy will write refused in the signature line. The deputy will then sign his name and ID number next to the word refused acknowledging the refusal. The releasing deputy Policy and procedure will be reviewed and updated to reflect current changes and any contradictions. This process may be delayed due to an anticipated new jail management system that will be implemented in late fall of 2005 or early 2006.

III. Security:

Security issues noted during fieldwork are addressed under separate cover in the accompanying report in compliance with Ohio Revised Code §149.433²⁴⁸.