

Approved: Al Ramirez 2-15-93
Date

MINUTES OF THE SENATE COMMITTEE ON GOVERNMENTAL ORGANIZATION

The meeting was called to order by Chairperson Al Ramirez at 1:30 p.m. on February 10, 1993 in Room 531-N of the Capitol.

All members were present except: Senator Bogina - Excused
Senator Vidricksen - Excused

Committee staff present: Julian Efird, Legislative Research Department

Fred Carman, Revisor of Statutes
Jackie Breymeyer, Committee Secretary

Conferees appearing before the committee: Sharon Patnode, Legislative Post Audit
Bobbi Mariani, Dept. of Administration
Fred Johnson, Troop Commander, CASP
Emil Lutz, Legislative & Administrative Services
Orion Johnson, Department of Administration

Chairman Ramirez called the meeting to order and called for action on the February 4 minutes.
Senator Reynolds moved to approve the February 4 minutes with a second from Senator Papay.
The motion carried.

Chairman Ramirez called for action on the February 8 minutes. Senator Papay moved to approve the February 8 minutes with a second from Senator Gooch. The motion carried.

The Chairman stated the February 9 minutes would be approved Thursday.

Bobbi Mariani, Department of Administration, appeared to clear up some unanswered questions on **SB 96**. Ms. Mariani stated that basically there were two types of disability or death benefits that would apply. The long term disability benefits from KPERS are for any active member regardless of how that disability occurs so that is a 24 hour coverage. There is also an accidental death benefit which is service connected. There is an additional lump sum payment available if it is a service-connected death. It has to be in performance of a duty for the state. This cannot be construed liberally, that is, it has to be performance related. It is a \$50,000 lump sum benefit. The accidental total disability benefit is no longer an active provision in the statute. The only thing the committee might want to amend into the bill to prevent an interpretation that the state would be liable would be for that additional lump sum accidental death benefit.

Ms. Mariani answered questions from committee members. The Chairman thanked her for appearing with the information and turned to the post audit presentation.

Sharon Patnode, Legislative Post Audit, was present to give the presentation on Capitol Area Security Patrol. Copies of the audit were distributed to the committee. (Attachment 1)

Ms. Patnode stated that this audit was done as a part of fulfilling the K-GOAL directive requiring an audit of Capitol Area Security Patrol by the 30th day of the 1993 legislative session. The Capitol Area Security Patrol operates under the supervision of the Kansas Highway Patrol and provides security related services on state owned and leased property. The Patrol provides internal security at six state buildings. This includes the Governor's mansion. It also provides external security at 58 buildings that are scattered throughout Shawnee County. The Patrol has 50 employees, most of whom are police officers or guards. Ms. Patnode directed attention to the graph on page 4 which showed the five locations where there is a guard on duty 24 hours a day, seven days a week. The guards do not receive law enforcement training and have no police power. They cannot arrest people for violations of law. The police officers do have law enforcement training and they do have police power. Funding for the Patrol comes from the state general fund and from a contract with the Department of Administration.

CONTINUATION SHEET

MINUTES OF THE SENATE COMMITTEE ON GOVERNMENTAL ORGANIZATION, Room 531-N
Statehouse, at 1:30 p.m. on February 10, 1993.

Ms. Patnode stated that the audit focused on a small, but important part of the Patrol's jurisdiction, the Capitol, the Landon and Docking state office buildings and the building at 512 West Sixth, which is a leased building and houses the Division of Alcoholic Beverage Control and some of the staff from the Department of Human Resources. Ms. Patnode stated that they tried to get an idea of the prevalence of security related problems faced by people who are at the Capitol on a regular basis and by other employees. Questionnaires were sent to legislators, as well as state employees. There was a very good response to the questionnaires as 60% response was received. On page 9 of the audit a graph showed the problems pointed out by survey respondents. The two most mentioned problems were theft and harassment. Ms. Patnode mentioned the OWL program (Office Watch League) which is a crime prevention program modeled after the neighborhood watch program. This program is currently on hold due to lack of resources, but it is hoped it will be in use again soon as a means of reducing theft in State buildings. The Patrol has also hired an investigator who last year help recover more than \$15,000 in stolen state property--primarily laptop computers. Panhandlers and demonstrators are a problem, but there is little the Patrol can do. They do not have jurisdiction to intervene when these persons are on city sidewalks. Although state employees and officials stated they would like to see more guards on duty, the Patrol told the audit people that they do not have enough staff to provide the level of security services expected of them. Also mentioned was the fact that a number of nearby states use electronic entry and exit devices in place of staff to provide security. State employees are concerned about locked doors and no fire alarm system in the Capitol. Although the Patrol's staff qualifications and training requirements were similar to those of other security forces, it could not document that employees met them. The Judicial Center is the only building that has an electronic entry and exit system.

In conclusion Ms. Patnode moved to page 18 and stated that a reevaluation of staffing needs should be undertaken. Crash bars on the Capitol doors were also recommended along with funding for a fire alarm system. Written procedures should be developed to deal with such situations as riots or other disturbances on State property. Other recommendations included adequate provisions for holiday sick and annual leave and a plan to control the harassment at 512 West Sixth Street.

Fred Johnson, Troop Commander, Capitol Area Security Patrol stated that the \$15,000 recovery of money was laptop computers. The suspect is still a state employee because the employee has not gone to court as yet and is innocent until proven guilty. Mr. Johnson told of the problem with theft in state buildings as people walk freely through areas and are not challenged. This results in theft of credit cards and so forth.

Orion Jordan, Department of Administration, addressed staffing levels and what could be done in that area. In September of last year a Safety Assessment Committee was formed to address and assess all safety levels.

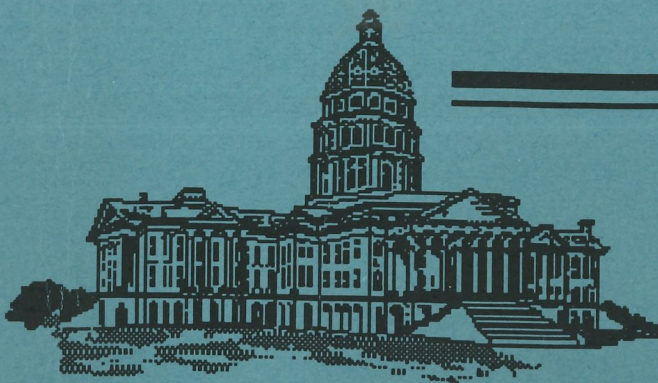
Emil Lutz, Director, Legislative & Administrative Services was present and said a few words to the committee. He stated that he would like to see more security in the building; at least two people on duty at all times, preferably one of those persons being a law enforcement officer; also mandatory sign-in.

One of the committee members stated that in case of heart attack, fire or some other emergency, security would know where the people were. Another member suggested a room number and phone number also.

Mr. Johnson introduced Colonel Lonnie McCollum, Superintendent of the Kansas Highway Patrol, who was present to monitor the meeting.

The Chairman commented that there is a bill in the House that would restrict the expansion of the KanWork program. He wanted the committee to be aware of this. He reminded the committee to be present for Thursday's agenda which is final action on SB 93, SB 96 and SB 126, and adjourned the meeting.

The next meeting is scheduled for February 11, 1993.



PERFORMANCE AUDIT REPORT

**Reviewing the Effectiveness of the
Capitol Area Security Patrol**

**A Report to the Legislative Post Audit Committee
By the Legislative Division of Post Audit
State of Kansas
January 1993**

93-33

*Attachment 1
2/10/93*

Legislative Post Audit Committee

Legislative Division of Post Audit

THE LEGISLATIVE POST Audit Committee and its audit agency, the Legislative Division of Post Audit, are the audit arm of Kansas government. The programs and activities of State government now cost about \$6 billion a year. As legislators and administrators try increasingly to allocate tax dollars effectively and make government work more efficiently, they need information to evaluate the work of governmental agencies. The audit work performed by Legislative Post Audit helps provide that information.

We conduct our audit work in accordance with applicable government auditing standards set forth by the U.S. General Accounting Office. These standards pertain to the auditor's professional qualifications, the quality of the audit work, and the characteristics of professional and meaningful reports. The standards also have been endorsed by the American Institute of Certified Public Accountants and adopted by the Legislative Post Audit Committee.

The Legislative Post Audit Committee is a bipartisan committee comprising five senators and five representatives. Of the Senate members, three are appointed by the President of the Senate and two are appointed by the Senate Minority Leader. Of the Representatives, three are appointed by the Speaker of the House and two are appointed by the Minority Leader.

Audits are performed at the direction of the Legislative Post Audit Committee. Legislators or

committees should make their requests for performance audits through the Chairman or any other member of the Committee. Copies of all completed performance audits are available from the Division's office.

LEGISLATIVE POST AUDIT COMMITTEE

Representative James E. Lowther, Chair
Representative Tom Bishop
Representative Duane Goossen
Representative Walker Hendrix
Representative Ed McKechnie

Senator Alicia Salisbury, Vice-Chair
Senator Anthony Hensley
Senator Phil Martin
Senator Lana Oleen
Senator Todd Tiahrt

LEGISLATIVE DIVISION OF POST AUDIT

800 SW Jackson
Suite 1200
Topeka, Kansas 66612-2212
Telephone (913) 296-3792
FAX (913) 296-4482

PERFORMANCE AUDIT REPORT

REVIEWING THE EFFECTIVENESS OF THE CAPITOL AREA SECURITY PATROL

OBTAINING AUDIT INFORMATION

This audit was conducted by Sharon Patnode, Allan Foster, and Kelan Kelly, Auditors, of the Division's staff. If you need any additional information about the audit's findings, please contact Ms. Patnode at the Division's offices.

TABLE OF CONTENTS

SUMMARY OF AUDIT FINDINGS

REVIEWING THE EFFECTIVENESS OF THE CAPITOL AREA SECURITY PATROL

An Overview of the Capitol Area Security Patrol	3
Does the Capitol Area Security Patrol Provide Adequate Security For Selected State-Owned or Leased Buildings?.....	8
Conclusion.....	17
Recommendations	18
APPENDIX A: Summary of State Employees Survey Results.....	19
APPENDIX B: Summary of State Legislator Survey Results.....	23
APPENDIX C: Agency Responses.....	27

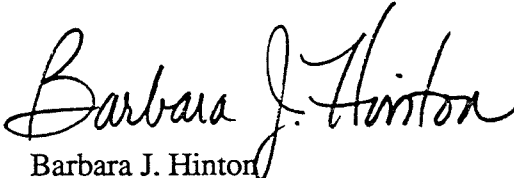
REVIEWING THE EFFECTIVENESS OF THE CAPITOL AREA SECURITY PATROL

Summary of Legislative Post Audit's Findings

The Capitol Area Security Patrol is responsible for providing security services in and around State-owned and leased buildings throughout Shawnee County. The Security Patrol's 50 employees are under the supervision of the Kansas Highway Patrol. Security Patrol police officers provide external security for 58 State buildings, six parking lots, and the Governor's Mansion. Security Patrol guards provide internal security at five State buildings under a contract with the Department of Administration. Funding for the Security Patrol comes from this contract and the State General Fund.

Does the Capitol Area Security Patrol provide adequate security for selected State-owned or leased buildings? We found that relatively few State employees experienced or were aware of security-related problems during the last year. In general, employees who reported a problem were satisfied with the promptness of the Security Patrol's response, but not with the resolution of the problem. The most common security-related problems were thefts of personal property and harassment by panhandlers or demonstrators. The Security Patrol cannot prevent many of the problems mentioned by State employees, but it can take measures to reduce the frequency of problems. We found that the Security Patrol does not have enough staff to fulfill the requirements of its contract with the Department of Administration or to provide the level of service some State officials and employees want. The Security Patrol's staff qualifications and training requirements were similar to those of private security forces and Capitol security forces in other states, although it could not always document that its staff met them. During the time period we reviewed, the Security Patrol's staff appeared to be following the agency's established procedures. However, in a number of areas the Security Patrol did not have written policies and procedures that seemed necessary to ensure that adequate security was provided. Finally, we noted that the State Capitol and the Landon and Docking State Office Buildings were potentially unsafe, either because doors were locked after hours or because of inadequate fire alarm and detection systems.

This report includes recommendations for improving security and safety for employees and members of the public in State buildings. We would be happy to discuss these recommendations or any other items in the report with any legislative committees, individual legislators, or other State officials.


Barbara J. Hinton
Legislative Post Auditor

Reviewing the Effectiveness of the Capitol Area Security Patrol

The Capitol Area Security Patrol operates under the jurisdiction of the Kansas Highway Patrol. It is responsible for providing internal security at six State buildings, and external security at six parking lots in the Capitol Complex area and 58 State-owned or leased buildings scattered throughout Shawnee County. The Security Patrol enforces Kansas Administrative Regulations regarding parking on State grounds, as well as general conduct on State-owned or leased property. (Recently, the Highway Patrol internally changed the name of the Security Patrol to the Capitol Police. In this report, we will continue to refer to it as the Security Patrol.)

The Kansas Governmental Operations Accountability Law (K-GOAL) requires the Legislative Division of Post Audit to complete an audit of the Capitol Area Security Patrol by the 30th day of the 1993 regular session of the Legislature. As allowed by law, the Legislative Post Audit Committee specified the objectives and scope of the audit. Specific concerns had been expressed that the Security Patrol did not respond to calls on a timely basis, that it was not thorough in investigating or following up on complaints, and that it did not have sufficient staff on duty to provide security for the Capitol.

Our audit work focused on the following buildings and parking lots: the State Capitol, Docking and Landon State Office Buildings, the building at 512 W. 6th Street housing the Division of Alcoholic Beverage Control and some offices of the Department of Human Resources, and the six State-owned parking lots in the Capitol Complex.

This audit addressed the following question:

- 1. Does the Capitol Area Security Patrol provide adequate security for selected State-owned or leased buildings?**

To answer this question, we reviewed State statutes and regulations, contracts for Security Patrol services, and the Patrol's security-related procedures. We interviewed State officials and contacted officials of agencies similar to our Security Patrol in five nearby states, as well as two private security firms. We also surveyed State employees and legislators who regularly use the buildings and parking lots included in this audit's scope. Finally, we accompanied Security Patrol guards during several shifts as they performed their regular duties in the State Capitol and the Docking State Office Building, and rode with Security Patrol police officers as they patrolled State-owned parking lots as well as the 58 buildings under the Patrol's jurisdiction. In conducting this audit, we followed all applicable government auditing standards set forth by the U.S. General Accounting Office.

Although relatively few employees reported that they experienced or knew about a specific security-related problem in the past year, we found that there were security

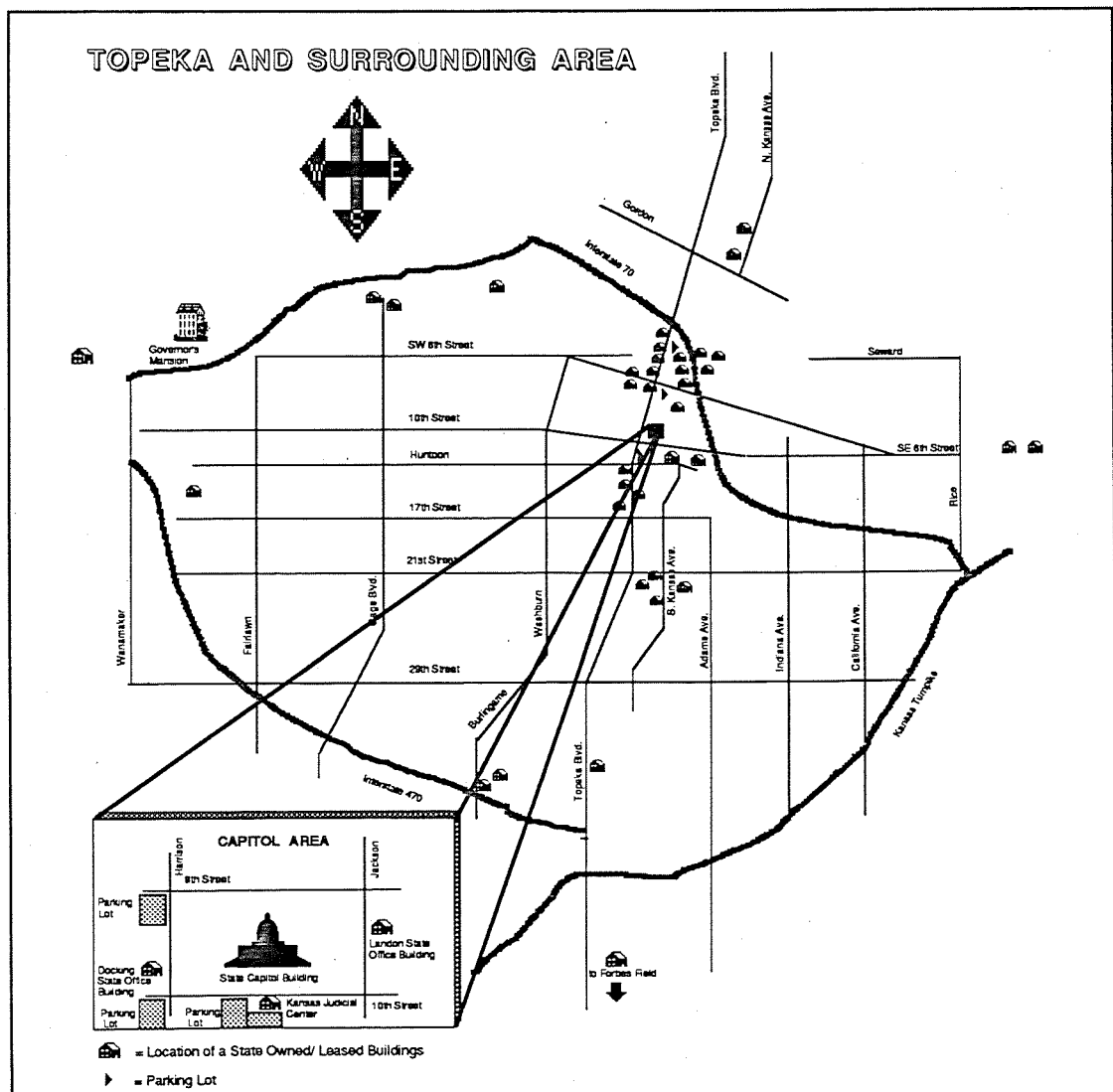
weaknesses at the buildings included in this audit. Some of those weaknesses were within the Security Patrol's control and others were not. The Security Patrol did not have enough staff to carry out its contractual responsibilities, or to provide the level of security coverage wanted by some State employees and officials. The Security Patrol did not have written procedures for its staff to follow in some significant areas such as prioritization of incoming telephone calls and an action plan in case of an assassination attempt. Finally, we found that some of the State buildings lacked important security measures such as fire alarms and crash bars on doors. The lack of such devices could potentially endanger the lives of individuals working in those buildings.

These and related findings will be discussed in more detail following a brief overview of the Capitol Area Security Patrol.

An Overview of the Capitol Area Security Patrol

State law places the Capitol Area Security Patrol under the supervision of the Kansas Highway Patrol, and gives the Security Patrol's police officers the power and authority of law enforcement officers. This authority is confined to State-owned or leased property, and includes making arrests for violations of State law or City ordinances, writing parking tickets, and enforcing State regulations regarding activities allowed on State property.

The Security Patrol provides internal security at six State buildings and external security at 58 other buildings and six parking lots. These buildings are scattered over a large area, ranging from the Grain Inspection Office at 1208 N. Kansas Avenue on the north, to Forbes Field on the south, to the Department of Revenue's warehouse at 3440 S.E. 10th on the east, to the Kansas Museum of History at 6420 W. 10th on the west. The accompanying chart shows the general location of these buildings across Shawnee County.



To carry out its responsibilities, the Security Patrol has a total of 50 employees. (An organizational chart is presented on the facing page.) It has two main types of staff—police officers and guards. Police officers are assigned to patrol building exteriors and parking lots, while guards are assigned to the five major State-owned buildings to provide internal security in those buildings.

The Security Patrol's 19 police officers are actual law enforcement officers who receive law enforcement training from the Highway Patrol. Except for the Commander and the Administrative Lieutenant, however, they are not members of the Highway Patrol. Three police officers serve in administrative-type positions, such as desk sergeant, investigator, and field operations lieutenant. The remaining sixteen police officers work regular patrol shifts.

Police officers work three shifts a day, with two officers assigned to each shift. During the day shift, they patrol and enforce parking regulations in the six State-owned parking lots in the Capitol Complex area, respond to emergency calls from a guard assigned to the Docking State Office Building, who acts as a dispatcher, and provide escorts for certain State employees—such as those who transfer moneys to the State Treasurer's Office.

During the evening and night shifts there are two officers on duty per shift to patrol all 58 State-owned or leased buildings under the Security Patrol's jurisdiction. These officers check for unlocked doors or windows and for any suspicious activity. In addition, each shift has a third police officer assigned to provide security at the Governor's Mansion on a 24-hour basis.

Locations of Capitol Area Security Guards

Docking
State
Office
Building

Landon
State
Office
Building

State
Capitol

Judicial
Center

Health &
Environment
Building
at Forbes

Day	2	1	1	1	1	Supervisor
Evening	1	1	1	1	1	Supervisor
Night	1	1	1	1	1	

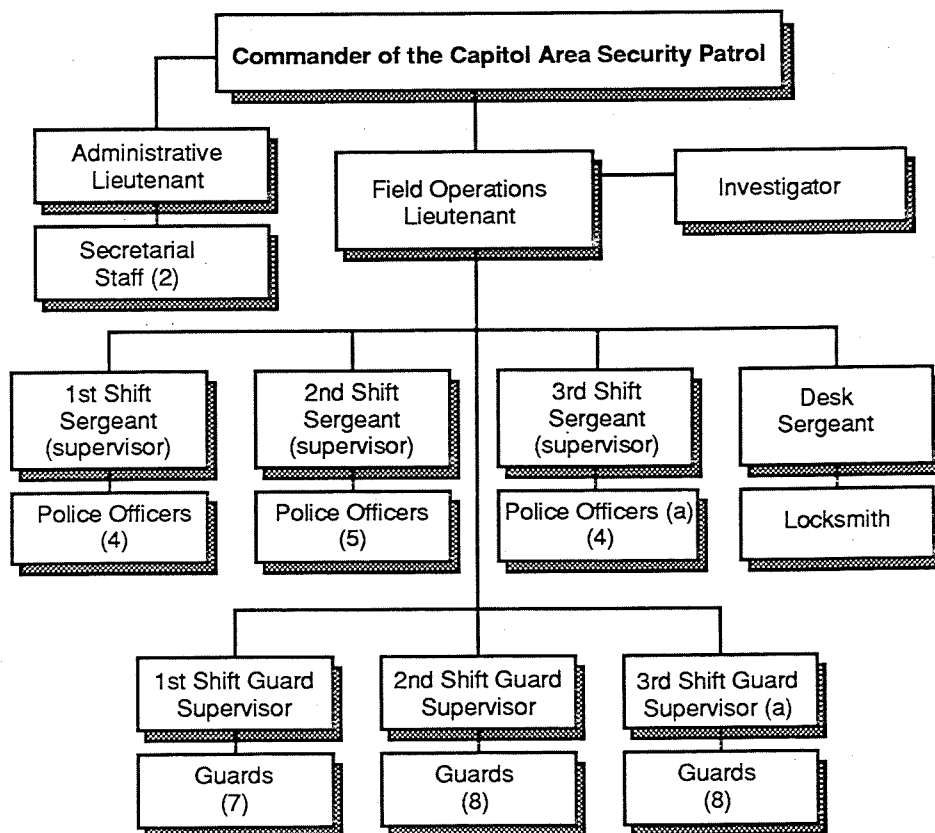
There are 26 Capitol Area Security guards who provide around-the-clock internal security at the five State buildings shown above. In most of the buildings, the guards lock or unlock the doors at the appropriate times, patrol the buildings looking for anything out of order, and monitor people entering and exiting the buildings. During the day shift, the guards also provide information to the public. The guard on duty at the Docking State Office Building acts as a dispatcher for all the Security Patrol staff on duty.

Guards are generally available at a central location in the buildings. However, between two and four times per shift, guards patrol the buildings. During these times they are away from their posts.

The Security Patrol's 26 guards and guard supervisors do not receive law enforcement training, and do not have police powers. Guards are assigned to provide internal security 24-hours a day, seven days a week for the State Capitol, the Docking and Landon State Office Buildings, the Judicial Center, and the Department of Health and Environment's building at Forbes Field.

Guards work three shifts a day, generally with only one guard assigned per shift, per building. They usually are stationed somewhere on the first floor of those buildings. Their duties vary somewhat, but generally during the day they patrol the building interiors, monitor people coming and going from the buildings, and provide information to the public. During the evening and night shifts, they patrol the building interiors checking for any evidence of fire, water damage, unauthorized people in the building, and the like, and control people's access into and out of these buildings.

Capitol Area Security Patrol Fiscal Year 1992 Organizational Chart



(a) One police officer position and the third shift guard supervisor position are currently vacant.

Funding for the Security Patrol comes from both the State General Fund and from a contract with the Department of Administration. In general, the contract covers the activities of the guards, and the General Fund moneys cover the activities of the police officers.

The contract with the Department of Administration requires the Security Patrol to provide 24-hour, seven-day-a-week security guard coverage for the five major State buildings. It also includes funding for one police officer to patrol the parking lots and for a locksmith. The Security Patrol estimates that it will spend about \$1.5 million in 1993. That amount represents about four percent of the total Highway Patrol budget. The following table shows the change in expenditures and staffing levels from fiscal years 1989 to 1993.

**Capitol Area Security Patrol
Expenditures and Staffing Changes Over Time**

	<u>FY 1989</u>	<u>FY 1993 (Rev. Est.)</u>	<u>% Change 1989-1993</u>	<u>% Change Adjusted for Inflation</u>
General Fund ^(a)	\$436,980	709,500	62.4%	47.8%
Contracts	869,397	780,682	-10.2%	-24.8%
Total				
Expenditures	\$1,306,377	1,490,182	14.1%	-0.5%
Full-Time Equivalent Positions: ^a				
	67.5	48.8	-27.7%	
General Fund Positions:	18.0	22.3	23.9%	
Contract Positions:	49.5	26.5	-46.5%	

^(a) These expenditures and full-time equivalent position totals do not include two administrative employees whose salaries are paid by the Kansas Highway Patrol.

As the table shows, from 1989 to 1993, the Security Patrol's total expenditures rose by about \$180,000; however, adjusted for inflation, a slight decrease occurred. General Fund expenditures increased by about \$270,000 or 48 percent, adjusted for inflation. The large increase in General Fund expenditures resulted from a major personnel reclassification in fiscal year 1990, which upgraded 65 positions and salaries resulting in significantly higher salary costs.

Over the same period, contract expenditures decreased by nearly ten percent, or 25 percent adjusted for inflation and the number of full-time-equivalent employees dropped by nearly 28 percent. These latter two changes are related. In fiscal year 1990, the Department of Administration recalculated the number of staff it thought were needed

to provide the desired security coverage, resulting in the elimination of 11 positions. Another 11 positions were cut when the Kansas Museum of History discontinued its contract. Following the Security Patrol's personnel reclassification, officials of the Kansas Museum of History decided they could no longer afford the services of the Security Patrol. They discontinued their contract with the Security Patrol in fiscal year 1990 and contracted with a private security firm instead.

Does the Capitol Area Security Patrol Provide Adequate Security For Selected State-Owned or Leased Buildings?

Although relatively few employees reported that they experienced or knew about a specific security-related problem in the past year, we found that there were security weaknesses at the buildings included in this audit. Some of those weaknesses were within the Security Patrol's control and others were not. The Security Patrol did not have enough staff to carry out its contractual responsibilities, or to provide the level of security coverage wanted by some State employees and officials. The Security Patrol did not have written procedures for its staff to follow in some significant areas such as prioritization of incoming telephone calls and an action plan in case of an assassination attempt. Finally, we found that some of the State buildings lacked important security measures such as fire alarms and crash bars on doors. The lack of such devices could potentially endanger the lives of individuals working in those buildings.

About 14 Percent of the Employees We Surveyed Said They Were Aware of a Security-Related Problem In the Past Year

To determine the prevalence of security-related problems people may be experiencing, we surveyed State employees who work in the Capitol Complex area and who would be most familiar with such problems on a day-to-day basis. We sent out more than 3,300 questionnaires to Legislators and State employees in the Docking and Landon State Office Buildings, the State Capitol, and the building at 512 W. 6th, which houses the Division of Alcoholic Beverage Control and staff from the Department of Human Resources. More than 1,900 employees responded to our survey, for a response rate of nearly 60 percent.

Of those who responded to our survey, 267 people, or 14 percent, told us they were aware of a security-related problem in the past year. Those problems most often mentioned are described in the table below. Please note that employees may have mentioned more than one problem each, and some employees may have reported the same incidents.

As the table on the next page shows, by far the most common security-related problems were thefts of personal property and harassment by panhandlers or demonstrators. Security Patrol staff are unable to prevent all thefts of employees' personal belongings, to keep "panhandlers, demonstrators, or loiterers" from being in public places, to prevent cars being vandalized, and the like without having significantly more staff and a continual presence in buildings and parking lots.

In addition, the Security Patrol has no control over such things as the amount of lighting in and around State buildings and parking lots. See the accompanying boxes for descriptions of the Security Patrol's prevention activities and plans for increased parking lot lighting.

Problems Pointed Out By Survey Respondents

Problem	Number of Times Mentioned As A Problem	% of Total Problems Reported
Theft (primarily theft of personal property, such as money being taken from an employee's desk drawer)	183	30%
Harassment (for example, panhandlers asking employees for money, or demonstrators who verbally harassed employees as they passed by on the sidewalk)	126	20%
Cars vandalized (in State parking lots)	52	8%
Non-State employees loitering in State buildings (for example, unsupervised children wandering around after school)	39	6%
Inadequate lighting around State buildings and parking lots (for example, people working late must walk to their cars in deserted, dark parking lots)	32	5%
No Security Patrol personnel available (when assistance requested)	29	5%
Unauthorized people given access to State offices	13	2%
Customers threatening State employees	11	2%
Unauthorized cars in State parking lots	10	2%
Inadequate parking	7	1%
Other ^(a)	119	19%

^a The problems in this section had nothing in common.

The types of problems that would be within the the Security Patrol's control include such things as responding promptly to calls for assistance and following through with appropriate investigations or actions, preventing unauthorized people from being in

State buildings after regular working hours, preventing unauthorized cars from being in State parking lots, and the like. As the table shows, survey respondents did report some of these types of problems, but the numbers were quite small.

In our survey, however, we also asked people to tell us how happy they were with the Security Patrol's promptness in responding to problems, and with its resolution of their problems. About two-thirds of the 267 people who said they were aware of a security-related problem—or 180 people—told us they had reported at least one problem to the Security Patrol. Of these 180 people:

- **About one-third said they were unhappy with the promptness of the Security Patrol.** Most of these people had reported problems with theft, vandalism to cars, and harassment by panhandlers and demonstrators. For example, an employee from the Docking Building had an accident in a State parking lot. According to the employee, it took 30 minutes for the Security Patrol to arrive in the parking lot to take the accident report.
- **About one-half were unhappy with the resolution of their problem.** These people also mostly reported problems with theft, harassment by panhandlers and demonstrators, and vandalism to cars. For example, a woman working in the Docking Building had \$6 stolen from her desk drawer. While she did not expect to get her money back, she remained upset that such thefts continued to occur in her office. Another example: an employee from the Landon Building discovered that he had a flat tire one evening after work. He requested help from the Security Patrol because he was being harassed by a group of youths while trying to change the tire. According to the employee, Security Patrol staff never showed up, although "they drove by three times, and (my car) was the only one on the SE parking section of the (Capitol) grounds."

The accompanying profiles describe other problems employees related to us.

During this audit, we identified several factors that could be contributing to the kinds of problems identified above, including insufficient staffing levels, inadequate

State Employees Expressed Concern About Inadequate Lighting in Parking Lots and Lack of Parking Spaces

Many of the State employees who responded to our survey expressed concerns about inadequate lighting in the State-owned parking lots. In May 1993, construction is scheduled to begin on new lighting in all the State-owned parking lots. The installation will be done by a private contractor, and should be completed by the end of the summer.

Concerns also were expressed about the difficulty in obtaining a permit to park in the State-owned lots, despite an apparently large number of vacant spaces in those lots.

According to the parking administrator for the Division of Facilities Management, many people who are paying for a permit do not actually park in State lots. The Division has started sending out new applications to all State employees who purchase parking permits. They hope many of those who no longer park in these lots will stop paying for a permit if they are required to complete a new application form. This may mean more parking for those currently on a waiting list; however, we are not sure a lot of spaces will open because of this new application process.

Employees Express Concerns About Entry, Exit, and Parking at the State Capitol

Two problems most frequently expressed by the employees and legislators we surveyed who work in the Capitol concerned the Security Patrol's enforcement of parking regulations on the Capitol grounds during the session, and the difficulties people experienced in entering or leaving the building after hours. Several people provided examples:

One person who has experienced parking problems said, "I don't believe they make much effort to keep autos without decals out of the legislative spots. This 'enforcement' couldn't be worse." Another person who also thought that enforcement was lax said: "lobbyists park with impunity and are never ticketed and repeat offenders [are] never towed."

Many employees complained about the practice of locking all Capitol doors after hours. Once the doors are locked, employees must find a guard to let them in or out of the building. One legislator who experienced problems leaving the building told us, "I waited for the security patrol to make it back to the information booth 45 minute[s] one evening."

Other people have experienced problems getting into the Capitol after hours. One told us, "During the session on Sunday afternoons and evenings, it is often difficult to get in the Capitol. Often staff is off somewhere and entry is quite delayed. They don't seem to be concerned - nor is there any urgency to let you in the building."

Employees at 512 W. 6th Street Reported Several Problems

Employees of the Division of Alcoholic Beverage Control and the Department of Human Resources who work in the building at 512 W. 6th frequently commented to us that their major security concern was harassment by vagrants loitering near their building. The building at 512 W. 6th adjoins a liquor store, and people frequently drink in the alley behind the building, according to State employees. Employees must cross the alley to reach the parking lot, where they reportedly meet frequent requests for money or verbal harassment.

Because of such problems, the Department of Human Resources has hired a private security guard, who patrols the area twice a day. However, the guard goes off duty at 3:45 p.m., before most employees get off work. Employees who need security assistance after 3:45 p.m. must call the Security Patrol or, until 5 p.m., the Department of Human Resources Internal Security Division.

Security Patrol police officers may only stop to check the exterior of 512 W. 6th once in a shift.

Another concern was the recent theft of weapons from the offices of the Division of Alcoholic Beverage Control. The Security Patrol has made several recommendations for improving building security. The Division has implemented some of the improvements but not all. The building is not owned by the State but is leased from a private owner by the State agencies occupying it.

staff qualifications, failure to follow procedures or requirements, and poor or inadequate procedures. The rest of this question describes these areas in some detail.

The Security Patrol May Not Have Enough Staff To Provide Necessary Security

Based on our review of the Security Patrol's staffing levels, it appears that the Patrol does not have enough staff to fulfill the basic requirements of its contract with the Department of Administration, and does not have enough staff to provide the level of service some State officials and employees told us was necessary.

The Patrol's contract with the Department of Administration does not provide for enough staff to cover employee absences. In calculating the number of guards necessary to provide security for the Capitol and the Landon and Docking State Office Buildings, the Department of Administration did not appear to make adequate provisions for sick leave and holidays in its contract with the Security Patrol. Based on our computations, another three guards would be necessary to provide the coverage

Security Patrol Responds to Employee Problems

The security problems most frequently reported to us by State employees were theft of personal or State property and harassment of employees by panhandlers or demonstrators. The Security Patrol has taken some action to address these problems.

The OWL (Office Watch League) is a crime prevention program modeled after the neighborhood watch program. Under the OWL program, the Security Patrol had two employees trained in crime prevention techniques who helped State employees learn how to prevent crimes like theft from occurring. Currently, Security Patrol Staff told us, the OWL program is on hold because of a lack of resources, but they hope to use it again soon as a means of reducing theft in State buildings.

The Security Patrol also has hired an investigator to assist in the prevention and resolution of theft on State property. This investigator has helped the agency resolve some major thefts. Last year more than \$15,000 in stolen State property - primarily laptop computers - was recovered.

The Security Patrol will respond to complaints concerning panhandlers or demonstrators; however, there is little it can do. Security Patrol officials told us when staff are available, they will watch employees leave buildings after hours to help ensure that employees make it safely to their cars without harassment. Demonstrators at the Capitol must first get a permit to demonstrate from the Department of Administration. Without a permit, they may be asked to leave. Most often, however, demonstrators congregate on City sidewalks where the Security Patrol has no jurisdiction to intervene.

called for in the Department of Administration's contract with the Security Patrol. This staff shortage had the following impact on security:

- More than 40 percent of the time period we reviewed, only one guard was on duty in the Docking State Office Building during the day shift, even though the Patrol's contract calls for two guards. Patrol officials told us that one employee being on extended sick leave accounted for the difference.

- Supervisors in the Docking building were performing guard duties which prevented them from supervising other guards on duty in the five State buildings for which the Patrol provides internal security.

Some State employees and officials also told us they would like to see more guards on duty. Officials from Legislative Administrative Services told us they thought two security personnel should always be on duty in the Capitol. With two people on duty, one guard could stay in the rotunda area. Administrative Services Officials thought a guard should be added to the evening and night shifts and a police officer added to the day shift in the Capitol. They also thought the Security Patrol should have more police

officers patrolling the parking lots during the legislative session. The Department of Administration has authorized one additional police officer devoted solely to parking patrol beginning January 11, 1993, which may provide some of the additional coverage desired.

The Security Patrol has tried to have an officer in the rotunda more often during the evening shift. They have done this by cutting back on the number of building tours that the guard on the evening shift conducts. A building tour involves checking every floor and every room and hallway for fires, water leaks, unlocked doors, and unauthorized individuals. The Security Patrol's building security manual says that four such tours should be conducted on the evening shift, but the guard on duty currently only conducts

two tours. Even so, these two tours take a total of about five hours, meaning that the guard will not be available in the rotunda during a substantial part of the shift.

Officials from the Security Patrol told us that they do not have enough staff to provide the level of security services expected of them. Security Patrol officials would like to see the following increases in staff: the addition of one communication officer per shift in the Docking State Office Building, one additional guard on both the day and evening shifts in the Capitol, and one additional police officer on each shift for patrol duties. The Security Patrol has asked for some of these positions in previous budget requests but has never received funding for them.

A Number of Nearby States Use Electronic Entry and Exit Devices In Place of Staff to Provide Security

In conducting this audit, we contacted officials in Colorado, Iowa, Missouri, Nebraska, and Oklahoma to compare their Capitol security forces to ours.

All states had some type of security force, but four of the five states we contacted used electronic entry and exit devices to control access to buildings, rather than employing guards for that purpose. Such systems use a key-card or digital keypad to control entry into buildings after-hours. In Colorado and Nebraska, these devices are connected to a computerized security system so that a guard in a central location knows who comes and goes from each building.

The use of such systems eliminates the need for guards or officers to be present in each building to let people in and out. For example, in Colorado, Iowa, and Nebraska, after-hours shifts are staffed by one person who monitors the security system for the entire Capitol Complex area, and one person who provides external security, either on foot or by car. In contrast, in Kansas, the Security Patrol has guards in five buildings on all after-hours shifts, and a police officer at the Governor's Mansion. The Judicial Center is the only building that has an electronic entry and exit system. The box on the following page gives more detail about the surrounding states' security measures.

State Employees Are Concerned about Locked Doors and No Fire Alarm System in the Capitol

Many employees working in the Capitol complained about doors being locked after hours and about not being able to get out. Once the doors are locked, a person wanting to leave the building must find a guard to unlock the door. If the guard is conducting a building tour and is not in the rotunda, the person who wants to leave must call the Security Patrol office in the Docking State Office Building. The dispatcher then radios the guard to return to the rotunda. This process can be time-consuming, and would be extremely dangerous if a fire or other emergency occurred.

A Comparison of the Capitol Area Security Patrol With Similar Agencies in Surrounding States

The capitol security agencies in the surrounding states vary widely in size and jurisdiction. As the table below shows, all the states generally provide similar functions of controlling entry, maintaining order, enforcing parking regulations, and the like. Colorado is the exception; its security agency has very limited functions and a small staff. They call the Denver police for any emergencies.

	<u>Kansas</u>	<u>Colorado</u>	<u>Iowa</u>	<u>Missouri</u>	<u>Nebraska</u>	<u>Oklahoma</u>
# of Staff	46	9	25	30	15	72
# of Buildings	58	14	20	17	14	80
# of Parking Lots	6	0	20	20	5	12
Police Powers?	Officers Only	No	Yes	Sergeants and Above	No	Yes
Use Electronic Entry & Exit?	No	Yes	Most Buildings	Yes	Yes	Some
Staff at Statehouse	1 each shift	0	1 each shift	0	1 on day shift	3 - 5 per shift

Security Staff Functions in Capitol Complex

		Electronically		Electronically	Electronically	
Control Building Entry and Exit	Yes	Only	Some	Only	Only	Yes
Maintain Order	Yes	No	Yes	Yes	Yes	Yes
Provide Information	Yes	No	Yes	Yes	Yes	Yes
Enforce Parking	Yes	No	Yes	Yes	Yes	Yes
Investigate Crimes	Yes	No	Yes	Yes	No	Yes
Conduct Exterior Rounds	Yes	Yes	Yes	Yes	Yes	Yes
Respond to Emergencies	Yes	No	Yes	Yes	No	Yes
Control Traffic on Area Streets	No	No	No	No	No	Yes

Staff size in the agencies and the number of buildings and parking lots they are responsible for vary widely. Missouri was the most similar to Kansas' Security Patrol in the structure of its staff. Its sergeants and above were similar to the Security Patrol's police officers (both have police powers), and the ranks lower than sergeant were similar to the Security Patrol's guards. The other states tended to have either guards only, or police officers only. Because of the limited information we had about the size and location of other states' buildings, we were unable to make meaningful comparisons such as staff-per-building.

In researching this situation, we learned through the State Fire Marshal's Office that buildings holding more than 100 people must have at least one door equipped with a "crash bar" to allow people to leave even if the door is locked. We asked officials at the Division of Facilities Management why crash bars had never been installed in the Capitol. They told us they thought the present arrangement of a guard unlocking the door was adequate. They also said the Capitol doors were not designed for such hardware, and installing it would be very costly.

Capitol employees were also concerned about the lack of a fire alarm system in the Capitol. Without an alarm, Security Patrol guards would have to go to each floor to warn people of a fire and ask them to leave, a time-consuming and dangerous proposition. Officials from the Fire Marshal's Office told us that the problems with both the lack of crash bars and fire alarms will be identified in a soon to be completed audit by the Fire Marshal's Office. Officials also noted concerns regarding the fire alarm and detection systems in the Landon and Docking State Office Buildings.

We asked an official at the Kansas State Historical Society if installation of a fire alarm system in the Capitol presented a problem in light of historic preservation concerns. The official told us that the Historical Society would not object to the installation of either smoke or fire alarms.

Although the Security Patrol's Staff Qualifications and Training Requirements Were Similar To Those of Other Security Forces, It Could Not Document That Employees Met Them

Besides contacting officials in the five nearby states to determine staff qualifications and training requirements, we also contacted two local private security firms.

The required qualifications of the Security Patrol's guards and police officers differ. Security Patrol police officers must be 21 years old, have a high school diploma or its equivalent, pass a background check (for prior felony or serious misdemeanor convictions), complete a law enforcement training program, be certified annually in CPR and basic first aid, and complete 40 hours annually of law enforcement training. Guards only need to have a high school diploma or its equivalent, and pass a background investigation.

Generally, we found that the staff qualifications for all Security Patrol staff were the same as those for security staff in the five states we contacted, and that the requirements for the Security Patrol's guards were the same as those for guards employed by private security firms. Further, the on-going training required of Security Patrol staff was similar to other states.

Although these requirements were similar, the Security Patrol could not always document that its staff met them. We reviewed the personnel files of 26 of the Security Patrol's 46 security staff, and found that the files of several police officers did not contain results of background checks or physical and psychological examinations. Files for two

Employees Find Security Patrol Helpful and Responsive

Many State employees told us that the Security Patrol was doing a good job. Some of their comments are presented below.

Upon arriving for work at the Landon Building one morning, an employee found the doors locked. After waiting about 10 minutes, "An alert patrol officer noticed me and notified the guard on duty to unlock the door. I was pleased that shortly after the incident, a phone system with numbers to call was posted between the doors so the situation wouldn't be repeated."

An employee in the Docking Building reported the theft of cassette tapes from a vehicle parked in a State parking lot. The Security Patrol responded and recovered the stolen property.

Another employee working in the Landon Building reported receiving harassing and obscene phone calls. The Security Patrol responded immediately and took a report from which, "They were able to trace the calls to the person who was doing them, and the calls stopped."

Employees often commented positively regarding the Security Patrol's helpfulness in getting employees' cars started. The car of a Capitol employee needed a jump-start. "I got help within 15 minutes," the employee reported, and "I really appreciated that."

A Legislator described the importance of guards doing building tours in the Capitol. "I am frequently in my office late at night and the Security Patrol has always been very good about reminding me to lock my door."

guards lacked documentation of high school graduation. Kansas Highway Patrol officials told us that the required background check documentation was routinely destroyed before 1981. Because of the importance of such information in determining whether an individual is qualified to carry out the duties required, such information should be maintained.

Security Patrol Staff Followed the Agency's Established Procedures, But Additional Procedures Are Needed To Ensure That Adequate Security Is Provided

We reviewed agency records that documented the daily activities of the Security Patrol's guards for a one-week period in October 1992, and we compared reported activities to the agency's required procedures. We found that, generally, guards performed the duties required of them in the Capitol and the Landon and Docking State Office Buildings.

We also accompanied Security Patrol staff as they performed their regular duties. We accompanied guards during the evening

shift at both the Capitol and Docking State Office Buildings. We went with the guards as they conducted building tours, and observed their activities when they were not conducting tours. We also went on patrol with police officers for part of a day shift and part of an evening shift. While we cannot ensure that they always perform required duties, in general, during our observations both guards and police officers performed the duties required of them and seemed to know what to do without needing to refer to procedures manuals.

In conducting this audit, we also determined whether the Security Patrol had policies and procedures addressing events that might happen, such as a bomb threat in the Capitol.

Generally, we found that the Security Patrol had written policies and procedures for handling a number of important areas such as ensuring that replacements are brought in when someone calls in sick, dispatching responsibilities, complaints from the public, and bomb threats. Although unwritten, informal policies existed in some cases, the Security Patrol lacked written policies and procedures for the following situations:

- **Prioritization of incoming telephone calls** - Without a formal procedure in this area, the Security Patrol may not respond to the most urgent calls first.
- **Staggering of patrol patterns** - Unless police officers vary their patrol routes, these patrol patterns become very predictable and people can avoid them.
- **Action plans for emergencies that happen when only one person is on duty.** Without such a policy, staff may not be able to deal effectively with an emergency situation.
- **Riots, demonstrations on and off State property, disturbances in legislative meetings, or assassination attempts** - Without formal procedures, guards or officers may not know how to react, and people could be threatened or hurt.
- **Suspicious people loitering in and around State buildings** - Without a policy, this situation might be dealt with inconsistently and unsuccessfully.

In order to give Security Patrol employees a guide on which to base their behavior on the job, particularly in highly stressful, emergency situations, formal policies and procedures such as those described should be developed and incorporated into employee training.

Conclusion

On balance, relatively few State employees experienced security-related problems during the past year. Most of the reported problems were generally things like harassment by vagrants, thefts of small amounts of money from desk drawers, and problems in the parking lots such as vandalism or unauthorized parking. Such problems are important to the employees who encounter them, and those employees have a right to expect that reasonable efforts will be made to minimize them. On the other hand, the Capitol Area Security Patrol does not have the staff to maintain a constant presence in all State offices and parking lots. To do so would be costly for the State, and the costs would likely outweigh the benefits derived. Therefore, the State needs to look for ways to ensure that an adequate level of security is provided in a cost-effective manner. This could include looking at the use of electronic and mechanical devices to monitor buildings and to control entry and exit, which could reduce the need for a number of employees. However, until such actions are taken, it is important to ensure that the Patrol has adequate staff to do the job they are being asked to do, and that it has adequate procedures to cover emergency situations that could occur.

Recommendations

1. To improve security and safety for employees and members of the public in State buildings, the Department of Administration should do the following:
 - a. Assess the cost and provide the Legislature with a proposal for funding fire detection equipment and a fire alarm system for the Capitol Building, and crash bars for the doors.
 - b. Review its contract with the Capitol Area Security Patrol to ensure that the contract makes adequate provisions for holidays and sick and annual leave so that the Patrol will have enough employees to provide the level of coverage specified in the contract.
 - c. Assess the feasibility of adding additional guard positions to its contract with the Patrol so that someone is always on duty in the Capitol rotunda to allow people to enter and leave the building when it is locked. As an alternative, the Department should consider the feasibility of purchasing electronically controlled entry and exit devices for State buildings to minimize the amount of staff needed for security in State buildings and provide the 1993 Legislature with its findings in this area.
2. To ensure that all Security Patrol staff are aware of proper procedures to be followed in such situations as riots or other disturbances on State property, the Patrol should develop written procedures governing these and other types of situations mentioned in this report, and should train all staff regarding those procedures.
3. To address concerns about the safety of employees working in the building at 512 West 6th Street, the Patrol should meet with officials of the Department of Human Resources and the Division of Alcoholic Beverage Control to develop a plan to address the reported harassment of State employees who work in that building.

APPENDIX A

Summary of State Employees Survey Results

We conducted a survey of State employees working in the Capitol, the Landon State Office Building, the Docking State Office Building and the State-leased building at 512 W. 6th. The survey was designed to determine employees' perceptions about the effectiveness of the Capitol Area Security Patrol. We received 1,819 usable surveys out of 3,149, for a response rate of 58 percent. Results of the surveys are on the following pages.

**Legislative Division of Post Audit
Survey of State Employees Regarding the Effectiveness
of the Capitol Area Security Patrol**

1. In which building do you work?

- | | |
|--|-----|
| <input type="checkbox"/> Capitol Building | 6% |
| <input type="checkbox"/> Docking State Office Building | 67% |
| <input type="checkbox"/> Landon State Office Building | 24% |
| <input type="checkbox"/> 512 W. 6th | 2% |
| <input type="checkbox"/> Facilities Management Staff
(working in several buildings) | 1% |

2. Where do you park?

- | | |
|--|-----|
| <input type="checkbox"/> On the Capitol Grounds | 6% |
| <input type="checkbox"/> 801 Harrison Lot | 5% |
| <input type="checkbox"/> Judicial Center Lots | 28% |
| <input type="checkbox"/> Other State Lot: Please Specify | 4% |
| <input type="checkbox"/> Lot 4 | 13% |
| <input type="checkbox"/> Lot 6 | 9% |
| <input type="checkbox"/> Not in a State Lot | 35% |

3. Which of the following most closely describes your normal working hours?

- | | |
|---|-----|
| <input type="checkbox"/> Days (8:00 - 5:00 or similar shift) | 95% |
| <input type="checkbox"/> Evenings (3:00 - 11:00 or similar shift) | 4% |
| <input type="checkbox"/> Nights (11:00 - 7:00 or similar shift) | 1% |

4. In the past year, have you experienced security problems in the Capitol Complex Area ?

- | | |
|----------------------------------|---------------------------------|
| <input type="checkbox"/> Yes 14% | <input type="checkbox"/> No 86% |
|----------------------------------|---------------------------------|

5. Where have you encountered security problems, and what type of problems have you encountered?
(Please check all that apply and describe in as much detail as possible. Use additional pages if necessary,

1. Theft	30%
2. Harassment on State property	20%
3. Other	14%
4. Cars vandalized	8%
5. Loitering in buildings	6%
6. Inadequate lighting	5%
7. No security personnel available	5%
8. Unauthorized parking	2%
9. Unauthorized persons given access to offices	2%
10. Threatening customers	2%
11. Assault	2%
12. Not checking for proper identification	1%
13. Security did not respond	1%
14. Inadequate parking	1%
15. Cannot get out of the building	1%
Total	100%

6. For any of the problems in question 5, did you notify the Capitol Area Security Patrol?

☐ Yes 74% ☐ No 26%

7. If you reported a problem to the Security Patrol, were you generally satisfied with the promptness of the Patrol's response.

☐ Yes 67% ☐ No 33%

Comments:

8. If you reported a problem to the Security Patrol were you generally satisfied with the resolution of your problem?

☐ Yes 40% ☐ No 60%

Comments:

9. If you reported a problem to the Security Patrol and they did not respond, what reason did they give for not responding?

<input type="checkbox"/> Patrol staff busy	21.0%
<input type="checkbox"/> No staff on duty for that location	8.5%
<input type="checkbox"/> Location not within the Patrol's jurisdiction	3.5%
<input type="checkbox"/> No reason given	44.0%
<input type="checkbox"/> Other	23.0%

10. Have you had any problems with after-hours or weekend security procedures in your building which are either too strict or too lax.

☐ Yes 12% ☐ No 88%

☐ Too Strict 19%

☐ Too Lax 81%

11. Have you encountered any particular problems with the Security Patrol's enforcement of parking regulations in State Parking Lots?

☐ Yes 10% ☐ No 90%

Comments:

APPENDIX B

Summary of State Legislator Survey Results

We conducted a survey of State legislators. The survey was designed to determine legislators' perceptions about the effectiveness of the Capitol Area Security Patrol. We received 87 usable surveys out of 164, for a response rate of 53 percent.. Results of the surveys are on the following pages.

5. If you reported one or more problems to the Security Patrol, were you generally satisfied with the resolution of your problem?

☐ Yes 75%

☐ No 25%

Comments:

6. If you reported a problem to the Security Patrol and they did not respond, what reason did they give for not responding?

☐ Patrol staff busy

☐ No staff on duty

☐ No reason given

☐ Other _____

7. Have you had any problems with after-hours or weekend security procedures in the Capitol as you were attempting to enter the Capitol?

☐ Yes 16%

☐ No 84%

If so, please explain.

8. Have you had any problems with after-hours or weekend security procedures in the Capitol as you were attempting to exit the Capitol?

☐ Yes 16%

☐ No 84%

If so, please explain.

9. Have you encountered any particular problems with the Security Patrol's enforcement of parking regulations?

☐ Yes 19%

☐ No 81%

Comments:

Appendix C

Agency Responses

On January 15, we provided copies of the draft audit report to the Kansas Highway Patrol, Capitol Area Security Patrol, and the Secretary of Administration. Their responses are included as this Appendix.

KANSAS HIGHWAY PATROL

Service—Courtesy—Protection

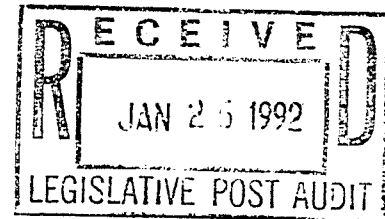
Joan Finney
Governor



Lonnie R. McCollum
Superintendent

January 25, 1993

Ms Barbara J. Hinton
Legislative Post Auditor
Legislative Division of Post Audit
Merchants Bank Tower
800 S.W. Jackson, Suite 1200
Topeka, Kansas 66612-2212



Re: Legislative Post Audit Report

Dear Ms Hinton:

I have carefully reviewed the performance audit of the Capitol Area Security Patrol which was recently completed by your staff. The audit points out certain areas of concern for the safety and security of the thousands of employees who work within the capitol complex each day. I would like to comment on the draft audit report. These comments will be general in nature and will address the following recommendations contained in the performance audit:

No. 1 Improve Security and Safety in State Buildings: The Capitol Area Security Patrol (CASP) has long recognized the difficulty in alerting occupants of the Capitol in the event of fire or other hazard, or for persons to exit the Capitol in the absence of a security officer.

- a. Fire detection and fire alarm system - A smoke detection system is in use at the Capitol, however, this system does not adequately cover the entire building, nor does it provide audible warning to persons in the building.

No public address system is available to provide timely warning of a fire or other danger to those in the Capitol. The only method of warning being word of mouth or, activation of the capitol complex warning system (Plectron monitors).

122 SW SEVENTH STREET
TOPEKA, KANSAS 66603-3847
(913) 296-6800 FAX (913) 296-5956

Crash bars - When a security officer is making a building tour of the Capitol, exiting is indeed nearly impossible as the security officer must secure the exterior doors to prevent unauthorized persons entering the Capitol. During a fire or other emergency, this is indeed dangerous.

Consideration for the installation of crash bars has been made in the past to afford occupants of the Capitol the ability to exit in the event of an emergency when no security officer is present. It seems, however; we have operated under a misconception that crash bars could not be installed on the doors of the Capitol Building due to its' historical nature. As the result of this audit, this reason seems invalid and not considered an obstacle.

Staff members of CASP will be working with the Director of Facilities Management and Director of Legislative Administrative Services to implement procedures to initiate upgrading of the fire detection and warning system and, the installation of crash bars on exterior doors of the Capitol to allow persons to get out of the Capitol.

- b. Contractual Commitments - The Capitol Area Security Patrol and the Director of Facilities Management have begun making a determination of the number of FTE's necessary to meet contractual commitments in specific buildings. The present method used to determine staffing levels is inadequate as it does not appear to take into consideration the current usage rate of leave and compensatory time by CASP personnel.

The Director of Facilities Management has asked that an assessment be made of the number of additional security officers needed in state buildings to provide the level of coverage specified by contract. Special consideration is being given to staffing at the Capitol.

Post Audit Report
January 25, 1993
Page Three

- c. The inconvenience of entering or exiting the Capitol when only one security officer is on duty has been addressed in this audit report. The addition of an officer per shift in the Capitol would provide a higher level of security and alleviate the need to lock exterior doors while making tours, making the entering and exiting of authorized persons less inconvenient.

Afterhours access by persons with disabilities has presented a problem in the past. The east entrance to the Capitol has been designated the afterhours access as per ADA. Not locking the east doors afterhours will eliminate most of the difficulty experienced by disabled persons.

The Director has also requested a proposal to provide electronic controlled entry and exit devices. Access control devices such as electronic card readers are under consideration. "Pass back" buttons would permit a person to exit through a door without use of a pass card.

Also, additional closed circuit television (CCTV) cameras are being considered and a proposal and cost estimate is to be provided the Director of Facilities Management for implementing these recommendations. It is not the intent of this proposal to reduce or eliminate present security positions, but to augment existing personnel with technology to provide a higher level of security.

CASP has discussed the use of additional CCTV cameras, strategically mounted to afford the security officer at the Docking State Office Building to visually track state employees walking to or from state parking lots #1, #2 and #4. Many state employees voiced concern for their safety while going to or from their cars. The Capitol Area Security Patrol, at the request of the Director, is working to provide specific recommendations and costs associated with this proposal.

Post Audit Report
January 25, 1993
Page Four

No. 2 Written Procedures and Directives: CASP is continuously attempting to identify weakness in employee performances and to provide written guidelines. CASP provides a "Policy and Procedures" manual to each employee. This manual contains written guidelines to be followed by agency employees when performing their tasks. In addition, a "Building Procedures" manual is provided which directs the day-to-day performance of security officers assigned to state buildings. These policies are unique to each shift and specific building.

It was recommended in the post audit report that procedures be developed which would provide written directives to be followed by CASP personnel during disturbances, riots or other incidents occurring on state property. Further, training should be given regarding these procedures. This point is well taken and CASP will follow that recommendation by formulating policy and procedures to be followed and develop training to be received.

CASP police officers are governed by administrative regulations and applicable statutes. The daily duties of a police officer are so diverse as to preclude the ability of a supervisor or manager to set out in step by step detail how to perform the functions of a police officer. As with the security officers, the conduct of police officers, is governed internally by the agency policy and procedures manual.

With written directives and policy, it is necessary to continually monitor the employee's compliance or noncompliance to determine if training is needed or, changes in directives or policies should be considered.

No. 3 Employee Safety - 512 W. Sixth: The Capitol Area Security Patrol shares the concern for safety of those employees working at 512 W. Sixth. CASP looks forward to discussing these concerns with officials of both the Department of Human Resources and the Division of Alcoholic Beverage Control.

Post Audit Report
January 25, 1993
Page Five

We are prepared to offer personal safety tips for employees when walking to and from their cars through the CASP O.W.L. (Office Watch League) program. We are also prepared to present suggestions for providing greater physical security for the building and contents, being conscious of related costs to incorporate these recommendations.

Other Items: There were several items of interest not specifically addressed in the post audit report.

- a. Lighting in Parking lots - Many state employees voiced concern regarding the lack of adequate lighting in the state parking lots. This has been a problem for many years. The Director of Facilities Management is currently in the process of working towards a solution and lighting for the parking lots will be installed later this fiscal year.

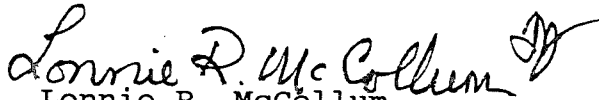
Added lighting for the state parking lots will also enhance the capability of CCTV cameras currently in use by CASP.

- c. Personnel Filing system - The post audit pointed out certain deficiencies in records keeping of CASP employees. Past practices were inadequate in documenting the fact that employees met the basic qualifications for the position for which they were hired. This will be addressed inhouse with the system of filing improved and maintained on a current basis.

Post Audit Report
January 25, 1993
Page Six

In conclusion, the opportunity to respond to this audit report is certainly appreciated. I would also like to thank you for the cooperation and professionalism exhibited by your staff during the past months. They have performed their jobs efficiently and with little inconvenience to CASP.

Yours truly,


Lonnie R. McCollum
Superintendent

FAJ:fj

cc: File

STATE OF KANSAS



DEPARTMENT OF ADMINISTRATION

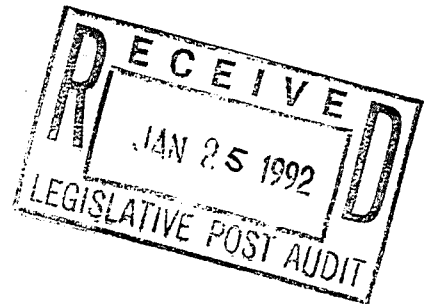
State Capitol
Room 263-E
Topeka 66612-1572
(913) 296-3011

SUSAN SELTSAM, *Secretary*

JOAN FINNEY, *Governor*

January 25, 1993

Ms. Barbara J. Hinton, Legislative Post Auditor
Legislative Division of Post Audit
Merchants Bank Tower
800 S. W. Jackson, Suite 1200
Topeka, Kansas 66612-2212



Dear Ms. Hinton:

Thank you for the opportunity to review the draft copy of the completed performance audit Reviewing the Effectiveness of the Capitol Area Security Patrol.

I am enclosing the Department's response prepared by the Division of Facilities Management which addresses each recommendation. Orion Jordan, Director of Facilities Management, and I will plan to attend the Legislative Post Audit Committee meeting tentatively scheduled for January 28, 1993 at 4:30 p.m.

The Department of Administration appreciates the opportunity to respond to the recommendations and comments contained in the report.

Sincerely,

Susan M. Seltsam
Susan M. Seltsam
Secretary

SMS:jp

encl.

**DIVISION OF FACILITIES MANAGEMENT RESPONSE
TO
DIVISION OF LEGISLATIVE POST AUDIT REPORT
1-22-93**

RECOMMENDATION: "Assess the cost and provide the Legislature with a proposal for funding fire detection equipment and a fire alarm system for the Capitol Building, and crash bars for the doors."

RESPONSE:

In September 1992, the Division of Facilities Management appointed a Safety Assessment Committee. The purpose of the Committee was to: conduct a complete safety assessment of the buildings under the jurisdiction of the Division of Facilities Management; identify the current status of safety practices; plan and develop potential corrective actions. The Committee consists of representatives from: Capitol Area Security Patrol; Shawnee County Department of Emergency Management; Department of Administration Safety Committee; Adjutant General's Emergency Preparedness Office; State Fire Marshal Department; Division of Facilities Management. The next meeting of the Committee is scheduled for the last week in January.

In October 1992, the State Fire Marshal Department conducted a Fire and Life Safety Evaluation of the Statehouse and other buildings in the Capitol Complex. A report on the results of this evaluation have not been forwarded to the Division of Facilities Management by the State Fire Marshal Department. The State Fire Marshal Department projects that it will be able to present this report to the Division of Facilities Management and the Safety Assessment Committee at the committee's meeting during the last week in January.

Though the formal report of the State Fire Marshal Department has not been received, preliminary information from the State Fire Marshal Department addressed the need for a fire alarm system in the State Capitol building. No reference was made in this preliminary information regarding crash bars in the Capitol.

Upon receipt of the State Fire Marshal Department's report, life safety needs will be presented to appropriate architectural and engineering staff to prepare plans and cost estimates to address deficiencies identified in the report prepared by the Fire Marshal Department. Plans prepared by Division of Facilities Management staff will be submitted to the Kansas Historical Society for review and submitted to the Joint Committee on State Building Construction.

RECOMMENDATIONS: "[The Department of Administration should] review its contract with the Capitol Area Security Patrol to ensure that the contract makes adequate provisions for holidays and sick and annual leave so that the Capitol Patrol will have enough employees to provide the level of coverage specified in the contract."

RESPONSE:

In 1990, the Division of Facilities Management calculated the staffing levels required to achieve 24 hour coverage of buildings in the Capitol Complex. These calculations were based on information received from the Capitol Area Security Patrol regarding actual annual, sick leave, holiday leave, and continuing education data.

The Division of Facilities Management has requested that the Capitol Area Security Patrol forward updated leave and continuing education data so that staffing levels can be recalculated.

RECOMMENDATION: "Assess the feasibility of adding additional guard positions to its contract with the Patrol so that someone is always on duty in the Capitol rotunda to allow people to enter and leave the building when it is locked. As an alternative, the Department should consider the feasibility of purchasing electronically controlled entry and exit devices for State buildings to minimize the amount of staff needed for security in State buildings and provide the 1993 Legislature with its findings in this area."

RESPONSE:

The Division of Facilities Management views staffing, electronic entry systems, alarm systems, and crash bars as being interrelated in a total security program. The Division of Facilities Management has met with the Capitol Area Security Patrol and requested that they make recommendations concerning the use of electronic entry systems in the State Capitol Building and other buildings. It was also requested that CASP submit their analysis of the use of electronic entry systems on staffing requirements. Upon receipt of CASP's recommendation, the Division of Facilities Management will meet with CASP and Legislative Administrative Services to review the need for additional staff and/or electronic entry systems in the Statehouse.

OTHER ISSUES REFERENCED IN THE POST AUDIT REPORT

POST AUDIT COMMENT: "[Administrative Services Officials] ... thought the Security Patrol should have more police officers patrolling the parking lots during the Legislative Session."

RESPONSE:

The Division of Facilities Management FY 1993 Contract with CASP funds one additional police officer to provide parking control. The Department of Administration will review the impact of this added coverage to determine if further additions to the parking control personnel are needed on the Capitol grounds.

POST AUDIT COMMENT: "The State Fire Marshal Department also cited concerns regarding the fire alarm and detection systems in the Landon and Docking Office Buildings."

RESPONSE:

As a part of the Docking Office renovation currently in progress, the Division is completing an upgraded fire alarm/notification system. Plans and cost estimates for life safety improvements in the Landon Building will be based on information provided by the Safety Assessment Committee and the pending State Fire Marshal's report.

POST AUDIT COMMENT: "Many of the state employees who responded to our survey expressed concern about inadequate lighting in state-owned parking lots."

RESPONSE:

The Division of Facilities Management has received FY 1993 funding for lighting in state parking lots. The Division plans to bid this project by February, 1993. Work on the project is expected to begin in May, 1993 and be completed by the end of the summer.

POST AUDIT COMMENT: "By far the most common security-related problems were thefts of personal property and harassment by panhandlers or demonstrators. Security Patrol staff are unable to prevent all thefts of employees' personal belongings, to keep "panhandlers, demonstrators, or loiterers" from being in public places, to prevent cars being vandalized, and the like without having significantly more staff and a continual presence in buildings and parking lots."

RESPONSE:

The CASP has advised Division of Facilities Management that they are developing a new data management system to track incidents of criminal activity. CASP will generate reports regarding the number and type of incidents by building. CASP and Division of Facilities Management will use this information to cooperatively identify trends and assess the effectiveness of security measures.

The Division is working with the Capitol Area Security Patrol to develop "Office Watch League". The Division believes that theft can be reduced dramatically if state employees are more aware of behaviors which may contribute to the occurrence of theft (e.g., leaving money and valuables on desk) and modify these behaviors. The "Office Watch League" will assist employees in increasing their awareness of theft-facilitating behavior, seek to diminish such behavior and through the vigilance of all state employees in the area, deter criminal behavior and apprehend thieves.

POST AUDIT COMMENT: "Concerns also were expressed about the difficulty in obtaining a permit to park in the State-owned lots, despite an apparently large number of vacant spaces in those lots."

RESPONSE:

The presence of a new police officer in the state parking lots will make more parking available by diminishing unauthorized parking. In addition, this officer will count vacancies in the lots twice a week to assist the Division in determining the number of parking permits that can be issued in each lot.