

THOMAS J. DART
SHERIFF



ALEXIS HERRERA
CHIEF FINANCIAL OFFICER
SOJOURNER COLBERT
FINANCE DIRECTOR

**SHERIFF'S OFFICE OF COOK COUNTY, ILLINOIS
DEPARTMENT OF FISCAL ADMINISTRATION AND SUPPORT SERVICES**

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May 19, 2015

John P. Daley
Chairman on Finance
118 N. Clark Street, Room 567
Chicago, Illinois 60602

Dear Commissioner Daley

I am in receipt of your May 19, 2015 correspondence, with regard to today's Audit Committee Meeting.

Thank you for your questions, please see our response below.

- 1) In regard to the large overpayment, will the controls that have been implemented keep this from happening again?
Following our discovery of an overpayment due to a data entry error, we have implemented internal controls that will prevent this from occurring again. Specifically, the time tracking system does not allow more than 13 overtime hours to be entered in a single instance.
- 2) What guidelines or policies are provided to shift supervisors for assigning overtime to ensure proper justification is provided and how this justification is documented when overtime is approved?
Every division throughout the jail has mandatory posts (assignments), which must be manned to maintain security and meet Federal and Local Jail Standards. Shift Commanders are provided with guidelines that instruct them on the appropriate assignment of staff and overtime. As an example, Shift Commanders are required to complete an Overtime Justification Memorandum for each shift, in every division. The attached form is then reviewed by the Divisional Superintendent for greater accountability.
- 3) Has the practice of timekeepers maintaining a separate handwritten form been discussed with the Merit Board to determine if a more efficient and reliable method could be implemented such as running a report from the system that is based on the same data?
The practice of maintaining a separate handwritten document for timekeeping provides a critical check and balance to our electronic timekeeping system. In addition, the "hard card" is also the official record and the document relied upon by the Merit Board and



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litigation in Federal and State Courts. Once the County implements the new Timekeeping and Attendance System, this document will be phased out.

- 4) Do you track and report on overtime by the business unit where the overtime actually occurred to help better manage the large volume of overtime?

The Sheriff's office tracks and reports overtime by the business unit, based on where the overtime occurred. Overtime hours are entered into our internal timekeeping system by location worked. Additionally, an overtime staffing report is produce daily by shift and location. This report is used as an important tool by the Executive Director, Chief of Staff, Directors and Superintendents to track and review overtime on a daily basis.

- 5) Will you be implementing written policies and procedures to formalize the overtime controls?

Written policies and procedures do exist and are continuously reviewed and updated to ensure consistency and relevancy to current practices. We are providing a recently revised General Order as an example.

If you have any other questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in cursive script that reads "Alexis Herrera".

Alexis Herrera
Chief Financial Officer
Cook County Sheriff's Office



**Cook County Department of Corrections
Memorandum**

To: SUPT. CURRIE

Date: December 3, 2013

Division: XI

From: LT. MAEWEATHER

C. CONSOLINO Watch Commander

Subject: Overtime Justification

OFFICERS

On the above date,

81 Officers were assigned for duty
10 Officers assigned from Admin. Relief Team (CRMO)
03 Officer In-Service Training
00 Officers assigned for Special Assignment
00 Closed Assigned Post

56 Officers actually reported for dutyThere were, 22 Not on duty

<u>04</u> Medical(s)	<u>00</u> Death in Family
<u>01</u> Vacation(s)	<u>01</u> Duty Injury
<u>00</u> Personal(s)	<u>00</u> Absent Late/No Call
<u>00</u> Time Due	<u>00</u> Military
<u>07</u> Holiday(s)	<u>00</u> Jury Duty
<u>09</u> Family Medical	<u>00</u> Suspension
<u>00</u> Excused Absence	<u>00</u> Disability
<u>00</u> Off Work Day	<u>00</u> Maternity
<u>00</u> Admin. Leave	<u>00</u> Other

OVERTIME09 Volunteer Mandatory

Officers were needed to cover the following post(s):

AA UNIT, B.J. UNIT, CF UNIT, BD UNIT, AH UNIT, DC UNIT

CC UNIT, CJ UNIT, BF UNIT, MASTER CONTROL,

LOWER A CORE, BOE, UPPER B CORE, BOE, TRANS, KITCH

TRANS, LOWER D CORE, LOWER B CORE

Worked through lunch:

13 Officer(s) - no relief available
 Officer(s) - relieving lunches

There were a total of,

72 Hour(s) for pay
 Hour(s) for time

The following service(s) were cut due to staff shortage

The divisional count cleared at: 0700 HRS.

Shift Commander's Signature:

Star #

SUPERVISORS

On the above date,

08 Supervisors assigned for duty
00 Supervisors assigned for In-Service Training

08 Supervisors actually reported for dutyThere were, 00 Not on duty

<u>00</u> Medical(s)	<u>00</u> Death in Family
<u>00</u> Vacation(s)	<u>00</u> Duty Injury
<u>00</u> Personal(s)	<u>00</u> Absent Late/No Call
<u>00</u> Time Due	<u>00</u> Military
<u>00</u> Holiday(s)	<u>00</u> Jury Duty
<u>00</u> Family Medical	<u>00</u> Suspension
<u>00</u> Excused Absence	<u>00</u> Disability
<u>00</u> Off Work Day	<u>00</u> Other

OVERTIME00 Volunteer 00 Mandatory

Supervisors were needed to cover the following post(s):

Worked through lunch:

 Supervisor(s) - no relief available
 Supervisors(s) - relieving lunches

There were a total of,

 Hour(s) for pay
 Hour(s) for time

due to ACCURATE BODY AND EQUIPMENT COUNT



Sheriff's Office
COOK COUNTY, ILLINOIS
GENERAL ORDER
DEPARTMENT OF CORRECTIONS

 <div>Sheriff's Office COOK COUNTY, ILLINOIS GENERAL ORDER DEPARTMENT OF CORRECTIONS</div>	ISSUANCE DATE	EFFECTIVE DATE	NO.
	31 OCT 14	31 OCT 14	24.1.25.1
	SUBJECT	DISTRIBUTION	RESCINDS
	CENTRALIZED ROSTER MANAGEMENT AND STAFFING ANALYSIS	A	3.9 3.30 24.1.25.0
RELATED DIRECTIVES		AMENDS	

I. POLICY

It is the policy of the Cook County Department of Corrections (CCDOC) to provide a systematic procedure for the assignment, deployment and proper utilization of available security staff. The CCDOC shall prepare and maintain an accurate and updated roster of all security personnel in order to plan for proper utilization and sufficient coverage of all identified posts. The CCDOC shall also prepare and maintain a comprehensive staffing analysis that will account for all CCDOC staff, operational posts, shift relief factors, overtime, future hiring, attrition, and other factors. Maintenance of accurate and comprehensive divisional rosters and an overall staffing analysis shall ensure the effective and efficient allocation of labor resources.

In accordance with a written staffing plan, staffing levels for both correctional officers and supervisors must be appropriate to adequately supervise inmates and allow for the safe operation of the CCDOC, consistent with generally accepted correctional standards.

Absent exigent circumstances, the CCDOC shall maintain a practice that does not allow for scheduled or planned cross-watching (a CCDOC practice of allowing one correctional officer to simultaneously supervise two housing units from the control center of one of the units) at any time on all maximum security and Special Management Units, and during first and second shifts throughout the CCDOC.

II. APPLICABILITY

This General Order is applicable to the CCDOC Chief of Staff, all Assistant Executive Directors, all Superintendents, and any other designated Sheriff's Office personnel. Failure to adhere to the provisions of this order will result in disciplinary action up to and including termination.

III. DEFINITIONS

- A. Coordinated Leave Schedule – A compilation and formalization of predetermined dates for which staff will not be available for assignment (i.e. vacation, training, etc.).
- B. Closed Post – An identified post, included in the Post Analysis, to which no staff is assigned during a specific shift.
- C. Collapsible Post – An identified post, included in the Post Analysis, to which no staff is assigned when necessary to reassign available staff to a Mandatory (non-collapsible) post(s).

CCSO GO 24.1.25.1

- D. Daily Roster – A document which reflects the daily assignments of security staff to each identified post, on each shift and day, in accordance with the Master Roster. This Daily Roster accounts for the daily status of all available security staff and documents all roster variances and temporary assignment changes. The Daily Roster identifies each post for each shift and the staff assigned to the post for the shift for the given day.
- E. Master Roster – A document which reflects the overall assignment of security staff to each approved post. The Master Roster is comprised of a systematic listing of all authorized posts for all shifts, the related days off, staffing for these posts and a listing of available staff which will be utilized for Administrative Relief.
- F. Mandatory (Non-Collapsible) Post – An identified post, included in the Post Analysis that is not closed and cannot be collapsed for any reason.
- G. Post – A specifically designated security assignment recognized in accordance with both the Master Roster and Daily Roster.
- H. Post Analysis – A document which reflects each fixed and approved post on a roster, the application of the appropriate relief factor, and the resultant total number of staff needed to cover each post and roster.
- I. Relief Factor – The number of actual staff members required to staff a post in consideration of all anticipated absences (i.e. vacations, holidays, medical, training, etc.). A shift relief factor represents the number of staff members needed to staff one post during one shift on all days of roster assignment. The CCDOC uses the shift relief factor formula from the National Institute of Corrections (NIC) *Staffing Analysis for Jails* workbook.
- J. Staffing Analysis – A comprehensive and systematic process of determining staff needs (in response to changes in the facility's philosophy, operations, or physical plant) and developing staff assignment for the facility.
- K. Temporary Change – A roster change involving the addition or subtraction of a fixed post, initiated by the Superintendent, with the approval of the Workforce Utilization Committee, which does not exceed thirty (30) days.
- L. Authorized Complement – The number of correctional staff authorized by the Workforce Utilization Committee to work in a division/unit.
- M. Current Complement – The number of correctional staff assigned to a division/unit, less any staff transferred due to reductions in posts in the divisions, officers on leaves of absence, officers otherwise unavailable for extended periods of time, etc.

IV. GUIDELINES

- A. Below are the general responsibilities and duties of the Workforce Utilization Committee:

The Executive Director of the CCDOC shall appoint a committee to direct, approve and coordinate workforce management and preparation of the Staffing Analysis. This committee shall be responsible for the management of all departmental labor resources. This committee shall meet regularly and perform, at a minimum, the following functions:

1. Prepare recommendations regarding Authorized Complements, assignments, training schedules, activity schedules, transfers, and allocations of available positions.
 2. Approve all Master Roster posts; determine Authorized Complements of available security staff; review and make necessary changes to Current Complements of staff; and formalize related relief factors.
 3. Ensure that the CCDOC shall use its best effort to ensure the safety of the institution and the number of correctional officer vacancies is kept to the minimum practicable number at all times, taking into account that the timing of terminations and resignations and the resulting rate of attrition may, in ordinary course, result in there being some vacancies at any given time.
 4. Collaborate directly with Administrators from Cermak Health Services (CHS) for the purpose of ensuring that correctional officer staffing is sufficient to provide inmates requiring treatment with adequate access to appropriate medical and mental health care.
 5. Ensure there is sufficient qualified staff to monitor security cameras in real time and allow for supervisory viewing and retrieving at any time.
 6. Review all Master Roster revision requests and related documentation.
 7. Prepare and maintain the Staffing Analysis.
 8. Conduct regular and comprehensive audits of overtime.
- B. Below are the responsibilities and duties related to the effective Post Analysis and roster management within a division or unit.
1. Post Analysis and Post Description
 - a. The Superintendent from each division/unit shall ensure the preparation and maintenance of a Post Analysis and standardized written Post Description for each post in the division/unit.
 - b. The Superintendent shall ensure a current copy of the post description (updated at least annually) shall be available and preferably posted at each post location.
 - c. The Superintendent must maintain, and keep current, a list and explanations of all:

CCSO GO 24.1.25.1

- i. Closed Posts;
 - ii. Collapsible Posts; and
 - iii. Mandatory (non-collapsible) Posts.
 - d. The Superintendent must ensure all assigned security staff sign, and date a statement which verifies that they have read and understand the post description prior to assuming the duties involved.
- 2. Master Roster
 - a. A Master Roster shall be prepared by the Superintendent on a quarterly basis or as requested by the Workforce Utilization Committee. The Superintendent shall forward the proposed quarterly Master Roster to the Workforce Utilization Committee at least two (2) weeks prior to implementation for review via email at CCSO.WORKFORCE@cookecountyil.gov.
 - b. Permanent Changes to the Master Roster shall require the approval of the Work Force Utilization Committee. Requests by the Superintendent for Permanent Changes must contain the reasons for the request and a post analysis, including an accounting of the duties and hours of the post and the potential impact on overtime.
 - c. A Temporary Change to the Master Roster may be made by the Superintendent, with approval from the Workforce Utilization Committee, provided the change is for thirty (30) days or less. Requests for Temporary Changes must contain the reasons for the request and a Post Analysis, including an accounting of the duties and hours of the affected post(s) and the potential impact on overtime. The Temporary Change must be reflected on the Daily Roster.
 - d. Changes in excess of thirty (30) days, but not Permanent Changes, require modifications of the Master Roster and the written approval of the Workforce Utilization Committee.
 - e. All Master Rosters shall be maintained in divisional files for at least one (1) calendar year following their effective use at which time procedures included in the Records Retention policy shall be followed.
- 3. Daily Roster
 - a. A Daily Roster shall be prepared by the division to govern the day to day deployment of assigned staff and to record all related attendance activity.
 - b. The Daily Roster shall be prepared on a bi-weekly schedule and at least one (1) week in advance to accommodate anticipated leave scheduling.
 - c. The Shift Commander and the Superintendent shall approve the Daily Roster with his or her signature to ensure that they are prepared, utilized and reviewed in accordance with all expressed requirements.

- d. In conjunction with the Daily Roster, the Shift Commander shall ensure that the Daily Recapitulation form is prepared at the conclusion of each workday.
- e. A Temporary Change in a Daily Roster may be made by the Superintendent, provided the change is for thirty (30) days or less. Temporary Changes that increase the mandatory posts shall be filled out on the roster revision form by the Superintendent/designee and emailed to the Workforce Utilization Committee via email at CCSO.WORKFORCE@cookcountyil.gov with a justification for why the additional post is needed and for how long.
- f. All Daily Rosters shall be maintained on divisional file or other secured, organized, and accessible location for at least five (5) calendar years following their effective use.

4. Coordinated Leave Schedule

The Superintendent shall ensure that all benefit time is scheduled in accordance with the appropriate Collective Bargaining Agreement.

5. The Superintendent shall ensure the development of divisional procedures to support the guidelines above and to satisfy all related responsibilities and requirements. These procedures shall include, but not be limited to the following:

- a. Daily verification of proper roster utilization.
- b. Approval requirements for temporary or permanent roster changes.
- c. Regular review of all forms and requests to ensure consistent compliance.
- d. Immediate rectification of all discovered errors and omissions and the initiation of necessary disciplinary action.
- e. Preparation of all required reports on a timely and consistent basis.
- f. Effective training of divisional staff to assist with compliance of this General Order.

C. Staffing Analysis

The Workforce Utilization Committee shall prepare a Staffing Analysis at least annually in accordance with the most recent edition of the National Institute of Corrections *Staffing Analysis for Jails*. The CCDOC Staffing Analysis shall contain, at a minimum, the following:

- 1. A Profile of the CCDOC and its divisions/units.
- 2. A Profile of the CCDOC staff, including an analysis of the net annual hours worked.

CCSO GO 24.1.25.1

3. The total complement of CCDOC staff, including staff on leaves of absence or otherwise unavailable.
4. The current complement of active and working staff.
5. The hiring plan and schedule for the upcoming year, expected attrition at every rank.
6. The number of closed, collapsible and mandatory posts in each division, per shift.
7. The shift relief factor for these posts, using the NIC formula.
8. The activity schedule for each division, using the NIC guidelines.

BY ORDER OF:

A handwritten signature in black ink, appearing to read "Cara Smith".

**CARA SMITH
EXECUTIVE DIRECTOR
COOK COUNTY DEPARTMENT OF CORRECTIONS**

118 N. Clark Street, Room 567
Chicago, IL 60602
312.603.4400 Office
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e-mail: john.daley@cookcountyil.gov



JOHN P. DALEY
Chairman
Committee on Finance

**Commissioner – 11th District
Cook County Board of Commissioners**

May 19, 2015


The Honorable Tom Dart
Cook County Sheriff
Richard J. Daley Center
50 W. Washington, Room 704
Chicago, IL 60602

Dear Sheriff Dart:

In regards to the upcoming Audit Committee meeting I have some questions regarding # 15-2859, the Sheriff's Office Department of Corrections Payroll Overtime Processes Audit Report. These include:

- 1) In regards to the large overpayment, will the controls that have been implemented keep this from happening again?
- 2) What guidelines or policies are provided to the shift supervisors for assigning overtime to ensure proper justification is provided and how is the justification documented when overtime is approved?
- 3) Has the practice of timekeepers maintaining a separate handwritten form been discussed with the Merit Board to determine if a more efficient and reliable method could be implemented such as running a report from the system that is based on the same data?
- 4) Do you track and report on overtime by the business unit where the overtime actually occurred to help better manage the large volume of overtime?
- 5) Will you be implementing written policies and procedures to formalize the overtime controls?

Sincerely,


John P. Daley
Cook County Commissioner

/KF



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