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# **CITY OF SAN ANTONIO**

## **OFFICE OF THE CITY AUDITOR**



Audit of San Antonio Police Department

Crisis Response Team Operations

Project No. AU16-024

September 26, 2016

Kevin W. Barthold, CPA, CIA, CISA  
City Auditor

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## Executive Summary

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As part of our annual Audit Plan approved by City Council, we conducted an audit of the San Antonio Police Department (SAPD), specifically the Crisis Response Team (CRT) Operations. The audit objective and conclusion follow:

**Determine if the Crisis Response Team operations are in compliance with policies and procedures and are effective in meeting the needs of the community.**

The Crisis Response Team has established guidelines that could serve as internal controls to ensure operations are on track to meet program goals and objectives. However, the CRT units do not always comply with the guidelines. Additionally, policies and procedures should be better defined to provide specific guidance for certain processes such as definitions of activities reported.

We identified control deficiencies in the following areas:

- Staff is not complying with policies and procedures in areas related to case documentation, training and monitoring of community outreach efforts.
- Types of activities reported by the six CRT units are inconsistent, making it difficult to measure performance and effectiveness of the CRT operations.
- A periodic review of user access to the RMS application is not performed to ensure only authorized and approved users have access.

San Antonio Police Department Management agreed with the audit findings and has begun to develop positive action plans to address them. Management's verbatim response is in Appendix C on page 10.

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## Background

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The Crisis Response Team (CRT) was created in September 1996 to advocate for zero tolerance of family violence by providing prevention, consultation, and direct services to affected individuals, families, and groups. Currently, SAPD has CRT units located at each of its six substations throughout the City and are collectively made up of 20 police officers and 19 civilian caseworkers. The CRT units follow up with victims and perpetrators after an alleged domestic assault to provide crisis intervention and case management. Additionally, CRT members coordinate with other agencies and organizations such as the Battered Women's Shelter and Family Justice Center to provide collaborative, multi-intervention services for victims of family violence.

Domestic violence offense reports account for about ten percent of the offenses committed in the City of San Antonio. During calendar year 2015, offense reports for aggravated family violence increased by 4.8% from the previous year, as illustrated in the following table obtained from SAPD Quarterly Domestic Violence Reports.

Crime Type	2014	2015	% Change
Aggravated Family Violence	604	633	4.8%
Family Violence	9,144	9,824	7.4%
Protective Order Violation	749	615	-17.9%
<b>Grand Total</b>	<b>10,497</b>	<b>11,072</b>	<b>5.48%</b>

The CRT units' planned budget for fiscal year 2015 totaled approximately \$3.1 million. Actual expenses for fiscal year 2015 totaled approximately \$4.0 million. CRT unit budgets are used primarily for salaries and benefits.

## Audit Scope and Methodology

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Our audit scope was January 1 through December 31, 2015 and included the operations of the individual Crisis Response Team units located at each of the six SAPD substations.

We conducted interviews and walkthroughs with key CRT personnel at each SAPD substation to obtain an understanding of the services provided to victims and perpetrators. We used the SAPD's General Manual Procedures and the San Antonio Fear Free Environment (SAFFE) CRT Standard Operating Procedures as criteria for our test work.

To establish our test criteria, we reviewed relevant police reports from the Automated Field Reporting (AFR) system. AFR is used by police officers to write investigative reports at the scene using dispatch data, record system data and on-scene facts. We also relied on CRT case narratives and activity data for domestic violence cases recorded in the Record Management System (RMS). RMS is SAPD's case management application used by the CRT units to document all the contact made with and services provided to the victim and perpetrator.

We relied on computer-processed data in SAP, the City's accounting system, to validate expenses and employee personnel within each CRT unit. Our reliance was based on performing direct tests on the data rather than evaluating the system's general and application controls. We do not believe that the absence of testing general and application controls in SAP had an effect on the results of our audit. We also performed limited procedures to test general controls of the RMS application, specifically user access and password complexity.

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

## Audit Results and Recommendations

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### A. Outlined policies and procedures are not being followed by staff

Staff is not complying with policies and procedures outlined in their General Manual and Standard Operating Procedures (SOP). We identified non-compliance with procedures in the following areas:

#### 1. Patrol Officer Responsibilities

CRT members are not always following up with domestic violence victims in a timely manner.

Responding patrol officers are not providing the CRT units with their draft police reports and corresponding threat assessment forms (2089-TA) as required. Consequently, the CRT members have to spend time searching RMS to identify police reports coded as domestic violence. The time spent searching for the reports takes away from time that could be spent following-up with the victim and/or perpetrator.

SAPD's General Manual Section 604 states the *Officer shall provide a hard copy of his report to the CRT office.* It also states the *original Family Violence Threat Assessment (2089-TA) checklist shall be submitted to the appropriate CRT office with a copy of the officer's report.*

We selected a random sample of 56 domestic violence reports out of 18,126 police crime reports and identified 38 (68%) attempted contacts to the victim by a CRT member had a response time of more than 24 hours. The following table illustrates the number of days between the police report creation date and date of attempted contact by CRT.

# of Days	# of Reports	Percentage
0-1	18	32%
2-10	29	52%
11+	9	16%

Additionally, we identified 15 of 21 (71%) domestic violence police reports did not have a corresponding 2089-TA form. (We excluded the reports from our sample that occurred prior to the implementation of the 2089-TAs in August 2015.)

Untimely follow-up with a victim decreases the likelihood that the victim will utilize the services offered by the CRT.

**Recommendation**

The Police Chief should enforce compliance with the SOP to require responding officers to provide timely domestic violence reports and 2089-TAs to their respective CRT unit.

**2. CRT Training**

Staff training on core essentials is not monitored and tracked as required.

A training curriculum is outlined in the SOP and lists specific training needs for each CRT staff. An assessment of training needs should be conducted and employees are required to document training attended and support documents should be filed in their personnel file. The SOP also states *supervisors will maintain records of training hours attended.*

Our testing identified six out of 12 CRT members did not have documentation of training attended in their personnel file. Additionally, we identified three of the six CRT units do not report the hours of training attended in their activity reports. Consequently, we were unable to determine if each employee is receiving continuous training on core essentials.

Without continuous training provided to CRT members, the ability of the CRT to meet the needs of domestic violence victims and perpetrators may be less effective. Additionally, safety concerns for the CRT civilian members increase without sufficient training on how to handle perpetrators and dangerous situations. Proficient skill sets are essential to successfully assist victims and perpetrators.

**Recommendation**

The Police Chief should enforce compliance with the SOP and require core essential training be completed by all CRT members. Additionally, evidence of completion and tracking of training should be placed in their respective personnel file.

**3. Educational Outreach**

Quantifiable measures to track community outreach efforts are not consistent and/or do not exist.

The SOP includes a list of quantifiable measures that can be used to measure the effectiveness of community outreach efforts to assist in prevention of additional victimization. Specifically, it requires each CRT member *make educational presentations to the community relating to family violence, victims' services and other topics dealing with crime victims.* The SOP also states

*supervisors will maintain records of the number of educational presentations and training hours provided, and that specific goals for each CRT unit will be established and monitored by that unit's chain of command.*

Our testing identified that only one of the six CRT units reports the number of presentations in their activity reports, and none of the CRT units have established outreach goals that are monitored. Consequently, we were unable to determine the type or amount of outreach being provided to the community.

Without sufficient educational outreach to the community, it is less likely to decrease the cycle of domestic violence and reduce the risk of future violence.

### **Recommendation**

The Police Chief should establish goals and standard quantifiable measures to monitor the effectiveness of community outreach efforts. Additionally, ensure the CRT units are consistently tracking their outreach efforts.

### **4. Case Documentation**

CRT members are not adequately documenting their case management activities within the RMS application.

*The SOP requires documentation of each contact and attempted contact with the client in both an entry line and narrative section in RMS. Documentation is essential to the provision of quality service. It provides information about the thoroughness of the services being provided and provides data on lessons that need to be learned and integrated into the delivery of services. Additionally, it offers liability protection, since it provides a record of the appropriate delivery of services as well as providing evidence of adherence to established policies and procedures.*

Our testing included a random sample of 25 out of 11,542 domestic violence cases in RMS handled by the CRT units. We identified the following:

- 21 (84%) cases were missing documentation of informed consent.
- 4 (16%) cases were missing documentation of victims' rights.
- 6 (24%) cases which required consent from the victim to allow the CRT to contact the perpetrator were missing documentation.
- 17 (68%) cases were missing documentation of a risk assessment.
- 8 (32%) cases were missing documentation of research to determine any history on the suspect and victim.

Inadequate documentation of domestic violence cases in RMS decreases the adherence to established policies and procedures and accountability of the CRT member's services to the client.



## Recommendation

The Police Chief should specifically define in the SOP what type of information should be considered when documenting a case in RMS, and ensure supervisors review for compliance.

### B. Activity types reported by the six CRT units are not consistent

Monthly reporting of activity types is inconsistent, making it difficult to measure performance and effectiveness of the CRT operations. We noted the following inconsistencies:

- The number of activity types reported in monthly reports by each CRT unit  
The following table illustrates the differences in the number of activity types reported for calendar year 2015:

CRT Unit	Total Number of Activity Types Reported
North	25
Prue	19
Central	23
West	16
East	16
South	5

Refer to Appendix A for detail of activity types

- The unit of measurement used to report the volume per activity type  
North and Prue reported the *hours* spent working with perpetrators while Central, West and East reported the *number of contacts* made with perpetrators. South doesn't report this activity. Additionally, a *contact* with a perpetrator may be defined by a CRT unit as an actual conversation with a perpetrator while another CRT unit may define it as attempting to make contact with a perpetrator.
- The volume per activity type performed by each CRT unit  
Prue and West conducted over seven times the amount of home visits as East did within the same time period. The following table illustrates the differences in the volume of home visits and warrants walked during 2015 by each unit. As noted in the previous bullet, a home visit may be defined differently amongst the CRT units with some including visits when nobody is home and some including only those visits when they actually talked to the victim/perpetrator at their home.

CRT Unit	Home Visits	Warrants Walked
North	69	18
Prue	264	3
Central	84	10
West	262	19
East	34	4
South		49

**Refer to Appendix A for additional activity type volumes**

Without standard performance criteria, it is difficult to determine the effectiveness of the CRT operations to ensure the needs of the community are consistently met across all service areas in the City.

### **Recommendation**

The Police Chief should establish and define (i.e. unit of measurement) specific activity types that will serve as performance measures for all CRT units.

### **C. Lack of user access review in the RMS application**

User access in RMS is not reviewed on a periodic basis to ensure only authorized and approved users have access.

The City's Administrative Directive *7.8d-Access Control* requires access controls be periodically reviewed for validity by ITSD, COSA department(s) and or application owners. It also requires user access be disabled upon separation of the employee.

We selected a sample of 4 CRT members who had either been hired or terminated during the period of October 2014 through December 2015 to test for authorized access and timely deletion. We identified one terminated employee who had access for 74 days past their termination date. Additionally, during the audit we observed two of 11 administrator users with excessive access; the access was removed during the audit.

Without a documented, repeatable, and effective process for managing user access, SAPD management has no assurance that access to the RMS application is appropriate. Removing access timely within the system is essential to ensure only authorized individuals have the ability to make changes, deletions or additions to domestic violence cases in RMS.

### **Recommendation**

The Police Chief should develop procedures and perform periodic reviews of user access in RMS at least annually to ensure all user access is appropriate. Additionally, any noted issues from the access reviews should be resolved in a timely manner.

## Appendix A – CRT Activity Types (YTD 2015)

CRT Activity Type	Volume of Activity by CRT Unit					
	North	Prue	Central	West	East	South
Home Visits	69	264	84	262	34	
Warrants Walked by CRT	18	3	10	19	4	49
Training/Mtgs/Presentations (hours)			106	252	469	
Training (classes attended)		25				
Presentations given by CRT (number)						24
CRT Meetings		36				
Perpetrator Mgmt	158	112				
Suspect Contacted			27	95	21	
Walk-Ins	492	545	508	542	417	631
2089's / Photos	239	176	350	355	498	
Misdemeanor Cases	1502		1505	2055	1997	
Felony Cases	256		60	333	389	
Total Cases Assigned		2358				
Assigned Cases Contacted	1489					
Attempted Contact			592			
Unable to Contact Cases	293					
Total Cases Opened		1948	1004	1868	1660	
Total cases worked						2566
Total Cases	1792					
Hours Worked				14726	8313	
Phone Calls Received	3371		2890	2798	5414	
Referrals	1199	726				
Suspects Arrested			3	10	1	
On-Site Arrests	229					
Refused Services	365		291			
Coordinated with other units/agencies		142				
Agencies Contacted			500			
Miscellaneous Walk-ins	644					
Crt Walk Ins - Non DV			121			
Other Walk-In				802	291	
CVC Application		11	80	6	23	
Offense Reports	176	137				
Incident Reports	34	56				
Prior History of Fam. Viol.	389			886	508	
Weapons Turned In	0	0				
Assist Patrol Call Outs			9	99	738	
Assist Patrol Call In DV			49			
Assist Patrol In Field (DV)			58			
Assist Service Agents			500			
Forms to initiate charges						416
BWS Services			72			
Cases Researched			5211			
Warrants Walked / Other	37					
High Risk Cases	548	100				
Pulled		1539				
Percentage Open		83%				
BOLO's	15					
Calls for Service	6					
CIT CALLS	214					
Follow Ups	963					
Non DV Activities			51			
Other		707				

Source: 2015 CRT unit's monthly activity reports (blanks indicate activity type is not measured)

## **Appendix B – Staff Acknowledgement**

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Sandra Paiz, CFE, Audit Manager  
Holly Williams, CISA, CRISC, Auditor in Charge  
Rebecca Moulder, CIA, Auditor

## Appendix C – Management Response

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### **CITY OF SAN ANTONIO**

P.O. Box 839966  
SAN ANTONIO TEXAS 78283-3966

June 16, 2016

Kevin W. Barthold, CPA, CIA, CISA  
City Auditor  
San Antonio, Texas

RE: Management's Corrective Action Plan for the audit of SAPD Crisis Response Team  
Operations

The San Antonio Police Department has reviewed the audit report and has developed  
the Corrective Action Plans below corresponding to report recommendations.

Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
A	<b>Outlined policies and procedures are not being followed by staff</b>				
	The Police Chief should:				
	1. Enforce compliance with the SOP to require responding officers to provide domestic violence reports and 2089-TAs to their respective CRT unit.	4			
	2. Enforce compliance with the SOP and require core essential training be completed by all CRT members. Additionally, evidence of completion and tracking of training should be placed in their respective personnel file.	4	Accept	Deputy Chief Jeff Humphrey & Deputy Chief Gus Guzman	October 2016
	3. Establish goals and standard quantifiable measures to monitor the effectiveness of community outreach efforts. Additionally, ensure the CRT units are consistently tracking their outreach efforts.	5			
	4. Specifically define in the SOP what type of information should be considered when documenting a case in RMS, and ensure supervisors review for compliance.	6			

Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
	<p><b><u>Action plan:</u></b></p> <ol style="list-style-type: none"> <li>1. The department will enforce compliance with the CRT SOP by developing an audit mechanism to identify responding officers that fail to comply with providing domestic violence reports and 2089-TAs to CRT as required by the SOP. The initial audit mechanism will be an electronic report of the domestic violence cases approved into the Record Management System (RMS). Once deployed, it is believed Column Technologies case management solution will provide a more efficient and effective audit mechanism. CRT personnel will review the audit report from the RMS or information from Column case management. Any personnel discovered to be out of compliance with the SOP will be identified to CRT supervisory personnel. CRT supervisors will address the noncompliance via the chain of command. Supervisory personnel will engage in training, coaching, counseling and other supervisory functions to ensure compliance.</li> <li>2. The department will enforce compliance with the CRT SOP and require CRT personnel to complete core essential training as soon as practical. Core essential training areas include: <ul style="list-style-type: none"> <li>- Domestic Violence Dynamics and Victimology</li> <li>- Safety Training</li> <li>- Perpetrator Management</li> <li>- Communication Skills (as applied to family violence dynamics)</li> </ul> <p>Additionally, CRT Supervisors will ensure personnel training documentation and completion certificates are placed in the employee's personnel file. Training hours completed by CRT personnel will be reported in the CRT standardized monthly activity report.</p> </li> <li>3. The department will amend the CRT SOP to identify community outreach goals for CRT personnel. Additionally, the standardized monthly CRT activity report will quantify the number of community outreach activities CRT personnel participated in and the approximate number of attendees.</li> <li>4. The department will amend the CRT SOP to identify and define the types of information that are included in case management system records. Additionally, the SOP will be amended to identify where the information is documented within case management system. Supervisors will be assigned to periodically review CRT personnel case management documentation to ensure compliance.</li> </ol>				

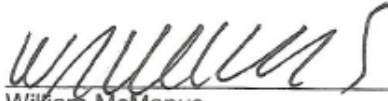


Recommendation					
#	Description	Audit Report Page	Accept, Decline	Responsible Person's Name/Title	Completion Date
B	<p><b>Activity types reported by the six CRT units are not consistent</b></p> <p>The Police Chief should establish and define (i.e. unit of measurement) specific activity types that will serve as performance measures for all CRT units.</p>	7	Accept	Deputy Chief Jeff Humphrey & Deputy Chief Gus Guzman	October 2016
<p><b><u>Action plan:</u></b></p> <p>The department will amend the CRT SOP to establish, define, and standardize the specific activity types to serve as performance measures for all CRT. This amendment will identify the minimum activity types to be collected by each CRT unit and reported in the CRT standardized monthly activity report. However, Service Area Commanders will retain the authority to require additional activity types based upon identified Service Area needs.</p>					
C	<p><b>Lack of user access review in the RMS application</b></p> <p>The Police Chief should develop procedures and perform periodic reviews of user access in RMS at least annually to ensure all user access is appropriate. Additionally, any noted issues from the access reviews should be resolved in a timely manner.</p>	8	Accept	Deputy Chief Jeff Humphrey & Deputy Chief Gus Guzman	October 2016
<p><b><u>Action plan:</u></b></p> <p>The department will amend the SOP to require supervisors to ensure employees severing from positions within the department, which no longer require RMS access, have RMS access disabled upon separation. Additionally, the department will require staff to perform a review of personnel with RMS access on a quarterly basis to ensure current access is appropriate for each identified authorized user.</p>					

We are committed to addressing the recommendations in the audit report and the plan of actions presented above.

Sincerely,





William McManus  
Chief of Police  
San Antonio Police Department

8-29-16

Date



Erik Walsh  
Deputy City Manager  
City Manager's Office

8/31/16

Date