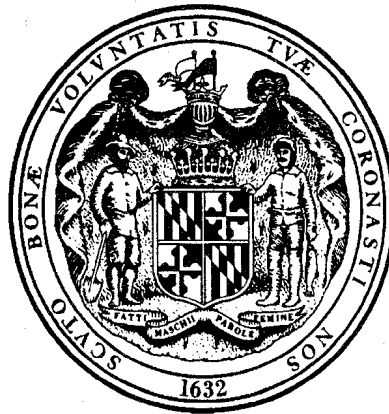


Performance Audit Report

**Managing for Results – Fiscal Year 2001
Performance Measures**

Department of State Police

June 2002



Office of Legislative Audits
Department of Legislative Services
Maryland General Assembly

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Karl S. Aro
Executive Director

DEPARTMENT OF LEGISLATIVE SERVICES
OFFICE OF LEGISLATIVE AUDITS
MARYLAND GENERAL ASSEMBLY

Bruce A. Myers, CPA
Legislative Auditor

June 27, 2002

Senator Nathaniel J. McFadden, Co-Chair, Joint Audit Committee
Delegate Samuel I. Rosenberg, Co-Chair, Joint Audit Committee
Members of Joint Audit Committee
Annapolis, Maryland

Ladies and Gentlemen:

We conducted a performance audit to determine the accuracy of certain fiscal year 2001 Managing for Results performance measures for the Department of State Police as reported in the Maryland fiscal year 2003 operating budget request. We also determined whether adequate control systems were in place for collecting, summarizing and reporting the performance measurement data.

In accordance with a plan approved by the Maryland General Assembly, the Department of Legislative Services' Office of Policy Analysis selected the performance measures audited. As a result of our audit of the seven measures selected for the Department of State Police, we have categorized each measure as either Certified, Certified with Qualification, Factors Prevented Certification, or Inaccurate as noted in the following chart. These designations are further described in Exhibit 2.

Level of Certification				Performance Measures Audited (see Exhibit 1)
Certified	Certified with Qualification	Factors Prevented Certification	Inaccurate	
0	1	4	2	7

The primary factor contributing to our inability to certify six measures was that the Department had not established procedures to ensure that documentation was available to support the reported performance measure results. Secondly, when documentation was available, we found a lack of quality control processes to ensure the reliability of underlying summary reports.

We wish to acknowledge the cooperation extended to us by the Department of State Police during the audit.

Respectfully submitted,

Bruce A. Myers, CPA
Legislative Auditor

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Executive Summary

Managing for Results is a strategic planning tool that may be used in the budget process.

Of 7 measures tested, 2 were deemed to be "Inaccurate" and 4 were designated as "Factors Prevented Certification."

Quality control processes need to be enhanced to ensure the accuracy and completeness of reported results.

Background Information

In July 1997, the Governor implemented the Managing for Results initiative, which is a strategic planning process used by department leaders and others to establish direction and priorities for State programs to achieve meaningful results.

Managing for Results, which was implemented over a three-year period beginning in 1999, requires State agencies to submit missions, goals, objectives and performance measures for each program as part of the annual budget submission. This information may then be considered in determining Statewide spending priorities and the allocation of resources in agency budgets.

Conclusions

Although the Department did have a number of quality control processes in place, they were not functioning as intended nor were they as comprehensive as necessary to ensure the accuracy of reported results. We concluded that for the seven measures tested, one was designated as Certified with Qualification, four were designated as Factors Prevented Certification and two were designated as Inaccurate. We identified two contributing factors that led to these results. Primarily, the Department did not have procedures in place to ensure the completeness of documentation for the reported measures. We also noted that quality control processes (for example, supervisory review) were either not in place or were not functioning as intended allowing mathematical errors to go undetected.

Recommendations

We made detailed recommendations to the Department, which if implemented, should help strengthen its quality control processes over the audited measures. These recommendations include:

- retaining proper supporting documentation related to *Roadside Inspections* by the Commercial Vehicle Enforcement Division and *Patients Delivered in the "Golden Hour"* by the Aviation Division.
- ensuring the reliability of data used by the Central Records Division to calculate the *Number of Part 1 Crimes* and *Part 1 Crime Rate*.
- verifying the accuracy of the reported results of the *Number of Cases Investigated* and *Cases Closed by Arrest* by the Regional Family Violence Unit.
- verifying the proper reporting of all *Emergency Medical Services Activities* by the Aviation Division.

Findings				
Certification Results for Selected Department of State Police Fiscal Year 2001 Performance Measures				
Program Name and Budget Reference¹	Performance Measure (See Exhibit 1 for Definitions)	Results Reported	Level of Certification (See Exhibit 2)	Comments / Causes
Field Operations Bureau Part III, Pages 772, 773	Roadside Inspections	66,499	Factors Prevented Certification	The Department did not have sufficient quality control procedures in place to account for and ensure that all roadside inspections conducted by the Commercial Vehicle Enforcement Division were properly documented and reported. Primarily, all inspection forms were not accounted for and original inspection documentation was often not retained.
	Number of Part 1 Crimes	256,348	Factors Prevented Certification	The Department did not have comprehensive procedures to ensure that underlying data and summary reports used to calculate the results were reliable and that the reported performance was accurate. For example, the Department had not conducted audits of 152 of the 153 contributing law enforcement agencies (such as county police departments) in accordance with the FBI's Uniform Crime Reporting requirements to ensure the accuracy of the data submitted.
	Part 1 Crime Rate (per 100,000 population)	4,840	Factors Prevented Certification	
	Number of Cases Investigated by the Regional Family Violence Unit (RFVU)	1,284	Inaccurate	The Department did not have quality control procedures in place to ensure that the results from RFVU investigators were correctly summarized and reported. The reported results included undetected errors in monthly reports completed by investigators of the RFVU summary reports. Although we could not determine the true result for each measure, our tests suggest that the reported results have been understated.
Cases Closed by Arrest (RFVU)	819	Inaccurate		

¹ Reference cited is the Maryland fiscal year 2003 operating budget request. All results reported for fiscal year 2001 are actually calendar year 2000 activity which was disclosed by the Department in its budget submission.

Findings

Certification Results for Selected Department of State Police Fiscal Year 2001 Performance Measures

Program Name and Budget Reference ¹	Performance Measure (See Exhibit 1 for Definitions)	Results Reported	Level of Certification (See Exhibit 2)	Comments / Causes
Support Services Bureau Part III, Page 780	Operational Activities ² Emergency Medical Services (helicopter only) <ul style="list-style-type: none"> • Trauma and medical scenes • Interhospital transports • Other medical activities Subtotal	5,189 610 <u>259</u> 6,058	Certified with Qualification	Although we were able to verify the accuracy of the total operational activities (7,086), we concluded that the classification of Emergency Medical Services (EMS) activities among the three sub-categories was not always proper. The Department's processes were not sufficient to ensure the proper classification and reporting of the specific activity for the three EMS sub-categories.
	Search and Rescue Law Enforcement Total (helicopter & airplane)	336 <u>692</u> 7,086		
	Percentage of Patients Delivered in the "Golden Hour"	92.9%	Factors Prevented Certification	The Department did not have sufficient quality control procedures in place to ensure that trauma and medical scene transports were properly included in the calculation and accurately classified. The Department was unable to provide us with supporting documentation for all such activities ("missions") that it excluded from the "Golden Hour" calculation (for example, because the mission was cancelled prior to completion). We also noted that trauma and medical scene transports were not always properly classified among the three EMS sub-categories, as noted above.

¹ Reference cited is the Maryland fiscal year 2003 operating budget request. All results reported for fiscal year 2001 are actually calendar year 2000 activity which was disclosed by the Department in its budget submission.

² Excludes maintenance and training flights.

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Scope, Objectives and Methodology

Scope

Under the authority of the State Government Article, Section 2-1221 of the Annotated Code of Maryland, we conducted a performance audit of selected fiscal year 2001 performance measure results reported by the Department of State Police. The audit was performed in accordance with generally accepted government auditing standards. The General Assembly budget committees and the Joint Audit Committee approved the plan developed by the Department of Legislative Services whereby the Department's Office of Policy Analysis identifies performance measures in the budget submissions of selected agencies for audit by the Office of Legislative Audits. In accordance with this plan, the Office of Policy Analysis identified fiscal year 2001 performance measure results at six State agencies, including seven performance measures of the Department of State Police, for audit.

Objectives

The objectives of our audit were: (1) to determine whether the actual fiscal year 2001 measurement results for the selected performance measures have been accurately reported; and (2) to determine whether adequate control systems are in place over the collection and reporting of the data related to the measurement results. Our performance audit did not include an assessment of whether the performance measures reviewed are consistent with the goals and objectives of the related programs or are meaningful indicators of program performance.

Methodology

To accomplish our objectives, we interviewed Department personnel, reviewed performance measure calculations for accuracy and determined whether these calculations were consistent with the definition of the performance measure as noted in Exhibit 1. We used sampling techniques or other methods as deemed appropriate to test the related source documents. We also analyzed the Department's performance measurement data collection and reporting activities to evaluate whether proper controls were in place. Additionally, we developed a system to categorize the results of our audit of performance measures. The four categories represent varying levels of certification of the accuracy of the fiscal year 2001 performance reported by the Department. The categories of performance certification are defined in Exhibit 2.

Our fieldwork, which included site visits to the Department's Headquarters, Central Records Division, Commercial Vehicle Enforcement Division, Regional Family Violence Unit, and Aviation Division, was conducted during the period from November 2001 to March 2002. The response from the Department of State Police to our findings and recommendations appears as an appendix in this report. As prescribed in State Government Article, Section 2-1224 of the Annotated Code of Maryland, we will advise the Department regarding the results of our review of its response.

Exhibit 1
Definitions of Department of State Police Performance Measures
Audited

Performance Measure	Definition
Roadside Inspections	The number of commercial vehicle examinations and commercial vehicle driver contacts by enforcement personnel for all Level 1-5 inspections as described in the Commercial Vehicle Safety Alliance Manual.
Number of Part 1 Crimes	The number of reported offenses identified by the FBI National Uniform Crime Reporting Program that comprise a crime index as a measure of the crime problem. The seven types of offenses that make up the crime index are murder, rape, robbery, aggravated assault, breaking or entering, larceny-theft, and motor vehicle theft.
Part 1 Crime Rate	The number of reported offenses in the FBI crime index per 100,000 population. The population data is from the FBI's population estimates that were based upon the calendar year 2000 United States census.
Number of Cases Investigated by the Regional Family Violence Unit (RFVU)	The number of criminal investigations of domestic violence cases conducted by RFVU investigators.
Cases Closed by Arrest	The number of cases resolved by arrest resulting from the aforementioned domestic violence investigations conducted by the RFVU.
Total Operational Activities EMS <ul style="list-style-type: none"> • Trauma and medical scenes • Interhospital transports • Other medical activities Search and Rescue Law Enforcement	The number of operational activities (excluding maintenance and training flights) assigned to the Aviation Division by the Department's System Communication personnel for emergency medical services (EMS), search and rescue activities, and law enforcement activities. The number of EMS activities is reported in three sub-categories.
Percentage of Patients Delivered in the "Golden Hour"	The percentage of trauma and medical scene patients transported by Aviation Division helicopters that reach the designated definitive care facility within one hour of the request for aero medical transport.

Exhibit 2
Categories of Performance Certification

Category	Definition
Certified	Reported performance was reasonably accurate.
Certified with Qualification	Reported performance was reasonably accurate but either minor deficiencies were noted with the supporting documentation, or controls were not sufficient, or the methodology used to calculate reported performance was not consistent with the measure definition.
Factors Prevented Certification	Actual performance could not be verified as documentation was unavailable and/or controls were not adequate to ensure the accuracy of the reported results, or reported results were not presented in a manner consistent with the performance measure description.
Inaccurate	Reported performance differed significantly from actual performance.



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APPENDIX

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COLONEL DAVID B. MITCHELL
SUPERINTENDENT

June 18, 2002

Mr. Bruce A. Myers, CPA
Legislative Auditor
Department of Legislative Services
301 West Preston Street, Room 1202
Baltimore MD 21201

Dear Mr. Myers:

Thank you for your letter in which you requested a response to your audit report comments and recommendations. Enclosed is a paper copy of the Department of State Police, 2001 Performance Measures Audit. Captain Martin Knight, of our Planning and Management Division, Office of Management and Finance, has also sent you an electronic copy.

Thank you again for your correspondence. If you require any further assistance, please call Captain Martin Knight, telephone number 410-653-4400. Please be assured of our continued cooperation in all matters of mutual concern.

Sincerely,

David B. Mitchell
Superintendent

DBM:MK:jds

Enclosure

"Maryland's Finest"

**Department of State Police
Performance Measures Audit
Department's Response
June 10, 2002**

Item # 1: Roadside Inspections — 66,499

Response # 1: The Commander of the Commercial Vehicle Enforcement Division, Captain W. F. Landon has issued Special Order No. 24-0211 to give direction and establish accounting procedures for each Inspection Report (MSP Form 24-32). “B. An accountability ledger will be utilized to track the distribution of blank Inspection Reports emanating from CVED Headquarters.” (p.1, S.O. 24-0211)

Additionally, the order specifically assigns responsibility for the printed forms to Weigh/Inspections Facility supervisors. Supervisors must “document and report the loss of any written reports within the numbered series in use at their facility.” (p.2, S.O. 24-0211)

Moreover, the retention process is formalized in the Special Order to ensure that Inspection Report record copies are retained on-file in compliance with schedules established by the Maryland Department of Budget and Management and the Commercial Vehicle Alliance Handbook.

To ensure the processes described in the Special Order are followed, the Division's Regional Commanders (Commissioned Officers) will perform periodic auditing within their regions. The above actions will provide the accountability of the inspection forms recommended by the audit.

**Item # 2: Number of Part I Crimes – 256,348
Part 1 Crime Rate – 4,840/100,000 Population**

Response # 2: While the Department has quality control procedures in place, which were approved by the FBI Quality Assurance Review Team during their review of the State Program in August 2001, the Department will expand the procedures to make them more comprehensive. Specifically, the following area highlighted in the audit will be addressed.

Audits of Contributing Agencies

The Department has an established UCR Audit program, which has been reviewed by the FBI Quality Assurance Review Team (QART) and deemed acceptable; it has not, however, completed any recent audits due to the retirement of a key “Field Records Representative” in May of 2000. The Field Records Representative vacancy was filled on July 1, 2001, but the minimum on-the-job training for this position is six months and may even last upwards to a year.

Although the audits that were previously conducted by the Central Records Division did not use generally accepted auditing standards, contact was made with the FBI QART to request further information and direction regarding conducting audits or quality assurance

**Department of State Police, Performance Measures Audit—Department’s Response
June 10, 2002 (Continued) 2 of 3**

reviews. Once the Central Records Division receives this guidance from the FBI, the Department will begin to conduct more structured audits.

**Item # 3: Number of Cases Investigated by the Regional Family Violence Unit, 1,284
Number of Cases Closed by Arrest - 819**

Response # 3: This Unit uses a unique form titled the Project Activity Sheet (PAS), designed and in use since the inception of the Regional Family Violence Unit (RFVU) to record and report output data to the RFVU command personnel on a monthly basis. Investigators are required to fax and/or send via barrack mail the monthly statistics for the previous month. The problem identified by this audit is that no supervisory signatures are required on the form. Since, a newly designed form has an area for signatures by the investigator and the Detective Sergeant or Criminal Section Supervisor in the region of assignment. This allows for review and verification. Once reviewed, then the report will be forwarded to the administrative offices for tabulation.

Additionally, RFVU investigators will be required to keep individual caseload ledgers and on a monthly basis forward them with the PAS. The caseload ledgers also require review and signature by the investigator and Detective Sergeant/Supervisor.

The RFVU is a decentralized unit; relatively new to the Department (three-years) and during its formative stages was more concerned with setting up operational & functional guidelines than administrative processes. Clearly, this audit has pointed out areas for improvement. To that end, the Department issued on May 9, 2002 Special Order 01-0204 to formalize, among other items, the procedures reported above.

Item # 4: Operational Activities, Emergency Medical Services, 7,086

Response # 4: The EMS flights that were incorrectly recorded were a result of human error. While these flights were, in fact, EMS related, they were incorrectly coded within the sub-category at the outset. The “Right CAD” automated system went into use in January 2000, and the data from that first year was the subject of this Performance Measure Audit. Many quality control procedures were placed into effect following an internal audit completed in early 2001. Some of these measures included directives to the Duty Officers stressing the importance of correctly entering the data into the CAD system.

Additionally, a program was developed that allows duty officers the ability to review key data-fields of missions that they have entered during their shift. Subsequent policy changes have made this review procedure mandatory. Audits of recent data entries have shown a marked improvement in the accuracy of the data.

Finding # 5: Percentage of Patients delivered in the “Golden Hour” – 92.9%

Response # 5: In testing 65 scene trauma and medical flight records, five were detected to have been miscoded which incorrectly allowed their inclusion in the “Golden Hour”

**Department of State Police, Performance Measures Audit—Department’s Response
June 10, 2002 (Continued) 3 of 3**

measure. Similar to the errors detailed in Finding # 5, these too were due to human factors. The corrective actions previously reported have also proven to be effective in improving the accuracy of this performance measure. It should be noted that the detected errors allowed additional records to be included in the measure that, in effect, reduced our percentage of patients that were actually delivered within the “Golden Hour.”

Specifically, 119 of the 982 missions that were excluded from the “Golden Hour” measure could not be verified using the source documents, and this may cause doubt in the reliability of the reported percentage. In the future, the Department will retain all original source documents and related computerized data systems from which MFR performance measures are reported.

Prepared by: Captain Martin Knight, June 10, 2002

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