Auditor of State
Betty Montgomery

CITY OF EAST CLEVELAND

PHASE 2

PERFORMANCE AUDIT

OCTOBER 15, 2003

Auditor of State
Betty Montgomery

To the Citizens of the City of East Cleveland:

At the request of the East Cleveland Financial Planning and Supervision Commission (the Commission) and the City of East Cleveland (the City), the Auditor of State initiated the second phase of a performance audit in July 2002. The City and Commission requested that the performance audit be conducted to provide a resource in its ongoing effort to eliminate the conditions that brought about the declaration of fiscal emergency, as well as to improve the effectiveness and efficiency of its operations.

The performance audit contains assessments of the following areas: human resources, city council operations, police, fire and EMS, and parks and recreation. The information contained within the report is intended to assist the City in identifying cost savings, revenue enhancements, and efficiency improvements. The City is also encouraged to continue to assess overall operations and develop other recommendations independent of this performance audit.

An executive summary has been prepared which includes the project history, objectives and scope, and methodology of the performance audit. The executive summary also includes a summary of significant findings, recommendations and financial implications. This report has been provided to the City of East Cleveland and its contents have been discussed with members of City Council and the Commission, the Mayor, and appropriate department management personnel. The City has been encouraged to use the results of the performance audit as a resource in improving its overall operations, service delivery, and financial stability.

Additional copies of this report can be requested by calling the Clerk of the Bureau's office at (614) 466-2310 or toll free at (800) 282-0370. In addition, this performance audit is accessible online through the Auditor of State of Ohio website at http://www.auditor.state.oh.us/ by choosing the "On-Line Audit Search" option.

Sincerely,

Betty Montgomery

BETTY MONTGOMERY
Auditor of State

October 15, 2003

Executive Summary

Project History

Pursuant to Ohio Revised Code (ORC) § 118.04(A), the existence of fiscal emergency conditions shall be determined by the Auditor of State upon written request from a mayor of the municipal corporation or initiated by the Auditor of State. The Auditor of State initiated a fiscal emergency analysis and the City of East Cleveland was declared to be in a fiscal emergency condition on September 9, 1988.

Once it is determined that a fiscal emergency exists, ORC § 118.05(A) requires that a financial planning and supervision commission be established. As identified in ORC § 118.05(A), the East Cleveland Financial Planning and Supervision Commission (ECFPSC) consists of the following seven voting members.

- Treasurer of State, or designee;

- Director of Budget and Management, or designee;

- Mayor of East Cleveland;

- President of City Council; and

- Three members appointed by the Governor from a list submitted by the Mayor of East Cleveland.

In accordance with ORC § 118.05(G), the Auditor of State serves as the "financial supervisor" to the Commission. Members of the Commission serve without compensation, but are reimbursed for necessary and actual expenses incurred while performing Commission business. In accordance with ORC § 118.27, the Commission continues in existence until the Auditor of State determines that the City has done the following (refer to the ORC for full text):

- Planned, and is in the process of good faith implementation of, an effective financial accounting and reporting system.

- Corrected and eliminated, or has planned and is in the process of good faith implementation of, correcting and eliminating all of the fiscal emergency conditions and no new fiscal emergency conditions have occurred. The Auditor of State is to monitor the progress of the City.

- Met the objectives of the detailed financial plan described in ORC § 118.06.

- Prepared a five-year financial forecast in accordance with standards issued by the Auditor of State. The Auditor of State must render an opinion on the financial forecast that is considered non-adverse.

Objectives and Scope

A performance audit is defined as a systematic and objective assessment of the performance of an organization, program, function or activity to develop findings, recommendations and conclusions. Performance audits are usually classified as either economy and efficiency audits or program audits. Economy and efficiency audits consider whether an entity is using its resources efficiently and effectively. They attempt to determine if management is maximizing output for a given amount of input. If the entity is efficient, it is assumed that it will accomplish its goals with a minimum of resources and with the fewest negative consequences. Program audits, on the other hand, are normally designed to determine if the entity's activities or programs are effective, if they are reaching their goals, and if the goals are proper, suitable or relevant. These audits attempt to determine if the actual outputs match, exceed or fall short of the intended outputs. The performance audit conducted on East Cleveland contains elements of both an economy and efficiency audit and a program performance audit.

At the request of the ECFPSC, the Auditor of State's Office began a performance audit of the City's operations in June 2001 to identify options for expenditure reductions, revenue enhancements, resource allocations, and operational improvements. The decision for this focus was based upon the City's fiscal emergency status and its potential inability to fund operations and provide services at current levels. Based on discussions with the ECFPSC and the City, the following areas of operation were selected for assessment during Phase One of the project, which was publicly released on September 26, 2002:

- Technology Utilization;
- Financial Operations;
- Income Tax Department;
- Community Development, Building and Housing;
- Helen S. Brown Senior Center;
- Municipal Court; and
- Service Department.

Subsequently, the ECFPSC and the City requested a Phase Two of the City of East Cleveland project. The areas assessed in this phase of the performance audit include the following:

- Human Resources Department (ECHRD);

- City Council (ECCC);

- Police Department (ECPD);

- Fire and Emergency Medical Services (ECF/EMS); and

- Parks and Recreation Department (ECPRD).

Methodology

To complete this report, the auditors gathered and assessed a significant amount of data pertaining to the City, conducted interviews with numerous individuals associated with the various departments, and assessed available information from selected peer cities. In evaluating the various performance audit areas, the auditors spent a significant amount of time gathering and reviewing pertinent documents and information. Numerous interviews and discussions were held at many levels and with groups of individuals involved internally and externally with the City. In addition, several cities were selected to provide benchmark comparisons for the areas assessed in this phase of the performance audit. The cities of Maple Heights, Warrensville Heights, Trotwood, Garfield Heights, and Euclid were used in the applicable sections of the performance audit. These cities were selected based upon demographic and operational data. Furthermore, a survey of 76 randomly selected registered voters residing within the City was conducted to gather citizen views on park operations.

Overview of East Cleveland

The City of East Cleveland, situated in the northeastern part of Cuyahoga County, was settled about 1800 and incorporated as a city in 1911. The City has a population of approximately 27,000 and encompasses 3 square miles. East Cleveland's population has decreased 32 percent from the 1950 census of 40,000. Its operations have been impacted by a continuing state of fiscal emergency for the past fourteen years, as well as by the declining population and a high rate of unemployment and poverty.

The major functions of ECHRD are to develop policies and procedures, maintain personnel records and benefits, update job descriptions, process job applications and interview applicants for vacant positions. ECHRD also handles disciplinary issues and administers benefit packages for all City employees. In addition, ECHRD acts as a liaison between the City, the bargaining units and represented employees.

East Cleveland has a strong mayor form of government with an elected city council. ECCC is responsible for making any and all rules and regulations by ordinance or resolution to carry out the City's responsibilities pertaining to the purchase, sale and management of its property. ECCC holds the legislative power for the City, per ORC Section 731.01, and sponsors its legislation through

committees. ECCC is currently served by five elected council members, including a president and vice president of council. ECCC has no administrative authority in City operations except for the approval of certain appointments made by the Mayor. The Mayor is responsible for the proper administration of all affairs of the City.

ECPD's standing mandate is to function in a capacity that improves the quality of life within the City by enhancing public safety through cooperative interaction with the community and with other public and private agencies. The mission of the Department is to reduce fear by maintaining order and peace; protect life, property, and enforce laws by taking all appropriate measures to reduce crime; maintain an organized, trained staff to maximize effective and efficient service and maintain a positive work environment; and inspire public trust and confidence by protecting the constitutional rights of each citizen.

ECF/EMS is responsible for coordinating and executing fire suppression and prevention activities. It also performs fire incident investigations, building fire safety inspections, is the first responder to medical emergencies and responds to hazardous material incidents. ECF/EMS began to offer emergency medical services (EMS) when the City took over EMS operations from Huron Hospital in September 2001. The loss in revenue experienced by Huron Hospital, due to more stringent Medicaid reimbursement regulations, led to a decision between Huron Hospital and the City to transfer EMS services to the City. Included in the transfer were all EMS personnel, three ambulance units, a part-time EMS manager and the volunteer medical director.

ECPRD is primarily dedicated to providing a variety of recreation, education, health, and community service programs to the citizens of East Cleveland. The City has seven parks, one civic center, and three tot lots for approximately 112 acres of city-owned recreational space. ECPRD has engaged in capital improvement projects to improve City parks and tot lots in conjunction with a 501 (c)(3) non-profit corporation. Due to recent personnel reductions within ECPRD, the City's Service Department currently maintains parks facilities. While ECPRD is responsible for maintaining the MLK Civic Center, its primary role is coordinating and administrating activities and programs.

Key Findings and Recommendations

A summary of key findings and recommendations is provided below. More thorough analyses are contained in the respective sections of the audit report. All interested parties are encouraged to read the entire report.

Human Resources Department (ECHRD)

- Based on the HR staffing analysis, the positions of an HR director and executive assistant are sufficient to provide and enhance HR services for the City. Consequently, ECHRD does not have a need to fill the vacant HR administrative assistant position. According to the City, this position will not be filled.

  The City should not fill the HR administrative assistant position and should function with an HR director and executive assistant. The City should continue to periodically monitor the HR workload level and adjust staffing levels to provide effective service delivery. By not filling the vacant HR administrative assistant position, ECHRD would experience a cost avoidance of approximately $22,000 annually in salaries and benefits.

- East Cleveland incurs relatively high healthcare premium costs when compared to the peers, the State Employee Relations Board Average (SERB) average, and the average of governments located in the Cleveland area. In addition, East Cleveland requires employees to pay a lower share for hospitalization when compared to the SERB and Cleveland area averages. East Cleveland also provides a higher level of plan benefits in certain areas, which could explain the higher healthcare premium costs at the City. Furthermore, the majority of employees participate in the SuperMed plus plan, possibly because the required employee contribution is the same for each plan while the SuperMed plan provides a higher level of benefits. Finally, the City did not request bids for its healthcare services in the past year.

  The City should carefully assess the level of benefits which it desires to provide in relation to the costs required to provide those benefits. If the City determines that it wants to lower costs and provide the same benefits, then it should consider increasing employee contributions. If the City wants to lower costs but not increase employee contributions, then it should consider changing some aspects of the benefits offered or bidding out healthcare yearly. Additionally, the City should consider only offering the least costly plan if it continues to require the same level of employee contribution. If the City adjusted its plan benefits to subsequently lower its medical premiums to be comparable to the City of Euclid, East Cleveland could experience a cost savings of approximately $369,000 per year.

- The City has a high number of Bureau of Worker's Compensation (BWC) claims and higher premium costs when compared to the peers. East Cleveland does not conduct internal meetings involving appropriate city officials, has not established a management team to work with the BWC in implementing strategies to effectively manage workers compensation, and does not have safety measures in place to proactively correct hazards or problems. East Cleveland also does not have a return-to-work program. To reduce premium costs, BWC has created an incentive program designed to help employers establish a safer and more cost effective work place.

  With BWC's assistance, the City should work towards achieving the criteria specified in BWC's plans to derive the maximum cost savings for East Cleveland's workers' compensation program. East Cleveland should also develop a return-to-work program. The City should maintain data on the use of the return-to-work program to manage and track the effectiveness of the program. Moreover, East Cleveland should involve all departments in improving the workers' compensation program, establish a management team to focus on the program, monitor how employees are injured, and implement safety measures to proactively correct hazards and prevent problems. East Cleveland could save approximately $57,000 annually by improving its workers' compensation program.

- Salaries and pay ranges for the City's elected officials and senior-level managers (directors and next level of managers) are lower in comparison to state-wide salary benchmarks and peer averages. As a result, the City may not be attracting the most qualified applicants for vacant positions.

  The mayor and council should consider using the salary data provided in this report to determine appropriate salaries when filling vacant senior-level management positions and for the City's elected officials. By improving its financial condition, East Cleveland will be in a better position to offer competitive salaries to attract talented and qualified candidates for its management positions and retain qualified management staff.

City Council (ECCC)

- ECCC does not consistently adhere to the rules of order outlined in Chapter 113 of the East Cleveland Codified Ordinances (ECCO).

  ECCC should assess its rules, adhere to its adopted rules, and use its powers as outlined in ECCO Chapter 113 to a greater extent. Enforcing appropriate order and decorum during its meetings by consistently applying its rules will improve both the order and efficiency of council meetings.

● ECCC does not effectively use its committee process, which has negatively impacted its regular council meetings. ECCC regular meeting minutes reflect that items for legislation are extensively discussed in regular council meetings when these matters should be addressed in committee meetings.

ECCC should use its committee meetings more effectively by fully discussing legislation with City representatives and the public. In addition, ECCC should consider providing for temporary committees or workshops to handle particularly complicated or contentious issues.

● Compared to the peers, ECCC spends 119 percent more per council member on operational expenses than the peer average, which is largely attributed to the home office expense account used by ECCC

ECCC should consider two options to control and minimize its operational expenditures:

o Either eliminate its home expense account budgets and more accurately reflect its expenditures for supplies, equipment, communications, and travel and membership costs in the central budget; or

o Include all appropriate items within the home expense account in compliance with clear and concise guidelines, and reduce the central budget accordingly.

By implementing either option, ECCC would save approximately $20,500 annually.

● ECCC meetings are often long. Discourse during council meetings can be hostile at times, contributing to bouts of arguing and discussion..

ECCC should consider engaging a facilitator to assist in its communication and public presentation to achieve greater effectiveness. Based on a facilitator's fee of $85 per hour, ECCC would spend approximately $2,600 for 10 three-hour sessions.

● ECCC does not currently have a strategic plan. Without an emphasis on strategic planning, a council cannot effectively prioritize its goals in order to appropriately enact legislation and authorize funding to support administrative objectives.

The City of East Cleveland administrative leadership and ECCC should engage a paid facilitator who is experienced in working with municipal governments to assist in developing a strategic plan. The cost of developing a strategic plan in the City of East Cleveland, similar to the City of Trotwood, would be approximately $10,000 in one-time costs.

Police Department (ECPD)

● ECPD has not taken advantage of all grant opportunities available to law enforcement agencies. Euclid and Warrensville Heights have been able to receive grant awards in higher amounts on a per capita basis.

   The City should determine if ECPD can receive grant funding similar to Euclid and Warrensville Heights, and continue to aggressively research and pursue all available grant funding opportunities. ECPD should continue to assume grants management responsibility and consult with funding sources on a regular basis. The City should also continue to form partnerships with other entities in order to obtain grants. Furthermore, ECPD should determine if it has the ability to continue funding the related program(s) or identify additional funding streams to support those programs when grant funding expires. If ECPD sought out funding consistent with the peers, the City could realize approximately $153,000 annually in grant awards. However, this additional grant funding depends on the criteria used to determine if ECPD qualifies for similar grants received by the peers.

● Minimum call-in hours for police emergencies, the minimum number of court time hours paid for off-duty officer's attendance, payment of stand-by hours for sergeants and above, and the Special Weapons and Tactics (SWAT) team participation incentive are more generous than those in peer labor contracts.

   During the next contract negotiations, the City should attempt to re-negotiate these provisions. If East Cleveland paid the nine officers eligible to participate on the SWAT team a $500 annual incentive rather than $2,750 for patrolmen and $3,000 for rank officers, it could experience approximately $20,000 in annual cost savings.

● ECPD maintains a fleet of vehicles that is, on average, older than the peer fleets. Additionally, the average mileage per vehicle is the second highest of the peers.

   ECPD should make the improvement of its police vehicle fleet a priority through the development of a strategic plan, and the creation of an equipment and vehicle replacement plan. Based on the State's cooperative purchasing price of $21,151 for a Crown Victoria, ECPD would incur costs of approximately $190,400 by replacing the nine vehicles exceeding 100,000 miles.

● ECPD's jail facility houses 51 percent more prisoners than recommended by the Ohio Department of Rehabilitation and Correction, Bureau of Adult Detention (ODRC). Using other counties, such as Columbiana and Jefferson, to house prisoners would allow ECPD to operate within recommended capacity. Moreover, the bed day cost to send prisoners to

Columbiana and Jefferson County Jails is about 17 percent less than East Cleveland's. Operating within capacity, and either operating an eight-hour holding facility or implementing two 12-hour shifts, would allow ECPD to reduce two corrections officer positions.

The City of East Cleveland should begin to send prisoners to other jails to alleviate capacity issues and achieve the ODRC recommended capacity. By operating a jail facility within the recommended capacity, the City could avoid risking the well-being of its inmates due to overcrowding and reduce its costs. By operating within capacity and sending additional inmates to Jefferson or Columbiana County jails, the City could realize annual cost savings of $43,000. Also, if the City either operated an eight-hour jail or implemented two 12-hour shifts, it could reduce two corrections officers, resulting in an estimated annual cost savings of $70,000.

- Although centralizing functions may result in a more efficient dispatch operation, ECPD is currently operating without centralized dispatch services for fire, EMS and police. However, ECPD does not employ a sufficient number of dispatch personnel to allow for an effective consolidation of dispatch services. Patrolmen also engage in dispatch responsibilities when the unit is short of staff. In addition, all of the dispatchers are not trained in emergency medical dispatching (EMD).

  The police chief should work with the fire chief and safety director to centralize dispatching services. The police chief should increase dispatcher staffing levels by 4.0 FTEs, which would cost approximately $125,000 annually. Increasing dispatcher staffing levels would ensure that the relatively high volume of calls are dispatched in a timely manner, and reduce the need for sworn police officers and firefighters to fill in as dispatchers. Furthermore, all personnel assigned to dispatch duties should be required to attend emergency medical dispatcher courses, resulting in one-time expenditures of about $1,800. By centralizing dispatch operations, the City would ensure a consistent approach to performing dispatch functions and eliminate potential duplication of similar duties.

Fire and Emergency Medical Services (ECF/EMS)

- Although ECF/EMS has a high workload, peer cities are dually certified to complete both fire and EMS functions while the majority of staff at ECF/EMS can only complete either fire or EMS activities. In March 2003, the City began integrating fire and EMS services that resulted in the elimination of all EMS personnel, hiring of additional firefighters and providing voluntary paramedic training to firefighters. Continued progress in having a sufficient level of dually certified staff will strengthen the pool of personnel available to provide EMS coverage. Furthermore, dual certification will allow operations to be

streamlined in the future and increase the effectiveness of the EMS services provided to the City.

The City should avoid significantly reducing ECF/EMS staffing levels until the integration process is close to completion. The City should identify personnel who have the capability of completing both fire and EMS functions, and provide them with voluntary training. To increase its pool of dually certified staff, the City should hire candidates who are dually certified as paramedics and firefighters. Moreover, ECF/EMS should reassess staffing levels after fire and EMS services have been fully integrated to ensure that staffing levels are adequate to provide high quality services to City residents. ECF/EMS could reduce seven FTEs to attain staffing levels of 66 total FTEs, resulting in an annual cost savings of $355,000 in salaries and benefits. Training two additional staff members to have 18 dually certified staff would cost $6,000. To provide refresher training to staff, ECF/EMS must maintain its contract with the Center for EMS Education and Research (CEMSER) at a potential implementation cost of $10,000, which may have to be renewed for several years until the functions are fully integrated.

- ECF/EMS management did not establish a formal integration plan prior to merging fire and EMS service personnel. Without a formal integration process, ECF/EMS cannot adequately consolidate its operations in a seamless manner, which can impact its ability to streamline staffing levels, and centralize dispatch functions.

  The City, in conjunction with ECF/EMS, should establish a formalized integration plan and committee. The City should ensure that the plan includes completion dates, task assignments, and performance measures. In addition, the City should develop goals and objectives that are measurable and achievable, and frequently monitor the integration process.

- ECF/EMS' overtime expenditures comprise 11 percent of its salary and wage expenditures, while overtime made up only 8 percent of peer average salary expenditures from the General Fund. Approximately 24 percent of the overtime hours was attributable to manpower shortages. The increased overtime results in ECF/EMS having higher personnel costs.

  ECF/EMS should reduce overtime expenditures by maintaining staffing levels commensurate with operational requirements and the minimum manning provision contained within the bargaining unit agreement. By reducing overtime use through the retention of employees, ECF/EMS will save approximately $79,000 in overtime costs annually.

- ECF/EMS' contract terms are more generous than peer contracts in length of work day, sick leave and probationary periods. Since the peer cities average more regular work time in their

cycles, ECF/EMS accrues overtime sooner than the peers, thereby potentially increasing overtime costs. All ECF/EMS officers, except for the fire chief, are a part of the bargaining unit, which could cause potential conflicts of interest when the fire chief is absent. Furthermore, ECF/EMS has established minimum staffing requirements, while peer cities have not.

ECF/EMS and the City's law director should make efforts to renegotiate certain provisions during the next collective bargaining talks. ECF/EMS work cycles should be lengthened to approximate the Fair Labor Standards Act (FLSA) allowances, sick leave accruals should be reduced to peer levels, and probationary periods should be increased to two years. By reducing sick leave accruals, ECF/EMC would save approximately $34,700 annually in overtime costs and $72,000 annually in sick leave costs. By increasing the regular hours in a work period, ECF/EMS could save about $4,200 annually. Additionally, ECF/EMS should have at least one additional senior member of the Department excluded from the collective bargaining unit. By negotiating to allow senior ECF/EMS administrators to staff shifts in accordance with operational standards, the Department will be able to better exercise discretion in effectively managing its personnel assets.

Parks and Recreation Department (ECPRD)

- While total staffing levels at ECPRD are comparable to the peer average, peer parks and recreation departments have distributed these staffing levels differently among various functions within the department. The majority of ECPRD's staffing allocations are dedicated to the administrative or program management functions of the organization. Peer departments have devoted an average of 4.4 FTEs for maintenance of park grounds and facilities, while ECPRD has allocated only one maintenance FTE for these purposes.

  ECPRD should seek to prioritize both its maintenance and program administration duties and reallocate 2.0 FTEs from program staffing to park maintenance. To accommodate a reduction in program staffing levels, ECPRD should implement programs based on citizens' priorities and program usage, as well as focus on the scale of activities to ensure quality services in the areas it administers, rather than a broad scope of activities.

- ECPRD has an over-reliance on General Fund resources and grant funding. ECPRD is not supported by park levies nor does it engage in fund raising activities. ECPRD has largely received government grant funding with limited duration rather than establishing long-term private sector philanthropic relationships. In addition, ECPRD was unable to generate any receipts from fundraising activities.

City council should enact a city ordinance establishing a line item to receive and deposit money from fund raising events. Following council action to allow for fundraising activities, ECPRD should explore fund raising opportunities and determine those activities that provide the most favorable return on investment of City funds. Assuming future funding sources are consistent with 2002, and ECPRD can achieve results consistent with regional fundraising averages, approximately $34,100 could be obtained through fundraising activities on an annual basis.

● ECPRD's current program participation charges do not sufficiently offset program expenses. Additionally, current charges do not appear to be authorized by city council. A survey of 76 randomly selected registered voters residing within the City revealed that residents have a varied willingness to pay for participation in certain activities.

The city council should review its current parks fee schedule to authorize those fees charged to residents for participation in ECPRD programs. This will update city code and operating policies to be consistent with current operations. In addition, the city council should revise its current program participation charges. Using ECPRD's available attendance records for 2001 and 2002, and survey results indicating residents' willingness to pay resulting in maximum revenue, approximately $32,000 would be generated by implementing the charges.

● ECPRD has obtained significant grant funding during FY 2001 and FY 2002. However, this funding will expire during mid 2003 with no replacement funds expected. While grant seeking activities have been modestly successful, ECPRD's grant seeking practices can be improved.

ECPRD should implement formal grant identification and application policies and procedures. These procedures should require a quarterly review of funding opportunities, a prioritized list of resources and contacts, a review of funding received by similar operations, and criteria for pursuing grant funding. Assuming that ECPRD can secure grant funding comparable to Westerville, OH, it could potentially receive an additional $173,500 in grants, endowments, and foundation funds annually.

Additional Findings and Recommendations

This section of the executive summary is organized by report section and highlights additional findings and recommendations from the respective areas of the audit report.

Human Resources Department (ECHRD)

●   ECHRD has not created departmental goals and does not use performance measures to ensure service delivery is at an optimum level. Goals are needed to develop performance measures that can inform management of whether departmental objectives are achieved and to help the department become progressive in addressing to the needs of City employees. ECHRD should create departmental goals. Once departmental goals have been established, the HR director should develop performance measures to assess the results of internal performance and attainment of goals.

●   The City's human resources policies and procedures manual does not address certain topics, does not contain components which should be part of an effective personnel manual, does not specify which employees or departments are covered by the manual, and does not reference the union contracts.   Without descriptive policies, management cannot communicate its expectations to staff and HR staff may not possess the knowledge needed to handle all personnel questions or concerns.

The HR director should work with all department heads and city council to develop or expand the policies listed in its manual. In addition, the law director should perform a thorough legal review of all proposed changes to the HR manual and policies. The HR manual should reference corresponding bargaining unit agreements and specify which employees are covered by the manual.

●   Enforcement of the leave policies for City employees has not been consistently applied. By allowing employees to incur substantial leave balances and not clearly stating policies for leaves, the City is increasing its monetary obligations to employees upon retirement.

The City should follow the vacation and sick leave policies which are outlined in the policy manual. The HR director should clearly indicate in the policy manual what the sick leave policy is, provide information concerning sick leave carry-over from year to year, and explain any implications for employees who accumulate more than 120 hours of sick leave. At the end of each year, the HR director should review all leave balances to ensure that employees are not carrying over unauthorized leave balances and do not have negative leave balances.

●   ECHRD does not have a background in labor relations and staff has not received training in the collective bargaining process despite being responsible for negotiating three labor contracts.

ECHRD should use available resources to become more efficient and effective in negotiating collective bargaining agreements. By doing so, the City will be in a better position to

identify areas where improvements in contracts can be made and will increase the likelihood of having these types of proceedings result in a satisfactory outcome for all interested parties.

- In comparing the three non-safety labor contracts to similar peer contracts, East Cleveland provides more hours for minimum call-in pay, is more generous in providing breaks to its employees, and has a longer time frame to file a grievance. In addition, the Ohio Council 8 contract does not specify sick leave accrual time. Furthermore, significant differences exist in policies when comparing the various collective bargaining agreements and City policy to one another. Therefore, certain employees enjoy more generous benefits than others, causing inequity in the level of benefits provided to staff.

  The City should take the necessary steps to address the identified issues in future contract negotiations for its three non-safety bargaining agreements. The City should also strive to negotiate provisions to be more consistent across the three non-safety agreements, while ensuring that agreed upon provisions are cost-beneficial to the City and fair to employees.

- Although the City has an immigration law policy requiring staff to complete immigration forms (I-9 forms), many staff have not completed the forms, or the forms remain incomplete. Employers who fail to complete and/or retain I-9 forms may be subject penalties ranging from $100 to $2,200 per offense.

  The City should comply with federal immigration laws by enforcing the immigration policy contained in its employee handbook. In addition, the City's immigration policies should be reviewed by staff in the Law Department with expertise in immigration law. The City could avoid penalty costs of about $23,600 by enforcing its immigration policy.

- East Cleveland has not regularly or consistently evaluated its employees. Additionally, East Cleveland's performance evaluation form is not consistent with current industry standards.

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  Evaluations for all City employees should be completed at least once a year by the immediate supervisor. The HR director should enhance the current evaluation form and include an area for sick leave review, employee feedback, explanations of performance standards and a section for an individual development plan.

- ECHRD has not regularly revised or updated employee job descriptions and has not created a policy to ensure that regular updates occur. In addition, the job descriptions do not follow one consistent format.

  The HR director should establish a policy requiring all job descriptions to be reviewed and updated at least annually, or when the job descriptions change, to ensure that appropriate

duties are performed by employees. Additionally, the job descriptions should follow a consistent format. With up-to-date job descriptions, East Cleveland employees will fully understand their job functions and responsibilities.

City Council (ECCC)

- ECCC's authorized staffing levels are equal to or higher than each of the peers. ECCC could implement operational changes, similar to the peers, to operate more efficiently without the need to hire additional personnel.

  ECCC should consider reducing its authorized staffing levels to 1.0 FTE and revising the position description and expectations to reflect the needs of council. To accommodate the communication and correspondence needs of council members and the citizens, ECCC and the Mayor's Office should develop a communication process to retrieve and respond to citizen inquiries through both offices.

- Chapter 113 of the East Cleveland Codified Ordinances specifies 23 rules of order that ECCC members must abide by during council meetings. While the rules are based on the International City Management Association's (ICMA) standards regarding rules of order, they have not been updated to reflect the mayor/council form of government, and therefore, do not reflect the rest of the ordinances in the Code.

  ECCC should update Chapter 113 of the Codified Ordinances to reflect the mayor/council form of government as well as prepare a book of protocols, or council manual, to include the Rules of Order. Furthermore, these protocols should be of sufficient scope and depth to provide standards for efficient and effective operations.

- In 2002, ECCC passed 195 pieces of legislation, which was 63 percent more than the peer average. Of these, 80 were sampled over a 9 session period from February 5, 2002 through May 31, 2002. In this sample, roughly 68 percent of the legislation presented was actually passed on first view through emergency legislation. Passing such a high volume of legislation by emergency may cause particularly long council meetings and can contribute to some of the feelings by departmental personnel and the community that council is micro-managing administrative duties in the City.

  ECCC should adhere to its city charter and try to present legislation in two readings in regular council meetings, in addition to presenting them in committee, so that all new laws can be reviewed multiple times by the public, departmental representatives, and other council members.

- ECCC members have an ambiguous understanding of their legislative versus administrative roles. The "grey area" of roles is difficult in any municipality and often is exacerbated by financial and personnel crises, which are certainly a part of East Cleveland's history.

  ECCC should make sure that as a body, it establishes the appropriate separation of duties to more fully ensure a cooperative and effective government. In addition, ECCC should avoid directing day-to-day operations and allow administrators to manage City operations.

Police Department (ECPD)

- Auxiliary staff can be effective in supporting police operations by undertaking more roles in non-sworn positions, thus allowing sworn staff to concentrate on their routine duties. Using auxiliary staff and non-sworn employees keeps sworn officers from performing civilian activities and allows them to focus on their primary responsibilities.

  ECPD should continue to use, and when appropriate, increase the use of auxiliary officers. For instance, auxiliary officers can help to supervise the jail's inmate population and fill in for leaves or absences in the dispatch unit. ECPD should also explore other areas where non-sworn staff can assist police department employees with their responsibilities when understaffing occurs, rather than having police officers fill in.

- ECPD does not effectively analyze records regarding overtime reasons and usage, and does not maintain cumulative detailed reasons for overtime use. Therefore, the actual impact of staffing shortages on overtime use can not be adequately determined.

  ECPD should begin to effectively manage its overtime by maintaining cumulative, detailed reasons for overtime use. Statistics and narratives should be analyzed to determine payment obligations, reasons for overtime accrual, source of overtime payments, and the cost-benefit of incurring overtime expenses versus increasing the number of staff. During the course of this performance audit, ECPD began tracking detailed reasons for overtime usage. ECPD should continue to compile this data and analyze it accordingly on a monthly, quarterly and annual basis.

- Collection of traffic fines by the municipal court may have been reduced through the layoff of traffic enforcement officers known as beat patrol officers (BPOs). As a result, all traffic law enforcement activities now lie with patrol officers.

  ECPD should determine if employing BPOs would be cost-effective for the City by assessing the change in collections for traffic cases between 2001 and 2002. Using BPOs to

aggressively enforce traffic laws could result in increased revenue for the City and allow patrol officers to focus on other important police activities.

- ECPD does not fully use and monitor statistics or citizen survey information, which would serve as the basis of developing performance measures and departmental goals.
  ECPD should begin to conduct an operation that is fully data driven. Additionally, ECPD should begin conducting citizen surveys to obtain responses regarding police operations that can be returned to its community policing staff. The police chief should also identify data to be placed on the City's website.

- ECPD has not developed a strategic plan. A strategic plan provides the overall direction and framework for a department's performance and goals.

  The police chief should work with the mayor, council, departmental personnel, and other key stakeholders such as citizen's groups, to develop a strategic plan for ECPD. This plan should encompass short and long-term goals, and link to the City's overall strategic plan. Additionally, the plan should be linked to measurable operational goals and ECPD should measure progress in meeting these goals.

- ECPD does not have a Crime Prevention Bureau. East Cleveland City Ordinance 121.08 established a Crime Prevention Bureau to be operated under the supervision of the police chief. According to the police chief, no one has been assigned specifically to crime prevention since the late 1980's.

  ECPD should seek to re-establish its Crime Prevention Bureau with either auxiliary personnel or sworn officers, or a combination of both, supervised by a rank officer appointed by the police chief. Grant funds should be sought and used to support crime prevention efforts.

- Although ECPD's case clearance rates improved in 2002 from 2001, they are still well below Euclid's clearance rate in 2001 for numerous categories. In addition, the Detective Bureau appears to be adequately staffed based on peer comparisons and workload measures.

  ECPD police chief and the head of the Detective Bureau should attempt to further increase the Department's clearance rates. To begin the process, an examination of the Department's operations should take place through data analysis and strategic planning. ECPD should also consider processing cases as a group and implementing automatic fingerprinting technology to improve clearance rates.

- ECPD's response times are higher than the peer average in nearly all areas of response. High response times can result in a decrease in citizen confidence in the Department and fewer crimes being cleared.

  ECPD should begin to track the total number of calls and average response times by priority to assist in improving its response times. ECPD should use data from the computer aided dispatching (CAD) system that identifies calls received by the time of day to accordingly adjust the shift composition of sworn officers.

- ECPD does not maintain and track individual vehicle cost and repair data. As a result, determining vehicle replacement needs could be difficult.

  The police captain supervising the mechanic working on police vehicles should begin tracking individual operating and maintenance costs for the Department's vehicles. This can be done by requiring that all costs be entered into a spreadsheet.

- ECPD does not track call pick-up times to assess dispatchers' performance. In addition, ECPD does not fully use CAD.

  The Dispatch Unit should begin tracking call pick-up times to better assess dispatchers' performance. To accomplish this objective, an individual will need to be identified to receive Access training in order to generate and analyze reports produced from the CAD system. Furthermore, the police chief should work with the fire chief to identify the types of reports, information, and server upgrades needed, so the CAD system can be fully used for all types of emergencies.

Fire and Emergency Medical Services (ECF/EMS)

- The City's EMS unit does not currently benefit from mutual aid agreements. Mutual aid agreements provide for assistance from surrounding cities in the event of multiple alarm fires, multiple fires, or natural disasters.

  The City should renegotiate current mutual aid agreements so coverage for both fire and medical emergencies is provided. Expanding the agreements to include EMS response will result in more effective service delivery in the event of multiple medical emergency events and can ensure that response time standards are met.

●   The City has relied on expensive supplemental EMS services through Hillcrest Ambulance Service Inc. (HASI). However, private ambulance services are not needed based on the equipment allocation analysis.

    As the City nears completion of integrating fire and EMS functions, it should discontinue the use of HASI and organize EMS operations to provide adequate coverage during high call volume periods. This can be achieved by revising mutual aid agreements with surrounding cities for EMS services and requiring dual certification for fire and EMS personnel. ECF/EMS would save approximately $20,000 annually by not using HASI. During the course of this performance audit, ECF/EMC discontinued the use of HASI.

●   The City has not actively pursued supplemental revenues from all possible sources. For instance, ECF/EMS does not receive revenue for fire inspections or construction plan reviews. The Federal Emergency Management Agency (FEMA) and the United States Fire Administration (USFA) suggest that fire departments charge for fire inspections, construction plan reviews, and transports. Without pursuing all sources of funding, ECF/EMS is limiting its potential to offset expenditures.

    ECF/EMS and City finance officials should actively pursue all possible sources of revenue. The fire chief should work with the City's building commissioner to determine an appropriate charge for the Fire Department's review of construction plans and the performance of building inspections. ECF/EMS needs to inquire about other sources of state grant funding to offset any unanticipated reductions in awards. If the City charged at least $35 for fire inspections, it would generate approximately $21,300 in additional revenue.

●   ECF/EMS does not have a formal strategic planning process nor does the Department routinely conduct internal performance assessments regarding service delivery. Without a strategic plan ECF/EMS resources may not be fully maximized, and personnel and certification issues relating to the integration of fire and EMS services may not be addressed in an effective and timely manner.

    ECF/EMS should place a high priority on completing a long-term strategic plan that links to and supports the City's overall strategic plan. The plan should include service goals or programs, strategies and realistic time lines for implementation, operating and capital plans, and performance indicators for quality assurance and goal attainment assessments.

●   In contrast to ECF/EMS, peer cities rely on in-house training for fire personnel. As a result, ECF/EMS has incurred high training costs as compared to the peers, which will only increase because additional training will be needed to support the integration of fire and EMS services.

ECF/EMS should consider using in-house training to lower its per-hour costs for training. If ECF/EMS reduced its training costs by $2.15 per hour, similar to Garfield Heights, it would save approximately $11,000 annually.

- ECF/EMS does not track response time performance on an annual basis. Monitoring response times provides the ability to track trends in responses, such as challenges for particular shifts, physical barriers in areas of the City, or problems with the dispatching process itself.

  ECF/EMS should track and compile response times for both fire and EMS runs electronically through the CAD once dispatch has been centralized. Furthermore, the fire chief should establish a formal written policy that informs department personnel of the performance target for fire and EMS response time.

- ECF/EMS squad levels are not sufficient to respond to the high number of medical emergencies in the City. An additional vehicle will allow ECF/EMS to rotate vehicles for maintenance purposes in an effort to prolong the service life.

  ECF/EMS should purchase an additional vehicle so one of the current vehicles can be used as backup, providing the City with adequate coverage while vehicles are being serviced. According to the fire chief, a new squad vehicle costs approximately $147,000.

Parks and Recreation Department (ECPRD)

- ECPRD does not have a formal and institutionalized strategic planning function. According to the American Public Works Association (APWA), strategic planning involves establishing long-term goals and objectives; developing shorter-term plans to reach those goals and objectives; assessing and planning for the organization's infrastructure needs; and designing a method to monitor the agency's progress in attaining these goals.

  ECPRD should collaborate with the mayor and council to develop a strategic plan for ECPRD that correlates with the City's overall strategic plan. Furthermore, ECPRD should use household and user surveys on a quarterly basis to determine citizen satisfaction with the programs, services, and facilities it administers. According to ICMA, using quarterly surveys could cost approximately 40 person weeks and $5,000 annually for a medium sized city.

- ECPRD lacks sufficient and detailed financial records to fully analyze operations, including the optimal scope and scale of administered programs. ECPRD currently maintains manual records, by line item, within each fund that supports ECPRD operations.

ECPRD should effectively maintain and track financial data and fully understand the nature of expenses, costs, and revenues to adequately determine those programs that can be supported. Expenditures should be categorized according to their fixed or variable nature. In addition, ECPRD should evaluate the costs and benefits of available accounting and other software packages to assist with monitoring costs, performance, and outcomes of ECPRD administered programs. Software costs range from $85 to about $500.

- ECPRD experiences low program participation rates. While ECPRD provides more activities than its peer parks and recreation departments, it does not administer as many programs within these activity groupings. As a result, the scale of these programs is of a limited nature.

  ECPRD should prioritize its activities according to available funding. Those activities determined to be priorities should be fully supported and available to several age groups. Furthermore, ECPRD should focus on the scale of activities to ensure quality services in the areas it administers, rather than a broad scope of activities. This will assist ECPRD in achieving higher participation rates.

- ECPRD's current facility rental fee policies and practices do no sufficiently offset department expenses. According to *Municipal Benchmarks* by David Ammons, 10 best practice municipalities report that the percentages of overall recreation program expenses recovered through fees range from 40 to 92 percent. In contrast, ECPRD's fees were only 8.2 percent of the 2002 operating budget.

  ECPRD should enforce those portions of city code that allow additional charges to be levied against certain activities in its refreshment room. In addition, the city council should revise its current facilities rental policies so that a fee is charged for use of the City's baseball and softball fields.

- While grant seeking activities have been modestly successful, more selective initiation of programs and better grant management practices can reduce funding inconsistencies. A review of past grant funding levels reveals large fluctuations.

  ECPRD should closely scrutinize additional programs and activities requiring grant funding. Prior to submitting grant applications, ECPRD should identify alternative funding sources to ensure continuation of these programs and activities following the expiration of any grant funding.

Summary of Financial Implications

The following table summarizes the performance audit recommendations that contain financial implications. These recommendations provide a series of ideas or suggestions that the City should consider. Detailed information concerning the financial implications, including assumptions, is contained within the individual sections of the performance audit.

Summary of Financial Implications

	Recommendation	Estimated Annual Revenue Enhancements	Estimated Annual Cost Savings	Estimated Annual Costs	Estimated One-Time Implementation Costs
Human Resources Department (ECHRD)					
R2.1	Do not fill the vacant HR administrative assistant position.		$22,000 (Cost Avoidance)		
R2.8	Purchase 323 Drug Free Workplace pamphlets.				$775
R2.8	Conduct drug and alcohol tests for an average of 55 new hires per year.			$4,000	
R2.12	Reduce healthcare premiums.		$369,000		
R2.13	Improve the workers' compensation program.		$57,000		
R2.15	Avoid penalty costs by enforcing the immigration policy.		$23,600 (Cost Avoidance)		
Subtotal ECHRD			**$471,600**	**$4,000**	**$775**
City Council (ECCC)					
R3.7	Either budget reimbursements through the central budget or reduce the central budget.		$20,500		
R3.11	Hire a facilitator to assist council in conflict mediation.				$2,600
R3.12	Use a paid facilitator to help develop a strategic plan.				$10,000
Subtotal ECCC			**$20,500**		**$12,600**
Police Department (ECPD)					
R4.5	Increase the amount of grant awards.	$153,000			
R4.7	Negotiate a reduction in the annual incentive for SWAT participation.		$20,000		
R4.13	Send two participants to OPOTA Crime Prevention Training.				$300
R4.21	Replace nine vehicles.				$190,400

	Recommendation	Estimated Annual Revenue Enhancements	Estimated Annual Cost Savings	Estimated Annual Costs	Estimated One-Time Implementation Costs
R4.24	Send excess prisoners to other jails and reduce operations to an eight hour holding facility.		$113,000		
R4.28	Hire four additional dispatch FTEs.			$125,000	
R4.29	Provide emergency medical dispatch training to dispatchers.				$1,800
Subtotal ECPD		**$153,000**	**$133,000**	**$125,000**	**$192,500**
Fire and Emergency Medical Services (ECF/EMS)					
R5.1	Reduce at least 7 FTEs after integration.		$355,000		
R5.1	Provide training for paramedic certification.				$16,000
R5.4	Eliminate the use of HASI		$20,000		
R5.5	Reduce overtime expenditures by maintaining November 2002 staffing level.		$79,000		
R5.7	Implement a fire inspection fee.	$21,300			
R5.8	Reduce sick leave accrual and lengthen the work cycle.		$110,900		
R5.10	Reduce training costs.		$11,000		
R5.14	Purchase a new squad vehicle.				$147,000
Subtotal ECF/EMS		**$21,300**	**$575,900**		**$163,000**
Parks and Recreation Department (ECPRD)					
R6.2	Conduct household and user surveys.			$5,000	
R6.7	Implement fund raising program.	$34,100			
R6.9	Implement program user fee schedule.	$32,000			
R6.10	Implement software to better monitor and track financial data.				$500
R6.11 & R6.12	Implement formal grant seeking and grant management policies.	$173,500			
Subtotal ECPRD		**$239,600**		**$5,000**	**$500**
Totals		**$413,900**	**$1,201,000**	**$134,000**	**$369,375**

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Human Resources

Background

This section of the performance audit reviews the organizational structure and departmental functions of the East Cleveland Human Resources Department (ECHRD). Comparisons are made throughout the report to peer human resources departments of Euclid, Garfield Heights and Warrensville Heights to illustrate various human resources activities.

Organizational Chart

The human resources related functions for the City are carried out by ECHRD. **Chart 2-1** illustrates the organizational structure and the number of full-time (FTE) employees at ECHRD as of August 2002. Employees are currently working 40 hours a week. Therefore FTEs are calculated based on a 40 hour work week.

Chart 2-1: Human Resources Department
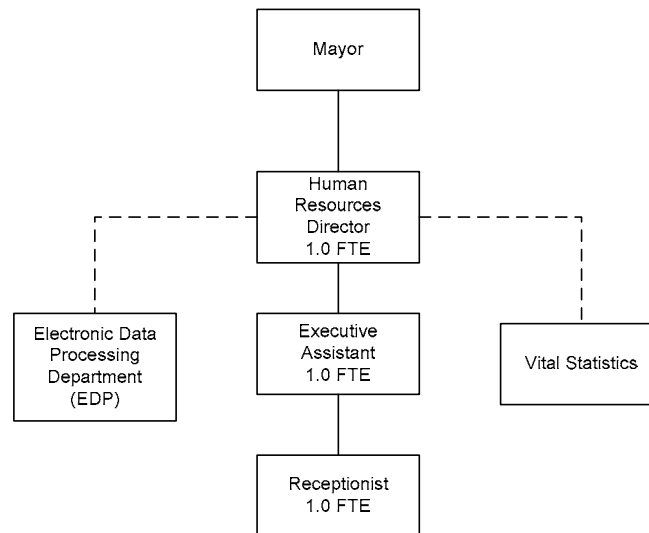
The Human Resources (HR) director reports to the Mayor of East Cleveland. The HR director supervises the executive assistant and is also responsible for reviewing and approving budgets for Electronic Data Processing Department (EDP) and Vital Statistics. The executive assistant oversees the receptionist. Vital Statistics maintains and issues birth and death certificates in the

City and prepares burial permits for funeral homes. During the course of the audit, Vital Statistics was placed under the authority of the HR director. EDP and Vital Statistics will not be assessed in this audit because neither department has any HR responsibilities.

Organizational Function

The major functions of ECHRD are to develop policies and procedures, maintain personnel records and benefits, update job descriptions, process job applications and interview applicants for vacant positions. ECHRD also handles disciplinary issues and administers benefit packages for all City employees.

ECHRD acts as a liaison between the City, the bargaining units and represented employees. The following unions have contracts with the City:

- Municipal Foreman and Laborers Union Local 1099 (chartered); Municipal, County & State Employees, Local 1099 Laborers International Union of North American, AFL-CIO (January 1, 2001 to December 31, 2003). This agreement is for Department of Water and Electrical and Sign-Shop employees.

- Ohio Council 8 of the American Federation of State, County and Municipal Employees, AFL-CIO (January 1, 2001 to December 31, 2003). This agreement represents all drivers and laborers, mechanics and assistant mechanics in the Service and Parks Departments.

- District 1199 of the Service Employees International Union AFL-CIO (January 1, 2001 to January 1, 2003). This agreement represents administrative assistants, animal warden, bookkeepers, clerks, chief mechanic, custodians, housing inspectors, bus drivers, parking meter readers, secretaries, senior aides, tax assistants, transportation manager, outreach workers and health educators.

- East Cleveland Professional Fire Association, Local No. 500, Internal Association of Fire Fighters (January 1, 2001 to December 31, 2003). This contract is for all City fire employees. See the **fire** section for a detailed review of this contract.

- East Cleveland Police Department, Fraternal Order of Police, Lodge Number 19, Ohio Labor Council, Inc (January 1, 2001 to December 31, 2003). The contract is for all police employees who have achieved a rank of sergeant or above. See the **police** section for a detailed review of this contract.

- The Ohio Patrolmen's Benevolent Association of Dispatchers (January 1, 1998 to December 31, 2000). Three groups of employees are represented by this union. One contract represents corrections employees and assistant administrative officers. Another

contract is for patrolmen and the final contract is for dispatchers and records clerk. See the **police** section for a detailed review of these contracts.

Summary of Operations

The HR director is in charge of developing and maintaining an HR manual which encompasses personnel rules and regulations for the City. To help coordinate this activity, the HR director develops policies and procedures, establishes and maintains personnel records, and recruits and tests applicants for any vacant positions (e.g. typing tests for clerical staff). The HR director acts as a liaison between union leadership and department heads by coordinating grievance hearings and participating in union negotiations for the three non-safety service unions. Police and fire union contracts are negotiated by the respective department heads and municipal legal representatives. The HR director also reviews the budgetary expenditures of Vital Statistics and EDP but does not have any direct supervisory responsibility for their operations.

In addition to the specified duties, the HR director supervises the executive assistant. The executive assistant covers the main phone line when the receptionist is absent and also provides support to Vital Statistics when staff is absent. The executive assistant is responsible for processing insurance and other federal and state forms, such as I-9 forms, payroll edits, internal and external correspondence, workers compensation issues and orientation sessions for new employees. The orientation sessions last about 45 minutes and includes the following topics:

- Benefit information;
- Employee job description;
- Employee rate of pay;
- Telephone numbers; and
- Human resources policies.

The executive assistant also supervises the main switchboard receptionist. The receptionist is responsible for answering and transferring telephone calls, along with processing all incoming and outgoing mail.

Staffing Levels

Table 2-1 shows budgeted and actual staffing levels for ECHRD as of August 2002. ECHRD currently has two employees with human resources responsibilities and zero vacancies.

Table 2-1: ECHRD Staffing Levels

Classification	Actual FTEs	Budgeted FTEs
Director of Human Resources	1.0	1.0
Executive Assistant	1.0	1.0
Total	**2.0**	**2.0**

Source: East Cleveland Human Resources Department

ECHRD previously had three employees performing HR activities. Of these three employees, the administrative assistant was laid-off in June 2002 due to budgetary constraints. ECHRD does not plan to fill this vacant position.

Departmental Survey

A survey was distributed to 17 East Cleveland department heads. Its purpose was to obtain feedback and perceptions from the various department heads concerning their interactions with ECHRD. Responses were received from eight department heads for a response rate of 47 percent.

The survey solicited responses to 18 statements concerning the department leaders' working relationship with ECHRD staff and understanding of ECHRD procedures. The scale was defined in the following manner: yes/no, or 5 – Strongly Agree, 4 – Agree, 3 – Neutral, 2 – Disagree, 1- Strongly Disagree. The results of the survey are contained in **Table 2-2**

Table 2-2: East Cleveland Human Resources Department Survey

East Cleveland Attribute	East Cleveland Department Average	Corresponding Recommendation
1. The Human Resources Department communicates changes in policies and procedures to my department	2.4	**R2.4**
2. I believe that the policies and procedures manual created by the Human Resources Department conveys relevant and up-to-date information.	2.6	**R2.4**
3. The Human Resources staff has the expertise to handle all my personnel questions and concerns.	1.7	**R2.1**
4. The Human Resources staff is available to meet with me, within a reasonable period of time, to resolve any human resources-related issues or concerns.	2.3	**R2.18**
5. The Human Resources Department is able effectively answer my questions about compensation and benefits.	2.5	**R2.12**
6. The Human Resources Department has communicated to me changes in the union contract as they occur.	2.6	**R2.9**
7. The Human Resources Department utilizes effective recruitment efforts in attracting new employees.	1.9	**R2.20**
8. I believe that the process of filling vacant positions is completed in a timely manner.	1.8	**R2.21**
9. I believe that the Human Resources Department has an effective job posting process.	1.9	**R2.20**
10. I believe that the Human Resources Department has an effective job applicant screening process.	1.8	**R2.21**
11. I believe that Human Resources Department has an effective new employee orientation process.	1.6	**R2.22**
12. The Human Resources Department used my input when updating job descriptions.	3.4	**R2.18**
13. I believe that current job descriptions for my department accurately reflect the duties and responsibilities performed by staff.	3.0	**R2.18**
14. The Human Resources Department has had a positive impact upon the grievance process.	2.2	**R2.11**
15. The Human Resources Department is effective in handling workers' compensation issues.	2.7	**R2.13**
16. I believe that the current performance evaluations forms are a good tool in measuring employee performance.	2.6	**R2.17**
17. I completed performance evaluation forms last year for all employees who report to me.	40% Yes	**R2.16**
18. I believe that the Human Resources Department effectively monitors and tracks staff trainings.	1.8	**R2.23**

Source: East Cleveland Departmental Survey
Note: The average response was based on the following scale: 5 – Strongly Agree, 4 – Agree, 3 – Neutral/Not sure, 2 – Disagree, 1 – Strongly Disagree

Performance Measures

The following is a list of performance measures used to conduct the analysis of ECHRD:

- Assess the staffing levels and roles of ECHRD personnel
- Assess the development and administration of human resources policies and procedures
- Assess the role of ECHRD in contract negotiations and key labor agreement issues
- Evaluate the disciplinary procedures
- Evaluate the benefit and workers compensation packages
- Assess the adequacy of job descriptions and the performance evaluation process
- Assess the effectiveness of recruitment and retention efforts
- Evaluate the effectiveness of training for employees
- Review salary levels for managerial staff

Findings/Recommendations/Commendations

Staffing Levels

F2.1 **Table 2-3** compares ECHRD's human resources staffing levels to the peers.

Table 2-3: Staffing Levels

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Human Resources Director	1.0	0.8 [1]	0.0	1.0	0.6
Human Resources Executive Assistant	1.0	0.9 [2]	0.9 [3]	0.0	0.6
Total Human Resources FTE Staffing	2.0	1.7	0.9	1.0	1.2
Number of city employees	323	726	343	220	430
Number of city employees per HR FTE	162	427	381	220	358
HR Staff Per 100 FTE	0.5	0.2	0.3	0.5	0.3

Source: East Cleveland and the peers

[1] The Euclid HR Director works 32 hours a week.

[2] The Euclid Human Resources Administrative Assistant works 36 hours per week.

[3] Garfield Heights does not have a centralized Human Resources Department. The individual departments handle human resources activities. An administrative assistant in the Finance Department handles payroll and benefit information for the entire City. This individual works 37.5 hours per week

As **Table 2-3** indicates, East Cleveland's total HR staffing level is the highest among the peers and approximately 67 percent greater than the peer average. East Cleveland has a substantially lower ratio of city employees per HR FTE (162) as compared to the peer average (358). The higher peer average ratio can be attributed to Garfield Heights not having a centralized HR department and the large number of individuals employed by Euclid. Furthermore, Euclid has developed a highly effective HR department allowing it to operate with a minimal amount of HR staffing resources for the relatively high number of city employees. In addition to developing a comprehensive and specific employee personnel manual (see **F2.4**), an effective performance evaluation manual and process (**F2.16**), and an adequate orientation process (see **F2.22**), Euclid employs a HR director who has over 20 years of previous HR experience in the private sector. In contrast, ECHRD lacks the effective HR processes employed by Euclid and its HR director position became vacant during the course of this performance audit. Moreover, **Table 2-2** indicates that departmental directors expressed concerns about the qualifications and expertise of HR staff in handling their questions and concerns.

According to a 1998 study by the Bureau of National Affairs, the median human resources staffing per 100 employees, over the past five years, has ranged from 0.9 to 1.0. Although East Cleveland's HR staff per 100 FTE is lower than 0.9, the ratio takes into account functions which are not performed by ECHRD. These responsibilities include safety, in-house communication, credit unions, food service, facilities management, child care centers and motor pools.

Based on this staffing analysis and the significant need for ECHRD to develop comprehensive HR practices and procedures and improve overall HR operations, the positions of an HR director and executive assistant are sufficient to provide and enhance HR services for the City. Consequently, ECHRD does not have a need to fill the vacant HR administrative position. According to the City, this position will not be filled. In addition, the City filled the vacant HR director position during the course of this performance audit.

R2.1 Based on the City's current fiscal condition and this staffing analysis, the City should not fill the HR administrative position and should function with an HR director and executive assistant. The City should continue to periodically monitor the HR workload level and adjust staffing levels to provide effective service delivery. For instance, ECHRD should be able to streamline HR operations in the future once improvements have been developed and implemented.

Financial Implication: By not filling the vacant HR administrative assistant position, ECHRD would experience a cost avoidance of approximately $22,000 annually in salaries and benefits.

F2.2 The City has assigned the responsibility of supervising the main switchboard receptionist to the HR executive assistant. The receptionist is responsible for processing incoming and outgoing mail and answering the main telephone line. When the receptionist is absent, the executive assistant is required to answer the main telephone line, in addition to answering ECHRD's telephone. As a result, the executive assistant must allocate time to serve as the backup to the receptionist. These additional tasks have not only increased the workload for the executive assistant, but have resulted in the executive assistant spending time on tasks unrelated to human resources.

The City of Warrensville Heights also employs a receptionist. However, this position is supervised by the Mayor's Chief of Staff. When the receptionist is absent, various departments provide coverage for the phone system   As a result, the Human Resources executive director does not have the responsibility of supervising the receptionist and can devote more time to human resources related functions. The Mayor's Office at East Cleveland currently employs two assistants that could handle this job function.

R2.2   The City of East Cleveland should transfer the duties of supervising the main receptionist from ECHRD to the Mayor's Office. The receptionist should then be supervised by an appropriate staff member in the Mayor's Office and one of the Mayor's assistants should provide coverage when the receptionist is absent. As a result of this reporting change, the executive assistant should then be able to devote more time to improving HR related activities.

Departmental Goals and Objectives

F2.3   ECHRD has not created departmental goals and does not use performance measures to ensure service delivery is at an optimum level. Without planning for the future, management decisions are not guided by foresight. Goals are needed to develop performance measures that can inform management of whether departmental objectives are achieved and to help the department become progressive in addressing to the needs of City employees.

Performance measures are defined as a system of customer-focused, quantified indicators which inform an organization about whether it is meeting its goals and objectives. In addition, performance measures can be used as management tools which measure worked performed and results achieved. The types of performance measures most commonly used in government include:

- Inputs: Resources used (what is needed);
- Outputs: Activities completed (what is produced);
- Outcomes: Results achieved;
- Efficiency: How well resources were used; and
- Quality: Effectiveness (How much HR has improved)

Each measure is designed to answer a different question. It is not necessary to use all of the types of measures to determine if an objective is being achieved. However, clear explanations are necessary to indicate what is being measured, the source of the information, and how the value is calculated.

A strong performance measurement system was created in the City of Sunnyvale, California in the early 1980's. Managers in the city measure quantity, quality and cost of service delivery. City council then defines what expectations and improvements are to be made in the course of a year. Re-evaluation at the end of the year determines how well the agency did in achieving its goals. Between 1984 and 1994, the City of Sunnyvale recorded a 44 percent improvement in worker productivity and a 38 percent improvement in the cost of providing services which was attributed to the use of performance measures.

R2.3   ECHRD should create departmental goals.   Once departmental goals have been established, the HR director should develop performance measures to assess the results of internal performance and attainment of goals.   The use of performance measures will increase efficiency and should better inform key stakeholders about HR's performance. The following are performance indicators which can be used to measure ECHRD's performance:

- Staff time used to address concerns (Input);
- Number of employee grievances (Output);
- Percentage of new employee's successfully passing probation (Outcome);
- Prompt filling of job vacancies (Efficiency);
- Percentage increase in employee satisfaction levels (Quality).

Policies and Procedures

F2.4   The City of East Cleveland's human resources policies and procedures manual does not address certain topics, does not contain components which should be part of an effective personnel manual, does not specify which employees or departments are covered by the manual and does not reference the union contracts.   Certain policies in the HR manual, such as sick leave accrual and break and meal periods, do not correspond to provisions in the union contracts.   In addition, certain sections of the policy manual are not fully developed. For example, although the policy manual has a section concerning meal breaks, the length of the meal breaks is not specified.   Although the HR director stated that the policy manual was updated within the past year, no date is specified to indicate when the policy manual was created or updated.   **Table 2-4** illustrates the topics not covered or those areas which should be expanded based on industry criteria.

Table 2-4: Policy Manual Assessment

Topics not covered in the Personnel Manual	Topics Needing Expansion
Immigration Policy	Drug Policy
Confidentiality	Rest and Meal Periods
Training Policy	Personnel Files
Prohibited Behaviors and Corresponding Penalties	Ethics Policy

Source: Business and Legal Reports

Potential resources for assistance in developing effective policies and procedures include HRNext and Business and Legal Reports which publishes state and federal human resources, safety, and environmental compliance and training solutions.   HRNext provides online assistance in various HR topics, has sample copies of personnel policies and provides a checklist that is helpful in updating policies for the future.   Business and

Legal Reports provides various publications on developing personnel policies, sample policies, checklists and addresses personnel questions. According to a recent Workforce Magazine article, court decisions reflect favorably on the employer when efforts are made to inform, train and take swift action in employee relations. As a result, it is important to establish written policies and procedures to minimize liability risks to an organization.

The risk to an organization increases when policies are not clearly defined, allowing inappropriate behavior to occur and increasing the liability of the organization. Also, without descriptive policies, management cannot communicate their expectations to staff and HR staff may not possess the knowledge needed to handle all personnel questions or concerns. As illustrated in **Table 2-2,** department directors do not believe that HR has done an effective job in relaying changes in policies and procedures or that the manual conveys relevant, up-to-date information.

R2.4   The HR director should work with all department heads and city council to develop or expand the policies listed in its manual. In addition, the law director should perform a thorough legal review of all proposed changes to the HR manual and policies. The HR manual should reference corresponding union contracts and specify which employees are covered by the manual. When union contracts are updated, the manual should reflect those updates. Once the manual is updated, HR should take the following steps to ensure that staff is made aware of changes:

- Post notices in the workplace of impending revisions;
- Issue changes in the manual to staff before they become effective;
- State an effective date which supercedes all previous versions;
- Require employees to sign an acknowledgement form to be placed in each employee's personnel file (see **F2.5**); and
- Provide a training session to discuss policy changes.

By providing an up to date employee manual, the City will be able to accomplish the following:

- Communicate policies and procedures;
- Play a role in the orientation process for new employees;
- Serve as a means to educate current and prospective employees;
- Contribute to uniform and consistent application, interpretation and enforcement of policies;
- Protect against claims of improper employee conduct; and
- Protect against legal claims.

F2.5   East Cleveland employees are not required to sign a receipt acknowledging that they have received, read and understand the contents of the policy manual. According to HR.com, organizations should require signed acknowledgement forms for policy manuals to document that an employee is aware of both policies and disciplinary action which could occur for noncompliance. According to HR.com, an acknowledgement form should contain the following information:

- A signature indicating that the employee received, read and understood the contents of the policy manual.
- A statement that the employee may meet with the human resources manager or respective supervisor to discuss any of the organization's policies, practices or procedures.
- A statement that the policy manual replaces all such previous documents.
- A statement that the policy manual serves as a guideline and the organization retains discretion to interpret, amend or replace the document at any time and in any manner it deems appropriate.

Creating signed acknowledgement forms can protect organizations from lawsuits in the event of disputes. Due to the fact that HR has not developed acknowledgement forms, there can be a potential for misunderstandings, increased grievances and lawsuits for the city.

R2.5   Employees should be required to sign an acknowledgement form after reviewing the policies and procedures manual. This will require the HR director to design and develop an acknowledgement form which should contain the information discussed by HR.com. Requiring employees to sign an acknowledgement form can provide useful written evidence showing that an employee has been provided with instructions about the policy manual.

F2.6   East Cleveland's ethics policy does not contain several essential elements. The current policy covers conflicts of interest, business ethics and outside employment. However, the policy does not discuss actions that can be taken in the event of a violation. In addition, specific explanations of unethical violations are not provided, such as outside employment, acceptance of gifts and gratuities, nepotism and confidentiality. According to Business and Legal Reports' publication, *Business Ethics Section 1105*, formal policy statements should outline and define unethical behavior and the steps that will be taken to reduce an organization's liability and protect its best interests.

Furthermore, according to the Society For Human Resource Management (SHRM), a Code of Ethics (The Code) should also be created which covers the following areas:

- **Personal Integrity -** The Code needs a statement about issues that the organization values. The statement should address all stakeholders including employees and the public. Personal integrity is not mentioned in the City's policy manual.

- **Compliance and Laws -** This section should prohibit discrimination and harassment, in addition to discussing any antitrust or labor laws. The City has information about discrimination and harassment in the manual.

- **Political Contributions and Activity -** The organization should set forth its policy regarding political contributions and activity, including solicitation of personal and financial support. This section is not discussed in the City's manual.

- **Confidential Information** - The Code should have a clear statement about how confidential information will be treated, and which information the organization considers to be confidential. The City has a section in the manual about non-disclosure; however, specific confidential information is not discussed.

- **Conflicts of Interest** - The organization should set forth, in clear language, the expectation that employees will act in the interest of the organization. Requirements should be discussed and examples provided. The City has a conflict of interest policy but does not provide examples of conflicts of interests.

- **Books and Records** - A statement should be included which prohibits falsification of any record of the organization regardless of motive. This section is not contained in the City's manual.

- **Employment practices** - A general statement of how the organization treats its employees should be listed. The statement should include issues such as fairness of pay, discrimination, career development and safety. This section is included in the manual.

- **Gifts, Gratuities and Entertainment** – A specific policy for gifts, gratuities and entertainment should be clearly defined. The City's manual mentions special fringe benefits and bribes, but does not specify penalties for violating the policy.

Without clearly defined ethics policies, and an understanding of the implications of these policies, the organization's liability increases, subsequently increasing the potential that lawsuits can be filed by employees.

R2.6 ECHRD should rewrite its ethics policy to include headings, specific descriptions explaining unethical violations for each category and the steps to be taken if the policy is violated. The following categories should be discussed in more detail:

- Outside employment;
- Acceptance of gifts and gratuities;
- Conflict of interest;
- Nepotism;
- Confidential information;
- Personal integrity;
- Political contributions and activity; and
- Book and records.

Expanding upon the ethics policy can reduce the City's potential for litigation brought on by aggrieved employees over the enforcement of an inadequate ethics policy. Furthermore, having an effective city-wide ethics policy in place will enhance employees' accountability to serve the public in an honest, effective and friendly manner. Finally, instituting and enforcing a practical and a comprehensive ethics policy will afford the City an appropriate and effective tool to inform employees of the ramifications of any misuse or abuse of the policy, including likely disciplinary action.

F2.7 Enforcement of the leave policies for City employees has not been consistently applied. According the East Cleveland policy and procedures manual, vacation leave must be used during the calendar year in which employees are eligible for leave, and it will be lost if not used by March of the following year. In addition, the sick leave policy only permits employees to accumulate sick leave time until the end of the calendar year and the policy does not provide information about carrying over sick leave balances from one year to the next. Therefore, based on these policies, City employees should not have substantial sick and vacation leave time balances. However, in reviewing the 2001 vacation balances for the Water and Electrical Division, Finance, Parks and Recreation, Community Development, Electrical Division, Income Tax Division, Helen S. Brown Senior Center, Human Resources Department and the Law Department, it was found that sixteen employees had vacation leave balances in excess of 190 hours, which is the maximum amount of vacation time that an employee with 18 years or more of service time could accumulate. Several of these employees also had negative vacation leave balances which is prohibited by the vacation leave policy and illustrates lack of enforcement of the vacation leave benefits policy. As a result, these employees used vacation time even though it was not properly earned.

The lack of leave enforcement can be attributed to fact that no department at the City was regularly reviewing and monitoring the leave balances of employees and HR was not notified of any leave taken by employees. In contrast, the finance department of Garfield

Heights reviews and approves all leave balances at the end of each year and upon employee retirements. In addition, departmental supervisors at Euclid monitor any leave time granted and report the leave hours to the payroll department.

The East Cleveland policy manual also states that employees earn 15 sick days per year, or a maximum of 120 hours. Although the sick leave policy does not indicate that sick leave balances can be carried over from prior years, 28 employees had sick leave balances in excess of 120 hours. By allowing employees to incur substantial leave balances and not clearly stating policies for leaves, the City is increasing its monetary obligations to employees upon retirement.

R2.7   The City of East Cleveland should follow the vacation and sick leave policies which are outlined in the policy manual. The HR director should clearly indicate in the policy manual what the sick leave policy is, provide information concerning sick leave carry-over from year to year and explain any implications for employees who accumulate more than 120 hours of sick leave. The HR director should also work with each department to ensure that vacation and sick leave balances for all employees conform to the language specified in the policy manual or related collective bargaining agreement. At the end of each year, the HR director should review all leave balances to ensure that employees are not carrying over unauthorized leave balances and do not have negative leave balances. In addition, the HR director should reference in the policy manual the related sick leave provisions covering employees in the collective bargaining units.

F2.8   The City does not have a comprehensive drug and alcohol-free workplace plan. According to the U.S. Department of Labor, organizations that have comprehensive drug and alcohol programs can effectively protect themselves from impacts of drug and alcohol usage. A comprehensive plan typically contains five elements:

- **Component 1: Writing a Drug-Free Workplace Policy.** An effective policy contains reasons for implementation, clear descriptions of prohibited behaviors and consequences for violating the policy. Each of these components is found in the City's employee handbook and union contracts.

- **Component 2: Supervisor Training.** Supervisor training is needed to ensure that drug abuse policies are applied properly. The City has not provided supervisors with training to explain the policy. As a result, staff may not have received the necessary assistance.

- **Component 3: Employee Education.** Effective employee education programs provide specific information about the details of the drug-free workplace and policy program. The City does not have this element in its drug and alcohol policy.

- **Component 4: Providing Employee Assistance Programs (EAP).** These programs provide specific information about the details of the drug-free workplace policy and program. The City does have an EAP, Rightwellness, which provides yearly seminars to employees about its services

- **Component 5: Alcohol and Drug Testing.** The Society for Human Resources Management (SHRM), suggests that organizations use pre-employment drug testing to screen all applicants. Currently, the City has a reasonable suspicion drug testing policy. However, the City does not have a pre-employment drug testing policy. The City of Euclid requires all employees who operate commercial vehicles to pass drug and alcohol tests. The costs are $68.00 per drug test and $30.00 per alcohol screen.

Another potential resource for pamphlets, posters and other forms of employee communication on drug free workplaces is Business and Legal Reports. The pamphlet titled "BLRS Pocket Guide: The Drug Free Workplace," contains information about the Drug-Free Workplace Act, effects of specific drugs, sources of assistance for any drug problems and actions which organizations must take to comply with the law.

According to SHRM, substance abuse can result in decreased workplace safety, increased accidents and decreased productivity.

R2.8   The City should implement a comprehensive drug and alcohol free plan in accordance with federal standards. To implement an effective and comprehensive drug and alcohol free plan, the City should do the following:

- Provide training to management and staff, in accordance with component two and three of the U.S. Department of Labor's standards. The ECHRD director should contact the employee assistance program provider to arrange training sessions for management and staff. The training sessions should discuss the impact of drug and alcohol abuse and techniques for addressing employees who abuse drugs and alcohol. Management will be better equipped to handle drug and alcohol issues by quickly identifying and addressing these issues, before service delivery is negatively impacted.

- Provide updates about problems associated with drug and alcohol usage, as described in component four of the U.S. Department of Labor's standards. The ECHRD director should also provide continued training to employees by distributing pamphlets or other informational materials to staff. Providing training updates ensures that staff can identify whether they are in need of help and who to contact for assistance. In addition, increased employee and supervisor awareness helps the City avoid costly lawsuits.

- Institute a pre-employment drug test, as referenced in component five of the U.S. Department of Labor's standards. ECHRD's director and the Mayor should work with the City's Law Department to develop a pre-employment drug testing policy. The policy should deter, or identify, a significant number of applicants with drug or alcohol issues.

Financial Implication: The purchase of 323 Drug Free workplace pamphlets would cost the City about $775 based on Business and Legal Reports pricing. Assuming a turnover rate of 17 percent (the average turnover rate in SHRM's 2000 survey) would result 55 new-hire employees per year. Based on this estimate, the City would incur about $4,000 annually by conducting drug tests ($35.00 per person) and alcohol tests ($38.00 per person) of potential new employees.

F2.9   Although the City does have a written policy in each of its union contracts which deals with specific examples of employee misconduct, the City does not have a written policy for non-union employees. Without a policy detailing specific prohibited behaviors and corresponding penalties, the following can occur:

- A lack of communication about management expectations and departmental and legal requirements;
- A lack of compliance with requirements; and
- Inconsistent decision making.

Included in the City of Euclid policies and procedures manual is a section describing various disciplinary offenses and the associated penalties. Euclid has categorized the offenses into two major groups, Group I and Group II. Group I covers unauthorized use of property or failure to observe department rules. Group II involves more serious offenses such as unauthorized leaves from work, stealing, fighting or misuse of City records. As a result of this policy, Euclid has made all employees aware of prohibited behaviors and consequences for engaging in those behaviors.

R2.9   The HR director should create a section in the policy manual concerning grounds for disciplinary actions which can be applied to all non-union employees. The prohibited behaviors and subsequent penalties should reference the union contracts for bargaining unit employees. By creating this policy, the City should be able to monitor employee behavior and take appropriate action for any noncompliance with this policy.

Contract Negotiations & Labor Agreements

F2.10 ECHRD does not have a background in labor relations and staff has not received training in the collective bargaining process despite being responsible for negotiating three union contracts. ECHRD's executive assistant, Finance Director and the City's Law

Department staff and an outside legal firm are also a part of union negotiations. The lack of training and experience for the HR director can contribute to a lengthy contract negotiation process. The three union contracts which the HR director negotiates expired at the end of 2001 and new contracts were not signed until February 2002. Although East Cleveland had signed union contracts, the department survey (**Table 2-2**) indicates that that ECHRD did not effectively notify departmental directors of changes to the contract. In addition, despite the HR director not having prior experience in labor relations, the City did not seek training or guidance from the State Employee Relations Board (SERB). SERB provides organizations with training in various labor relation issues upon request. SERB's Bureau of Mediation offers more than 100 training modules to organizations in the area of Labor Management Committee effectiveness training, interest-based bargaining, interest-based problem solving, and interest based grievance mediation.

In addition, Cleveland State University's (CSU) College of Business Administration established a Labor Management Relations Center (LMRC) to provide labor relations training for individuals and organizations involved in the labor relations process. LMRC can customize programs to reflect the specific circumstances that the City encounters. LMRC can also provide training in areas that would be relevant to the City, including the following:

- Contract negotiations;
- Dispute resolution;
- Basic grievance handling;
- Contract administration, grievance processing and arbitration;
- Team building
- Arbitration training for the non-lawyer;
- Sexual harassment; and
- Performance appraisal and evaluation.

R2.10 ECHRD should use resources such as those available from SERB and CSU in order to become more efficient and effective in negotiating collective bargaining agreements. By doing so, the City will be in a better position to identify areas where improvements in contracts can be made along with increasing the likelihood of having these types of proceedings result in a satisfactory outcome for all interested parties. In addition, becoming more aware of negotiation tactics will allow ECHRD to successfully administer bargaining agreements and minimize negative outcomes.

ECHRD should also remain cognizant of the need to inform departmental directors of all changes to union agreements and ECHRD should meet with the directors to review and discuss the changes. Increased communication will help alleviate confusion and address provisions which managers may not be familiar.

F2.11 **Table 2-5** compares the major policies in the City's five union contracts. The HR director is not involved in contract negotiations for the Fraternal Order of Police or fire personnel. Various representatives in the Police and Fire Departments are directly involved in the union negotiation process.

Table 2-5: Comparison of East Cleveland Union Contracts and Policy Manual

	East Cleveland Policy Manual	Ohio Council 8 – AFSCME	District 1199 Of The Service Employees	Municipal Foreman and Laborers Union Local 1099	East Cleveland Fire Fighters Local 500 of the International Association of Fire Fighters	East Cleveland Police Department Fraternal Order Of Police	Ohio Patrolmen's Benevolent Association
Length of work week and day	• Not specified	• 8 hours per day • 5 days a week, Monday through midnight Sunday • Two 10 minute breaks • Two 15 minute breaks to wash up • 30 minutes for lunch	• 8 hours per day • 5 consecutive work days • Two 10 minute breaks • No lunch break specified	• 8 hours per day • 5 consecutive work days • Two 15 minute breaks • No lunch break specified	• See the **fire** section	• See the **police** section	• See the **police** section
Actual time worked	Not specified	6.6 hours	7.4 hours	7.7 hours	See the **fire** section	See the **police** section	See the **police** section
Sick Leave Accrual	15 days per year, no maximum	Not specified in the contract. The policy manual allows 15 days per year with no maximum	15 days per year 120 days maximum	18 days per year 120 days maximum	1 day per month of work completed, begins after 90 days of service. 12 days per year, unlimited	4.6 hours for every 80 hours worked 119.6 hours per year, or 14.95 days per year	4.6 hours for every 80 hours worked 119.6 hours per year, or 14.95 days per year.

Source: East Cleveland Collective Bargaining Agreements

Table 2-5: Comparison of East Cleveland Union Contracts and Policy Manual Continued

Max. # of sick days paid out at retirement	One-fourth of accrued sick leave balance up to a maximum of 240 hours.	Must have at least 15 years of continuous service. One fourth of sick leave up to 240 hours.	One-fourth of sick leave, up to maximum of 240 hours.	One-fourth of sick leave, up to a maximum of 240 hours.	Retirement or natural death; after 12 years of service, one-fourth of unused sick time not to exceed 120 days.	Upon retirement or death, an employee must have 15 years of continuous service in order to receive cash payment of one-fourth the total number of sick leave hours, not to exceed 240 hours.	Upon retirement or death, an employee must have 15 years of continuous service in order to receive cash payment of one-fourth the total number of sick leave hours, not to exceed 240 hours .
Vacation time accumulation	1-5 years: 10 days 6-11 years: 15 days 12-17 years: 20 days 18+: 25 days	1-5 years: 10 days 6-11 years: 15 days 12-17 years: 20 days 18-24 years:25 days 25+: 30 days	1-5 years: 10 days 6-11 years: 15 days 12-17 years: 20 days 18+ years: 25 days	6 months-11 months: 5 days 1 – 11 years: 5 days 12 years – 17 years: 20 days 18+ years: 25 days	1-5 years: 10 days 6-13 years: 15 days 14-17 years: 20 days 18+ years: 25 days	1-3 years: 10 days 4-9 years: 15 days 10-14 years: 20 days 15-19 years: 25 days 20+ years: 30 days	1-5 years: 10 days 6-11 years: 15 days 12-15 years: 20 days 16-22 years 25 days 23+ years: 30 days
Personal Days	Not specified	5 days without pay per year 1 day with pay per year	None	1 day per year	1 day per year	5 days per year	4 days per year
Number of Holidays	10 days per year	12 days per year	12 days per year	12 days per year	13 days per year	12 days per year	12 days per year
Minimum Call-In Hours Paid	Not specified	Minimum 4 hours of pay	Minimum 2 hours + 1 ½ regular rate of pay	Minimum 4 hours +$.50 per hour in addition to regular rate of pay	Minimum 4 hours paid at overtime rate.	Minimum of 4 hours, or actual time worked, whatever is greater. Rate of pay not specified.	Minimum of 4 hours of pay at the assigned rate.
Days to file a grievance	Not specified	7 days	15 days	5 days	5 days	5 days	5 days
Probationary Period	6 months	6 months	Not specified	6 months	1 year	1 year	1 year
Employee Contribution to Retirement System	Employee pays the required 8.5% employee contribution.	The City pays the employee contribution.	The City pays the employee contribution.	The City pays the employee contribution.	Ist grade and higher: Employee contribution is 4.7%. The City pays the remaining 5.3% employee contribution [1]	Employee pays the required 10% employee contribution.	Employee pays the required 10% employee contribution.

Source: East Cleveland Collective Bargaining Agreements
[1] Fire employees may elect to pay the 4.7% contribution and instead receive a 3.52% increase in salary.

As shown in **Table 2-5**, no policies are the same for city employees. Significant differences in policies when comparing them to each other (the City policy manual and collective bargaining agreements) include the following:

- Length of workday and actual time worked;
- Sick leave time earned and paid out;
- Vacation accrual rates;
- Number of personal days;
- Minimum number call-in hours;
- Number of days to file a grievance;
- Length of probationary periods; and
- Payment of the employee contribution to the retirement system.

Having such discrepancies between the City's union contract and policy manual can lead to confusion and inconsistencies in managing, tracking, enforcing and applying contract provisions to all employees. In addition, by having different provisions in the various contracts and the City policy manual, certain employees enjoy more generous benefits than others, causing inequity in the level of benefits provided to staff.

In comparing the three non-safety union contracts to similar peer contracts, the following major differences emerge (for a detailed comparison of the City's Police and Fire Departments' contracts to peer contracts, see the **police** and **fire** sections):

- Two of the peers provide a minimum of two hours for call-in pay, while two of East Cleveland's three non-safety contracts have four hours as the minimum call-in pay. As a result, the City may be incurring excessive costs for hours beyond those required to complete work assignments. This difference was also identified in Phase 1 of the East Cleveland performance audit. However, this policy exists in the new negotiated contracts.

- All of the peers specify sick leave accrual time while East Cleveland does not for its Ohio Council 8 contract. Not having a sick leave provision in the contract can lead to employee abuse of sick leave

- Excluding Euclid, East Cleveland is more generous in providing breaks to its employees. These breaks could result in a reduction in employee productivity and result in an ineffective use of employees' time. This difference was also identified in Phase 1 of the East Cleveland performance audit. However, this policy exists in the new negotiated contracts.

- All of the peers have a shorter time frame to file a grievance. A shorter time frame can result in the grievance process being handled more quickly.

R2.11 The City should seek to renegotiate certain provisions in its union contracts and inform all affected employees about changes in the contract. The City should take the necessary steps to address these issues in future contract negotiations for its three non-safety bargaining agreements (see the **police** and **fire** sections for recommendations on union policies):

- Reduce minimum call-in policy pay to two hours in all three agreements. When possible, plan work assignments so that employees who are called in, work at least the minimum hours which they will be paid. This will require planning for tasks which can be accomplished in less than two hours.

- Remove the provision requiring employees to return to the service building for lunch. This would increase the time spent by employees on their work assignments.

- Reduce the number of days to file a grievance to five days in all three agreements.

Furthermore, the City should strive to negotiate the following provisions to be more consistent across the three non-safety agreements, while ensuring that agreed upon provisions are cost-beneficial to the City and fair to employees:

- Payment of the employee contribution to the retirement system;
- Sick leave time earned and paid out;
- Vacation accrual rates;
- Number of personal days; and
- Length of probationary periods.

Striving to renegotiate these provisions to be more consistent across the collective bargaining agreements would minimize certain costs incurred by the City, improve the ability to manage and enforce contract provisions, and enhance internal equity and fairness in the level of benefits provided to all employees. Since renegotiating the payment of the employee contribution to the retirement system could impact subsequent salary negotiations, quantifying the financial impact of uniformly requiring all employees to pay the applicable employee contribution cannot be readily determined.

Additionally, language in the policy manual should reference the information contained in the union contracts for those union policies that supersede the City policy manual (e.g., the length of the work day, sick leave accrual, vacation time accrual, etc.). Finally, all

sick leave accrual provisions, personal day policies, and probationary periods should be clearly defined and stated in the contract.

Healthcare Benefits and Workers' Compensation

F2.12 **Table 2-6** compares East Cleveland's premium costs and employee healthcare contributions to the peers, SERB average and Cleveland area average.

Table 2-6: Hospitalization

City	Provider(s)	Monthly Premium For Single Plan	Full-Time Employee Share	Monthly Premium for Family	Full-Time Employee Share
East Cleveland	Medical Mutual [1] Medical Mutual [2]	$284.66 (8 employees) $262.62 (92 employees)	$10.00 ($5.00 for Fire Employees)	$719.64 (6 employees) $685.85 (151 employees)	$20.00 ($5.00 for Fire Employees)
Euclid	Medical Mutual	$210.33	$10.00	$525.84	$20.00
Garfield Heights	Medical Mutual	$330.95 [3] $219.64 [4]	$0.00	$878.29 [3] $589.96 [4]	$0.00
Warrensville Heights	Medical Mutual	$279.70	$0.00	$737.40	$0.00
State Employee Relations Board (SERB) Average, 2001	Average monthly cost of medical insurance premiums	$243.97	$16.33	$624.47	$55.96
Cleveland Area	Average monthly cost of medical premiums	$226.48	$16.35	$595.69	$39.64

Source: Schedule of Benefits
[1] This premium is for an employee who selects Traditional coverage.
[2] This premium is for an employee who selects Supermed Plus coverage.
[3] This premium is for police and fire employees.
[4] This premium is for AFSCME employees.

As **Table 2-6** illustrates, East Cleveland incurs higher healthcare premium costs when compared to the peers (excluding Warrensville Heights and coverage for police and fire employees at Garfield Heights), State Employee Relations Board Average (SERB) average, and the average of governments located in the Cleveland area. In addition, East Cleveland requires employees to pay a lower share for hospitalization when compared to the SERB and Cleveland area averages. For instance, East Cleveland requires full-time employees to pay 39 percent less than the SERB average for single coverage. In addition, the City requires full-time employees to pay 64 percent less than the SERB average for family coverage. As a result, the City is responsible for spending more to insure its employees than other cities in Ohio.

A report on the *Cost of Health Insurance in Ohio's Public Sector* was completed by SERB. Based on the 2001 study, approximately 65 percent of responding employers

require their employees to pay a portion of the cost of a family medical plan. Fifty-three percent require their employees to pay the cost for the single plan. The average monthly contribution is $16.33 for single coverage and $55.96 for family coverage. These rates amount to 6.7 percent of the cost of a single plan and 9.0 percent of the monthly family premium. In contrast, East Cleveland employees pay 3.8 percent for single SuperMed Plus coverage, 3.5 percent for single Traditional Coverage, 2.9 percent for family SuperMed Plus coverage and 2.7 percent for family Traditional coverage. As a result, East Cleveland employees pay a substantially lower percentage for health care coverage when compared to the statewide average. Other findings in the study included:

- Estimated cost of medical and other health benefits averages $6,919 per covered employee.

- Monthly medical insurance premiums currently averages $243.97 for single coverage and $624.47 for a family plan. The averages are based on rates for medical coverage only.

- The average total monthly premiums for employee health care benefits are $288.17 for single coverage and $705.66 for family coverage. The figures include other benefit costs such as prescription, dental, optical and life insurance.

- In 2001, medical premiums increased an average of 14.7 percent for both single and family coverage over 2000 levels.

By reviewing and understanding the findings of the SERB study, ECHRD would be able to gain more knowledge and understanding about benefits and their impact upon the budget. As noted in **Table 2-2**, departmental directors do not feel that ECHRD can effectively answer questions about compensation and benefits.

Table 2-7 compares certain features which should be considered when evaluating costs in conjunction with choosing a medical plan.

Table 2-7: Key Medical Plan Benefits

	East Cleveland Medical Mutual Traditional Medical Mutual SuperMed Plus [1]	Euclid	Warrensville Heights
Office Visits	100% 100%	100%	$10.00 copay
Prescription Plan Included?	Yes Yes	Yes	Yes
Employee Annual Deductible	$100 single / $200 family None	$200 single / $300 family	$200 single / $500 family
Employee Out of Pocket Maximum	$500 per person N/A	100% after deductible paid	$0 for network provider $2,500 single non-network $5,000 family non-network
Need to Choose Primary Physician	No	No	No
Maternity	100% 100%	100%	100%
Well Child Care	100% (limit of $500 max per benefit period) 100% (limit of $500 max per benefit period)	100%	100%
Inpatient Hospital Care	100% 100%	100%	100%
Outpatient Care	4 services are 100% 5 services are 80% after deductible 100%	100%	100%

Source: Schedule of Benefits and Interviews
Note: Plan benefits were not provided by Garfield Heights
[1] Only includes benefits for network providers.

The following plan benefits illustrated in **Table 2-7** could explain the higher healthcare premium costs at East Cleveland as compared to Euclid and Garfield Heights (AFSCME Super Med Classic):

- No required employee co-pay in either plan at East Cleveland;
- Employee annual deductibles are significantly lower in the Traditional plan while the SuperMed Plus plan does not require any employee annual deductibles; and
- Employee out of pocket maximum is significantly less in both plans.

In addition, **Table 2-6** indicates that the majority of employees participate in the SuperMed plus plan. Since the required employee contribution is the same for each plan, employees would tend to participate in the SuperMed plan because the level of benefits provided are greater while the employee contribution is the same. Further, although the City does has previously conducted annual bids for healthcare services, it did not hold a

bid for healthcare services in the past year. A regular annual bid for healthcare services could be a means to obtain lower healthcare premiums for the City.

R2.12 Considering the City's current status of fiscal emergency and long-standing difficulty in effectively managing its financial situation, the City should carefully assess the level of benefits which it desires to provide in relation to the costs required to provide those benefits. The City should compare its medical benefits to those offered by Euclid which has the same provider but saves approximately $52 and $74 per employee (single) and about $160 and $194 per employee (family) each month as compared to the City's single and family SuperMed and Traditional plans, respectively. If the City determines that it wants to lower costs and provide the same benefits, then it should consider increasing employee contributions. If the City wants to lower costs but not increase employee contributions, then it should consider the following:

- Changing some aspects of the benefits offered (e.g. require employee co-pays, set higher deductibles for employees, etc.); or
- Bidding out healthcare yearly to determine whether or not to change insurance providers.

Additionally, the City should consider only offering the least costly plan if it continues to require the same level of employee contribution.

Financial Implication: If East Cleveland adjusted its plan benefits to subsequently lower its medical premiums to be comparable to the City of Euclid, East Cleveland could experience a cost savings of approximately $369,000 per year.

F2.13 The City has a significant number of Bureau of Workers Compensation (BWC) claims and larger premium costs when compared to the peers. As a result of a larger number of claims, the City must allocate more dollars to its BWC program. BWC has rating classes for employers that are based on the work being done and the risk of associated injury and hazards. The classes include base-rated, experience-rated, group-rated and retrospective-rated. Base-rated employers pay their workers' compensation premiums using a base rate approved by the BWC. Base rating also allows employers to pay workers compensation premiums calculated by the average costs of claims filed against employers in similar industries. Nearly 70 percent of all Ohio employers are base-rated. Experience rating is an incentive system designed to promote safe-working conditions. Employers who become experience rated can be credit-rated or penalty–rated depending on the claims cost record of their business. An employer automatically becomes experience-rated if the expected losses are $8,000 or more. Approximately 20 percent of Ohio's employers are experienced-rated. The group rating plan allows employers who operate similar businesses to come together to achieve lower premium rates than they could individually. An organization will sponsor a group and each sponsor requires group members to pay a

membership fee. The sponsor must submit a safety plan to BWC for each year. In order to be group rated, an employer must meet the following criteria:

- Be current on all undisputed premiums, administrative costs, assessments, fines or monies due to BWC;
- Be current on the payment schedule for any scheduled part-pay agreement that has been entered in to pay premiums or assessments due to the BWC;
- Not have any cumulative lapses in workers' compensation coverage of 59 days in the past 18 months preceding the application deadline;
- Be in active status on the first day of the policy year for group rating; and
- Not be a member of more than one group.

Once an organization meets the above criteria, the organization can apply for a group rating through a trade association or other organization. According to the BWC, joining a group rating should be the goal of every employer because the plan can save employers about 70 percent off their premium rates, based on the average discount in 2002. The retrospective rating plan is a discounted program where the employer pays a designated percentage of their premiums. In return for the discount, the employer pays the actual claims costs on all losses within the policy year up to a certain limit. The premiums are billed biannually and total claims costs are billed annually. **Table 2-8** shows workers' compensation claims, premium costs and experience modifiers for East Cleveland and the peers for the years of 1999, 2000 and 2001.

Table 2-8: Workers' Compensation for 1999, 2000 & 2001

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
1999					
Lost Time Claims	12.0	23.0	9.0	10.0	14.0
Medical Only Claims	24.0	43.0	21.0	11.0	25.0
Total Claims	36.0	66.0	30.0	21.0	39.0
Premium Costs	$348,696	$333,376	$240,899	$147,049	$240,441
Experience Modifier	1.14%	1.10%	1.61%	0.59%	1.10%
Rating Plan	Experience	Retrospective	Retrospective	Group	N/A
2000					
Lost Time Claims	14.0	23.0	11.0	7.0	13.7
Medical Only Claims	36.0	59.0	9.0	24.0	30.6
Total Claims	50.0	82.0	20.0	31.0	44.3
Premium Costs	$417,112	$265,138	$158,199	$166,183	$196,507
Experience Modifier	1.29%	0.86%	0.99%	0.67%	0.84%
Rating Plan	Experience	Retrospective	Retrospective	Group	N/A
2001					
Lost Time Claims	15.0	15.0	1.0	6.0	7.3
Medical Only Claims	35.0	62.0	21.0	17.0	33.3
Total Claims	50.0	77.0	22.0	23.0	40.6
Premium Costs	$404,077	$297,759	$167,928	$165,018	$210,235
Experience Modifier	1.07%	0.84%	0.99%	0.61%	0.81%
Rating Plan	Experience	Retrospective	Retrospective	Retrospective	N/A
Three Year Average					
Lost Time Claims	13.7	20.3	7.0	7.7	11.7
Medical Only Claims	31.7	54.7	17.0	17.3	29.7
Total Claims	45.4	75.0	24.0	25.0	41.4
Premium Costs	$389,962	$298,758	$189,009	$159,417	$215,728
Experience Modifier	1.17%	0.93%	1.20%	0.62%	0.9

Source: Bureau of Workers' Compensation

East Cleveland's lost time claims, medical only claims and total claims were slightly higher than the three year peer average. In addition, the City's experience modifier in 2000 and 2001 was higher than each of the peers. The experience modifier is based upon factors such as the total number of claims in any previous period, the severity of those

claims and the extent that any lost time claims went into effect. After all of these figures are calculated, the experience modifier is the total number of claims filed versus the amount that the entity is expected to lose. Any experience modifier greater than 1.0 is a penalty and may result in higher premiums. As is presented in **Table 2-8**, the City spent over $150,000 more on premiums, for the three year average, when compared to the peer average. The higher premium costs incurred by the City can be attributed to more expensive claims filed or to settlements on prior claims. According to the BWC, the City had more costly claims to settle, accounting for the higher premium costs when compared to the peers in each of the past three years. In addition, Euclid's lower experience modifier and premium costs are a function of employing a safety manager who provides oversight for Euclid's organizational safety and other processes. Currently, East Cleveland does not have a safety manager. Workers' compensation issues at the City are handled by the HR director.

In addition, the BWC established a base rate of $3.34 for every $100 of payroll expenditures for 2002. Based on the base rate of $3.34 and the City's payroll in 2001 of approximately $10,388,000, BWC would expect the City's premiums for 2002 to be about $347,000. However, East Cleveland's premiums have been higher than this base rate in each of the past three years, resulting in a penalty rating for the City.

Despite Mahoning County being penalty rated for a number of years, it implemented the following measures to improve its workers compensation program and reduce premium costs:

- Hired a risk manager;
- Conducted internal meetings involving appropriate county officials, such as the Prosecutor's Office and Central HR;
- Established a separate management team to implement the retrospective rating program including the director of Central HR, risk manager, and prosecuting attorney; and
- Used the prosecuting attorney to replace the use of outside legal counsel resulting in cost reductions.

As a result of these measures, Mahoning County experienced the following benefits when comparing the time periods of November 1999 - July 2000 to November 2000 - July 2001:

- Total number of claims filed decreased from 117 to 70, which is a 40.2 percent reduction in claims filed.
- Lost time claims decreased from 26 to 8, which is a 69.2 percent reduction.
- Total number of reported incidents increased from 22 to 42, which is attributed to the County's efforts to enforce the requirement under State law to report all incidents.

By being more proactive in enforcing the requirement to report incidents, the County can track and monitor how employees are injured. Consequently, the County can better develop and implement measures to correct any safety hazards or problems before they cause serious injuries to employees, and before they cause an increase in workers' compensation claims.

In contrast to Mahoning County, East Cleveland does not conduct internal meetings involving appropriate city officials, has not established a management team to work with the BWC in implementing strategies to effectively manage workers compensation, and does not have safety measures in place to proactively correct hazards or problems. Additionally, East Cleveland has a significantly lower number of employees than Euclid and Mahoning County. Consequently, East Cleveland may be able to improve its workers compensation program without hiring a safety/risk manager, assigning this as an objective to the HR director. To further aid the HR director, resources and assistance to improve workers compensation are available through the BWC and other appropriate city departments. Although the BWC has previously attempted to work with the City and has provided information concerning how the City could reduce its workers' compensation costs, BWC indicated that the City has not been fully receptive to actively working on improving its workers' compensation program.

According to BWC, East Cleveland could be able to reduce premium costs without having to participate in the retrospective program. To reduce premium costs, BWC has created an incentive program designed to help employers establish a safer and more cost effective work place. The plan, Drug-Free Workplace Program (DFWP), encourages employers to detect and deter substance use and misuse and to take appropriate action against any abuses. As part of this program, participating employers can receive technical support and can also be eligible for a 10 to 20 percent discount on workers' compensation premiums for up to five years. There are three levels in the plan and at each level the employer receives a discount. In order to satisfy the requirements of Level One, an organization must do the following:

- Create a written substance abuse policy. The policy should be based on management's concerns for employee safety and health, productivity, accident prevention and loss control. East Cleveland has a drug testing policy which states that job applicants may be drug tested as a condition of employment. However, the policy does not discuss accident prevention or loss control.

- Educate all employees about the policy. All employees must receive two hours of training for each program year which covers the areas of signs and symptoms of substance abuse, effects of drugs in the workplace and information about community resources where employees can go for help. East Cleveland does not provide this type of education to its employees.

- Provide supervised training to educate management about their responsibilities with the program. Supervisors must receive at least four hours of initial information concerning drug abuse. In subsequent years, supervisors must receive a two hour refresher course and two hours of employee education. East Cleveland does not provide supervisor training.

- Require drug and alcohol testing to detect and deter substance abuse. A written policy must specify all aspects of drug and alcohol testing including procedures and processes that define the testing methods. Currently, East Cleveland's policy states that job applicants may be drug tested. The policy does not mention testing methods.

Successfully achieving objectives in Level One will allow an organization to receive a 10 percent discount.

Level Two requires that employers follow the same drug and alcohol testing requirements for Level One, but also include random drug testing of 10 percent of the employer's average total workforce. For public employers, random drug testing is applicable to only safety-sensitive positions as defined by the employer. A total of two years must be spent at either Level One or Level Two for an organization to be eligible for Level Three. Adhering to guidelines outlined in Level Two will entitle an organization to a 15 percent discount.

Level Three also requires adherence to drug and alcohol requirements for Level One, in addition to random drug testing of 25 percent of the employer's average total workforce for each program year. For public employers, random drug testing applies to only safety-sensitive positions or functions. Level Three can be granted to an organization for three years and will provide an organization with a 20 percent discount for each of the three years. In addition, employers in Level Three are required to implement all ten steps of the BWC's 10-Step Business Plan. The 10-Step Business Plan includes the following components:

- Visible, active senior management leadership to promote safety management as an organizational value.
- Employee involvement and recognition to participate in the safety-management process.
- Medical treatment and return-to-work practices for injured or ill workers (see next paragraph).
- Regular verbal and written communication with employees on matters of safety and health.
- Timely notification of claims which requires immediate notification to the claims handler.

- Safety and health process coordination and employer education which involves selecting an employee as an accident prevention coordinator.
- Written orientation and training for all employees.
- Written and communicated safe work practices which allow employees to have a clear understanding of how to accomplish job requirements safely.
- Written health and safety policy signed by upper management to illustrate the employer's values and commitment to workplace safety and health.
- Recordkeeping and data analysis through audits, surveys and record analysis.

East Cleveland has not satisfied any of these requirements.

In its survey of best practices on managing employee health and productivity, the Total Health and Productivity Company sited an active return-to-work modified duty program and medical case management as effective methods to manage workers compensation programs and reduce premium costs. Managed care includes reviewing the medical care that employees receive in relation to their injury to ensure the employee is receiving medical care that will result in progressive improvement which would result in the employee's ability to return to work as timely as possible. Return to work modified duty programs include practices that place injured on duty employees in modified job duties when approved by their physicians. Currently, East Cleveland does not have a return to work plan.

After an organization has satisfied the components of the 10-Step Business Plan, it will have a better understanding of the BWC and its various plans to help improve its workers compensation program. After the 10-Step Business Plan has been implemented, an organization could consider applying for a group rating which requires safety plans and the implementation loss control practices. According to the BWC, a group rating could, in the best case scenario, save an organization as much as 95 percent in premium costs.

R2.13 ECHRD's director should establish a working relationship with the BWC business consultant in order determine due dates and any other relevant information required by the DFWP. With BWC's assistance, the City should work towards achieving the criteria specified in the DFWP to derive the maximum cost savings for East Cleveland's workers' compensation program. The City should follow all of the guidelines outlined in Levels 1, 2, 3, begin creating the 10-Step Business Plan, and subsequently implementing each component of the 10-Step Business Plan.

As a part of the 10-Step Business Plan, East Cleveland should develop a return to work program. Maintaining effective communication with employees and medical providers is critical to ensuring the success of a return to work program. Effective communication includes ensuring that all stakeholders are aware of the program and its procedures and ensuring that the program is being considered as an option whenever possible. The City

should maintain data on the use of the return to work program to manage and track the effectiveness of the program, including the following:

● The type of injury sustained;
● Date that the employee entered the modified duty;
● Expiration date of modified duty;
● Date the employee returned to regular duty; and
● Extension requests granted.

If employees are not put on modified duty, a notation should be made as to why the employee was not eligible for the program.   Effective communication and management of the program will assist the City in taking advantage of every opportunity to reduce lost time claims.

Finally, East Cleveland should involve all city departments in improving the workers' compensation program, establish a management team to focus on the program, and monitor how employees are injured and implement safety measures to proactively correct hazards and problems. By taking all of these measures to enhance its workers' compensation program, the City would reduce its premiums, thereby improving the fiscal condition of the City, and would work towards a long-term goal of joining a group rating plan.

Financial Implication: Based on the 2001 premium costs ($404,000) and BWC's expected premium costs using the base rate ($347,000), East Cleveland could save approximately $57,000 annually by improving its workers' compensation program.

Job Descriptions and Performance Evaluations

F2.14   East Cleveland's personnel files do not contain essential employee information and documents. In a sample review of the files, it was found that the files were not organized in a consistent manner. Some files had inappropriate medical information, while other files were missing key data such as employee applications and performance evaluations. As a result, it was difficult and time consuming to find key employee information. In addition, not all City employees have a file. The City currently has 323 employees; however, only 260 employees have a personnel file. **Table 2-9** shows the results of a sample review of 48 employee files and is based on criteria obtained from SHRM and HR Next.com.

Table 2-9: Personnel File Checklist

Item	Included	Missing	Percentage Missing	Corresponding Recommendation
Documentation of employee orientation, mission, policies and procedures (Signed Acknowledgement Form)	1	47	98%	R2.5 & R2.14
Performance Goals	1	47	98%	R2.14
Attendance Records (Vacation, Tardy, Leave of Absence, etc.)	1	47	98%	R2.14
Employee Performance Evaluation	4	44	92%	R2.16
Signed Confidentiality Form	4	44	92%	R2.14
Documentation of training and education, work experience and continuing education	7	41	85%	R2.23
Job Description	8	40	83%	R2.14 & R2.18
Employee Resume	10	38	79%	R2.14
Criminal Background Check	11	37	77%	R2.14
Verification of citizenship and employment eligibility	13	35	73%	R2.15
Employment Application Form and References	13	35	73%	R2.14
Drug Test Results	17	31	65%	R2.8
Employee Authorization to Release Information	18	30	63%	R2.14
Employment Contracts (Letter of Offer)	26	22	46%	R2.14
Employee Classification	26	22	46%	R2.14
Salary History	44	4	8%	R2.14
Hire Date	45	3	6%	R2.14
Job Title	45	3	6%	R2.14
Grievances (Will not be Included in Every File)	3	45	N/A	R2.14
Discipline (Will not be included in Every File)	5	43	N/A	R2.11

Source: City of East Cleveland Personnel Files

Table 2-9 illustrates that East Cleveland's personnel files are missing key information. The following further highlights missing information in employee files.

- 98 percent of the sampled files did not contain documentation of employee orientation, mission and policies and procedures;
- 98 percent of the sampled files did not contain performance goals which is a key component used to evaluate employees;
- 98 percent of the sampled files did not contain attendance records;

- 92 percent of the sampled files did not contain employee performance evaluations;

- 92 percent of the sampled files did not contain signed confidentiality forms;

- 83 percent of the sampled files did not contain job descriptions detailing employee duties and responsibilities;

- 73 percent of the sampled files did not contain verification of citizenship and employment eligibility; and

- 65 percent of the sampled files did not contain drug test results.

Lacking sufficient, relevant, and organized information in personnel files hampers ECHRD's ability to efficiently and effectively perform functions relating to human resources matters. Three reasons why proper record keeping should be at the forefront of ECHRD's undertaking are:

- To have accurate information handy and organized so that it can be referenced quickly;

- To produce documentation about employee performance and work history;

- To comply with state and federal record requirements

Title VII of the Civil Rights Act, which prohibits discrimination against applicants and employees based on race, color, gender, religion and national origin states that any personnel or employment record which is created should be kept by the employer. The information should be kept at least one year from the date the record was made, or personnel action was taken, whichever is later. The key employment actions are hiring, promotion, demotion, transfer, termination, rates of pay, and selection for training and apprenticeship. According to SHRM, there are specific lengths of time for records to be kept and details what information should be kept in a file. Federal law states that the above mentioned records need to be kept for just one year, while SHRM advocates that all records should be kept for six years past termination. This period would cover most claims that an employee could bring under federal, state, or local law. In addition, SHRM recommends the following information be maintained in separate files:

- Medical Records – The Americans with Disabilities Act requires employers to keep all medical records separate. Any information concerning physical exams, medical leaves, workers' compensation claims and drug and alcohol testing should be maintained in separate files. The City has included all medical records in the main employee file

- Equal Employment Opportunity – It is important to keep the following information in a separate file: date of birth, age, gender, marital status, record of

dependents, medical history, citizenship, national origin, religion, or other personal information unrelated to the job or company, for the purpose of reporting to the EEOC the workforce composition. The City has included all equal employment opportunity information in the main employee file

- Immigration Forms (I-9) – It is recommended that these forms be maintained chronologically by year, in a separate file (See **F2.15**). The City has all I-9 forms in the main employee file, not separated by year.

Currently, the City has one large folder for some employees which contain all HR information. However, if the City creates employee folders with appropriate dividers, important information can be separated, allowing ECHRD easier access to documentation. In order to compile all pertinent employee information in an organized manner, HRNext states that organizations should look into purchasing expandable employee files which would hold information such as attendance, benefits, employee history, payroll/tax information and employee performance.

R2.14 ECHRD should reorganize its employee files and ensure that every file has the information listed in **Table 2-9**. All pertinent information should be maintained according to federal standards and the information should be easily identified in the files. ECHRD also needs to be certain that employee files exist for all employees. By maintaining human resources records that contain all of the required elements, ECHRD will be in a position to better administer human resource policies and provide essential documentation to plan human resource activities.

F2.15 The City has not complied with federal immigration laws. Although the City has an immigration law policy requiring staff to complete immigration forms (I-9 forms), many staff have not completed the forms, or the forms remain incomplete. As discussed in **F2.14**, during the employee file review, it was found that only 13 out of 48 files that were sampled had a properly completed I-9 form. Some of the files were missing I-9 forms, while other files did not have verification of two forms of identification which is required under federal law. Under the Immigration Reform Act of 1986 (IRCA), employers must hire only individuals who can legally work in the United States. Anyone hired to perform labor or services after November 6, 1986 must complete an Employment Eligibility Verification Form (I-9 form) issued by the Immigration and Naturalization Services (INS). The employer must also request two forms of evidence to verify the identity and employment eligibility of any newly hired employees. Employers can be audited by the INS to determine whether I-9 forms are maintained. In addition, according to SHRM, it is advisable that I-9 forms be kept in separate files to ensure the confidentiality of sensitive employee information is appropriately maintained. Federal law also dictates that I-9 forms should be kept for three years after the date of hire, or one year after the

date of termination, whichever is later. Employers who fail to complete and/or retain I-9 forms may be subject to the following penalties:

- Failure to properly complete an I-9 form may result in a penalty ranging from $100 to $1,000 per I-9 offense.

- Knowingly hiring, continuing to employ or contracting with an unauthorized alien may result in a penalty ranging from $275 to $2,220 per I-9 violation for the first offense.

R2.15 The City should comply with federal immigration laws by enforcing the immigration policy contained in its employee handbook. ECHRD should request two forms of identification which should be photocopied and attached to the completed I-9 form. The documentation should be placed in a file separate from the personnel file. As a result, the City can avoid monetary penalties for non-compliance with immigration laws. Considering the complexities involved with immigration law, the City's immigration policies should be reviewed by staff in the Law Department with expertise in immigration law.

Financial Implication: Based on the percent of files not containing I-9 information (73 percent) and a fine per offense of $100, the City could avoid penalty costs of about $23,600 by enforcing its immigration policy.

F2.16 East Cleveland has not regularly or consistently evaluated its employees despite having an internal policy which requires annual performance evaluations for all employees. As shown in **Table 2-2**, survey respondents indicate that the evaluation process currently in place does not sufficiently gauge an employee's performance and that performance evaluations are not routinely performed.

Additionally, ECHRD does not have a written requirement concerning the frequency that probationary evaluations should occur. A review of personnel files found that only 4 out of 48 files reviewed had any documentation of performance evaluations being performed. Warrensville Heights evaluates employees twice during the course of the year. Euclid has created a performance evaluation manual and requires that all employees be evaluated annually, while ECHRD does not have a manual to outline how evaluations should be conducted. Euclid HR created its manual to ensure evaluations are completed in a timely manner and that employees benefit from the process. The manual defines the purposes for conducting performance evaluations, provides guidelines for supervisors to follow, timetables for conducting the evaluation, details how the evaluation meeting should be conducted and offers information about conducting a post evaluation meeting.

According to HRNext.com, most evaluation programs should:

- Provide a framework of goals and standards from which to measure performance. East Cleveland has a small section for goals on its form.

- Serve as a tool to determine salary increases based on worker's contribution to the organization. East Cleveland does not use evaluations to determine salary increases.

- Develop action and training plans to correct performance problems and establish goals for the next time period. East Cleveland does not use its evaluation to develop action or training plans.

- Identify employees who should be promoted or given greater responsibility. East Cleveland does not use the performance evaluation forms for promotions.

- Serve as a communication tool. East Cleveland uses the performance evaluation form as a communication tool.

- Assure a formal time and place for all these events to occur. East Cleveland's form does not specify the frequency, time or location for evaluation events to occur.

Regular evaluations allow employees to understand their strengths and weaknesses and provide employees with a clearer perspective of organizational objectives and job responsibilities. In addition, evaluations allow employees to identify problematic areas and to better maximize their potential. Without regular performance evaluations, employee morale can decline because employees are not certain which performance standards they must meet. Implementing this process will allow employees to better maximize their potential. Frequent evaluations should also allow the following actions to occur:

- Provide employees with clear feedback on areas for improvement;
- Discover and document disciplinary problems;
- Provide evidence about the quality of employees' professional performance;
- Improve efficiency and effectiveness of the employee to carry out the duties of their job descriptions;
- Improve employee morale; and
- Monitor an employee's success and progress.

R2.16 Evaluations for all City employees should be completed at least once a year by the immediate supervisor. In order to help the supervisors conduct evaluations, ECHRD

should create a performance evaluation manual similar to the City of Euclid's. The manual should cover topics such as the purposes of conducting performance evaluations; guidelines for supervisors to follow; timetables for conducting the evaluation; details concerning the evaluation meeting; and information about conducting a post evaluation meeting. This will better allow supervisors to provide constructive feedback to employees about how to improve their performance.

In addition to completing evaluations, supervisors should meet with employees frequently to discuss how productivity and performance can be improved, and to commend employees for areas of improvement. New employees should have at least one probationary evaluation completed before their probationary period has ended. The City should also consider evaluating employees a second time before the end of their probationary period. Completing two evaluations will provide sufficient evidence to East Cleveland management as to whether an employee is capable of performing the duties that the position requires and will allow the City more opportunity to gauge whether an employee has achieved satisfactory progress.

The HR director, along with the HR executive assistant, should be responsible for collecting evaluation forms from supervisors. The HR executive assistant should ensure that a current personnel evaluation is on file for all employees. Although the responsibility for completing evaluations in a timely manner belongs with the respective employee's immediate supervisor, the HR director should oversee this process. The HR director should ensure that supervisors have held a meeting with the employee to discuss the evaluation and identify ways to improve performance. A spreadsheet should be developed by ECHRD's executive assistant to track the last time that an employee received an evaluation. Each department should create an evaluation schedule which lists the dates of all future evaluations for employees and provide this to the executive assistant to track and monitor. The spreadsheet and the evaluation schedule should be monitored periodically by the HR director to ensure that all departments have properly and regularly evaluated their employees.

F2.17   East Cleveland's performance evaluation form is not consistent with current industry standards. East Cleveland uses a form to assess employee performance which was last updated in early 2001. Due to inconsistencies in the current form, employees may not be receiving sufficient feedback about their job performance. In addition, as stated in **Table 2-2**, department directors are not satisfied that the current performance evaluation form can effectively measure employee performance. The current form used by East Cleveland has the following deficiencies:

- No review of sick leave usage, although the employee is evaluated on attendance;
- No room for employee feedback;

- No explanation of performance standards; and
- No process for developing an individual development plan.

According to James Neal, in his book *The Number One Guide to Performance Appraisals*, the first step in creating a performance evaluation program is developing performance evaluation forms to meet specific responsibilities and measurement standards as outlined in the job description. In addition, an evaluation form requires several elements. These elements include:

- **Identification:**   The evaluation forms should begin with the name of the organization, employee's name, job title, and other pertinent information. This category is included on the City's forms.

- **Instructions:** The instruction section should explain the process for completing the evaluation form, how often they are to be completed and the approval procedures. This section should include a description of the rating methodology to reduce subjectivity in the process. The City provides instructions for completing the evaluation form. However, no information is provided concerning the frequency with which evaluations are to be conducted.

- **Focus of Measurement:** This section of the form includes the areas that will be assessed. The categories commonly measured are job duties/responsibilities, performance standards, goals and objectives, skill and knowledge, or individual results. The City's form currently has this element, but does not explain the performance standards in detail.

- **Attendance:** This section of the form should be used as a means of reviewing attendance and punctuality of employees, and should be used to make training recommendations. This section is included on the City's form.

- **Employee Input:** This section of the evaluation form should allow the employee to provide feedback on their evaluation and future performance planning. The City's evaluation form does not have an area for employee feedback.

The Number One Guide to Performance Appraisals further states that once the form has been developed, management should monitor the form at least annually. Revisions to the forms should occur whenever there are significant changes in the organization, market place or company systems. Additionally, new forms cannot be effective unless management is provided training informing them of the rating methodology, procedures and purposes of the process.

R2.17 The HR director should enhance the current evaluation form and include an area for sick leave review, employee feedback, explanations of performance standards and a section for an individual development plan. The HR director should also provide training that will ensure supervisors understand the measurement scale, purpose of the process, and how evaluations should be conducted (**F2.16** and **R2.16**). Once the form is created, it should be reviewed routinely for effectiveness and updated whenever significant organizational changes occur.

F2.18 ECHRD has not regularly revised or updated employee job descriptions and has not created a policy to ensure that regular updates occur. According to the date listed on job descriptions provided by the City, the last update to any of the job descriptions was in 1998. Some of the job descriptions do not have a date specifying when the last update occurred. In addition, the job descriptions do not follow one consistent format. For example, a few job descriptions state the position title, department, duties to be performed and qualifications needed. Other job descriptions list only the duties to be performed or have employee names specified. As a result, East Cleveland employees are not provided with clear and consistent job descriptions which can lead to confusion among employees concerning who is responsible for performing certain functions. This is supported by the evidence contained in **Table 2-2** which shows that respondents may not be participating in drafting job descriptions and that current job descriptions may be deficient in detailing work requirements. To eliminate inconsistencies in job descriptions, Warrensville Heights reviews job descriptions nearly every year to coincide with the passage of wage and salary ordinances.

HRNext.com states that job descriptions should have the following components:

- Position title;
- Reporting structure;
- Position overview/purpose of the position;
- Essential duties and responsibilities/accountability; and
- Essential job requirements which include: education, experience, skills, knowledge and qualifications.

In order to maintain internal control, HRNext.com suggests that the job description be dated and the following be considered when creating and updating job descriptions:

- Responses from individuals who are currently handling the prescribed responsibilities should be included. Each requirement listed should start with an action verb and all interested parties (employee, supervisor, department head and senior management) should review it. Some of East Cleveland's job descriptions do not start with an action verb and there was no documentation to suggest that employees were involved in prior job description updates.

- Feedback should be compared against similar positions to ensure that duplicate responsibilities do not exist. Both the ECHRD director and executive assistant are responsible for screening applicants for vacant positions.

- Job requirements should be as specific as possible. The more specific the requirements, the easier it will be to differentiate between candidates when hiring. Many East Cleveland job descriptions have responsibilities such as coordinating services. However, these services are not defined.

- Job descriptions should be simple and concise, using everyday language. Only meaningful language which clearly defines the requirements and communicates performance outcomes should be listed. In addition, job descriptions should be no longer than one page. Many East Cleveland job descriptions are longer than one page.

- Legal compliance should be maintained by eliminating any discriminatory language. A statement about "performing other duties as assigned" should be listed. East Cleveland job descriptions do not include this statement.

- Job descriptions should be reviewed and edited at least once a year, or as the position evolves. Most East Cleveland job descriptions were last reviewed in 1998. Some East Cleveland job descriptions were last reviewed in 1994. As evidence that ECHRD has not cooperated effectively with other departments, departmental directors noted in **Table 2-2** that ECHRD has not worked with other departments to resolve HR issues in a timely manner.

Outdated and deficient job descriptions detract from the City's ability to effectively recruit, evaluate, and, if necessary, discipline employees. In addition, the lack of clear and updated job descriptions can result in uncertainty related to job functions and cause difficulty in conducting an effective and fair performance evaluation (**F2.16**). Finally, maintaining up-to-date job descriptions will provide the City with a suitable defense against union grievance proceedings.

R2.18 The HR director should establish a policy requiring all job descriptions to be reviewed and updated at least annually, or when the job descriptions change, to ensure that appropriate duties are performed by employees. The HR director should work closely with all department directors to ensure that necessary language and duties are contained in the job descriptions. Also, employees should also be given the opportunity to participate in the process to guarantee job duties are reflective of actual work responsibilities performed. The job descriptions should follow a consistent format and should encompass the components which were specified by HRNext. With up-to-date job descriptions, East Cleveland employees will fully understand their job functions and

responsibilities, and therefore, will have a positive effect on the operations of East Cleveland. Job descriptions can also be placed in any employee's personnel file and can be used in the preparation of the annual evaluation to reference and assess employee performance and productivity.

F2.19 The HR director and HR executive assistant functions at East Cleveland are not clearly defined. **Table 2-10** compares the job duties and responsibilities contained in East Cleveland's HR-related job descriptions to those defined in job descriptions developed by the Society for Human Resource Management (SHRM).

Table 2-10: Job Description Comparison

East Cleveland		SHRM Standards	
HR Director	**HR Executive Assistant**	**HR Director**	**HR Generalist**
• Preparation and administration of personnel rules and regulations and pay and classification plan. • Establishes and maintains personnel records. • Recruits, screens and tests applicants. • Maintains and provides current information on benefits. • Assists supervisors in counseling employees. • Monitors unemployment claims and assists departments with appeals. • Administers and develops programs dealing with employee training, safety, health and morale. • Coordinates grievance hearings and activities. • Supervises clerical support staff.	• Schedules pre-employment screenings for applicants. • Provides orientation session for new employees. • Processes federal, state and local form requirements and insurance forms. • Processes all additions, changes and termination of insurance. • Completes payroll edits, payroll maintenance and paycheck deductions. • Handles internal and external correspondence. • Schedules meetings for director. • Reconciles and maintains fiscal budget. • Processes employee separation forms. • Compiles information for monthly EEOC reports. • Completes requests for information from all internal departments and external sources.	• Annually reviews and makes recommendations to executive management. • Maintains knowledge of industry trends and employment legislation. • Responsible for compliance with Federal and state legislation pertaining to all personnel matters. • Communicates changes in personnel policies and procedures. • Assists management in the annual review of salary program. • Coordinates and/or conducts exit interviews. • Consults with legal counsel when appropriate concerning personnel matters. • Works with department managers to assist them in carrying out personnel responsibilities. • Recommends, evaluates and participates in staff development. • Develops and maintains HR systems. • Supervises staff in Human Resources Department • Participates on committees.	• Assist departments in carrying out HR programs. • Participates in developing departmental goals and objectives and systems. • Assists in the administration of compensation program. • Participates in benefits administration. • Participates in recruitment efforts for exempt and nonexempt personnel. • Conducts new employee orientations, administers pre-employment tests, writes and places advertisements and conducts reference checks. • Files EEO-1 report annually and maintains records. • Assists in exit interview process. • Assists in organizational training and development efforts. • Maintains HR information system records and compiles reports from database as needed. • Participates in administrative staff meetings and attends other meetings and seminars. • Helps maintain organizational charts. • Performs other duties.

Source: East Cleveland job descriptions and SHRM

SHRM provides sample job descriptions for HR positions and are used as benchmarks for job description development. **Table 2-10** illustrates that East Cleveland's job descriptions do not include detailed explanations for HR staff. The following lists the HR functions which are suggested by SHRM that are not described under the HR director's or the HR executive assistant's job description for East Cleveland:

HR director
- Complete annual organizational reviews;
- Ensure compliance with federal and state legislation pertaining to all personnel matters;
- Participate on committees;
- Maintain knowledge of industry trends and employment legislation;
- Communicate changes in personnel policies and procedures;
- Coordinate or conduct exit interviews; and
- Consult with legal counsel when appropriate concerning personnel matters.

HR executive assistant
- Participate in recruitment efforts for exempt and nonexempt personnel;
- Write and place advertisements and conduct reference checks;
- Assist in organizational training and development efforts;
- Participate in administrative staff meetings and attend other meetings and seminars;
- Help maintain organization charts; and
- Perform other duties.

Without job descriptions that clearly explain the HR functions to be performed, HR activities may not be performed in an efficient manner. In addition, there may not be an effective separation of HR functions between the HR director and HR executive specialist.

R2.19 The HR director, with input from the Law Department, should develop new job descriptions for the HR director and HR executive assistant positions. The Mayor should review, and approve, the final HR job descriptions. The job descriptions should include information provided by SHRM and should reflect a clear separation of duties for the HR director and HR executive specialist. By having a clear separation of duties, the HR director should be able to spend more time on reviewing and making recommendations concerning HR issues. These changes should be communicated to departmental directors.

Recruitment and Retention

F2.20 The City of East Cleveland has not utilized all potential recruitment sources. Hiring practices for bargaining unit positions are governed by the collective bargaining agreements, while hiring positions for non-bargaining positions are governed by the City's policy manual. Most job openings for bargaining positions are posted internally for five days, and non-bargaining unit positions are posted for seven days. In addition to the postings, the City might also advertise in the *Plain Dealer*. However, the peers have

used additional recruitment sources. Euclid posts job positions in all city buildings and has vacancies listed on its website. In Garfield Heights, if the position is not filled by a union employee, the vacancies are posted in the local city newspaper and other locally distributed publications. As a result, the peers are better able to maximize their potential employment pool. In addition, according to **Table 2-2**, departmental directors were dissatisfied with ECHRD recruitment methods.

R2.20 In order to ensure that the City is attracting the most qualified candidates available, ECHRD should advertise vacant positions in other publications, including local newspapers. In addition, the City should post all vacant positions and application forms on its website to further ensure that potential applicants could access the information.

In instances were the City does not amass a sufficient number of qualified applicants by advertising through newspapers, the City should also post listings with local higher education institutions and place vacancy announcements in trade journals and similar periodicals. The City is more likely to capture the attention of persons possessing the necessary qualifications by advertising in publications that have a readership associated with the work that the candidate will be expected to perform.

The City will likely incur additional advertising costs whenever it is compelled to advertise in trade or professional publications. These costs will depend on the amount of hiring done throughout the year and therefore, cannot be quantified.

F2.21 The City of East Cleveland currently uses a one-on-one approach to interview prospective job applicants. However, the process for interviewing applicants is not presented in a written policy. Additionally, according to **Table 2-2**, departmental directors are not satisfied with the length of time that it takes to hire new employees. When ECHRD receives applications, a short interview is conducted by the HR director with each candidate to ascertain individual qualifications. Recommendations are then presented to the appropriate department head who makes the final hiring determination.

HR.com offers information and various resource materials that benefit persons engaged in human resource activities. According to HR.com, team interviews are an effective way to select the most appropriate candidate. The following is a list of benefits which can be gained by using this approach:

- Ensures that everyone hears the same information;
- Helps experienced interviewers coach inexperienced interviewers;
- Leads to better probing, as a result of the opportunity for various types of questions; and
- Allows for candidate ratings to be made after the interview.

Implementing the team interview approach will allow East Cleveland officials to quickly develop uniform decisions in the hiring process.

R2.21 The HR director should develop a standard interview process, and include it in the policy manual to ensure that the City is conducting similar interviews throughout the various departments. The City should also use a team interview for all prospective applicants so that an assessment of the candidates can occur from multiple view points and that appropriate applicants can be selected in an efficient manner.

F2.22 ECHRD provides new employees with approximately one hour of orientation, but does not distribute a checklist of topics to be discussed. Without a checklist, new employees cannot formulate questions before the topics are discussed. During the orientation process, the executive assistant reviews benefit information, important City telephone numbers, job descriptions, rate of pay and selected policies and procedures. As shown in **Table 2-2**, survey respondents are dissatisfied with the City's orientation program in that it does not provide a new employee with sufficient information to begin working for the City.

According to SHRM, the orientation session should follow a checklist. The checklist should cover areas such as:

- W-4 Form;
- Safety issues;
- Insurance information;
- Probationary periods;
- Union membership;
- Bulletin boards;
- Job posting announcements;
- Pension plan;
- Holidays;
- Vacations;
- Attendance;
- Telephone calls;
- Personnel records;
- Working hours;
- Pay procedures; and
- Explanation of pay grades and merit step increases.

During orientation for new employees, Euclid provides all employees not only with a checklist, but with copies of job descriptions and duties, a copy of the personnel policies and procedures for review, a copy of its benefits booklet, and copies of any departmental

work rules not contained in the policies and procedures manual. Employees are required to initial each item on the checklist as it is covered, sign the checklist and submit it to their supervisor. The checklist is placed in employees' files. The creation of a checklist can reduce potential liabilities and can provide employees with a more comprehensive understanding of city policies and operations.

R2.22 ECHRD's director should consider expanding the orientation process to provide a more comprehensive understanding of City operations. The additional key policies and procedures which should be discussed include: union information, performance evaluations, job postings, working hours and salary information. The ECHRD director should also develop an orientation checklist similar to the one developed by Euclid. To ensure that employees are better informed about city policies and operations.

Training

F2.23 The City does not have an effective method in place to allow ECHRD to document and track training in which employees have participated. Individual departments are expected to track training that employees receive and forward this information to ECHRD. ECHRD should then place the training attendance information into the employees' files. As discussed in **F2.14**, the City's personnel files lack records of individual employee training. This is further indicated in **Table 2-12** which illustrates that 85 percent of the sampled files did not contain any information about employee training or continuing education. In addition, in **Table 2-2**, departmental directors stated that ECHRD was not effectively monitoring and tracking employee training. Without compiling training data, ECHRD's ability to effectively monitor the training needs and requirements of employees is negatively impacted.

R2.23 ECHRD should maintain a database to monitor and track training and any certification requirements for all employees and departments. This will allow ECHRD to monitor whether staff is meeting professional and departmental training requirements. ECHRD should also work closely with individual departments to develop a standard system which will allow training information to be easily tracked and analyzed. The information could be stored in a spreadsheet or database which would allow HR to easily identify training that employees have attended.

ECHRD should monitor the effectiveness of all training programs at the City. In addition, employees should forward any training requests to ECHRD. Once the information is received by ECHRD, it should be entered into a database and assessed annually. Further, ECHRD should require staff to comment on the effectiveness of training courses and have comments recorded in the training database. This will provide information to ECHRD as to whether the training should be offered to other staff. In addition, the ECHRD director should develop a survey to assess the effectiveness of

training sessions offered to employees. This survey should be distributed to staff at the end of every training session and the results should be put into a database and assessed.

F2.24 The City does not have a comprehensive training policy, and ECHRD does not conduct training needs assessments or develop training plans for its employees. Department heads are responsible for on-the-job training of new employees. Further, because annual performance evaluations are not being consistently completed (see **F2.16**), training needs may not be identified.

Accel-Team, a web-based human resources administration and management consulting service, states that an assessment of current skills and training needs is necessary to develop effective training plans. The needs and goals assessment process is often completed through the use of an Individual Development Plan (IDP) that is created by both the supervisor and employee. Although IDP's can be different, they generally have five components:

- Training needs;
- Career goals, both short-term (within two years) and long term (two to five years);
- Education and development needs;
- Development objectives (specific performance to show how needs have been met); and
- Development activities (ways to achieve the development objectives).

Once each of these sections have been completed, the employee and supervisor should develop a training plan. According to Accel-Team, the planning process should be consist of the following steps:

- Establish a priority ranking of each need and goals for when they can be reached;
- Describe in writing the performance standards that will demonstrate when each need and objective has been met;
- Discuss alternatives or future training courses needed to accomplish objectives; and
- Set a review date to discuss progress.

Without creating IDPs, the following scenarios are likely to occur:

- Supervisors and employees are unable to identify the competencies (knowledge, skills, and abilities) needed for their current position.
- Employees are unable to plan for future job duties and career development.
- Employee retention and morale suffers.
- Employees' level of commitment to the organization is decreased.

- Management is unable to forecast training costs and needs.
- The City does not have a tool which establishes a commitment from the employee to target their growth.

R2.24 The City should develop an employee training policy that incorporates the ideas which form the basis of an IDP. IDP's should be completed every year for all employees. As part of the performance evaluation process, the immediate supervisor should meet with the employee quarterly to determine whether they are achieving the goals outlined in the plan, and whether additional assistance is needed from ECHRD. By implementing this plan, the City can ensure that staff is being given necessary guidance and training.

Salary Analysis

F2.25 Salaries and pay ranges for the City's elected officials and senior-level managers (directors and next level of managers) are lower in comparison to state-wide salary benchmarks and peer averages. **Table 2-11** compares actual salaries paid by the City in 2001 to the median salaries found in the Ohio Municipal League's *"Report of 2002 Survey of Salaries of Elected and Appointed Officials and Selected Employee Classifications in Cities"* for elected officials and department directors.

Table 2-11: Salary Comparison of Elected and Appointed Officials (2001)

	East Cleveland	Municipal Survey	% Above/Below Survey
Mayor [1]	$40,000	$60,500	(33.9%)
Council President	$6,000	$6,759	(11.2%)
Finance Director	$52,268	$77,794	(32.8%)
Tax Administrator	$39,421	$48,325	(18.4%)
Police Chief	$54,074	$71,975	(24.9%)
Service Director	$43,943	$64,983	(32.4%)
Fire Chief	$55,749	$69,001	(19.2%)
Safety Director [1]	$25,000	$54,250	(53.9%)
Law Director	$45,568	$46,567	(2.1%)
Community Development Director	$58,243	$62,400	(6.7%)
Parks and Recreation Director	$30,174	$58,587	(48.5%)
Human Resources Director	$40,383	$51,580	(21.7%)
Building Commissioner	$37,422	$52,020	(28.1%)
Senior Center Director	$39,633	Not Available	Not Available

Source: The City Finance Department and Ohio Municipal League

[1] The Mayor at East Cleveland also serves as the Safety Director. The mayor earned a total of $65,000 in 2001; $40,000 as Mayor and $25,000 as Safety Director.

As illustrated in **Table 2-11**, East Cleveland's actual salaries for its elected officials and directors are lower than the median salaries found in the Ohio Municipal League salary survey. However, data from the Ohio Municipal League salary survey is not predicated on job responsibilities; rather, salary data is compiled based on job title alone. Therefore, municipal governments who responded to the survey pay more or less based upon work requirements, which could impact the comparison in **Table 2-11**. The pay ranges established by the City also impact actual salaries earned. **Table 2-12** compares the minimum and maximum salary ranges for East Cleveland to the minimum and maximum salaries found in the municipal survey.

Table 2-12: Minimum and Maximum Salary Analysis

Position	East Cleveland		Municipal Survey		%Above and Below Survey	
	Min	Max	Min	Max	Min	Max
Mayor [1]	None	$40,000	N/A	$61,000	-	(34.4%)
Council President	None	$6,000	None	$7,000	-	(14.3%)
Finance Director	$33,000	$45,000	$56,000	$81,000	(41.1%)	(44.4%)
Tax Administrator	$31,000	$35,000	$40,000	$53,000	(22.5%)	(34.0%)
Police Chief	$45,000	$60,000	$56,000	$80,000	(19.6%)	(25.0%)
Service Director	$35,000	$45,000	$52,000	$76,000	(32.7%)	(40.8%)
Fire Chief	$45,000	$60,000	$55,000	$75,000	(18.1%)	(20.0%)
Safety Director [1]	None	$25,000	$43,000	$61,000	-	(59.0%)
Law Director	$37,000	$45,000	None	$47,000	-	(4.3%)
Community Development Director	$30,000	$45,000	$50,000	$71,000	(40.0%)	(36.6%)
Parks and Recreation Director	$25,000	$35,000	$47,000	$71,000	(46.8%)	(50.7%)
Human Resources Director	$30,000	$45,000	$45,000	$64,000	(33.3%)	(29.7%)
Building Commissioner	$30,500	$45,000	$42,000	$58,000	(27.4%)	(22.4%)
Senior Center Director	$28,000	$38,000	Not available	Not available	-	-

Source: The City Finance Department and Ohio Municipal League
[1] The Mayor at East Cleveland also serves as the Safety Director.

As illustrated in **Table 2-12,** East Cleveland's minimum and maximum salary ranges for elected officials and directors are lower for all listed positions as compared to the minimum and maximum salaries found in the Ohio Municipal League salary survey. East Cleveland's minimum and maximum salaries range from 18.1 percent (minimum) to 20.0 percent (maximum) lower for the fire chief position to 46.8 percent (minimum) to 50.7 percent (maximum) lower for the parks and recreation director position, respectively, as compared to the Ohio Municipal League salary survey.

To further review salary structures, **Table 2-13** compares the pay ranges (minimum and maximum) for elected officials, senior-level managers and second-tier administrators at East Cleveland to three peer cities.

Table 2-13: Pay Range Analysis

Position	East Cleveland		Euclid		Garfield Heights		Warrensville Heights		Peer Average		% Above/Below Peer Average	
	Min	Max	Min	Max	Min	Max	Min	Max	Min	Max	Min	Max
Mayor[1]	None	$40,000	None	$75,000	None	$71,000	None	$56,000	None	$67,333	N/A	(40.6%)
Council President	None	$6,000	None	$10,000	None	$10,000	None	N/A	None	$10,000	N/A	(40.0%)
Clerk of Council	$24,000	$30,000	N/A	N/A	None	N/A	N/A	N/A	None	N/A	N/A	N/A
Finance Director[2]	$33,000	$45,000	$70,221	$91,624	$79,960	$99,849	$65,000	$72,000	$71,727	$87,824	(54.0%)	(48.8%)
Assistant Finance Director	$30,000	$35,000	N/F	N/F	N/F	N/F	$40,000	$55,000	$40,000	$55,000	(25.0%)	(36.4%)
Tax Administrator[2]	$31,000	$35,000	N/F	N/F	N/F	N/F	N/F	N/F	N/F	N/F	N/A	N/A
Police Chief	$45,000	$60,000	None	$80,757	None	$82,997	$60,000	$72,000	$60,000	$78,585	(25.0%)	(23.6%)
Police Captain[3]	None	$49,473	None	$61,328	None	$68,771	$55,000	$65,000	$55,000	$65,033	N/A	(23.9%)
Service Director	$35,000	$45,000	$70,221	$91,624	$68,640	$91,520	$45,000	$60,000	$61,287	$81,048	(42.9%)	(44.5%)
Assistant Service Director	$23,000	$28,000	$61,277	$79,976	$38,168	$45,656	N/A	N/A	$49,723	$62,816	(53.7%)	(55.4%)
Fire Chief	$45,000	$60,000	None	$80,758	None	$84,628	$60,000	$72,000	$60,000	$79,129	(25.0%)	(24.2%)
Fire Deputy Officer/Captain[3]	None	$47,998	None	$54,758	None	$60,744	N/F[4]	N/F[4]	None	$57,751	N/A	(16.9%)
Safety Director[1]	None	$25,000	N/F	N/F	N/F	N/F	$30,000	$42,000	$30,000	$42,000	N/A	(40.5%)
Law Director	$37,000	$45,000	$70,221	$91,624	$68,640	$91,520	$40,000	$50,000	$59,620	$77,715	(37.9%)	(42.1%)
Assistant Law Director	$25,000	$37,000	$46,696	$60,944	$38,168	$45,656	$30,000	$40,000	$38,288	$48,867	(34.7%)	(24.3%)
Community Development Director	$30,000	$45,000	$70,221	$91,624	$68,640	$91,520	$40,000	$55,000	$59,620	$79,381	(49.7%)	(43.3%)
Assistant Community Development Director	$23,000	$30,000	$61,277	$79,976	N/F	N/F	$40,000	$55,000	$50,639	$67,488	(54.6%)	(55.5%)
Prosecutor	$25,000	$37,000	$61,277	$79,976	$33,800	$40,040	N/F	N/F	$47,539	$60,008	(47.4%)	(38.3%)
Parks and Recreation	$25,000	$35,000	$70,221	$91,624	$68,640	$91,520	N/F	N/F	$69,431	$91,572	(64.0%)	(61.8%)
Human Resources Director	$30,000	$45,000	$53,498	$69,826	$42,640	$53,976	$45,000	$60,000	$47,046	$61,267	(36.2%)	(26.6%)
Building Commissioner	$30,500	$45,000	$53,498	$69,826	$68,640	$91,520	$40,000	$58,000	$54,046	$73,115	(43.6%)	(38.5%)
Senior Center	$28,000	$38,000	$53,498	$69,826	N/F	N/F	$30,000	$45,000	$41,749	$57,413	(32.9%)	(33.8%)
Program Manager	$35,000	$45,000	$40,768	$53,227	$38,168	$45,656	N/F	N/F	$39,468	$49,442	(11.3%)	(9.0%)

Source: The City Finance Department and the peers

N/F indicates that the city does not have the position.

N/A indicates that salary data could not be obtained.

None indicates that annual salary is established by ordinance.

[1] The mayor functions as the Mayor and Safety Director for East Cleveland, Euclid and Garfield Heights.

[2] The finance director in each peer city also functions as the tax administrator.

[3] The salary for the police and fire Captains and Deputy Officers are based on the labor contract.

[4] Warrensville Heights currently has a Captain position, which has been vacant for several years. Thus, no salary amount has been established by ordinance.

As shown in **Table 2-13**, the City's pay range for its elected officials and senior level managers is lower than the peers, ranging from 11.3 percent (minimum) and 9.0 percent (maximum) lower for the program manager position to 64.0 percent (minimum) and 61.8 percent (maximum) lower for the parks and recreation director position. Although it seems that the rate of pay for the City's mayor and safety director positions are significantly lower, the mayor functions in both capacities at East Cleveland, Euclid and Garfield Heights. Combining East Cleveland's salary for the mayor and the safety director positions equates to $65,000, which is 11 percent lower than the average of Euclid and Garfield Heights ($73,000) mayor/safety director position salaries. In addition, the peers' Finance Director also functions as the Tax Administrator. Combining these two salaries for East Cleveland results in the minimum salary ($64,000) and maximum salary ($80,000) which is 10.8 and 8.9 percent lower than the peer average. Furthermore, East Cleveland sometimes pays staff outside the established pay range in order to attract and retain qualified and experienced administrators. Managerial staff that are being paid outside of the City's current salary scale include the senior center director ($39,633), tax administrator ($39,421), law director ($45,568), finance director ($52,268), and community development director ($58,243).

In addition, **Table 2-13** shows the current salaries offered by the City are lower when compared to the peers. As a result, the City may not be attracting the most qualified applicants for vacant positions. Hiring lesser qualified applicants reduces the public confidence in government and may increase the likelihood that the public will not support tax increases.

The following factors could contribute to the lower actual salaries and pay ranges for elected officials and senior-level managers at East Cleveland.

- The City has been in fiscal emergency for over 14 years. Consequently, the City has not been able to offer competitive salaries and appropriately update salary ranges to reflect current industry and market standards. In addition, the fiscal emergency condition has caused the City to focus on addressing other financial issues.

- The City offers higher levels of healthcare and other benefits, and requires a minimal employee contribution to offset rising healthcare costs. See the *Healthcare Benefits and Workers' Compensation* section for further discussion.

- The socio-economic composition of East Cleveland curtails monetary growth. **Table 5-4b** of the **Fire and EMS** section indicates that East Cleveland has a higher unemployment rate, higher poverty rate, and lower median income than the peers. These variables could affect the City's ability to generate enough income tax and other revenue to provide salaries in line with the peers and Ohio Municipal League survey.

- Based upon the city's socio-economic variables, the cost of living and doing business in East Cleveland is potentially lower than the peers and other cities.

According to Workforce Magazine, compensation systems must support the mission and culture of the organization and can play a strategic role in addressing critical business challenges, such as attracting and retaining top talent, and using incentives to achieve the business strategy. Furthermore, the system must also communicate to employees what is important, why they are important, and what their role is in ensuring the ongoing viability of the organization.

R2.25 The mayor and council should consider using the salary data provided in this report to determine commensurate salaries for filling vacant senior-level management positions and for the City's elected officials. However, the City's immediate concerns should be in addressing its current financial situation and implementing improvements discussed in this performance audit and previous audits to improve its financial condition. By improving its financial condition, East Cleveland will be in a better position to offer competitive salaries to attract talented and qualified candidates for its management positions and retain qualified management staff. In addition, the City should update its salary ranges as it offers salaries that fall outside of the current pay structure.

Financial Implication Summary

The following summarizes the annual costs savings and implementation costs for the recommendations in this section of the report. For the purpose of this table, only recommendations with quantifiable financial impacts are listed.

Summary of Financial Implications

Recommendations	Estimated Annual Costs Savings	Estimated Annual Implementation Costs	Estimated One-Time Implementation Costs
R2.1 Not filling the vacant HR administrative assistant position.	$22,000 (Cost Avoidance)		
R2.8 Purchasing 323 Drug Free Workplace pamphlets.			$775
R2.8 Conducting drug and alcohol tests for an average of 55 new hires per year.		$4,000	
R2.12 Reduce healthcare premiums.	$369,000		
R2.13 Improve the workers' compensation program.	$57,000		
R2.15 Avoiding penalty costs by enforcing the immigration policy.	$23,600		
Total	$471,600	$4,000	$775

Conclusion Statement

Despite being adequately staffed, ECHRD could significantly improve its performance of basic HR functions, such as maintaining personnel files and fully developing the policy and procedures manual. By improving HR activities, staff members would be made more aware of HR related issues which affect them.

The HR survey distributed to department heads indicated that management was not satisfied with the work of ECHRD. Management expressed dissatisfaction with the expertise of ECHRD staff, recruitment methods undertaken by ECHRD, new employee orientation process, monitoring and tracking of training by ECHRD and ECHRD availability. Implementing recommendations contained in this section should increase the efficiency of ECHRD and the confidence in ECHRD by departmental leaders.

Although the City does have a policies and procedures manual which was created by ECHRD, it does not cover certain topics such as confidentiality, training or prohibited employee behaviors. In addition, other areas such as drug usage, rest and meal periods and personnel files are not fully developed. Therefore, ECHRD should update the policy manual to provide specific explanations of each of these areas and should ensure all employees are aware of changes which are made to the manual. The City should also follow and enforce all policies that are included in the manual. Allowing employees to accrue large sick and vacation leave balances could negatively impact the City's financial condition.

ECHRD should also organize employee files so that employee information can be obtained quickly. The files do not have a consistent structure, and important employee information is missing. Some of the missing employee information includes: application forms, performance evaluations, I-9 forms, attendance records and employee classification. By failing to have adequate and pertinent information in personnel files, the City is susceptible to fines (missing I-9 forms) and cannot easily access employee information. The HR director and the HR executive assistant should work together to create employee files for all employees, and to develop files that have a consistent format.

In addition to performing HR functions, ECHRD is also responsible for assisting in negotiating three union contracts. Despite this responsibility, the HR director has not received training in labor negotiations. As a result, certain contract recommendations in Phase I of the performance audit have not been addressed. In addition, the main provisions in the three contracts are not consistent among those agreements. By providing training to the HR director in labor discussions, the City would increase its ability to negotiate union agreements that will further assist it in becoming more efficient and cost effective in service delivery.

The City should also look at reducing costs associated with hospitalization and workers' compensation. Currently the City incurs greater hospitalization costs when compared to the state

wide average, and has substantially higher workers' compensation premium costs when compared to the peers. By either increasing employee contributions or changing different variables within the benefits offered, the City would be able to reduce healthcare costs. Effectively working with the BWC to implement the 10-Step Business plan and other strategies would improve its workers' compensation program, resulting in costs savings in future years.

The mayor and council should consider using the salary data provided in this report to determine commensurate salaries for filling vacant senior-level management positions and for the City's elected officials. By improving its financial condition, East Cleveland will be in a better position to offer competitive salaries to attract talented and qualified candidates for its management positions and retain qualified management staff.

Through the creation of improved policies and procedures, more structured employee files, greater consistency in the contract negotiation process, and devoting greater attention to hospitalization and workers' compensation issues and costs, ECHRD would be providing more efficient services to East Cleveland employees and also have a positive impact on the fiscal condition of the City.

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City Council

Background

This report focuses on the operational and financial condition of the City of East Cleveland City Council (ECCC). Maple Heights, Warrensville Heights and Trotwood were selected as peer city councils for benchmarking and comparison purposes.

The City of East Cleveland (the City) has a strong mayor form of government with an elected city council. According to Section One of its City Charter, ECCC is responsible for making any and all rules and regulations by ordinance or resolution to carry out the City's responsibilities pertaining to the purchase, sale and management of its property, including:

- Borrowing of money;
- Operation and regulation of public utilities;
- Appropriation of money and the levy and collection of assessments for location improvements;
- Acceptance of grants, awards, and gift items to the City;
- Regulation and maintenance of public works; and
- Suppression and prevention of all things detrimental to the health, morals, comfort, safety, convenience and welfare of the inhabitants of the City.

The elected mayor, who also serves as the safety director, and a cabinet of department heads that advises the mayor administer the City. The Mayor, according to Section Two of the Charter, shall be responsible to the Council for the proper administration of all affairs of the City and the enforcement of the laws and ordinances, and shall have the authority to appoint and remove all other administrative officers and employees. Therefore, ECCC has no administrative authority in City operations except for the approval of certain appointments made by the Mayor.

Organizational Staffing and Function

Chart 1-2 illustrates the organization of ECCC and the Clerk's office.

Chart 1-2: City Council Organizational Chart, as of January 31, 2003
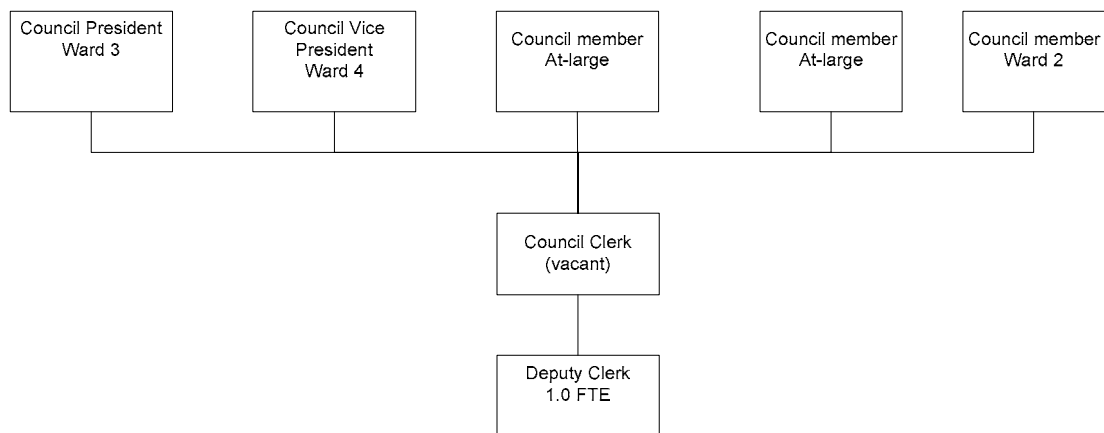
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┌──────────────┐  ┌──────────────┐  ┌──────────────┐  ┌──────────────┐  ┌──────────────┐
│Council President│ │ Council Vice │  │Council member│  │Council member│  │Council member│
│    Ward 3     │  │  President   │  │   At-large   │  │   At-large   │  │    Ward 2    │
│              │  │    Ward 4    │  │              │  │              │  │              │
└──────────────┘  └──────────────┘  └──────────────┘  └──────────────┘  └──────────────┘

                              ┌──────────────┐
                              │ Council Clerk │
                              │   (vacant)   │
                              └──────────────┘

                              ┌──────────────┐
                              │ Deputy Clerk │
                              │   1.0 FTE    │
                              └──────────────┘
```

ECCC holds the legislative power for the city, per ORC Section 731.01, and sponsors its legislation through committees. According to City of East Cleveland Administrative Code, Section 103.02, each committee consists of three council members, one of which is designated by the President of Council as the chair person. Each committee is responsible for conducting research and sponsoring legislation in the following areas:

- General Services and Administration – this committee researches and sponsors legislation concerning the Departments of Service, and Parks and Recreation. This committee, which is staffed by the administration through the director of service, works with the Service Department and the Parks and Recreation Department. This committee also handles legislative matters that are not specifically connected with any of the other four committees.

- Contracts and Properties – this committee researches and sponsors legislation concerning the provisions of property, including the construction, regulation and maintenance of property; as well as anything pertaining to the terms, advertisement, and bidding of any contract subject to the ORC (currently any purchase that costs $15,000 or more). The administrative liaison for this committee is the director of community development.

- Finance – this committee researches and sponsors legislation regarding the funding of city operations. The administrative liaison for this committee is the city finance director.

- Health and Safety Services – this committee researches and sponsors legislation regarding human, health and safety services. Liaisons for this committee are chiefs of police and fire. Occasionally, this committee works with the EMS coordinator and the director of the Helen S. Brown Senior Center.

- Personnel and Appointments - this committee sponsors legislation regarding personnel and human resources and works with the directors of various departments and union representatives. The human resources director serves as the administrative liaison to this committee.

ECCC is currently served by five elected council members, including a president and vice president of council. Three of the five council members serve by ward and two serve at-large. A council clerk position serves at the pleasure of the five council members.

During the last few years, ECCC has experienced significant turn-over in the clerk position. Currently, ECCC is attempting to revise the council clerk position description and increase the salary range for the position in an attempt to recruit more qualified candidates. On January 27, 2003, the deputy clerk position was filled after several months of vacancy. During that vacancy, the clerical duties were performed by temporary personnel while the Council President assumed the official clerk duties for ECCC. To date, some clerical duties are still assumed by that temporary assistant. ECCC has deemed it necessary to maintain the two positions in order to accommodate coverage in the office during regular business hours as well as to perform the correspondence duties required by the council members. At the time of this audit, ECCC was seeking to fill its council clerk position.

Financial Data

Over the last four years, the expenses for ECCC have increased despite the City's growing financial concerns. **Table 3-1** illustrates the expenditures from FY 1999 through the budget for FY 2003.

Table 3-1: ECCC Expenditure History

	Actual 1999	Actual 2000	Actual 2001	Actual 2002	Percent Change 1999 to 2002
Salaries	$50,194	$56,751	$89,031	$58,106	15.8%
Benefits	$24,408	$8,704	$13,013	$19,814	(18.8%)
Contractual Services	$15,280	$8,602	$5,184	$3,945	(74.1%)
Home Office Expense Account/Special Ordinance Reimbursement Fund	$6,804	$15,145	$20,900	$11,669	71.5%
Total Materials and Supplies	$42,470	$42,844	$55,620	$48,576	14.4%
Capital Expenditures	--	--	--	--	--
Total Expenditures	**$139,156**	**$132,046**	**$183,748**	**$142,110**	**2.1%**

Source: City of East Cleveland Expenditure Reports: FY 1999, 2000 and 2001

ECCC funding has experienced significant change in expenditures from FY 1999 to FY 2002. The greatest increase occurred in FY 2001 when the Department spent $184,000 to run council operations, a 39 percent increase from FY 2000. A 15.8 percent increase in salaries over the four year period was partially offset by an 18.8 percent decrease in benefits. Salaries decreased in FY 2002 due to the turnover experienced in the clerk's office and decreased use of temporary employees.

In FY 2001, the City changed the process for charging back health care costs to the individual departments. Prior to FY 2001, the City charged premium costs for departmental employees to their departments. After FY 2001, actual claims were charged to the departments. In addition to claims being charged to ECCC, the decreased use of temporary employees could also explain benefits increasing while salaries decreased in FY 2002. Materials and supplies accounted for an increase of over 14 percent over the four year period. The increase in supplies and materials in FY 2001 was primarily attributed to additional communication expenses (i.e., cell phone purchases for council members) and outsourcing costs to re-codify the City's ordinance. Significant fluctuations occurred in the home office expense fund over the four year period (see **F3.7** and **R3.7**).

Approximately 8 percent of ECCC's increase in expenditures (or $10,855) from FY 2000 to FY 2002 was directly attributed to council member reimbursements in the individual expense accounts -- an unusual practice of ECCC in which council members are reimbursed for office

expenses from an individual expense account (called the Home Expense Account) rather than through the centralized council budget. Before 2001, the expense accounts were not divided by council member. At that time, supply purchases were reimbursed during the year either through the centralized budget or through a discretionary fund for reimbursement purposes created by ordinance. The expenditure reports for FY 2000 and FY 2001 reflected an increased use of individual expense accounts by council members. In FY 2001, when each council member drew from his or her own budget as well as the ordinance-created discretionary account, the draw rose to $20,900. In FY 2002, each council member was budgeted $5,200 annually for a total line item of $26,000. However, council only used 45 percent of the appropriated funds. See **F3.7** and **R3.7** for a full assessment on the home office expense account.

Performance Measures

The following is a list of performance measured used to conduct the analysis of ECC operations.

- Review operations and organization of ECCC and the Council Clerk's office
- Assess the committee structure of ECCC and the communication structure between the Mayor's office and among City departments
- Assess communication and legislative duty in reference to the City Charter and applicable sections of the Ohio Revised Code
- Assess the governance, structure and mission of the City
- Identify and assess processes used for developing legislation for the City.

Findings and Recommendations

Operational and Organizational Structure

F3.1   ECCC is authorized to staff the Council Clerk's office with two employees: a clerk and a deputy clerk. In 2001, the office was staffed with one clerk. At ECCC and peers, clerk duties include, but are not limited to, the following:

- Preparing agendas and minutes;
- Maintaining and retrieving council documents;
- Assisting with the preparation of legislation; and
- Responding to citizen inquiries.

Table 3-2 shows the council office staffing levels for ECCC and each of the peers.

Table 3-2: FY 2002 Council Support Staff Comparison

	ECCC	Maple Heights	Warrensville Heights	Trotwood	Peer Average
Authorized Positions	2.0	1.75	0.63	1.75	1.46
Budgeted Positions	1.0	1.75	0.63	1.75	1.46
Council Members	5.0	8.0	7.0	6.0	7.0
Budgeted Support Staff Per Council Member	0.20	0.22	0.09	0.29	0.20
Legislation Items	195	88	158	113	120
Legislation Items Per Support Staff	195	50	252	65	122
Legislation Items Per Council Member	39.0	11.0	22.6	18.8	17.1
Population	27,217	26,000	15,109	27,420	22,843
Budgeted Support Staff Per 10,000 citizens	0.37	0.67	0.42	0.64	0.57

Source: East Cleveland and peer city council staff.

ECCC's authorized staffing levels are equal to or higher than each of the peers while its actual budgeted positions are lower than the peer average. Support staff per council member ratio is comparable to the peer average. Trotwood's clerk is responsible for handling other duties, such as monitoring the city's strategic plan, which may indicate why its number of support staff per council member and per 10,000 citizens are higher, and legislative items per support staff are lower than ECCC. The number of legislation items per council member and support staff shows that ECCC deals with significantly more pieces of legislation than the peers. However, presenting legislation in two readings and within committee could reduce the volume of legislation discussed in each individual meeting (see **R3.6**) and implementing process improvements (see **R3.4**, **R3.5**, **R3.8**, **R3.9** and **R3.11**) would allow ECCC to more efficiently process legislation.

While **Table 3-2** indicates that budgeted support staff per 10,000 citizens is lower than the peers, ECCC could implement operational changes to operate more efficiently without the need to hire additional personnel. For instance, Warrensville Heights is able to accommodate clerk duties with fewer personnel because they have developed mechanisms, like voice mail and sharing personnel with the administrative offices, to handle some of the work, most notably that associated with citizen inquiry. In addition, ECCC's office is staffed during regular business hours with support staff to answer telephone inquiries and leave messages for council members. However, Trotwood and Warrensville Heights do not staff the office exhaustively during the cities' business hours. To address citizen inquiries, both cities rely on a combination of telephone answering systems (voice mail) and directing calls to the Mayor/City Manager office for response. Between the two systems of response, citizens are able to directly contact city personnel and have their inquiries either answered or directed to the appropriate person. Other duties, such as writing correspondence, are filtered through the council and administrative offices if appropriate, thereby maximizing clerical services of both offices.

R3.1 ECCC should consider reducing its authorized staffing levels to 1.0 FTE and revising its position description and expectations to reflect the needs of council (see **F3.2**). To accommodate the communication and correspondence needs of council members and the citizens of East Cleveland, ECCC and the Mayor's office should develop a communication process to retrieve and respond to citizen inquiries through both offices. This will alleviate the need to have a council representative at the office during all business hours. Since more than 1.0 FTE would be required if the council office were to be staffed from the hours of 8 to 5 during week-days, having clerical staff in both offices answer the phones and relying on existing voice-mail to answer other calls will enable ECCC to reduce its overall personnel needs and allow for more efficient execution of the clerical duties.

Since ECCC is budgeted to staff its clerk's office with 1.0 FTEs during 2002, no financial implication can be drawn from this recommendation. However, ECCC will realize more efficient operations by combining the clerical duties among the offices.

F3.2 ECCC members have stated that recruiting and retaining personnel has been challenging during the last several years. As a result, council members have attempted to add responsibilities to the job descriptions in order to specify their needs of the clerk more accurately. However, the current job description does not clearly articulate the skills and education required, the functions of the job, or the expectations of the position.

The job description lists the duties for a clerk/deputy clerk redundantly. For example, the duty to remain professional and courteous is described on four occasions throughout the document. The description twice states the nature of "at-will" employment. While the general skills and duties of a clerk are defined in the job description, the document is

organized in such a way that the important and unique skills of a clerk are easily lost. The document does not provide a minimum requirement for experience or education, and instead of specifying the duties of the clerk, the job description specifies the particular policies of this council. Such duties would best be situated in a council protocols section of the council manual (see **R3.3**).

By articulating the skills, education, experience, and expectations of a particular position, appropriately qualified individuals will be more likely to apply for the job. Furthermore, by having an adequate job description, ECCC will be better able to match its expectations with the labor market, thereby selecting an appropriate salary level at which to market a potential job opening.

According to Ammons' *Municipal Benchmarks – Assessing Local Performance and establishing Community Standards,* major duties of clerks are preparing advance material for upcoming meetings; preparing minutes; indexing council documents and actions; processing official documents and retrieving records and information. How these duties are completed can provide benchmarks for performance. They include:

- Preparing agendas and materials in advance of the meeting (lead time needs to be determined by council);
- Preparing minutes in a prompt manner and within a specified time period;
- Indexing council documents and actions so that they can be easily tracked, identified, and retrieved; and
- Processing official documents in a prompt manner.

ECCC's job description for the clerk/deputy clerk is 14 pages long. The peer job descriptions at Trotwood and Warrensville Heights are much shorter (one and two pages, respectively) and better summarize the essential functions, skills, knowledge, abilities, education, and experience necessary for a clerk. These include the following:

- Functions: compiling agendas; recording proceedings; distributing information packets; typing correspondence, memos, agendas, minutes, permits, licenses, proclamations, grants and reports; attending meetings; answering questions and directing citizens; and screening visitors, telephone calls and mail.

- Knowledge, Skills and Abilities: typing and note-taking; solid foundation of English grammar; inter-personal skills; ability to develop working knowledge of municipal operations, practices, and Council procedures; skills with office machinery and information systems; ability to follow written and oral instructions.

- Educations and Experience: high school diploma; two years experiences as a secretary or any equal combination of experience and training to meet the requirements of the position.

R3.2 ECCC should work with the City's director of human resources to redevelop an appropriate job description for the council clerk to improve its capability of recruiting appropriate candidates. While the ECCC clerk currently fulfills the essential functions of a clerk, ECCC should ensure that its position description includes the following functional skills:

- Preparing, retaining and retrieving documents;
- Writing legislation;
- Providing materials to appropriate individuals;
- Indexing official documents; and
- Preparing official correspondence.

ECCC should review council clerk job descriptions from other municipalities to model an appropriate job description, including those of Trotwood and Warrensville Heights.

F3.3 Chapter 113 of the East Cleveland Codified Ordinances specifies 23 rules of order that ECCC members must abide by during council meetings. These Rules of Order contain the standards for efficient meeting management. While the Rules are based on the International City Management Association's (ICMA) standards regarding rules of order, they have not been updated to reflect the mayor/council form of government, and therefore, do not reflect the rest of the ordinances in the Code.

While a municipality's rules, by-laws, or protocols must be in compliance with its own ordinances, they are not limited to use only the ordinances for establishing their rules of order. For example, ICMA presents the City of San Buenaventura, California as a best practice case study for developing appropriate rules of order that exceed information within ordinances pertaining to council governance. While San Buenaventura's book of protocols reflects city and state laws, the document is not presented as an exact replica of laws and regulations. Rather, the book of protocols serves as a manual for council to provide guidance beyond minimum legal standards and establishes policies and procedures that facilitate effective and efficient council operations, such as the following:

- Reimbursement practices;
- Management of the public calendar; and
- Expectations of council support staff in communicating issues, retrieving documents, providing project assistance for the public, administration, and council.

These protocols serve as a single-source reference document for the city and are updated on an on-going basis as the city council deems appropriate. Because the protocols are developed from the legal criteria, rather than just restating the criteria, they reflect the spirit of the law rather than just the letter of the law.

Furthermore, San Buenaventura's book of protocols provides standards for council operations that can be readily accessed by the clerk, council members and the public if necessary. Unlike the rules of order presented in East Cleveland's Codified Ordinances, the ICMA example of protocols provides a list of sources (City Charter, resolutions and motions) as well as a table of contents. Both these tools provide a means to readily access the sources for verification.

R3.3 ECCC should update Chapter 113 of the Codified Ordinances to reflect the mayor/council form of government as well as prepare a book of protocols, or council manual, to include the Rules of Order, paying special attention to the issues that impact the adherence or non-adherence to each of the rules. Furthermore, these protocols should be of sufficient scope and depth to provide standards for efficient and effective operations. Finally, council protocols and rules should be accessible to council members, the clerk's office, and citizens of East Cleveland. By paying particular attention to the purpose of its rules, ECCC can improve its manner of policy-making for the city by reducing inefficiency in regular council, special council, and committee meetings (see **R3.4**). By providing expectations for how these particular meetings will be conducted, all parties will be provided with the tools to present their business with efficiency, decorum, and professionalism, thereby making the process of passing legislation more efficient and the product of that process more effective.

F3.4 ECCC does not consistently adhere to the rules of order outlined in Chapter 113 of the East Cleveland Codified Ordinances (ECCO). A review of council minutes as well as observation of council meetings revealed that the council chair could better maintain order and decorum by using powers outlined in Chapter 113 more extensively.

Rule 4 of ECCO section 113 states that "the Chair shall preserve order and decorum during sessions of Council; decide all points of order subject to appeal to Council; appoint such committees as may be ordered by Council and not otherwise appointed; and shall have the right to call any Council member to the Chair for any part of the session." Further, it states that members of the public and council members shall be removed for the duration of the meeting, for inappropriate behavior, as provided by the rule, pending a majority vote of the council members.

While removing a council member for failing to adhere to proper decorum is a dramatic course of action, several examples of heated, emotional and inappropriate outbursts from council-members and the members of the public have periodically occurred. This

suggests that Rule 4 may not be exercised and enforced when needed. The effectiveness of enacting legislation is contingent on the capability of council-members to communicate with each other, in public, about difficult and sometimes contentious issues. While individuals will certainly experience the challenges of intellectual and emotional disagreement that can lead to heated discussions, a certain level of decorum must be exercised. When necessary, the council may need to have a citizen or other council member removed from the meeting. Moreover, developing specific criteria for physically removing individuals from council meetings would help minimize or prevent potential liability issues.

In addition, rule 12 of ECCO section 113 states that the official minutes of the meeting will be in the form of action minutes. Action minutes are those in which only the motion, the making of the motion, and the vote of the motion are recorded. According to the Maryland Municipal Clerks Association, which advocates the use of action minutes, public comment should not be recorded in action minutes. Rule 12 however, states that the minutes "shall include only essential facts, such as the general subject addressed, dates, legal requirements, and identity of persons with respect to reports, announcements, and other commentaries." While "other commentaries" may or may not refer to public comments, it is apparent that ECCC interprets this language as permitting the recording of comments made by a member of the public with that individual's name, address, and to whom the comment is addressed. Due to this interpretation, ECCC council meetings frequently include public comments that do not correspond to agenda items. By including these commentaries, ECCC allocates much of its meeting time to commentary that is not related to agenda items, thereby reducing the council's efficiency in addressing business.

A potential cause for not using existing rules of order appropriately is that they do not meet the needs of the council. Assessing existing rules periodically is important to establish appropriate and sufficient rules of operation. By not assessing the rules, ECCC members will not understand the importance of the rules, will not be able to project any commitment to the rules to the public, and will not be able to establish and maintain order and decorum in their meetings.

R3.4   ECCC should assess its rules, adhere to its adopted rules, and use its powers as outlined in ECCO section 113 to a greater extent. Enforcing appropriate order and decorum during ECCC meetings by using its rules consistently will improve both the order and efficiency of council meetings.

If it needs to revise those rules to fits its particular priorities, ECCC should assess its priorities thoroughly with advice from the law director. Furthermore, by following **R3.3** regarding the development of protocols, ECCC should develop standards of behavior that support the spirit of its rules. If, in developing those protocols, ECCC determines that it

does not value the policy it is intending to support, it needs to determine the validity of the rule and revise it appropriately. The City and Police Department should also carefully develop criteria for physically removing individuals from council meetings and the law director should review the criteria for appropriateness. By assessing its rules, adhering to them, and enforcing that others abide by them, ECCC will be able to improve its order of public meetings and its reputation for doing business with efficiency and decorum.

F3.5   ECCC does not effectively use its committee process, which has negatively impacted its regular council meetings. ECCC regular meeting minutes reflect that items for legislation are extensively discussed in regular council meetings when these matters should be addressed in committee meetings. For example, on February 19, 2002, the regular council meeting minutes reflect a piece of legislation that was discussed by five citizens prior to the vote. While public participation is expected, legislation was presented as an emergency ordinance to raise the funds required for the payment of the emergency personnel, indicating that the subject was not sufficiently addressed in committee. Had this legislation been discussed exhaustively in committee where the public could voice concerns, it may have been presented, clearly understood, and voted on in a timely manner. Furthermore, after the vote, an additional eleven citizens voiced concern about the ordinance, which indicates that their participation in the process was not sufficiently addressed in prior gatherings.

Citizen participation can be impacted by factors other than access to and the effectiveness of committee meetings. Therefore, AOS reviewed a sample of meetings from February 5 through May 21, 2002. During those nine meetings, 80 pieces of legislation were presented and 64 percent of them were passed on first presentation as an emergency (see **F3.6**). Those pieces of legislation that generated the most discussion were presented as emergency legislation. During that nine meeting period, 26 individuals were given voice on the floor to discuss these emergency ordinances and resolutions in addition to all the other matters of discussion. Given that most of these meetings (six out of nine) lasted more than two hours and an extra meeting was required for one meeting (requiring council to meet an additional time during a 24 hour period), the reliance on emergency legislation and the discussion that can ensue has contributed to ECCC's time consuming council meetings as well as a level of frustration on the part of the citizenry.

The peer cities do not meet as often or as long for their regular council meetings. The three peer cities meet twice per month (East Cleveland can meet up to three times per month) and are able to meet for most of their regular council meetings in one to two hours. According to the mayor and council president of Trotwood and Maple Heights, respectively, there is normally little discussion on legislative items by the time they reach the regular council meetings. Both peer officials identified an emphasis on planning as the reason for brief periods of discussion for legislative items. For example, the council

for the City of Maple Heights meets for 45 minutes to one hour for council meetings but often spends two hours for a single issue in any of its six committees. In committees, council members, departmental representatives, and the public thoroughly discuss problems and issues to ensure that regular council meetings are productive and conducted efficiently.

While Maple Heights does rely extensively on emergency legislation, it appears that its reliance on the emergency clause does not interfere with the level of discussion in council meetings. In addition, citizens do not appear to be frustrated with the fast-acting legislation, presumably because their participation is used extensively in committee. The City of Trotwood, on the other hand, does not use emergency legislation very often and tends to deal with its legislative issues in council meetings. Rather than dealing with an issue during a single council meeting, legislation is usually presented in committee and discussed for the time needed and then presented for a first reading. If at the first reading there appears to be an issue that was not properly resolved in committee, the City of Trotwood may schedule a workshop or an entirely new committee. As a result, council, departmental representatives and the public have the opportunity to participate in developing the legislation so that it can be properly presented at council.

Currently, the scope of each committee is defined in the Chapter 103.2 of the East Cleveland Administrative Code. However, these provisions, and those found in Chapter 113, Rules of Order, are inadequate since they do not provide explicit duties for each committee beyond their actual scope in terms of what matters to legislate. This may contribute to the ineffectiveness of the committee structure.

R3.5   ECCC should use its committee meetings more effectively by fully discussing legislation with City representatives and the public. By fully using its committee process, significant issues will be discussed and resolved prior to the regular council meetings, thereby making those meetings more productive. By establishing expectations for its committees (see **R3**.**3** regarding council by-laws), scheduling the meetings in advance to seek public participation, and presenting legislation only after the committee has worked through the issues thoroughly, ECCC should be able to reduce its reliance on emergency legislation which may also result in shorter and less frequent regular council meetings.

In addition, ECCC should consider providing for temporary committees or workshops to handle particularly complicated or contentious issues. Rather than avoiding difficult legislative priorities, ECCC could separate them from the regular course of business by setting up groups of council, administrative, and public representatives to prepare legislation, thereby preventing difficult issues from disrupting regular business.

F3.6   In 2002, ECCC passed 195 pieces of legislation which was 63 percent more than the peer average. Of these, 80 were sampled over a 9 session period from February 5, 20002

through May 31. In this sample, roughly 68 percent of the legislation presented was actually passed on first view through emergency legislation.

According to Section 107 of the City of East Cleveland City Charter, all ordinances and resolutions passed by the Council shall be in effect on and after the thirtieth day from the date of their passage with a minimum (per Section 106) of two readings not less than two weeks apart. However, the charter states that Council may, by the vote of four members, pass emergency measures to take effect at that time indicated therein, subject to the veto power of the Mayor. For most cities, emergency ordinances are used to provide for the immediate preservation of the public peace, health, or safety. As is stated in the City of Trotwood's Charter, municipal charters put limits on said ordinances so that they may not levy taxes, grant, renew, or extend a franchise, regulate the rate charged by any public utility, or authorize the borrowing of money.

The standard thirty day period with a minimum of two readings no less than two weeks apart is intended to allow for public input, council deliberation and the opportunity for meaningful inquiry and discussion. Most councils use the two readings to ensure efficient meetings (since discussion, research and deliberation can occur between meetings) as well as to ensure that council remains in compliance with the State's Sunshine law, which requires municipal business to be done in public meetings advertised to the public with appropriate notice.

Passing such a high volume of legislation by emergency may cause particularly long council meetings (see **F3.3**) as well as contribute to some of the feelings by departmental personnel and the community that council is micro-managing administrative duties in the City.

R3.6 ECCC should adhere to its city charter and try to present legislation in two readings in regular council meetings, in addition to presenting them in committee. This would ensure that all new laws can be reviewed multiple times by the public, departmental representatives, and other council members (see **F3.5** and **R3.5**). By adhering to the spirit of the law, ECCC will see the following benefits:

- Reduced volume of legislation discussed in each individual meeting (since materials will be reviewed over a series of meetings and the public should, theoretically, be sufficiently informed on the topic) which should also result in more civil, less dramatic interactions during council meetings;

- Increased level of support and trust among the public since the opportunity to participate in committee meetings and to become educated on legislative matters is greatly increased; and

- Improved relations among administrative personnel, because legislation will not come as a surprise and will be discussed over several weeks, thus providing ample opportunity for input and feedback from city administrators.

Budgeting

F3.7   ECCC has higher operational expenditures per council member than its peers. **Table 3-3** illustrates the expenditures of ECCC in FY 2002 compared to the peers.

Table 3-3: ECCC and Peer FY 2002 Operational Expenditures

	ECCC	Maple Heights	Trotwood	Warrensville Heights	Peer Average
Home Office Expense/Discretionary Account	$11,669	$0	$0	$943[1]	$314
Office supplies	$916	$2,759	$24,788	$17,561	$15,036
Operating Supplies	$11,017	$7,609	$687	$1,317	$3,204
Travel/ Membership Dues	$32,995	$10,065	$30,071	$19,795	$19,977
Communications	$3,648[2]	$0	$125	$0	$42
TOTAL OPERATIONAL EXPENDITURES	**$60,245**	**$20,434**	**$55,671**	**$39,616**	**$38,574**
Percent of total budget	42%	7.5%	34%	32%	24.5%
Total Number of Council Members	5	8	7	6	7
Operational Cost Per Council Member	$12,049	$2,554	$7,953	$6,603	$5,511

Source: East Cleveland Finance Department, Expenditure Reports: 2002; Peer Cities' Finance Departments
[1]Warrensville Heights does not authorize a "home expense account," but rather budgets discretionary funds.
[2] According to Council President, the communications category for East Cleveland includes service and maintenance to office equipment.

Compared to the peers, ECCC spends 119 percent more per council member in operational expenses than the peer average, which is largely attributed to the home office expense account used by ECCC. In FY 2002 and FY 2003, ECCC authorized a $5,200 expense account for each of its council members. While reimbursing council members through a predetermined expense account may be practical for budgetary purposes, ECCC allocates additional funding, such as local and long-distance travel, communications, and membership dues, that could also be included in the home expense account. City council members have explained that most of their home office account expenditures are attributed to equipment purchases and office supplies, such as printers, ink, paper, office furniture and reimbursements for telephone use. The major expenses generated by council are the following:

- Travel and membership expenditures. In FY 2002, these accounted for $32,995 of the council budget (or $6,599 per member) which is significantly above the peer average of $19,977 (or $2,854 per member).

- Communications. In FY 2002, these accounted for $3,648 of the council budget which was $730 per council member compared peer council member average of $6.

- Operating Supplies. In FY 2002, these accounted for $11,017 or $2,203 per council member compared to the peer average of $458 per council member.

- Home office accounts. These made up 19 percent of the FY 2002 operational expenditures for ECCC. None of the peers have home office expense accounts.

Either eliminating the home office expense account or allocating all appropriate expenses within the home office expense account would effectively control expenditures and save costs that could be allocated to other critical needs of the City.

R3.7 ECCC should consider two options to control and minimize its operational expenditures:

- Either eliminate its home expense account budgets and more accurately reflect its expenditures for supplies, equipment, communications and travel and membership costs in the central budget; or

- Include all appropriate items within the home expense account in compliance with clear and concise guidelines and reduce the central budget accordingly.

Council members should be required to produce an individual budget for those expenses they anticipate for reimbursement for the following year (i.e., attendance at national conferences, printing costs for quarterly newsletters, etc.). This would enable the City to better predict its expenditures as well as provide an added level of accountability since purchases would be justified during the budgeting process. Any reimbursement requests should be monitored by the Finance Department at the time of the request. Either eliminating home office accounts or reducing the central budget, combined with better budgeting procedures, will help control expenditures while providing sufficient funding for council to conduct business.

Financial Implication: By either eliminating the home expense account or reducing the central budget to Trotwood's level of operational expenditures per council member, ECCC would save approximately $20,500 annually.

Legislative Function

F3.8   ECCC members have an ambiguous understanding of their legislative versus administrative roles. The "grey area" of roles is difficult in any municipality and often is exacerbated by financial and personnel crises, which are certainly part of East Cleveland's history. In an effort to be informed, ECCC council members have been known to attend the Mayor's cabinet meetings, meet with department heads privately regarding matters, and to attend individual department head meetings. Council influence is apparent in personnel matters as well. This was evident when the Mayor invited council members to participate in an interview of a department head because of their concern for the methods of recruitment and retention. While concern for all these matters is natural, too much presence on the part of the legislative representatives can lead to insecurity on the part of city workers and a lack of open communication within departments. If council members are present at meetings, for example, staff members are likely to keep controversial ideas or opinions to themselves. Also, given that council members are not expected to be "experts" in the fields that departmental staff presumably are, free-flowing ideas and problem-solving might likely be replaced with informational and explanatory conversation to benefit the council member. Such conversations are better left to committee meetings where the department head can explain the operation and direction of the department.

While ECCC has not established clear boundaries for communication between the legislative and administrative bodies, there are some clear guidelines that enable any legislative body to more fully understand its role. As stated by the *Municipal Research and Services Center of Washington*, legislative bodies are most effective and successful when they focus on strategic activities to guide the future development of their communities. These key policy-making activities include:

- Developing a vision for the community;
- Adopting community goals and objectives ;
- Creating comprehensive plans;
- Making decisions about which programs and services will be provided by the City; and
- Adopting budgets and capital facilities plans.

Table 3-4 illustrates policy and administrative duties.

Table 3-4: Council versus Administration Duties

Policy	Administration
Enact a budget	Propose a budget, spend within budgetary limits
Define the powers, functions and duties of officers and employees	Fill positions consistent with local ordinances
Fix the compensation of officers and employees	Administer payroll consistent with budget and compensation plan adopted by council
Establish the working conditions of officers and employees	Ensure that proper working conditions are provided
Adopt ordinances regulating local affairs	Implement and enforce ordinances
Set fines and penalties for violation of ordinances	Collect fines and enforce penalties
Authorize the mayor/city manager to enter into contracts	Propose contracts. Manage approved contracts. Enforce contracts.
Regulate the acquisition, sale, ownership, and other disposition of real property	Negotiate terms of acquisition and sale of real property; carry out acquisition and sale
Decide which governmental services will be provided. Adopt budgets for their provision	Oversee the day to day operating of programs and services provided by the local government
Establish public utilities	Manage provision of utility services
Grant franchise for use of public ways	Enforce terms of franchise agreement
License, for the purpose of revenue and regulation, most any type of business	Administer business licenses as provided by council
Set tax rates and user fees consistent with state laws	Collect taxes and user fees
Approve claims against the city	Bring lawsuits, with legislative approval. Propose settlement of claims. Pay approved claims.
Enter into agreements to accept grants and gifts	Propose agreement. Carry out terms of the agreement.

Source: Municipal Research and Services Center of Washington

Although ECCC does focus on policy functions, it has at times conducted administrative functions, which is illustrated in the following:

- Proposing, rather than enacting the budget. In 2002, ECCC met nearly every night for several weeks to pass a budget. In January 2003, ECCC met again for several evening meetings to re-enact the budget. The administration has the responsibility to propose a budget to fully support anticipated expenditures and the council has the responsibility to review and pass it.   While examining the proposal with administrative personnel in budget hearings is integral to enacting a budget, questioning the proposals line-item by line-item, or shifting major expenditures among and between departments, is outside of the scope of council duties. As a result, the process to enact the budget was very lengthy.

- Adopting ordinances, rather than enforcing them. According to City officials, ECCC directly involves itself in police and fire operations, instead of focusing on overall operations and oversight of safety services. Therefore, ECCC's involvement with police and fire activities may appear to be inappropriate.

To maintain appropriate separation of duties, the peers have instituted the following safeguards:

- The City of Trotwood has instituted a citizen budget review committee that consists of 28 residents to review the budget before it goes to City Council. The Finance Director and the City Manager present that budget for adoption by council, but only after it has heard the recommendations of the public. This allows a larger body of people to understand the budgeting process and prevents council from being the exclusive responders.

- In Maple Heights, the administrative representatives are only expected to attend the committee meetings if the departments request to make a report. Since most legislation comes through certain departments, their attendance is frequent. However, not requiring attendance of the administration at committee meetings helps to ensure that the council does not begin to micro-manage the administrators.

- The City of Trotwood has instituted a temporary committee to study compensation of all its positions. This is one tool it uses to prevent abuse or perceived "crossing of lines" in its responsibility to set compensation. While setting compensation is clearly a duty for council, councils can have difficulty if their compensation rates are perceived as unfair or as a means to do something that they would not otherwise be able to do (e.g., setting a low salary to accomplish the resignation of a disfavored employee). By setting compensation by committee, Trotwood reduces the likelihood of problems.

R3.8   ECCC should make sure that as a body, it establishes the appropriate separation of duties to more fully ensure a cooperative and effective government. By checking its actions against criteria, such as that presented in **Table 3-4**, ECCC should be able to avoid engaging in the administration of policy, and focus on the enactment of good policy. It may be beneficial for city council members to attend the Ohio Municipal League's course for first time council members (Municipal Leadership Course, Module I, usually offered in January) as the information provided in courses such as this one are usually good refreshers on the separation of duties and the responsibility of council members.

Communications Structure

F3.9   ECCC members have expressed concern that they are not provided with information on matters of City business. However, some city personnel have stated that council members have attempted to gain influence in city operations in an inappropriate way. In order to comply with Ohio Revised Code, Section 731.01, and to remain effective and efficient, the city's administrator must be accountable for carrying out the policies set by council and enforcing laws. Section 731.01 of the Ohio Revised Code specifically states that the

mayor or city manager must have the authority and autonomy to carry out the day-to-day operations of the city without interference by council members. A mayor must also have final authority in the supervision of appointed officers and employees and in the hiring and firing of all employees.

Because the public is often confused regarding the differing roles between legislators and administrators, it is essential that council members adhere to the appropriate boundaries when responding to citizen concerns. If council members receive complaints on an administrative matter, it is best that they pass the complaint through the mayor and let the staff deal with it and report back on the disposition. This supports the necessity of separation of powers.

The peer cities use several strategies to ensure that they do not cross the boundaries of legislation versus administration, including the following:

- The City of Trotwood has a standing policy that the City Manager presents a quarterly report on all city operations. Since the council has a standing rule to not attend any department meetings or staff meetings (unless invited), this quarterly report keeps them sufficiently abreast of what is going on in the city.

- The City of Maple Heights provides each department an opportunity to report at every council meeting, thereby allowing changes to be presented on a timely basis. In addition, the Mayor and City Council have, over the years, developed an open and casual communication structure that allows for frequent updates by phone call and, if necessary, written memo. The open communication, according to the President of Council, is due in part to strict adherence to the separation of duties. Since administrative staff are comfortable that council members will not be a party to discussions within departmental or staff meetings, they can feel assured that the information they are providing is in their control and will not be misconstrued.

R3.9   ECCC should avoid directing day-to-day operations and allow administrators to manage City operations. ECCC members should work with the Mayor to identify reasonable time-lines and intervals for the provision of timely and useful information. Council members should work as a body to develop these provisions to ensure that information is provided equally to all council members. While the Mayor may not prevent members from obtaining information, he or she should institute procedures, such as requiring that inquiries be channeled through the Mayor or a department head, to provide timely information without unduly limiting Council access to information.

F3.10   Communication between Council members is usually facilitated through committee and Council meetings. Communication between the Council and Mayor's office is usually channeled through memorandum, letter, and Council meetings. Both the Mayor and

Council members state that they can communicate verbally with each other. Council members correspond with departmental staff through committee meetings. In addition, some of the council members choose to attend staff meetings with the approval of the mayor and/or department heads.

The methods Council members use to communicate with each other and among City staff are important to the resolution of conflicts. Two of the issues common for any council, including ECCC, are personnel and finance/budgeting. The following common sources of conflict come from the *Municipal Research and Services Center of Washington.*

- Personnel issues, such as council not liking a mayor's appointment or the performance of a particular employee, or an employee seeking relief from council regarding a dispute with the administration:

  o   If council has the authority to do so, it can confirm or reject the appointee;
  o   If council does not have the authority to confirm or reject, it can express its satisfaction/dissatisfaction to the mayor;
  o   Council cannot put any kind of report or statement in an employee's personnel file (unless that employee is part of the Council Clerk's office);
  o   Council can provide for a detailed personnel system establishing specific qualifications for positions, requiring publication and public positing of job announcements and the like; and
  o   Although it controls the salaries paid to city officers and employees, it may not lower a salary with the purpose of causing the person holding that position to quit. A rule to follow is that the council (and the mayor) may not do indirectly what it cannot do directly.

- Finance and budget issues, such as the mayor not taking full advantage of the budget authorized by council or not filling a position that has been authorized by council:

  o   Since the authority is somewhat unclear on this particular issue (determining who is correct in determining how much a city can really afford) the best strategy is for the mayor and council to work out a mutually agreeable accommodation. If this is not possible, council and the mayor need to take the advice of legal council so that that their disagreements do not interfere with the achievement of business.

ECCC struggles with these issues regularly, as indicated by perceptions of interference with administrative officials regarding the discipline of personnel and its tendency to micro-manage the budgeting process (see **F3.9**).

R3.10 As a single body, ECCC should monitor its communications with the Mayor's office and departmental staff out of concern for the separation of duties and to maintain open, amicable and productive working relationships within city government. Council should rely on written communication to ensure clarity. In situations where it is not clear whether it is the executive branch (Mayor's office) or council's authority, the advice of the director of law should be sought. In addition, developing clear and detailed protocols would have a positive impact on communications and help to fully define council's role and authority (see **R3.3**).

F3.11 As stated in **F3.3**, ECCC council meetings are often long. As witnessed by AOS staff, the discourse during council meetings can be hostile at times, contributing to bouts of arguing and discussion. While emphasizing the use of committees for the legislative process (see **R3.5**) may reduce some of these issues by limiting the scope of conversation in council meetings, ECCC will not improve its process in any lasting way if it does not learn to handle its disagreements and differing perspectives with a professional and civil means of communication.

According to the Ohio Commission on Dispute Resolution and Conflict Management, facilitators can help governing bodies work through their personal and ideological differences to establish productive working relationships. A good facilitator will engage the council members in a series of exercises to help them identify common ground for collaboration as well as ground rules for disagreement. The following are necessary qualities of a good facilitator:

- Experience and expertise in communications, conflict management, mediation and dispute resolution;
- Priority to work toward consensus and a team mentality;
- Independence; and
- Ability to provide skills to the team so that they can lead themselves without the assistance of the facilitator.

R3.11 ECCC should consider engaging a facilitator to assist in its communication and public presentation so to achieve effectiveness. By hiring an independent and skilled facilitator, ECCC can address its difficulties as a group to mitigate their negative impact, thereby increasing the possibility for cordial, efficient and effective decision-making processes. If necessary, a facilitator can assess the group regarding the need for conflict resolution, which will also improve the body's ability to conduct business effectively.

Financial Implication: A facilitator in the Urban College at Cleveland State University charges $85 per hour. Other facilitators in the area charge between $25 and $250 per hour for facilitation services. Based on the $85 per hour fee, ECCC would spend approximately $2,600 for 10 three hour sessions.

Mission and Planning

F3.12 ECCC does not currently have a strategic plan. As stated by the Municipal Research and Services Center of Washington, legislative bodies are most effective and successful when they focus on strategic activities to guide future development of their communities. These key policy-making activities include the development of a vision for the community; the adoption of community goals, objectives, and comprehensive plans; decisions about which programs and services will be provided by local government; and the adoption of budgets and capital facilities plans. Without an emphasis on strategic planning, a council cannot effectively prioritize its goals in order to appropriately enact legislation and authorize funding to support the administrative objectives.

The City of Trotwood currently uses a five year strategic plan to guide its vision for the City. The plan is supported by both the administration and the City Council. As prepared by the City of Trotwood's strategic planning consultant, Lyle Sumek Associates, Inc., the strategic plan includes the following five elements: defining the vision, stating the mission, setting goals, and setting policy and management agendas.

These elements of a comprehensive plan are only a beginning and require the financial commitment of the City to enact it. According to the City of Trotwood, it cost the City approximately $10,000 to create a strategic plan. More important than the financial commitment, however, is the City's ability to provide staff to implement it. Therefore, it is essential that ECCC revise its clerk duties (see **R.2)** to ensure that the clerk can handle the duties of monitoring the plan, correspond with stakeholders, request updates from departments, create reports that highlight progress, and keep track of the policy calendar so that ECCC can monitor the enactment of its policies.

As presented by Lyle Sumek Associates, the City of Trotwood council/management strategic plan includes the following:

- Vision –"Our dream for the future." The Vision provides an overall framework for the City's future. It captures the dream of what the city can be in 20 years. The vision is a set of principles which outline the key values of that dream. It must:

  o Define the value-based preferences for the community;
  o Reflect the community as unique – what makes it special and gives it a competitive edge;
  o Be limited to a number (5-7) that can be remembered; and
  o Be shared by the community, staff and leaders.

- Mission. The mission defines the basic business of City government – the reason for its existence and contribution to the community. The mission begins with the core

business of City government and then the business of each department. An effective mission must have:

- o *City contribution to the community* -- a definition of the City government's role and contribution to a better quality of life for the citizens and stakeholders;
- o *Basic business element* -- identification of the core services, programs and products;
- o *Meaning to citizens and employees* -- a description of the services and programs that are expected and how citizens and employees are impacted by those services and programs; a description to the employees what their "job" is;
- o *Performance measures* -- definitions of what business success means – criteria for judging success, evaluating impact of our services, programs and products, and for determining value to the citizens; and
- o *Continuous Improvement Process* -- the ongoing process for evaluating performance and organizational processes, and exploring new, innovative and more cost effective ways for providing services and implementing programs.

- Goals. The goals define five-year outcomes for the community – the destination point and direction of the City. The goals become a guidepost for policy development, policy decisions, management decisions and management/organization action. An effective goal must have:

- o *Specific Objectives* – guidelines that define the goal to the community and to the organization and become a test for the organization;
- o *Meaning for Citizens* – understandable messages that are relevant to citizens in their daily lives;
- o *Gap Analysis* – the identification of challenges and opportunities with respect to what needs to be done to achieve this goal;
- o *Benchmarks* – criteria for measuring success in the community; and
- o *Annual Performance Report* – identification of major steps taken to achieve the goals and their impacts.

- Policy Agenda. The policy agenda establishes a one-year work program for the most important issues to be addressed in the short-term. An effective policy target must have:

- o *Policy questions* – those questions that, in their answers, determine the council's direction, define the City's role, set policy for programs, services, projects and processes;
- o *Action outlines* – expectations of the council members that are translated into specific action steps to be taken in the next year;
- o *Policy calendar* – calendar of actions to be taken in the next year;

- o *Responsible parties* – identification of those individuals or groups that need to be involved in addressing target issues and who has the "ultimate" responsibilities for completing them; and
- o *Progress report* – the method for monitoring activities to completion.

- Management Agenda. The management agenda establishes a one-year work program for the management team to address in the short-term. An effective management agenda must have:

  - o *Administrative questions* – Questions, which when answered, determine the overall direction and define the roles and responsibilities for managers, supervisors, and employees (e.g., staffing and budgeting);
  - o *Parameters/Guidelines* – These set the boundaries for addressing the administrative question and might include resource level, expected outcomes, or an underlying assumption (e.g., revenue anticipation);
  - o *Process plan* – This outlines the organizational process on how the target will be addressed within the organization and includes a timeline for closure or completion;
  - o *Responsible Teams/Managers* – Identifies interdepartmental teams or manager responsibilities, distinguishing support staff who complete research and analysis from the team or manager, who are responsible for making recommendations, finalizing proposals or making the decision; and
  - o *Status Report* – A process for reporting progress and gaining further direction.

R3.12 The City of East Cleveland administrative leadership and ECCC should engage a paid facilitator who is experienced in working with municipal governments to assist them in developing a strategic plan. By so doing, ECCC and the administration will be better able to define a legislative mission that supports an overall community vision to improve the operations, services and quality of life in the City of East Cleveland.

Financial Implication: The cost of developing a strategic plan in the City of East Cleveland, similar to the City of Trotwood, would be approximately $10,000 in one-time costs.

Financial Implications Summary

The following summarizes the annual cost savings and implementation costs for the recommendations in this section of the report. For the purpose of this table, only recommendations with quantifiable financial impacts are listed.

Summary of Financial Implications

Recommendation	Estimated Cost Savings (Annual)	Estimated Implementation Costs (One-Time)
R3.7: Either eliminate use of Home Expense Accounts and budget reimbursements through the central budget or reduce the central budget	$20,500	
R3.11: Hire a facilitator to assist council in conflict mediation and promoting an image of productivity and civility.		$2,600
R3.12: Use paid facilitator to help develop a strategic plan.		$10,000
Total Financial Implications	**$20,500**	**$12,600**

Conclusion Statement

ECCC is the legislative body for the City of East Cleveland and is currently faced with serious challenges pertaining to the City's budget, financing, and personnel. The Council has a history of using its legislative tools, namely the committee process, in an ineffective way that has made the issues it is facing all the more challenging. Inefficient committee use and a troubled communication process has resulted in long meetings, often plagued with public and council outbursts; a reliance on emergency legislation; a perceived lack of progress; and a host of issues between council and the administration.

ECCC needs to improve its communication process by identifying specific training priorities, especially for new members; reviewing its charter rules regarding use of emergency legislation; and reviving its use of legislative committee work. ECCC should adhere to its city charter and try to present legislation in two readings, using the committee structure, so that all new laws can be reviewed multiple times by the public, departmental representatives, and other council members. This would reduce the volume of legislation discussed in each meeting, increase the level of support and trust among the public, and improve relations with administrative personnel. The Council should also engage in a facilitated process to improve its interpersonal communication and its effectiveness as a public body. Finally, using a combined Council/Administration strategic planning process would help the council and administration develop a vision for the community with specific administrative and legislative priorities.

ECCC members do not fully understand their roles. As a result, ECCC is at times too directly involved in City operations and administrative roles. Separation of duties is essential to maintaining effective governance and is also required by law. ECCC should assess its rules, revise them to meet the City's needs and unique characteristics, develop detailed protocols, and engage in appropriate training, facilitation and planning activities to understand the role and function of council. This should also enable ECCC to fully understand its roles and ensure separation of duties, thereby improving its communication and operations within City government.

To relieve some of the financial burden for the City, ECCC should instill some fiscal restraint in its own operations by eliminating the home expense reimbursement account or reducing its central budget. By doing so, ECCC would effectively exert control over its expenditures, align them with the peer councils, and could potentially reduce its expenditures by $20,500 annually.

ECCC's budgeted support staff per 10,000 citizens is lower than the peers. By developing a communication process to retrieve and respond to citizen inquiries through the Mayor's office and council clerk's office (e.g., having clerical staff in both offices answer the phones and relying on existing voice-mail), ECCC could reduce its authorized staffing levels to 1.0 FTE.

Police Department

Background

This section summarizes the performance review of the City of East Cleveland Police Department (ECPD) operations. The analyses contained in this section include select operational comparisons with the peer municipal police departments of Euclid, Garfield Heights, and Warrensville Heights. Comparison data was derived from interviews conducted with, and information provided by, ECPD and the peers.

Organization Staffing

ECPD operates with a staff of 79 employees, which includes both sworn and non-sworn personnel. Several of the full-time sworn police officers function within two or more organizational units. Listed below is ECPD's staffing level. All positions are shown as full-time equivalents (FTEs).

- Sworn officers (63.0 FTEs)
- Executive assistant (1.0 FTE)
- Corrections personnel (5.0 FTEs)
- Dispatchers (5.0 FTEs)
- Records personnel (3.0 FTEs)
- Parking clerks (2.0 FTEs)

In addition to the staff listed above, the Department is augmented by 26 auxiliary personnel who are also sworn peace officers. The members of the auxiliary are all fully trained and certified law enforcement officers, carry weapons and have full arrest powers. The auxiliary officers volunteer to work a minimum of 16 hours each month.

Organizational Function

ECPD's standing mandate is to function in a capacity that improves the quality of life within the City of East Cleveland by enhancing public safety through cooperative interaction with the community and with other public and private agencies. The mission of the Department is to accomplish the following:

- Reduce fear by maintaining order and peace;
- Protect life, property, and enforce laws by taking all appropriate measures to reduce crime;

- Maintain an organized, trained staff to maximize effective and efficient service and maintain a positive work environment; and
- Inspire public trust and confidence by protecting the constitutional rights of each citizen.

Summary of Operations

ECPD is comprised of 13 units responsible for serving and protecting the citizens of East Cleveland. The following is a list of the units within ECPD:

- **Patrol Unit** personnel respond to citizen requests for police assistance, enforce criminal and traffic laws, investigate criminal activity, take offense reports, and regulate non-criminal conduct.

- **Investigations Unit** handles follow-up criminal investigations and gathers intelligence involving vice activity, homicides, sex crimes, crimes against children, and property crimes. The Unit also has an internal affairs component that investigates allegations of corruption and serious misconduct against members of ECPD.

- **Narcotics Unit** began in 1990, and is charged with investigating violations of all laws involving illegal sale, possession, or purchase of narcotics and dangerous drugs.

- **K-9 Unit** was started in 1999, and is comprised of dual-trained canine teams used to supplement the patrol and investigation functions of ECPD. The Unit supports police operations through the apprehension of violent offenders, tracking of offenders from crime scenes, detecting and locating controlled substances, and by providing general backup and assistance to officers in the field.

- **Special Weapons and Tactics** (SWAT) was started in the 1980s, and refers to a team of officers who have had specialized training in tactical operations and are equipped to deal with unusual and dangerous police situations, such as hostage rescue, high-risk arrest warrants, barricaded armed subjects, and other specialized missions.

- **Motorcycle Unit** is used for general patrol duties as well as special functions such as specific traffic enforcement duties, traffic control, parades, and escorts.

- **Bicycle Unit** was formed in 1995 for the purpose of increasing patrol coverage in areas where traditional patrol vehicles are limited. Parks, alleys, and parking lots are just a few areas where the bike patrols may easily maneuver. In addition, officers who patrol on bicycles are more visible to the public and thereby engage in community policing more readily than officers patrolling in marked units.

- **Community Policing Unit** was started in 1995 for the purpose of improving the quality of life for citizens. This Unit was established based on a proactive philosophy of policing that encourages more citizen participation in reducing criminal activity. Community policing places an emphasis on greater coordination of services with other governmental agencies, and encourages formation of partnerships with neighborhood associations to address crime-related problems.

- **Drug Abuse Resistance Education (D.A.R.E.)** is a validated, copyrighted, comprehensive drug and violence prevention education program for children in kindergarten through 12th grade. D.A.R.E. represents a collaborative effort between school and law enforcement personnel. The D.A.R.E. curriculum is designed to equip elementary, middle, and high school students with the appropriate skills to resist substance abuse, violence, and gangs.

- **Juvenile Unit** investigates crimes involving either juvenile suspects or victims, and acts as liaison between schools, the community, and the Police Department.

- **Street Gangs Unit** was started in 2001 to handle the City's increasing criminal gang activity.

- **Auxiliary Unit** consists of 26 (2.6 FTEs) sworn personnel who routinely assist in traffic enforcement and security efforts during City functions.

- **Dispatch Unit** serves as the first link between those in need of assistance or information and ECPD. Dispatch personnel provide essential emergency and non-emergency call-taking services. ECPD does not have a centralized dispatch for all emergency calls. Rather, the Dispatch Unit is comprised of five full-time dispatchers working 12 hour shifts, who assign police units to calls for service, but transfer fire and EMS calls to the Fire Department for emergency dispatching. The responsibilities of the Dispatch Unit are varied, but the major focus is on the following duties:

  - Handling calls for service and information from the public, other agencies, and ECPD units;
  - Classifying, prioritizing, and assigning calls for service;
  - Receiving, monitoring, and transmitting radio messages;
  - Entering data into the various law enforcement computer systems; and
  - Maintaining dispatch logs to include recording police unit's response times.

In order to ensure public safety, officers patrol the streets within their assigned areas. The Department has divided the City into four sections (north, south, east and west), assigning two officers to a section with one officer per vehicle.

ECPD captains, lieutenants and sergeants are represented by the East Cleveland Police Department, Fraternal Order of Police, Lodge Number 19, Ohio Labor Council, Inc. (January 1, 2001 to December 31, 2003). Patrol officers, corrections staff, dispatchers and administrative personnel receive union representation from the Northern Ohio Patrolmen's Benevolent Association (NOPBA). The NOPBA contract for dispatchers, corrections officers and administrative staff expired in December of 2000. The NOPBA contract for patrol officers is effective from January 1, 2001 through December 31, 2003.

ECPD has a fleet of 57 police vehicles that are maintained by one mechanic within the City's Service Department. All vehicles have recently been upgraded with Motor Data Terminals that will allow officers to complete reports in the field.

In addition, ECPD operates a full-service jail facility that was built in 1927. Facility repairs and updates were completed in 2000 in order to be in compliance with the State of Ohio Department of Rehabilitation jail standards. The maximum recommended housing capacity for the jail is 10, with a recommended holding capacity of 4 additional prisoners. Jail operations are currently carried out by one assistant jail administrator and four corrections officers, working one person shifts, all of whom are non-sworn personnel. These individuals work eight hours a day, Monday through Friday. Sworn officers on weekend duty man the jail Saturdays and Sundays, and auxiliary officers work at the jail as needed. The facility is responsible for the intake, holding, and release of prisoners. Corrections personnel perform the following duties:

- Supervise the jail population via personal observation and closed circuit television;
- Serve food to the prisoners;
- Provide authorized medications in a prescribed manner to prisoners;
- Secure prisoners' belongings;
- Assure that the jail is both clean and orderly; and
- Provide personal hygiene supplies to prisoners as warranted.

Staffing

As of August 2002, ECPD employed 79 FTEs. **Table 4-1** illustrates staffing levels among sworn and non-sworn personnel.

Table 4-1: East Cleveland Police Department Staffing Levels

	Budgeted FTEs	Actual FTEs	Vacancies
Sworn Police Officers			
Chief	1.0	1.0	0.0
Captain	1.0	1.0	0.0
Lieutenant	4.0	4.0	0.0
Sergeant	5.0	5.0	0.0
Police Officer	52.0	52.0	0.0
Jail Administrator (Lieutenant)	1.0	0.0[1]	0.0[1]
Beat Patrol Officer (Traffic Enforcement)	7.0	0.0	7.0
Total Sworn Police Officers	**71.0**	**63.0**	**7.0**
Non-Sworn Personnel (Civilian)			
Dispatchers	8.0	5.0	3.0
Customer Service Representatives	3.0	0.0	3.0
Assistant Jail Administrator	1.0	1.0	0.0
Corrections Officers	4.0	4.0	0.0
Executive Assistant	1.0	1.0	0.0
Office Manager	1.0	1.0	0.0
Records Clerks	2.0	2.0	0.0
Parking Clerk	2.0	2.0	0.0
Total Non Sworn Personnel	**22.0**	**16.0**	**6.0**
Total Police Department Positions	**93.0**	**79.0**[1]	**13.0**[1]

Source: ECPD interviews and documentation.
[1]ECPD's Jail Administrator is a lieutenant who has been on medical leave for two years. The Assistant Jail Administrator is currently filling the responsibilities of this position. The staffing level shown is excluding 1.0 FTE for that reason.

During 2002, ECPD experienced layoffs in its customer service representative and beat patrol officer (BPO) positions. The customer service representatives' duties were administrative. BPOs were mayoral appointees rather than civil servants, and were responsible for enforcing traffic laws. As the City's financial condition failed to improve, customer service representative and

BPO staffing was reduced as a cost-cutting measure. The authorized staffing level for dispatchers is eight, but as shown in **Table 4-1**, the number of dispatch staff currently is three less than the authorized staffing (see **F4.28**). Finally, the Department's jail administrator has been on medical leave for the past two years (see **F4.24**).

Police Expenditures

Table 4-2 presents a summary of the actual ECPD operational expenditures for FY 2000, 2001 and FY 2002.

Table 4-2: ECPD Operational Expenditures

	FY 2000 Actual	FY 2001 Actual	% Change FY 2000 to FY 2001	FY 2002 Actual	% Change FY 2001 to FY 2002
Salaries and Wages	$2,887,561	$3,283,381[1]	14%	$3,051,046	(7%)
Overtime	$313,579	$26,218[1]	(92%)	$236,089	800%
Compensatory Time	$69,315	$53,729	(22%)	$51,633	(4%)
Benefits[2]	$871,392	$1,250,048	43%	$1,259,733	1%
Training	$17,859	$21,520	20%	$0	(100%)
Clothing	$29,207	$21,599	(26%)	$10,592	(51%)
Travel, Publications and Memberships	$1,409	$4,404	213%	$739	(83%)
Communications	$16,895	$26,244	55%	$19,393	(26%)
Professional & Contractual Services	$34,468	$46,401	35%	$8,812	(81%)
Office Supplies	$3,984	$5,798	46%	$7,725	33%
Police Supplies, Tools and Equipment	$49,577	$38,212	(23%)	$65,366	71%
Building Leases (Mini stations)	$14,941	$19,338	29%	$17,868	(8%)
Vehicle Maintenance and Repairs / Garage Supplies and Tools[3]	$72,685	$91,886	26%	$89,137	(3%)
Prisoner Care[4]	$127,532	$62,795	(51%)	$21,832	(65%)
Jail Repairs and Maintenance	$15,538	$12,874	(17%)	$13,380	4%
Miscellaneous	$34,656	$0	(100%)	$272	0%
Total Operational Costs	$4,560,598	$4,964,447	9%	$4,853,617	(2%)

Source: 2000, 2001 and 2002 City of East Cleveland financial reports.
[1]FY2001 Salaries and Wages Total includes Overtime expenditures. The Actual Overtime Total for FY2001 was not available due to a documentation error.
[2]Benefits include dental, hospitalization and worker's compensation, police pension and Medicare.
[3]Vehicle maintenance and repairs includes tires, fuel and lubricants, repair and parts, and outside repairs.
[4]Prisoner care includes food, medical and hygiene expenses.

Table 4-2 shows an increase in overall actual expenditures of nine percent between FY 2000 and FY 2001. However, ECPD's actual expenditures in 2002 were approximately two percent less than 2001 actual expenditures.

Explanations for specific line items showing a significant variation in dollar amounts from a previous year are provided below.

- **Salaries and Overtime.** The increase in salaries and decrease in overtime expenditures between FY 2000 and FY 2001 was due to a documentation error in which overtime figures were included in the salaries and wages line item. Therefore, actual overtime expenditures in FY 2002 were drastically higher than the previous year (see **F4.4).**

- **Benefits.** As presented in **Table 4-2**, police expenditures for employee benefits increased by 43 percent from FY 2000 to FY 2001, and by one percent from FY 2001 to FY 2002. Rising premiums for both healthcare and workers compensation are attributable to the increase between FY 2000 and FY 2001, and fluctuations in staffing due to layoffs during FY 2002 explains the slight increase in FY 2002. See **human resources** section.

- **Training.** During FY 2000 and FY 2001, officers were able to attend outside training and receive compensatory time for instruction. Due to budget constraints, the training budget was cut in FY 2002 and any training that took place had to be conducted during shifts.

- **Supplies, Tools and Equipment.** During FY2000, ECPD replaced ballistic vests because they had reached their useful service life.

- **Prisoner Care**. The significant decrease in expenditures for prisoner care between FY 2000 and FY 2001 is the result of non-payment on invoices sent for prisoners' food and medical services, provided through a contract with Huron Hospital (**F4.26**).

Although significant fluctuations within other expenditure categories occurred during the last three years, ECPD could not provide specific explanations to account for these variances. This may be attributed to insufficiently documenting and monitoring expenditures and other important statistics (see **F4.3** and **R4.3**).

Performance Measures

The following is a list of performance measures used to conduct the analyses of ECPD operations.

- Review staffing levels within the Police Department
- Assess trends in Police Departments expenditures
- Assess grant funding and potential areas of revenue generation
- Assess collective bargaining and contractual issues within the Police Department
- Assess police operations
- Assess training and education opportunities provided to police officers
- Assess equipment and vehicle management and maintenance
- Assess jail operations and facilities
- Assess dispatch operations

Findings/Recommendations/Commendations

Staffing

F4.1   ECPD has no formal or documented organizational chart that displays the chain of command or the span of control. Throughout the course of this audit, several different organizational charts were provided. Each chart contained different units, staffing levels, and lines of authority.

A leading authority of law enforcement operations is the Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA). According to CALEA Standard 11.1.2, an agency's organizational structure should be depicted graphically on an organizational chart that is reviewed and updated as needed, and the chart should be accessible to all personnel. Additionally, the chart should coincide with the written job descriptions and reflect the formal lines of authority and communication within the agency. A formal, documented and up-to-date organization chart will help to ensure that employees adequately understand their reporting relationships and responsibilities, and managers fully understand the scope of their oversight. The city of Euclid Police Department has developed a formal organizational chart that is updated annually and presented in the Department's Annual Report. Without a formal organizational chart, ECPD employees are not able to visually recognize the cross-functional nature of the work being done by ECPD and the established reporting structure.

R4.1   ECPD should develop a formal organizational structure and depict it graphically on an organizational chart. This chart should include all units, staffing levels and lines of authority within ECPD. Furthermore, the chart should be made available to all personnel and be reviewed and updated periodically. Establishing and instituting an organizational chart will provide staff with a graphic representation of the reporting structures and formal communication hierarchies within the organization. During the course of the performance audit, ECPD developed a formal organizational chart.

F4.2   In addition to their high workload levels, ECPD sworn officers are performing duties of non-sworn personnel. **Table 4-3a** displays ECPD's current staffing levels of sworn officers as of August 2002 in comparison to the peers.

Table 4-3a: Comparison of Sworn Officer Staffing Levels

	ECPD	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Chief	1.0	1.0	1.0	1.0	1.0
Captain (Second in Command)	1.0	1.0	1.0	1.0 [1]	1.0
Captain	0.0	3.0	2.0	0.0	2.5
Lieutenant	4.0 [2]	5.0	4.0	4.0 [3]	4.3
Sergeant	5.0	10.0	5.0 [4]	7.0	7.3
Police Officer	52.0	75.0	49.0	26.0	50.0
Traffic Enforcement Officer	0.0	4.0	0.0	0.0	1.3
Other Sworn Officers	0.0	1.5	0.0	0.0	0.5
Total Sworn Police Officers	63.0	100.5	62.0	39.0	67.2
Total Rank Officers	11.0	20.0	13.0	13.0	15.3
Ratio of Rank Officers to Police Officers	1:4.7	1:4.0	1:3.8	1:2.0	1:3.3
Population	27,217	52,717	30,734	15,109	32,853
Total Sworn Officers per 1,000 Citizens	2.3	1.9	2.0	2.6	2.0

Source: ECPD and peer interviews.
[1] Warrensville Heights' police department second in command is a lieutenant.
[2] ECPD's Jail Administrator is a lieutenant who has been out on leave for two years. The staffing level shown is excluding 1.0 FTE for that reason.
[3] Warrensille Heights police department has a lieutenant overseeing jail operations.
[4] Garfield Heights police department has a sergeant overseeing jail operations.

ECPD's number of rank officers to police officers is slightly higher than Euclid and Garfield Heights. In addition, the number of sworn officers per 1,000 citizens is the second highest of the peers and commensurate with a national benchmark. The Federal Bureau of Investigation (FBI) reported as of October 31, 2001 that the national rate for sworn law enforcement personnel was 2.4 officers per 1,000 citizens. Nevertheless, ECPD has higher workload levels when compared to peer average as shown in **Table 4-3b**.

Table 4-3b: Comparison of Sworn Officer Workload Levels

	ECPD	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Total Sworn Police Officers	63.0	100.5	62.0	39.0	67.2
Total Calls for Service (2001) [1]	37,216	35,523	18,796	N/A	27,160
Total Calls for Service per 1,000 Citizens	1,367	674	612	N/A	643
Total Calls for Service per Sworn Officer	**591**	**353**	**303**	**N/A**	**328**
Total Number of Crimes (2001) [2]	3,718	4,283	1,544	N/A	2,914
Crimes per 1,000 Citizens	137	81	50	N/A	70
Total Crimes per Sworn Officer	**59**	**43**	**25**	N/A	**34**
Total City Square Miles [3]	3.1	10.7	7.2	4.0	7.3
Total Officers per Square Mile	**20.3**	**9.4**	**8.6**	**9.8**	**9.3**

[1] Table 4-14
[2] Table 4-7
[3] Table 4-10

ECPD's total calls for service per sworn officer is 45 percent higher than the peer average. East Cleveland also has a higher crime rate per 1,000 citizens than the peers. The peer average of crimes per 1,000 citizens is 49 percent lower than East Cleveland's during 2001. However, **Table 4-3b** shows that ECPD allocates more than twice the number of sworn officers per square mile, which may allow its sworn officers to respond to a higher number of calls and crimes. Additionally, ECPD appears to assign a sufficient number of vehicles to patrol the different sectors of the community (see **F4.15**). Furthermore, ECPD uses a computer aided dispatching (CAD) system while the peers do not, allowing dispatchers to assign the closest sworn officer to a call (see **F4.15**). Based on these factors, ECPD appears to employ a sufficient number of sworn officers. Nonetheless, addressing the following factors could have a positive impact on sworn officer staffing and workload levels, and could improve operational efficiency at ECPD:

- Fully analyze and maintain detailed, cumulative reasons for overtime usage, such covering staffing shortages, etc. (see **F4.4** and **R4.4**);
- Based on a cost-benefit assessment, consider employing Beat Patrol Officers to enforce traffic regulations, thereby allowing other sworn officers to focus on patrol activities and crime prevention (see **F4.6** and **R4.6**);
- Maintain, monitor, and track key operational data and statistics to periodically reassess staffing levels (see **F4.9** and **R4.9**);
- Develop a strategic plan comprising short and long-term goals (see **F4.10** and **R4.10**);
- Devote sufficient resources to crime prevention (see **F4.12** and **R4.12**);

- Develop processes to effectively clear more crimes (see **F4.14** and **R4.14**);
- Track response times by priority (**F4.15** and **R4.15**);
- Improve the vehicle fleet (see **F4.21** and **R4.21**); and
- Centralize dispatch functions with Fire/EMS (see **F4.27** and **R4.27**) and hire 4.0 FTE dispatchers (see **F4.28** and **R4.28**).

Non-sworn staffing levels are shown in **Table 4-3c**.

Table 4-3c: Comparison of Non-Sworn (Civilian) Staffing Levels

	ECPD	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Dispatchers	5.0	15.4	9.0	6.0	10.1
Jail Administrator	N/A[1]	1.0	N/A[2]	N/A[3]	1.0
Assistant Jail Administrator	1.0	2.0	N/A[2]	N/A[3]	2.0
Corrections Officers	4.0	30.6	6.0	1.3	12.6
Executive Secretary	1.0	1.0	1.0	0.0	0.7
Clerks	4.0	7.0	1.8	3.0	3.9
School Crossing Guards[4]	N/A[5]	11.4	7.2	1.8	6.8
Other [6]	1.0[7]	13.1	0.0	0.0	4.4
Total Non-Sworn Personnel	16.0	81.5	25.0	12.1	39.5
Total Police Department Staffing	79.0	182.0	87.0	51.1	106.7
% Total Staffing	20%	45%	28%	24%	37%
Total Non-Sworn Positions per 1,000 Citizens	0.6	1.5	0.81	0.8	1.2

Source: ECPD and peer interviews.
[1]ECPD's Jail Administrator is a lieutenant who has been out on leave for two years. The staffing level shown is excluding 1.0 FTE for that reason.
[2]Garfield Heights police department has a sergeant overseeing jail operations.
[3]Warrensille Heights police department has a lieutenant overseeing jail operations.
[4]School crossing guards are calculated at 3.5 hrs per day, 5 days a week.
[5]School crossing guards are no longer apart of ECPD's budget, but are still under the Department's supervision.
[6]Category includes: Jail Supervisor, Secretary, Office Manager, Information Technology/Evidence and Property Manager, Communication Engineer, Animal Control Personnel, and Non-sworn Community Policing Staff
[7]Represents Office Manager

ECPD has the lowest percentage of non-sworn personnel staffing and lowest ratio of non-sworn positions per 1,000 citizens of the peers. Specifically, dispatch operations appear to be functioning with less than optimal staffing levels (see **F4.28**). Therefore, officers who would otherwise engage in patrol activities are called upon to work in the dispatch center during times when non-sworn dispatch personnel are not available to work. In addition, operating a full-service jail with current corrections officer staffing levels

requires sworn police officers to work weekends in the jail instead of conducting patrol duties (see **F4.24**).

According to *Municipal Benchmarks*, many communities have adopted practices that divert work, when appropriate, from patrol units to non-sworn personnel who take reports by telephone or otherwise handle non-emergency police calls. ECPD has 26 auxiliary officers who are required to volunteer a minimum of 16 hours per month (2.6 FTEs). According to ECPD's police chief, the auxiliary officers have worked in the jail as needed to complete reports and assist with the supervision of prisoners. ECPD auxiliary officers also handle the phones.

Auxiliary staff can be effective in supporting police operations by undertaking more roles in non-sworn positions, thus allowing sworn staff to concentrate on their routine duties. For example, Garfield Heights Police Department pays approximately six auxiliary staff to fill in on weekends at the jail (**F4.24**). In contrast, ECPD uses sworn officers to provide jail coverage on the weekends. ECPD auxiliary officers are also paid for duties performed after they have completed their required 16 voluntary hours a month.

Not only can auxiliary officers provide support, but other non-sworn employees can assist with jail functions (see **F4.24**). In Warrensville Heights, the dispatchers assist the corrections officers by watching the jail video monitors. Using auxiliary staff and non-sworn employees keeps sworn officers from performing civilian activities and allows them to focus on their primary responsibilities.

R4.2   ECPD should continue to use, and when appropriate, increase the use of auxiliary officers, such as in helping to supervise the jail's inmate population and filling in for leaves or absences in the dispatch unit. Using auxiliary staff allows sworn officers to return to more productive and cost effective policing activities. Furthermore, ECPSD should track and analyze reasons for overtime use to determine if it would be more cost effective to hire additional sworn officers (see **R4.4**).

ECPD should also explore other areas where non-sworn staff can assist police department employees with their responsibilities when understaffing occurs, rather than having police officers fill in. Efforts to ensure that the maximum number of police officers is available to engage in patrol activities should bolster police visibility to discourage criminal activities.

Expenditures

F4.3   Due to the absence of data and statistical information for the Department, it is difficult to determine if ECPD is effectively controlling costs. Throughout the course of the audit, AOS was unable to obtain documentation of expenditures, reasons for significant

increases and decreases in Department expenditures, and departmental statistics. These statistics include:

- Amounts and reasons for overtime usage (**F4.4**);
- Police operational data over two years old (**F4.9**);
- Numbers of training hours or types of training received by police personnel (**F4.17** and **F4.31**);
- Vehicle maintenance data and police car mileage (**F4.23**);
- Composition of inmate populations (**F4.25**);
- Prisoner services billing (**F4.26**); and
- Dispatch call pick-up times (**F4.32**).

By not documenting or maintaining appropriate expenditure data and operational statistics, ECPD cannot make fully educated decisions regarding the Department's budgetary needs.

R4.3 ECPD should begin to monitor costs more effectively through the collection and analysis of Departmental data and statistical information. By doing so, ECPD will be able to determine if expenditures are appropriate to support operations and services. Also, the Department will be able to budget more appropriately based on its needs.

F4.4 ECPD does not effectively analyze records regarding overtime reasons and usage, and does not maintain cumulative detailed reasons for overtime usage. **Table 4-4** represents a three year comparison of overtime expenditures for ECPD and peers.

Table 4-4: Comparison of Overtime Expenditures

	ECPD	Euclid	Garfield Heights	Warrensville Heights	Peer Average
1999	$252,693	$805,235	$170,378	$93,170	$356,261
2000	$313,579	$892,792	$193,416	$68,132	$384,780
2001	$380,037	$1,007,848	$254,851	$74,164	$445,621
Average Overtime Costs per FTE in 2001	$4,811	$5,538	$2,929	$1,451	$3,306

Source: ECPD and the peers' financial reports

As shown in **Table 4-4**, between 1999 and 2001, ECPD experienced a 50 percent increase in overtime expenditures. Euclid and Garfield Heights overtime expenditures increased by 25 percent and 50 percent, respectively. Over the same time period, Warrensville Heights overtime expenditures decreased by 20 percent. According to ECPD police chief, detailed reasons for overtime accrual are only compiled in response to special requests, such as by the East Cleveland City Council Finance Committee. Although this practice was undertaken for 2000 overtime usage, the document provided

by ECPD does not match the overtime reported on the City's 2000 expenditure report. Therefore, it is difficult for AOS to determine the actual amount of overtime expenditures for that year.

In addition, ECPD's overtime expenditures per FTE were 46 percent higher than the peer average during 2001. Staffing shortages could be one of the reasons for increased overtime use. Based on the average salary and benefit costs per FTE at ECPD, the difference between the peer average overtime cost per FTE and ECPD's is equivalent to 2 FTEs. However, the actual impact of staffing shortages on overtime use can not be adequately determined because ECPD does not track reasons for overtime use.

In order to manage overtime, according to *Police Overtime: An Examination of Key Issues* published by the National Institute of Justice (NIJ), a police department must be able to justify expenditures in terms of the work performed, to anticipate the rate and amount of payouts, and to explain why overtime had to be paid to particular individuals and units. According to NIJ, the following records must be kept current in order to accurately and effectively analyze overtime costs:

- A police department's total obligations and payments for overtime (paid and unpaid);
- Obligations and expenditures for overtime by individual officers and units (e.g., Patrol Unit);
- The uses of overtime (e.g., holdovers or shift extensions);
- Circumstances of overtime use (where, when, and under what circumstances); and
- Sources of overtime payment (e.g., federal government).

NIJ states that overtime can be successfully controlled through a combination of analysis, recordkeeping, management, and supervision. Police managers should analyze overtime in terms of work done on paid overtime and on unpaid, or compensatory, overtime. Additionally, NIJ states that some cities regularly report all forms of overtime to city councils.

One of the police departments surveyed by NIJ reported that overtime hours worked and associated expenditures were tracked by organizational unit and activity. The information was compiled, updated and disseminated to department managers every two weeks. Another police department survey conducted by NIJ produced the following suggestions for policies to control overtime:

- Establishing agreements between police and court personnel to improve overtime usage;
- Shortening the time needed to recruit and train new police officers;

- Using civilians, volunteers or police academy students in non-enforcement lines of police work, thereby freeing experienced personnel for tasks requiring powers of arrest (see **R4.2**); and
- Carefully studying all unplanned emergency mobilizations to determine how best to use existing capacity in future instances to minimize callbacks or extensions in work shifts.

The police chief has stated that no measures have been taken to reduce recruitment and training time. Furthermore, the police chief indicated that callbacks and extensions do not happen very often. Officers can be held over at least four hours as needed.

The Euclid Police Department produces an annual report that includes a detail of overtime usage by department as well as the contributing reasons that overtime was incurred. Unlike Euclid, ECPD's absence of records that provide reasons for overtime usage inhibits the Department's ability to adequately control its use, make year-to-year comparisons, and budget for potential overtime expenditures (see **F4.3**).

R4.4 ECPD should begin to effectively manage its overtime by maintaining cumulative, detailed reasons for overtime usage. Statistics and narratives should be analyzed to determine payment obligations, reasons for overtime accrual, and source of overtime payments. The information can also be used to determine the cost-benefit of incurring overtime expenses versus increasing the number of staff. During the course of this performance audit, ECPD began tracking detailed reasons for overtime usage. ECPD should continue to compile this data and analyze it accordingly on a monthly, quarterly and annual basis.

Furthermore, Department overtime hours and associated costs should be tracked, updated and disseminated to supervisory staff at least every two weeks. This will allow supervisors who are responsible for approving staff overtime to monitor and assess overtime usage by their direct reports. Finally, a report should be compiled and provided to elected and non-elected officials in order to allow for third-party reviews and to contribute to efforts to continuously control overtime usage. This information should also be a part of ECPD's annual report (**F4.9**).

Grant Funding and Revenues

F4.5 ECPD has not taken advantage of all grant opportunities available to law enforcement agencies. **Table 4-5** shows total grant awards in 2001 and 2002 for ECPD and the peers.

Table 4-5: Comparison of Grant Funding

	ECPD	Euclid	Garfield Heights	Warrensville Heights	Peer Average
2001					
Total Amounts	$134, 848	$453,971	$28,571	$63,176	$181,906
2002					
Total Amounts	$43,123	$371,521	$16,403	$177,567	$188,497
Two-Year Average	**$88,956**	**$412,746**	**$22,487**	**$120,372**	**$185,202**
Per 1,000 Citizens	**$3,268**	**$7,829**	**$732**	**$7,967**	**$5,637**

Source: ECPD, Euclid, Warrensville Heights, and Garfield Heights Police Department

As shown in **Table 4-5**, the two-year peer average grant funding per 1,000 citizens was 42 percent higher than ECPD's average. During 2001 and 2002, ECPD received grants from the following sources:

- U.S. Department of Justice Local Law Enforcement Block Grant (LLEBG);
- Ohio Office of Criminal Justice Services Homeland Security Award;
- University Hospital Step Grant;
- East Cleveland Schools Truancy Grant;
- State of Ohio Seat Belt Program Grant; and
- Drug Abuse Resistance Education Grant (D.A.R.E.).

Each of the peers also received LLEBG grants in varying amounts. Cities that apply for LLEBG must provide a 10 percent match. Like ECPD, Euclid and Warrensville Heights Police Departments also received D.A.R.E. grants. Additional grants received by these two cities during 2001 and 2002 include:

Warrensville Heights
- COPS MORE2002 technology grant totaling $120,000 (2002)

Euclid
- Department of Justice COPS Universal III totaling $68,156 (2001);
- Federal Weed & Seed Grant totaling $450,000 (2001 and 2002);
- Juvenile Accountability Incentive Block Grant totaling $26,552 (2002);
- Speed, Reckless & Aggressive Driving Grant and the Child Restraint / Car Seat Award in conjunction with University Hospitals totaling $61,038 (2001 and 2002);
- Bureau of Alcohol, Tobacco and Firearms Gang Resistance Education and Training Grant of $5,000 (2002); and
- Department of Highway Safety Third Grad Seat Belt Grant totaling $2,400 (2001 and 2002).

While ECPD has effectively sought law enforcement grants from sources other than LLEBG, Warrensville Heights and Euclid Police Departments have identified and were granted significant awards to further support operations during 2001 and 2002.

Although the ECPD police chief and an executive assistant have attended workshops in grant writing and have made attempts to seek out grant opportunities, not all of the ECPD efforts to obtain grant funding have been embraced by the City administration. For example, in 1999, the City opted not to accept funds awarded under the COPS Universal Hiring Grant administered by the Department of Justice. These funds would have allowed the Department to hire and maintain five officers for three years. According to ECPD police chief, the City's rejection of these funds was due to the City not having a vision for the use of the personnel and not being able to identify a source of funding after the three year period. The City did not apply for Universal Hiring Grant for 2000 and 2001, but has sought out funding from this source for 2002. The ECPD police chief has stated they are still awaiting notification.

Despite the City's refusal to accept the COPS grant, ECPD has been successful in obtaining grants from other sources. However, Euclid and Warrensville Heights have been able to receive grant awards in higher amounts on a per capita basis as shown in **Table 4-5**.

R4.5   The City should determine if ECPD can receive grant funding similar to Euclid and Warrensville Heights, and continue to aggressively research and pursue all available grant funding opportunities. ECPD should continue to assume grants management responsibility and consult with the funding sources on a regular basis. The City should also continue to form partnerships with other entities, like University Hospitals, in order to obtain grants. Since grant funding may only be provided for a specified time frame, ECPD should determine if it has the ability to continue funding the related program(s) or identify additional funding streams to support those programs when the grant funding expires. This should be done prior to applying for and obtaining grant funding.

Financial Implication: If ECPD sought out funding consistent with the peer's per 1,000 citizen average, the City could realize approximately $153,000 annually in grant awards. However, additional grant funding depends on the criteria used to determine if ECPD qualifies for similar grants received by peers.

F4.6   Collection of traffic fines by the municipal court may have been reduced through the layoff of traffic enforcement officers known as beat patrol officers (BPOs). In July 2002, the City's layoffs included seven full-time BPOs whose primary duties were to enforce state and local traffic laws by issuing traffic citations to alleged violators. As a result, all traffic law enforcement activities now lie with patrol officers. However, the ability of patrol officers to perform traffic enforcement as part of their daily duties has been

severely restricted by the need to perform the duties of non-sworn personnel, such as corrections officers and dispatch (see **F4.2**).

Based on data submitted to the Ohio Supreme Court, the municipal court handled 10,134 new traffic cases in 2001 compared to 4,731 new traffic cases in 2002, representing a decrease of 53 percent in traffic cases. The layoff of BPOs could contribute to the decrease in traffic cases in 2002, which could reduce subsequent revenue collected from traffic cases. However, collections for traffic cases could not be provided to the Auditor of State's Office. Therefore, the cost-effectiveness of employing BPOs to enforce traffic laws could not be adequately determined.

R4.6   ECPD should determine if employing BPOs would be cost-effective for the City by assessing the change in collections for traffic cases between 2001 and 2002. Using BPOs to aggressively enforce traffic laws could result in increased revenue for the City and allow patrol officers to focus on other important police activities.

Collective Bargaining and Contractual Issues

F4.7   There currently are two unions with four contracts under which the Police Department operates. However, this section of the report will focus on those contracts which govern the majority of ECPD employees. While there are some variations between the contracts, those governing the police dispatchers are very similar to those governing the patrol officers. Therefore, provisions of the contracts between the Fraternal Order of Police (FOP) and the Northern Ohio Patrolmen's Benevolent Association (NOPBA), representing ECPD's police officers, are presented in **Table 4-6**.

Along with the Human Resources (HR) Director, the following individuals participate in contract negotiations for the ECPD:

- The finance director;
- The human resources (HR) director;
- The law director;
- The law directors assistant;
- The police chief; and
- An outside attorney.

Table 4-6 compares some key contractual issues between the union agreements for ECPD and the union agreement for the peer cities.

Table 4-6: Union Contract Comparison

Description	East Cleveland	Euclid	Garfield Heights	Warrensville Heights
Officers Represented	1) Patrolmen 2) Sergeants and above	All sworn officers	1) Patrolmen 2) Sergeants and above	1) Patrolmen 2) Sergeants and Lieutenants
Negotiated Salary Increases	4% annually	3% annually	None stated	4% annually
Length of Work Day	Patrolmen: City shall have the right to schedule 12 shifts Sergeants and above 8hours to maximum of 12 hours per shift	8 hours per day	8 hours per day	8 hours per day
Overtime Policy	Patrolmen and Sergeants and above: More than 86 hours per two weeks	More than 8 hours per day or 40 hours per week	More than 8 hours per day or 40 hours per week	More than 8 hours per day or 40 hours per week
Minimum Call-in Hours Paid for Emergencies	Patrolmen: If over 1 hour, a minimum of 4 hours compensatory time Sergeants and above: The greater of 4 hours or the actual time worked at 1.5x the rate of pay	None stated	The greater of 2 hours or the actual time worked at 1.5x the rate of pay, providing the call-in time is more than 1 hour before scheduled report time	Follows overtime guidelines
Minimum Court Time Hours Paid for Off-Duty Officers	4 hours, or actual time worked, at 1.5x rate of pay	None stated	The greater of 2 hours or the actual time worked at 1.5x the rate of pay	For Bedford Municipal Court: 3.5 hours minimum at 1.5x the rate of pay For those other than Bedford Municipal Court: 4 hours minimum at 1.5x the rate of pay
Minimum Stand-by Hours	Sergeants and above: 2 hours pay at regular rate for no more than 8 hours on stand-by per 24 hours; standard pay scale for hours actually worked.	None stated	None stated	None stated
Sick Leave Incentive	0 days: 3 bonus days 1 day: 2 bonus days 2 days: 1 bonus day more than 2 days: 0 bonus days	None stated	Two days or less: $500	0 days: 4 additional. comp. days + $275 1 day: 3 additional. comp. days + $225 2 days: 2 additional. comp. days + $175 3 days: 1 additional comp. day + $100
Uniform/Equipment Allowance	Patrolmen (Annual): Clothing: $550 Shoes: $200 Off- Duty Weapon Maintenance: $200 Appointment to detective: $250 (one time additional)	$1,000 at time of hire $800 annually after start of second calendar year of hire $650 annually	$1,000 annually	New hires: paid by employer Patrolmen: $1,000 annually Sergeants and Lieutenants: $1,200 annually + $200 per promotion

	Sergeants and above (Annual): Clothing: $625 Shoes: $200 Off- Duty Weapon Maintenance: $200			
Longevity Pay	Patrolmen (per year): 1-4 years: $475 5-9 years: $1,075 10-13 years: $1,175 14-19 years: $1,375 20+ years: $1,575 Sergeants and above (per year): 5-9 years: $925 10-13 years: $1,225 14-19 years: $1,375 20+ years: $1,575	As a percent of employee base pay: After 5 years: 3.5% After 10 years: 5.0% After 15 years: 6.5% After 20 years: 8.0%	5-9 years: $1,300 per year 10-14 years: $1,500 per year 15-19 years: $1,700 per year 20+ years: $1,900 per year	As a percent of employee base pay: In years 2-3: 1% In year 4 and every even year thereafter: 0.5%
	Effect on a patrolman with five years tenure earning $35,000 = $1,075	Effect on a patrolman with five years tenure earning $35,000 = $1,225	Effect on a patrolman with five years tenure earning $35,000 = $1,300	Effect on a patrolman with five years tenure earning $35,000 = $175
Education Bonus	Patrolmen & Sergeants and Above (after 3 years of service): BA: One time award of 5% of base pay AA: One time award of 2% of base pay	All expenses, including tuition, books, and fees on related courses in which employee receives a 'C' or better	Program abolished for all new hires after June 1, 1985	None stated
SWAT Team	Patrolmen: $2,750 annually Sergeants and above: $3,000 annually	None stated	None stated	$480 (also includes K9, Motorcycle, & Accident Investigation)

Source: Collective bargaining agreements for the City of East Cleveland peer cities and SERB.

When comparing union contracts as displayed in **Table 4-6**, ECPD's union contract terms are more generous than the peer contracts in the following areas:

• ECPD patrolmen and rank officers receive higher reimbursement for minimum call-in hours paid for emergencies than the peers. Patrolmen receive a minimum of four hours compensatory (comp) time for over one hour of emergency call-in, impacting the Department's staffing coverage when officers take comp time or if they elect to cash in comp time that is accrued.

• ECPD off-duty officers receive a greater number of minimum court time hours paid for attendance than the peers. The greater number of hours provided for court attendance can significantly impact the Department's overtime pay-out (see **F4.4**).

• ECPD's sergeants and above receive payment for stand-by hours when the peers do not.

• ECPD provides an incentive for SWAT team participation that is well above peer districts. The Department has nine officers eligible to participate on the SWAT team.

R4.7   During the next contract negotiations, the City should attempt to re-negotiate the following provisions:

- No minimum call-in hours paid for emergencies. If officers are called-in, they should receive overtime or comp time for actual time worked.
- No minimum number of court time hours paid for off-duty officer's attendance. If an officer is subpoenaed, they should receive overtime or comp time for actual time in attendance.
- ECPD's sergeants and above should not receive payment for stand-by hours. They should only receive payment for time worked.
- SWAT team participation incentive should be reduced to $500, similar to Warrensville Heights.

Furthermore, ECPD should begin to record and monitor the amount of call-in, court time, and stand-by hours used by officers so the impact on overtime and comp time can be assessed (see **R4.4**). Since this data is not recorded and monitored, and it is difficult to predict the amount of time officers will spend in these activities, quantifying the financial impact of changing these policies cannot be readily determined.

Financial Implication: If East Cleveland paid the nine officers eligible to participate on the SWAT team a $500 incentive annually rather than $2,750 for patrolmen and $3,000 for rank officers, it could experience approximately $20,000 in annual cost savings.

F4.8   ECPD does not require receipts to substantiate expenditures incurred to support receipt of a uniform allowance, as shown in **Table 4-6**. There are no provisions stipulated in the current agreements requiring such actions.

In contrast, the Warrensville Heights Police Department is seeking to add a provision it its new union contract requiring that receipts be maintained in the event that the city requests proof of expenditures. Such proof may be requested in the event that an officer presents with a poorly maintained uniform.

R4.8   The City should consider requiring members of the Department who receive a uniform allowance or maintenance allowance to substantiate their expenditures with receipts. Establishing this measure may require that the City negotiate additional terms involving uniform allowances. Substantiating expenditures for uniform or maintenance allowance can assist the Department in ensuring that allowances received are spent as intended.

Police Operations

F4.9   ECPD does have a goal to serve and protect, but there are no performance measures and indices by which goals can be assessed. According to the police chief, the Department is

in the process of developing performance measures, standards, and goals. However, data concerning police operations is only maintained for two years since there is no requirement to do so beyond two years. By not maintaining and monitoring information over time, ECPD cannot effectively evaluate and communicate police operational performance.

ECPD does not produce an annual report of police operations. According to the police chief, some information on police operations is submitted to the mayor at the end of each year. While important information such as crime rates and calls for service are included in some of these submissions, the information provided is labeled as memorandums and lacks uniformity in the types of information provided from year to year. In contrast, Euclid Police Department develops a very extensive annual report that is addressed to the mayor, is available to the public, and contains information regarding the following areas:

* Letter from the police chief providing overview of the report;
* Mission statement;
* Organization chart;
* Training, seminars and notable events;
* All police units (e.g. unit responsibilities, statistics, upcoming projects, technology, staffing levels and major accomplishments);
* Grant information; and
* Police vehicle information.

Not disseminating police statistics to the public may present a barrier to establishing or building upon community police relations and accountability. Furthermore, an annual report can be used as a means to communicate the financial and operational needs to the mayor and council based on the Department's performance.

ECPD has not effectively solicited citizen opinions regarding police operations. Although the ECPD participates in community meetings, the Department does not use these forums to conduct citizen surveys in order to obtain responses from the community regarding police operations. According to the police chief, a citizens' survey has not been conducted since 1999. The Chief stated there has not been a need to conduct another survey since this time.

In contrast, the Cleveland Police Department has begun to disseminate community surveys to its citizens at community meetings. These surveys are returned to the respective Community Policing Unit where they are reviewed and responded to as needed. The National Institute of Justice (NIJ), in *Measuring What Matters*, states that police organizations need to know their citizens. A police department should conduct periodic citizen surveys to seek answers to questions regarding citizens, such as: "Are

they getting what they want and what are they entitled to?" NIJ also states that a general population survey should be designed to capture information about the following areas:

- Criminal victimization;
- Reasons for not reporting crimes to the police;
- General attitudes toward the police;
- Levels of fear; and
- Types of self-defense they rely on to supplement the protection they get from the police.

ECPD could potentially be reducing its ability to measure the effectiveness of its problem-solving, responses to crime, and satisfaction of citizens with police operations by not conducting citizen surveys and using that data to improve operations.

Moreover, ECPD has not sought to use the City's webpage in order to publicly disseminate law enforcement information. The current website has no information pertaining to the Police Department and only limited information regarding other departments within the city of East Cleveland. According to the police chief, ECPD has no involvement with the website and has not sought to have information posted to the site. The systems administrator who is in charge of the City of East Cleveland's website stated that the City is in the process of putting more information on the website that would include information pertaining to the Police Department. Nonetheless, Euclid and Garfield Heights both have websites that contain police department information, Warrensville Heights is currently in the process of establishing a website that will contain information on its police department.

Though the lack of a comprehensive website, ECPD may be limiting its sharing of timely and up to date information with the public, thereby having a negative impact on public relations.

R4.9 ECPD should begin to conduct an operation that is fully data driven. This will require that a senior administrator be identified to conduct reviews of administrative and operational activities. ECPD should use information such as arrest rates, clearance rates and crime rates, to begin to produce annual reports of its police operations and highlights that would be available for public dissemination. The annual report should be consistent in its content from year to year. Furthermore, the information provided should be similar in format to that of Euclid Police Department. Producing an annual report of police operations may positively impact community-police relations and serve as an accountability measure.

ECPD should begin conducting citizen surveys to obtain responses regarding police operations that can be returned to its community policing staff. The Department should

use community meetings as the forum for obtaining written feedback on its operations. The survey should go to persons receiving police services (residents and businesses), and it should capture the respondents thoughts regarding the police activity. Surveys of the community should be conducted at least every three years and cover various topics. By conducting citizen surveys, ECPD may be able to better measure the quality of service and its responsiveness to the community needs.

Finally, the police chief should identify data to be placed on the City's website. Making data available to the public increases access to information such as crime data, crime prevention, department activities and employment information. Making the public aware of police activities through the Internet can assist the Department in distributing timely information to its citizens, which in turn may build positive relations between the Department and the citizens it serves.

F4.10   ECPD has not developed a strategic plan. A strategic plan provides the overall direction and framework for a department's performance and goals. According to *Creating and Implementing Your Strategic Plan*, a strategic plan is a disciplined effort to produce fundamental decisions and actions that shape and guide what an entity is, what it does, and why it does it. The police chief stated that a strategic plan was in the Mayor's Office in either 1994 or 1997, but is unaware of where it is now. Additionally, the police chief states that the Department is currently developing a strategic plan, and is identifying measurements and goals. Although appropriate measures and support have not been formally linked to goals, Department goals identified for the years 2000-2004 include:

- Create a full-strength police force;
- Conduct entry level exams and promotional exams;
- Rehire five customer service representatives and one corrections officer;
- Replace, upgrade and maintain equipment on a continual basis; and
- Build a new police / jail facility.

According to National Institute of Justice (NIJ), *Measuring What Matters*, in order to conduct measurements, there must be some clarity of standards and polices. A healthy organization knows what it wants to accomplish and has articulated goals. CALEA Standard 11.5.1, states that goals should be formulated and updated annually for the agency and each organizational component within the agency. Established goals and objectives should be made available to all affected personnel.
Cleveland and Toledo Police Departments have developed notable measures. The following is a sample of Cleveland Police Department measures to assess goals that are set each year for the department with staff's input:

- Identify 30 addresses or intersections where the police department receives repeated requests for police service related to the same issue and through enforcement action,

environmental changes, education, or traffic engineering, reduce calls for service at those locations by ten percent;

- Decrease police departments response times to priority one assignments by five percent; and
- Increase prostitution arrests from 408 to 450.

The Toledo Police Department has also established the following performance measures for 2002:

- **Reduce Crime**: Reduce Part I reported offenses by three percent and increase clearance rates by three percent over the national average;
- **Excel in community policing**: Recruit and train an additional ten officers for the Department's crime intervention team.
- **Reduce traffic related injuries and fatalities**: Reduce traffic accidents by three percent; and reduce traffic fatalities by five percent.

CALEA standards call for an agency to have a current, multiyear plan that goes beyond the current budget year. This plan should include the following:

- Long-term goals and operational objectives;
- Anticipated workload and population trends;
- Anticipated personnel levels;
- Anticipated capital improvements and equipment needs; and
- Provisions for review and revision as needed.

According to *Creating and Implementing Your Strategic Plan*, to be effective, strategic planning must be action oriented and must be linked to tactical and operational planning. Without a strategic plan, ECPD may be limited in its ability to think and act strategically. Functioning without a strategic plan may also have a negative impact on ECPD's ability to communicate and make educated decisions, therefore preventing the Department from operating more effectively and efficiently.

R4.10 The police chief should work with the mayor, council, the Department's personnel, and other key stakeholders such as citizen's groups, to develop a strategic plan for ECPD. This plan should encompass short and long-term goals, and link to the City's overall strategic plan (see **city council** section). Additionally, the plan should be linked to measurable operational goals and ECPD should measure progress in meeting these goals. A plan can assist in providing effective agency management. Strategic planning can also assist the Department in thinking and acting strategically, thereby producing the following benefits to the department:

- Increased effectiveness;
- Increased efficiency;
- Improved understanding and better learning;
- Improved decision making;
- Enhanced organizational capabilities; and
- Improved communications.

F4.11   ECPD's polices and procedures have not been updated since 1968, which could expose the City to potential liability under 42 U.S.C. 1983. Therefore, ECPD directives are not reflective of changes in the Department over the past 35 years. The police chief is currently in the process of updating policies and procedures. In contrast, Euclid Police Department has its policies and procedures reviewed by its captains on an annual basis. Five to ten policies are reviewed each year and then updates are prioritized.

In the absence of up-to-date written policies and procedures, ECPD may not be communicating effectively with its staff. Furthermore, personnel may not have a clear understanding of how they are to operate and what is expected of them (e.g., vehicle take-home policy (see **F4.20**). The absence of an updated policy and procedure manual may be reflected in a lack of uniformity in the way officers take action in given situations. Additionally, in the absence of updated policies and procedures, it may also be difficult for the Department to evaluate and hold staff accountable for actions taken in a particular situation.

ECPD's current policy and procedures manual also lacks a uniform system of presenting written directives. Some polices and procedures do not have effective dates, policy numbers, identification of revisions, or references to other procedures listed. The manual also does not have a table of contents, index, or glossary.

In contrast, the Euclid Police Department has established a formal written directive system that codes individual policies and procedures, rules and regulations. The policy and procedure manual has a table of contents, a glossary, an index and individual policies and procedures coded as follows:

- **Identification.** Each procedure is labeled in the appropriate place on the cover sheet of the procedure.
- **Effective date.** The effective date of the policy or procedure is noted.
- **Numbers.** The first two numbers represent the last two numbers of the year issued. The middle three numbers represent the number of issuances throughout the same calendar year. The last three numbers represent the actual policy and procedure number.
- **Subject**. This space is reserved for a short description of the contents of the policy and procedure.

- **Reference**.   The reference will usually pertain to previous policy and procedure numbers which have contributed to the history of a particular policy and procedure.

The absence of an updated policy and procedure manual has led to a lack of uniformity in presenting directives, which can negatively affect the ease and rapid access to individual polices, procedures, rules, and regulations by personnel.

R4.11 The police chief, along with other administrative personnel and line staff, should review and update all polices and procedures. Policies and standard operating procedures should be comprehensively reviewed and formalized. Updated policies and procedures should also be subject to careful legal review to ensure that recent case law developments under U.S.C 1983 have been taken into account. In addition, the City should have the law director evaluate its exposure to liability for its relatively high response times (see **F4.15**), over-capacity prison population (see **F4.24**) and lack of replacing high-mileage police vehicles (see **F4.21**).

The Department should strive to review at least five to ten polices and directives each year. Upon completion of each review, policies should be prioritized so that they may be updated.   Additionally, a new program or organizational change requires multiple directives to be revised. This ongoing process requires consistent monitoring and review. A strong written directive system is the basic foundation for good communications. This system provides employees with a clear understanding of the guidelines under which they should operate and the expectations they should fulfill. A fully developed policy and procedures manual can assist in assuring that all officers within the Department have a guide to use in making decisions and taking action in a particular situation that presents uniformity in response. Furthermore, well-developed policies and procedures can allow the Department to evaluate and assign accountability to personnel for what has been identified as an acceptable course of action.

The police chief should also establish a uniform procedure for presenting written directives. A formal, uniform system may permit rapid access to individual policies and procedures, rules and regulations. The coding of individual policies and procedures, the table of contents and the index can facilitate the retrieval of policies and procedures, making the Policy and Procedure Manual a user friendly reference guide.

F4.12 ECPD has developed a public notice informing its residents of various strategies to assist in crime prevention. However, based on crime statistics, ECPD could devote additional resources to crime prevention. **Table 4-7** displays ECPD's Part I crime statistics for 1999, 2000, and 2001. To "clear" a crime means the police department has either brought charges against a suspect, there is not enough evidence to enable the case to move forward, or the complainant fails to pursue charges (see **F4.14**).

Table 4-7: City of East Cleveland Summary of Crime Statistics

Part I Crimes	1999			2000			2001		
	Actual	Cleared	Percent Cleared	Actual	Cleared	Percent Cleared	Actual	Cleared	Percent Cleared
Criminal homicide	5	2	40%	4	1	25%	5	2	40%
Forcible rape	61	23	36%	62	25	40%	61	30	48%
Robbery	187	111	59%	192	115	60%	199	108	54%
Assaults	1,690	359	21%	1,559	198	13%	1,599	379	24%
Burglary	401	248	62%	374	223	57%	434	217	50%
Thefts	594	105	18%	700	124	18%	901	144	16%
Motor vehicle thefts	484	31	7%	461	30	6%	519	32	6%
Total number of crimes	3,422	879	25%	3,352	716	21%	3,718	912	25%
Total sworn officers			60			57			63
Total crimes per sworn officers			57			59			59
Crime per 1,000 citizens[3]			126			124			137
Total number of juvenile arrests			555			500			425
Total number of adult arrests			10,540			10,754			8,984

Source: CRIS/NIBERS annual report summary.
[1]ECPD only maintains two years of statistics.
[2]ECPD only maintains two years of statistics.
[3]Population is based on Census 2000.

Based on the number of crimes per 1,000 citizens, East Cleveland's Part I crime rate has increased over a three-year period by approximately 9 percent. However, the number of juvenile and adult arrests has decreased over the same period by 15 percent, while sworn staffing levels increased from 1999 to 2001 and the number of crimes per sworn officer has remained relatively the same. In addition, the total number of crimes cleared has remained relatively constant over the three year period (see **F4.14**). **Table 4-8** compares ECPD's FY 2001 Part I crime statistics to the peers.

Table 4-8: FY 2001 ECPD and Peer Comparison of Crime Statistics

	ECPD	Euclid	Garfield Hts	Peer Average
Part I Crimes	Actual	Actual	Actual	Actual
Criminal homicide	5	2	0	1.3
Forcible rape	61	48	29	29
Robbery	199	87	37	54
Assaults	1,599	1,922	681	924
Burglary	434	391	196	224
Thefts	901	1,593	516	796
Motor vehicle thefts	519	240	85	135
Total crimes	3,718	4,283	1,544	2,914
Crimes per 1,000 citizens [1]	137	81	50	70

Source: National Incident Base Reporting (NIBERS) annual report summary.
Note: Due to differences in crime reporting systems, Warrensville Heights is excluded from the analysis. East Cleveland, Euclid and Garfield Heights use the NIBRS system, while Warrensville Heights uses the Uniform Crime Report system. Crimes are counted differently in these systems.
[1]Population is obtained from U.S. Census Bureau, Census 2000.

Table 4-8 shows that the City of East Cleveland is experiencing 22 percent more Part I crimes than the peer average and is above the peer average in Part I crimes committed in every category. In addition, the City of East Cleveland's number of crimes per 1,000 citizens is nearly two times higher than the peer average, which may be partially attributed to the City's demographic and economic characteristics. For example, 28 percent of the City's residents live below the poverty level, where the peer average is less than 8 percent. Also, the unemployment rate in 2000 was more than double the peer average, 8.3 percent versus 4.1 percent (see **fire and EMS** section).

Although **Table 4-7** indicates that the number of arrests has decreased while the City increased sworn officer staffing levels to handle the increase in crime rates, the following actions would allow sworn officers to focus on aggressively performing patrol activities and ensuring the public safety of East Cleveland's residents:

- Conducting a cost-benefit assessment to determine if beat patrol officers should be re-employed (see **R4.6**);
- Increasing the use of auxiliary staff (see **R4.2**);
- Analyzing the cost-effectiveness of employing additional sworn officers to reduce overtime costs (see **R4.4**);
- Addressing staffing levels in the dispatch unit (see **R4.28**); and
- Operating the jail at appropriate capacity (see **R4.24**).

In addition to the decreasing numbers in overall arrests, the absence of sufficient crime prevention methods (see **F4.13**) may mean ECPD is operating in a manner that is more reactive than proactive. Operating in this manner may inadvertently be increasing the amount of work performed by the Department's personnel.

R4.12 In light of the City's significant crime rate, ECPD should invest more resources into crime prevention and investigate reasons for the decreasing number of arrests. In addition, ECPD should focus its sworn officer staffing resources on patrol activities by implementing strategies discussed in **F4.12**. Efforts to reduce crime should be tailored toward those crimes that have shown a steady increase from year to year. Benefits of taking such measures may include the following:

- Reduction in crime;
- Increased revenue for the City through fines and court costs;
- Reduction in workloads;
- Increased efficiency in operations; and
- Increase in Department community relations.

F4.13 ECPD does not have a crime prevention bureau. According to the Ohio Crime Prevention Association, crime prevention is a way of thinking and acting that focuses on reducing crime and the opportunity for crime. It emphasizes citizen and law enforcement problem solving and building effective partnerships to mobilize toward the common goal of a safer more caring community.

East Cleveland City Ordinance 121.08 established a Crime Prevention Bureau to be operated under the supervision of the police chief. According to the police chief, no one has been assigned specifically to crime prevention since the late 1980's. During this time, crime prevention was a special detail handled by an auxiliary officer. The police chief states that crime prevention activity currently is done collectively by members of ECPD through special programs, officer participation, and details directed by the police chief.

The Euclid Police Department has a Crime Prevention Unit overseen by a captain and staffed by a sergeant and two sworn officers. The 2002 Euclid Police Department Annual Report states that crime prevention is imperative in any community that seeks growth and development. For this reason, the Unit has continued, and even increased, its efforts and outreach to the community despite budget cuts and reduced staff. Primarily through grant funding (**F4.5**), the Euclid Crime Prevention Unit maintains the following programs in conjunction with community groups and citizens:

- Weed & Seed Neighborhood Organizing
- Neighborhood / Apartment Watch

- Citizens Police Academy
- Operation K.A.T.I.E (automobile theft prevention)
- Seniors Against Crime
- Landlord Training Program

The efforts of the Euclid Police Department's partnerships with the community have had a positive effect on crime and arrest rates. Between 2000 and 2002, the number of crimes has decreased by 3 percent, the number of criminal arrests has increased by 5 percent, while the number police officers has decreased by 5 percent.

R4.13 ECPD should seek to re-establish its Crime Prevention Bureau with either auxiliary personnel or sworn officers, or a combination of both, supervised by a rank officer appointed by the police chief. Grant funds should be sought and used to support crime prevention efforts (see **R4.5**). Accomplishing this objective will require that personnel be trained in crime prevention methods. This training is offered by the Ohio Attorney General's Office Ohio Peace Officer Training Academy (OPOTA). Directing full-time resources toward crime prevention efforts can assist ECPD in preventing crime and decreasing sworn officers' workloads, thereby improving the quality of life of the citizens it serves.

Financial Implication: The cost for ECPD to send an auxiliary officer and a rank officer to OPOTA's three-day, Basic Crime Prevention Training Program would be $300.

F4.14 ECPD's main detective bureau is comprised of two sergeants, one lieutenant, and seven detectives. Clearances occur either by arrest or by exceptional means; for example, when circumstances beyond the control of law enforcement prevent the placing of formal charges against the offender. Clearances recorded in a particular calendar year, may include offenses that occurred in previous years. **Table 4-9** displays clearance rates for ECPD and peers during FY 2001.

Table 4-9: FY 2001 ECPD and Peer Comparison of Clearance Rates[1]

Part I Crimes	ECPD		Euclid		Garfield Hts		Peer Average[1]	
	Cleared	Percent Cleared	Cleared	Percent Cleared	Cleared	Percent Cleared	Cleared	Percent Cleared
Criminal homicide	2	40%	2	100%	0	0	1	50%
Forcible rape	30	48%	22	43%	5	17%	14	35%
Robbery	108	54%	75	85%	10	27%	43	68%
Assaults	379	24%	1,787	92%	273	40%	1,030	79%
Burglary	217	50%	366	93%	25	13%	196	66%
Thefts	144	16%	1,562	97%	97	19%	830	78%
Motor vehicles thefts	32	6%	229	97%	14	16%	122	72%
Total crimes cleared	912	25%	4,043	94%	424	27%	2,234	76%
Total number of detectives[2]		7		8		6		7
Total crimes per detective		531		535		257		301
Total crimes cleared per detective		130		504		71		288
Total crimes cleared per sworn officer		17		40		7		24
Crimes cleared per 1,000 citizens		34		77		14		46

Source: CRIS/NIBRS annual report summary
[1]Percentage is based on Euclid and Garfield Heights total crimes only. Due to differences in crime reporting systems, Warrensville Heights is excluded from the analysis. East Cleveland, Euclid and Garfield Heights use the NIBRS system, while Warrensville Heights uses the Uniform Crime Report system. Crimes are counted differently in these systems.
[2]Number of detectives based on staffing levels as of August 1, 2002.

As shown in **Table 4-9,** the Euclid Police Department's clearance rate is significantly higher than ECPD and Garfield Heights. Euclid Police Department has attributed its success rates in crime clearances to the following:

- Automatic fingerprinting identification;
- Processing own evidence;
- Cases staying open until there are no further leads;
- Group processing of cases by having a group of detectives help in resolving a case;
- A significant amount of training; and
- Prosecutor's office being willing to pursue cases.

ECPD does process evidence internally. However, it does not have automatic fingerprinting identification technology and does not process cases as a group. Furthermore, it is unclear if ECPD has taken any actions to improve its crime clearances. According to the lieutenant supervising the detective bureau, on-scene investigation

reports are not fully completed by sworn officers, which could negatively impact the bureau's ability to successfully clear crimes.

In comparison to all of its Part I crimes, ECPD is experiencing a larger percent of crimes cleared among its violent crimes category (murder, forcible rape, robbery, and aggravated assault). According to the Federal Bureau of Investigations, violent crimes often undergo a more vigorous investigative effort than crimes against property and therefore, experience higher clearance rates. Furthermore, the Detective Bureau appears to be adequately staffed when comparing staffing and workload measures. When compared to Euclid's Detective Unit, ECPD has almost the same number of total crimes per detective. However, the ECPD's total crimes cleared per detective is 74 percent less. In addition, ECPD and Euclid assign all types of cases to each detective, rather than having detectives specialize in certain cases.

Based on data from the Cuyahoga Regional Information System (CRIS) for 2002, ECPD significantly improved its clearance rates in each Part I crime category while maintaining the same number of sworn officers as in 2001. However, ECPD's clearance rate in 2002 is still well below Euclid's clearance rate in 2001 for criminal homicides, assaults, thefts, and motor vehicle thefts.

According to *Does Your Government Measure Up*?, a police department's clearance rate should be equal to or higher than the average of the clearance rates for departments in the same geographic area. Based on the peer average, ECPD's clearance rate should be around 75 percent. Also, according to *Municipal Benchmarks*, clearance rates tend to be higher in smaller cities. This has not been the case with the city of East Cleveland, which has a population size of 27,217, and its clearance rate is 73 percent less than Euclid that has a population of 52,717. By working to increase clearance rates, a police department can help to ensure that criminals are apprehended and prosecuted, instead of allowing criminals to commit additional crimes.

R4.14 ECPD police chief and the head of the Detective Bureau should attempt to further increase the Department's clearance rates. To begin the process, an examination of the Department's operations should take place through data analysis and strategic planning (see **F4.9** and **F4.10**). ECPD should also consider processing cases as a group and implementing automatic fingerprinting technology to improve clearance rates. In addition, ECPD should provide sworn officers with formal training and directions on completing thorough and detailed on-scene reports to adequately aid the detective bureau in clearing crimes.

F4.15 ECPD's response times are higher than the peer average in nearly all areas of response. **Table 4-10** illustrates response times for ECPD and peers over a three-year period.

Table 4-10: Three-Year Comparison of Average Response Times[1]

	ECPD	Euclid	Garfield Hts	Peer Average
Response Time in Minutes	**1999**			
Call to dispatch	7.7	7.1	3.1	5.1
Dispatch to arrival	9.6	11.4	5.3	8.4
Call to report	57.9	72.6	58.4	65.5
	2000			
Call to dispatch	7.0	8.5	2.4	5.5
Dispatch to arrival	9.3	11.8	5.9	8.9
Call to report	55.9	66.4	48.2	57.3
	2001			
Call to dispatch	6.3	7.7	2.5	5.1
Dispatch to arrival	12.0	9.5	5.1	7.3
Call to report	51.2	42.8	31.1	37.0
	Three-Year Average			
Call to dispatch	7.0	7.8	2.7	5.3
Dispatch to arrival	10.3	10.9	5.4	8.2
Call to report	55.0	60.6	45.9	53.3
Total city square miles	3.1	10.7	7.2	7.3

Source: Cuyahoga Regional Information System (C.R.I.S.)
[1]WarrensvilleHeights does not participate in CRIS and does not track response times.

Table 4-10 illustrates that ECPD's response times for call to dispatch have steadily improved over a three-year period, but they have remained above the peer average over this time. Furthermore, the dispatch to arrival time increased from 9.6 minutes in 1999 to 12.0 minutes in 2001. ECPD's three-year average of dispatch to arrival time is almost five minutes greater than the city of Garfield Heights, while the City of East Cleveland is nearly half the size of Garfield Heights.

According to the ECPD police chief, to engage in community patrol efforts, the Department divides the City into four sectors (North, South, East and West) with two vehicles assigned to each sector. The Garfield Heights Police Department has divided the City into three sectors with two vehicles assigned to each. However, even with more police vehicles assigned to the city at any one time, ECPD still falls below Garfield Heights in response times. It should also be noted that unlike East Cleveland, none of the peers has a computer aided dispatching (CAD) system (see **F4.37**). ECPD's CAD system

allows the dispatcher to identify where every police unit is at any time so that the nearest officer can be assigned to a call.

Contributing factors to ECPD response times being above the peer average may include the following:

- Dispatchers obtaining sufficient information on the emergency type and location in a timely manner. This may also include a delay to calm down the caller so the information can be understood. Providing emergency medical dispatching training to all dispatchers could ensure that sufficient information on calls is gathered in a timely manner (see **F4.29**).
- Dispatchers responding to other police matters and handling a high volume of calls for service (see **Table 4-3b** and **F4.28**). Arrests can pull a unit out of service for long periods of time, while major incidents can pull several units out of service, reducing adequate back-up capabilities and causing delayed response times.
- Police officers performing non-sworn officer functions, which could impact the ability to respond to calls for service in a timely manner (see **F4.2**).
- ECPD not fully using the CAD system (see **F4.38**).
- ECPD lacking response standards (see **F4.16**).
- Police officers not being able to report arrival and resolution times immediately.
- ECPD not adjusting shift composition to coincide with the most activity.

According to *Municipal Benchmarks*, police departments are often judged in part on the promptness with which they respond to emergencies. ECPD does not track response times by identified priorities, although calls for service are identified as priority I (i.e., report of damage to a vehicle), II (i.e., domestic violence), or III (i.e., armed robbery). By not tracking this information, ECPD cannot determine the average time it takes to respond to the different types of priorities. Furthermore, high response times can result in a decrease in citizen confidence in the Department and fewer crimes being cleared, thereby resulting in a police department that is reactive instead of proactive.

R4.15 ECPD should begin to track the total number of calls and average response times by priority to assist in improving its response times. ECPD should use data from the computer aided dispatching (CAD) system that identifies calls received by the time of day to accordingly adjust the shift composition of sworn officers. This would ensure that ECPD has adequate staffing levels for shifts experiencing a high volume of calls. Additionally, implementing these measures may allow the Department to identify what types of calls are consuming the majority of officers' time and when, thereby allowing proactive measures to be developed and implemented.

F4.16 ECPD's police chief has not identified standards for response performance. Response times can be used to measure the effectiveness of the Department in responding to

citizens calls. As noted in **F4.9**, the Department does not have measurable goals to improve operations.

According to *Municipal Benchmarks*, of ten cities studied with a population of 12,000-75,000, the average response time from dispatch to arrival was 4.7 minutes. The City of East Cleveland's three-year average of response time from dispatch to arrival was 10.3 minutes (**Table 4-10**). Furthermore, the City is rather small in size, having a total of 3.1 square miles. Therefore, officers do not have to travel far to respond to calls.

In the absence of standards for response performance, it is difficult for the Department to measure whether it has effectively responded to citizen's calls. Consequently, there is no guide to assist the Department and the public in determining what a satisfactory level of service entails, and no means to monitor achievement.

R4.16 ECPD's police chief should develop standards to assist the Department and interested parties in monitoring response performance. The chief should also work with dispatchers and patrol officers to enact those standards. Using guidelines such as the ones developed by *Municipal Benchmarks* and average times of similar communities, the Department can develop goals for response time improvement. The establishment of standards will assist in the determining satisfactory performance. Timelier responses to calls for service may lead to more arrests, de-escalation of volatile situations, and may serve as a source of discouragement to criminals, thereby resulted in fewer crimes.

Training

F4.17 ECPD does not track the number of training hours or types of training received by police personnel from year to year. ECPD was only able to provide the types of training received over a three-year period. In contrast, Garfield Heights and Warrensville Heights track the total number of training hours, by type, for police personnel. The Euclid Police Department lists trainings attended by employees in its annual report.

By failing to track types of training and hours received from year to year, the Department may not be able to perform the following:

- Validate training as a tool used to improve performance;
- Justify costs incurred in training;
- Provide a basis for change in the types and amount of training provided;
- Ensure that training is meeting the needs of the Department;
- Identify personnel needing updates regarding safety;
- Provide awareness of changes in laws; and
- Provide police tactics updates.

During FY 2000 and FY 2001, ECPD officers were able to attend outside training, but due to budget constraints, the training budget was significantly reduced in FY 2002. In addition, any training that took place had to be conducted during shifts. These actions make it imperative for ECPD to assess what trainings have already occurred, and what the Department's current training needs are in order to be as cost-effective as possible.

R4.17 ECPD should begin to use a spreadsheet to maintain a record of training hours as well as types of training attended by personnel within a given year. Performing this task may allow the Department to associate training received, or lack thereof, with performance and justify the costs incurred.

F4.18 ECPD does not conduct periodic surveys of its personnel. According to the police chief, the last survey conducted of personnel was in 1994. Since that time, the Department has not seen a need to conduct a survey of its personnel.

According to NIJ, *Measuring What Matters*, a healthy police organization knows its people. A survey of personnel should seek to determine the following:

- What do personnel get from their jobs?
- What are personnel looking for from their jobs?
- What motivates personnel to work?
- What demoralizes personnel?

In the absence of personnel surveys, the Department may not be in a position to make well-informed decisions about supervision, training, recruitment, and job design.

R4.18 ECPD should begin conducting periodic surveys of its personnel in order to determine perceptions related to the following areas:

- Job satisfaction;
- Staff expectations;
- Staff needs; and
- Staff morale.

Conducting a periodic survey of police personnel should help in driving ECPD's decisions about supervision, training, recruitment, and job design for its personnel.

Equipment and Vehicle Management and Maintenance

F4.19 ECPD does not have an equipment replacement plan for police vehicles, and the condition of its police fleet is in need of improvement (**F4.21**). According to *911 Dispatching (1998), A Best Practices Review Summary*, distributed by the Office of the

Legislative Auditor for the State of Minnesota, making an equipment replacement plan work requires advance planning. The plan depends on a complete inventory of equipment and accurate estimates of the expected life cycles of each piece of equipment. It also requires reliable estimates of future replacement costs and yearly adjustments to accommodate equipment and price changes. Furthermore, money should be set aside incrementally for the express purpose of replacing equipment in poor condition.

ECPD also does not use any formal criteria to determine vehicle replacement. The police mechanic states that vehicles are replaced when they are no longer able to be repaired. He is unaware of any formal vehicle replacement plan. Furthermore, individual vehicle cost and repair is not being tracked by the Police Department (see **F4.22**).

The absence of an equipment and vehicle replacement plan to replace malfunctioning or obsolete equipment in a timely manner could potentially affect public safety. Additionally, the absence of an equipment and vehicle replacement plan could result in not having available funds for purchase when needed, since the life cycle of equipment has not been determined and funds have not been set aside.

R4.19 ECPD should begin to develop an equipment and vehicle replacement plan, especially given the present condition of its police fleet (**R4.21**). This plan should include a complete inventory of equipment and accurate estimates of expected life cycles of each piece of equipment. Additionally, estimates of future replacement costs and yearly adjustments to accommodate equipment and price changes should be made. Planned equipment replacement programs may also facilitate the purchase of equipment in a timely manner. Developing a viable equipment and vehicle replacement plan could assist ECPD in ensuring public safety and ensure funds are available to replace equipment. A formal police vehicle replacement plan would enable ECPD to identify and rank replacement needs consistent with generally accepted replacement criteria, such as repair and maintenance costs, operating costs, age, miles, and condition. ECPD decisions and justification for vehicle replacement could be enhanced through the use of formalized criteria.

F4.20 ECPD has not effectively held personnel accountable for vehicle take home use. According to the police chief, ECPD has never had a written vehicle take-home policy. The basis for assignments is rank or job responsibilities, based on the rationale that employee's might need to report to work at times other than their normal shift. Vehicles are available for selected officers, including the following:

- Police chief,
- Captain,
- Canine officers,

- Internal affairs, and
- Community policing officer.

The Department has not monitored how much, for what purposes, and how far vehicles are driven to accommodate the call back responsibilities of those officers taking vehicles home. Furthermore, ECPD does not track vehicle mileage (see **F4.22**).

As of October 19, 2002, the city of Scottsdale, Arizona was in the process of reviewing its police department's vehicle take-home privileges in response to the City's budget constraints. As a result, the City is considering scaling back on officers' privileges. The city is examining how the vehicles are used, especially how much and how far they are driven. A written policy will be drafted after the review to designate who will get the vehicles and how they are intended to be used. According to a sergeant for the Scottsdale police department, critical response positions will probably retain their take-home vehicles. Furthermore, none of the peers allow officers to take vehicles home.

In the absence of accountability measures, excessive take-home vehicle use may increase operational costs, add unnecessary mileage to vehicles, and decrease the pool of vehicles available to cover operational needs. Also, the absence of accountability measures stipulated in a comprehensive written policy can make policy administration difficult and inconsistent, and result in unnecessary or inappropriate vehicle use. Without regular tracking and reporting of information on vehicle use, management may be limited in its ability to determine the necessity of continuing a vehicle take-home policy.

R4.20 The ECPD police chief should develop and implement accountability measures for its vehicle take home privileges. This should be a priority during the review and revision of the Department's policy and procedure manual (see **R4.11**). Accomplishing this objective will require that a vehicle take home policy be developed and enforced. The policy should clearly define who is to use the vehicles and for what purposes. This should entail specifically defining what situations are considered to be work related and which are considered to be unnecessary or inappropriate. Additionally, the Department should begin to track the frequency of police call back activity and vehicle mileage by those officers taking vehicles home. By eliminating unwarranted take-home vehicle assignments, the City and ECPD may be able to decrease operational costs, decrease the wear and tear on vehicles, and extend their useful life (see **F4.21**). Accountability measures can be used in order to strengthen management's control over vehicles assets. These accountability measures may also establish a benchmark against which the continued vehicle take-home privileges could be evaluated in an effort to determine its necessity.

F4.21 ECPD maintains fleet of vehicles that is, on average, older than the peer fleets. **Table 4-11** provides a comparison of ECPD's fleet data to the peers.

Table 4-11: 2001 – 2002 Police Fleet Comparison

	ECPD	Euclid	Garfield Hts	Warrensville Hts	Peer Average
Marked vehicles	41	32	18	14	21
Unmarked vehicles	12	31	7	11	15
Other vehicles	4[1]	N/A	N/A	N/A	N/A
Total vehicles	57	63	25	25	38
Number of sworn officers per total vehicles	1.1	1.6	2.5	1.6	1.8
Average mileage (odometer)[2]	53,151[3]	64,860	35,973	46,391	49,074
Average fleet age (years)[3]	6	5	2	4	4

Source:
[1]This category includes four motorcycles.
[2]Odometer based on July 31, 2002 readings.
[3]Only includes average mileage for 48 vehicles. Mileage for other vehicles was not available.

As illustrated by **Table 4-11**, ECPD provides the highest number of vehicles for sworn officers of the peers. However, according to the ECPD Police Inventory, 23 vehicles are listed as being in poor condition. Of these 23 vehicles, four are used by auxiliary officers and five are listed as spares. One vehicle is reserved for the mayor and one for the chief. Therefore, of 57 vehicles, 46 are available to sworn staff. This results in a ratio of sworn officers per vehicle of 1.1, which is still the lowest of the peers.

As of July 31, 2002, there was a total of 18 vehicles that were fair, good or new for patrol officer use. Of those, there are two command 4x4 vehicles assigned to the supervisors, leaving 16 cars to be shared between four platoons working 12 hours daily. The Department has only enough vehicles in satisfactory condition to cover the daily patrols. In the event one of those vehicles became damaged or needed maintenance, ECPD would have to use a vehicle in poor condition to replace it. The Department purchased four new patrol vehicles during 2002 to replace cars that were either damaged or in poor condition. However, ECPD still has a fleet of vehicles that is older than the peer average by two years, average mileage is the second highest of the peers, and 40 percent of its vehicles are in poor condition. Based on vehicle data provided by ECPD, nine vehicles exceed 100,000 miles.

Furthermore, replacing fleets according to selected criteria which maximize the application of the manufacturers warranty coverage period of three years/ 36,000 miles could be cost effective. This practice is centered on the goal of reducing exposure to unpredictable and costly non-warranty repairs, such as engine or transmission repairs, thereby effectively limiting maintenance and repairs only to those items not covered by warranty. These primarily consist of lower cost items, such as oil changes, tires, and brake repairs.

In the absence of an equipment and vehicle replacement plan (**F4.19**) and a strategic plan (**F4.10**), ECPD has not been able to be proactive in its vehicle replacement. Therefore, the age and condition of vehicles could be a potential risk to the safety of its officers and the community.

R4.21 ECPD should make the improvement of its police vehicle fleet a priority through the development of a strategic plan (**R4.10**), and the creation of an equipment and vehicle replacement plan (**R4.19**). The communication of this priority to the Mayor and Council is essential when budget decisions are being made.

Financial Implication: Based on the State's cooperative purchasing price of $21,151for a Crown Victoria, ECPD would incur a total of approximately $190,400 by replacing the nine vehicles exceeding 100,000 miles.

F4.22 ECPD does not maintain and track individual vehicle cost and repair data. According to the police mechanic, there is no computer system used for purposes of tracking information and everything must be done manually. In contrast, Garfield Heights' Finance Department maintains all vehicle mileage and expenditures on a spreadsheet. This information is sent to the Finance Department monthly by the Service Department in order to maintain records.

ECPD's practice of producing only annual overall operating and maintenance costs prevents an accurate depiction of maintenance and repair costs for each vehicle within its fleet. Therefore, it is difficult to determine if a vehicle's cost outweighs its usefulness, and if replacement would be more cost effective.

R4.22 The police captain supervising the mechanic working on police vehicles should begin tracking individual operating and maintenance costs for the Department's vehicles. This can be done by requiring that all costs be entered into a spreadsheet. This information could then be used along with other criteria to determine vehicle replacement.

F4.23 ECPD does not track individual mileage for all vehicles. For purposes of this audit, ECPD had to call each car to obtain odometer readings (see **F4.20**). As stated previously, the Service Department does not utilize a computer system to track vehicle operations (see **F4.22**).

The East Cleveland Service Department uses a vendor to maintain its fuel depot computer system. According to the Service Department, mileage is one piece of data that is entered into the computer system by officers in order to refuel vehicles. Although mileage is entered into the system, the Service Department has never produced mileage reports from its fuel depot and is unaware if the system has this capability. According to

the vendor, the City of East Cleveland would need to contact the vendor directly to determine its systems reporting capabilities.

By not tracking mileage data by vehicle, ECPD limits its ability to determine vehicle replacement needs and its ability to enforce the use of vehicles for their intended and stated purpose.

R4.23 ECPD should begin tracking individual mileage for all vehicles. Accomplishing this task will require the police chief to work with the Service Department to determine whether the current fuel depot system has the capability of extracting mileage information that is already being entered into the system. Upon resolution, mileage information should be forwarded to the police chief for review on a regular basis. Monitoring vehicle mileage may allow ECPD, as well as the Service Department, to use this data as a tool for accountability purposes and to accurately identify replacement needs.

Jail Operations and Facilities

F4.24 ECPD's jail consistently operates over recommended capacity, and does not house its prisoners in other cities' jails. The cities of Garfield Heights and Warrensville Heights operate five-day jails, while East Cleveland and Euclid operate full-service facilities. According to the Ohio Administrative Code (OAC) 5120:1-7-02(A), full-service facilities are used primarily to detain adults for more than 120 hours, while five-day jails detain adults for less than 120 hours. Although East Cleveland operates a full-service jail, the average length of stay for inmates is 120 hours (see **Table 4-12**).

Currently, corrections personnel work weekdays, patrol officers cover the jail facility on the weekends (**F4.2**), and auxiliary officers assist at the jail as needed. **Table 4-12** represents the staffing of ECPD's jail facility and that of the peers.

Table 4-12: ECPD and Peer Jail Staffing Levels and Workloads

	ECPD	Euclid	Garfield Hts	Warrensville Hts	Peer Average
Jail administrator	0.0[1]	1.0	1.0	0.2	0.7
Assistant jail administrator	1.0	2.0	N/A[2]	0.1	1.1
Supervisor[3]	N/A	5.0	N/A	N/A	5.0
Corrections officer	4.0	25.6	6.0	1.3	11.0
Secretary[4]	N/A	1.0	N/A	N/A	1.0
Auxiliary staff[5]	N/A	N/A	5.5	N/A	5.5
Total corrections staff	**5.0**	**34.6**	**12.5**	**1.6**	**16.2**
Administrators per corrections officers	1:4.0	1:3.2	1:11.5	1:4.3	1:6.3
Total corrections staff per shift	1.0	7.0	2.0	1.0	3.3
Bureau recommended housing capacity[6]	10.0	43.0	15.0	3.0	20.3
Average daily inmate population[7]	20.6	66.0	9.5	3.2	26.3
Average length of stay (days)[8]	5.0	30.0	2.7	1.2	11.3
Total corrections staff per average daily inmate population	**1:4.1**	**1:1.9**	**1:0.8**	**1:2.0**	**1:1.6**
Total jail facility square feet	957	18,108	17,690	505	12,101
Total square feet per corrections staff	191.4	523.4	1,415.2	315.6	747.0

Source: ECPD interviews and peer interviews.
Note: During the course of this performance audit, ECPD laid off 1.0 FTE corrections officer.
[1] Jail administrator has been out on leave for 2 years. Thirty percent of jail administrator's time was spent overseeing jail operations.
[2] Garfield Heights police department does not have an assistant jail administrator.
[3] ECPD, Garfield Heights and Warrensville Heights does not have supervisor working within the jail.
[4] ECPD, Garfield Heights, and Warrensville Heights police departments do not have secretaries within the jail.
[5] Euclid and Garfield Heights police departments do not have auxiliary staff working in the jail. ECPD could not provide actual FTEs for auxiliary staff.
[6] Recommended housing capacity is based on total available space according to the Ohio Department of Rehabilitation and Correction.
[7] Average daily jail population is based on a daily population for the period of June 1, 2002 through July 31, 2002.
[8] Average length of stay is based on the period of June 1, 2002 through July 31, 2002.

Although the assistant jail administrator has been functioning in the capacity of a jail administrator due to the jail administrator being out on leave for the past two years, ECPD's current administrator to staff ratio is comparable to Euclid and Warrensville Heights. Although **Table 4-12** shows that ECPD's corrections staff per average daily inmate population (1:4.1) is approximately two and a half times higher than the peer

average and higher than the 2001 State average of 3.3 inmates per officer, the number of square feet per corrections staff is significantly less than the peer average. As a result, ECPD may be able to supervise more inmates per corrections officer than the peers because it has significantly less area to patrol. In addition, the design of the jail and subsequent inmate supervision method impact jail staffing levels. For example, ECPD's jail is configured as a rectangle with jail cells on each side, which may allow it to supervise more inmates per corrections officer. ECPD also supervises inmates by using cameras throughout the facility.

ECPD's jail facility houses 51 percent more prisoners than recommended by the Ohio Department of Rehabilitation and Correction, Bureau of Adult Detention (ODRC). The East Cleveland jail also has less space to house its prisoners than the peers, as shown in **Table 4-12**. In 1991, a report by the ODRC found the current facility posed an "imminent threat to the well being of the occupants of this jail." It further recommended that the City of East Cleveland reduce its jail operation to an eight-hour holding facility, and that prisoners be housed in other facilities if held beyond eight hours. The City of East Cleveland has only addressed safety violations since that time and has not upgraded its facility to address ODRC's capacity concerns.

Due to overcrowding at the Cuyahoga County Jail, it only currently accepts felons that have been bound over. Non-violent felony criminals are put on a waiting list, and these prisoners must remain in city jails for no more than seven days until they are bound over. The County is not currently accepting any prisoners charged with city or state misdemeanors. If a prisoner is picked up on a misdemeanor, the County will pay the city $62.50 to maintain that prisoner elsewhere.

The City of Garfield Heights, which operates a five-day jail, used to send its prisoners to the County. Since the County has limited its intake of additional prisoners due to overcrowding, Garfield Heights uses Columbiana County, which charges $53 per day, or Bedford Heights, which charges $75 per day, to house its prisoners. The Director of Corrections at Cuyahoga County stated that Jefferson County also accepts Cuyahoga County prisoners for $54 a day, and both Columbiana and Jefferson County Jails will pick up prisoners.

Table 4-13 shows ECPD's and the peers' bed day costs.

Table 4-13: ECPD and Peer Bed Day Costs

	ECPD	Euclid	Garfield Hts	Warrensville Hts	Peer Average
2002 Bed Day Cost	$65.00	$100.00	$85.00	$60.00	$81.67
Average Daily Inmate Population[1]	20.6	66.0	9.5	3.2	26.3
Average Daily Inmate Costs	$1,339	$6,600	$808	$192	$2,533

Source: ECPD interviews and peer interviews
[1]Average daily jail population is based on a daily population for the period of June 1, 2002 through July 31, 2002.

Table 4-13 illustrates that East Cleveland has the second lowest bed day cost as compared to the peers. However, the bed day cost to send prisoners to Columbiana and Jefferson County Jails is about 17 percent less than East Cleveland's.

If East Cleveland were to operate at its recommended capacity, it would incur an estimated daily inmate cost of $650, or $237,000 a year, compared to $1,339 a day, or $488,000 per year. Based on the State benchmark of 3.3 inmates per corrections officer, ECPD could operate the jail with two fewer corrections officers by only accepting inmates at ODRC's recommended capacity of 10 inmates. However, ECPD would need to operate the jail as either an eight-hour holding facility or increase the hours per shift to 12 and operate with two shifts, to ensure appropriate shift coverage since it would be functioning with only two corrections officers. Furthermore, this would allow patrol officers to perform other important police functions, rather than supervising inmates at the jail.

By continually operating at above recommended capacity and not sending its prisoners elsewhere, ECPD is incurring unnecessary staffing and bed day costs. As stated by ODRC, the capacity issues at East Cleveland's jail pose an "imminent threat to the well being of prisoners."

R4.24 The City of East Cleveland should begin to send prisoners to other jails, such as Columbiana or Jefferson Counties, to alleviate capacity issues and achieve the ODRC recommended capacity. If East Cleveland used other facilities, functioned within capacity, and either operated as an eight-hour holding facility or implemented two 12-hour shifts, it could reduce its jail staffing levels by two corrections officers. By operating a jail facility within the recommended capacity, the City could avoid risking the well-being of its inmates due to overcrowding and reduce its costs.

Financial Implication: By operating within capacity (average daily population of 10 inmates), and sending additional inmates to Jefferson or Columbiana County jails, the City of East Cleveland could realize annual cost savings of $43,000. Also, if the City either operated an eight-hour jail or implemented two 12-hour shifts, it could reduce two

corrections officers, resulting in an estimated annual cost savings of $70,000. Therefore, the total financial implication of this recommendation is an annual cost savings of approximately $113,000.

F4.25   Currently, the assistant jail administrator is not performing all job responsibilities, which could be attributed to also functioning as the jail administrator for the past two years (see **F4.24**). The job description requires that a variety of reports, records, data, and statistical records be prepared. According to the assistant jail administrator, there are no reports produced of any type from the Department because there have been no requests made to do so.

According to the National Institute of Corrections (NIC), *Preventing Jail Crowding: a Practical Guide*, jail administrator should be able to answer some basic questions:

- Who is in the jail?
- Why has the jail population been increasing?
- Why is the jail crowed?

NIC states that the key to preventing crowding, and to managing the jail population, is to continuously collect, monitor, and analyze admissions and length-of-stay information, then share the results with other justice officials and officials in leadership positions in general government. Collectively, officials control policies and practices that determine jail admissions and length of stay, and it is the responsibility of the jail administrator to follow these policies and practices.

NIC suggests that monthly reports can be compared to show changes in jail composition. Jail population analysis can be used to begin modeling the results of hypothetical or actual changes in admissions or lengths of stay. Hypothetical changes may be labeled "defensive" as in the case of a crowded jail that seeks to find ways to reduce the size of the inmate population. Changes may also be labeled "proactive." For example, officials may seek to make more effective use of jail bed space by deliberately changing the composition of the jail population to keep some people longer and move lesser offenders to other correctional options.

In the absence of key statistics concerning composition of inmate population, ECPD may be limiting its ability to address is capacity issues (**F4.24**). The public officials and the general public may not support efforts to expand jail bed space until they are convinced that the current jail is being run as effectively as possible within its available resources. Functioning within capacity limits by sending inmates to other jails and reducing jail operations (see **R4.24**) could allow the assistant jail administrator to devote more time to consistently monitoring and assessing jail operations.

R4.25 The assistant jail administrator should begin to perform all job responsibilities as outlined in the job description. This should include continuously collecting, monitoring, and analyzing admissions and length-of-stay information and producing monthly reports that can be shared with officials.

When officials are presented with clear and objective empirical evidence, they may be more inclined to modify their policies and practices. Jail administrators may be able to exert a great deal of influence on the decision-making of these officials by collecting and monitoring critical data to fully understand jail operations. This would allow jail administrators to completely answer questions about how the jail population is changing, and clearly demonstrate how changes in admission rates or length of stay can improve the administration of justice.

F4.26 ECPD's jail facility is currently receiving food service without an up to date contract. According to Huron Hospital, which currently provides meals to the jail facility, its contract with the City expired in 1999. Additionally, the City has not made payments to Huron Hospital in two years for services rendered. At the time of this audit, Huron Hospital and the City of East Cleveland were negotiating an arrangement for payment of these monies.

R4.26 In order to discontinue the City's practice of operating without a meal contract, the finance director should begin the process of accepting competitive bids for meal service at the City's jail. Doing so may prevent the City from violating its own policy while also preventing possible legal challenges and an underestimated budget for the following year.

Dispatch Operations

F4.27 ECPD is currently operating without centralized dispatch services for fire, EMS and police. **Chart 4-1** shows the dispatch process for fire, medical, and police calls.

Chart 4-1: East Cleveland Dispatch Process

```
┌──────────────┐   ┌──────────────┐   ┌──────────────┐   ┌──────────────┐
│ Caller dials │   │ Call rings to│   │   Address    │   │  Dispatcher  │
│      for     │──▶│ communication│──▶│ information  │──▶│ answers the  │
│  assistance  │   │center in Police│ │appears on caller│ │    call    │
│              │   │  Department  │   │  ID monitor  │   │              │
└──────────────┘   └──────────────┘   └──────────────┘   └──────────────┘
```

Dispatcher obtains information

Dispatcher enters information into the CAD system and determines type of call

Police classify the type of call as priority I, II or III ◀—If Police— Transfer call —If Fire/EMS—▶ Firefighters available? —Yes—▶ Firefighters answer the call

No

Call is transferred to police dispatch

Units are dispatched ◀— Dispatchers determines available vehicles

Units arrive on scene and document time

Report is completed with times and emergency

Information entered into the system

Information is transferred to an excel file and archived ◀— 911 dispatch sheet data is copied into a journal ◀- - Occurs After Emergency response - - - - Information Is recorded on 911 dispatch sheet

Firefigher obtains information

Level of dispatch is determined

Call is placed to the appropriate station

Information on emergency and arrival times record on run sheet ◀— Response occurs ◀— Hang up after dispatch is made

Source: ECEMS, ECPD, and ECF/EMS

Chart 4-1 illustrates that East Cleveland's dispatch process is fragmented across ECPD and the Fire/EMS Department (ECF/EMS). The separation of dispatch functions between ECPD and ECF/EMS has resulted in duplications of effort and requires firefighters to dispatch fire and EMS calls. In addition, current dispatch operations exhibit the following inefficiencies as compared to industry and National Fire Prevention Association (NFPA) standards:

- Dispatchers for fire and EMS emergencies must hang up on the caller after all information is taken due to lack of additional phone lines.
- Dispatchers are not able to provide medical instructions before an EMS unit arrives on scene (see **F4.29**).
- Dispatcher staffing levels at ECPD are not appropriate for the high emergency call volume (see **F4.28**).

The Wisconsin State Auditor conducts periodic reviews of local government operations, commonly referred to as "best practices" reviews, to identify successful approaches to delivering public services. According to the Wisconsin reviews, receiving emergency calls in one central location and subsequently dispatching these calls directly to emergency service providers is the most effective process. Centralized dispatch allows agencies to reduce the risk of losing callers, minimize the time needed to respond to emergencies, and maximize coordination of multiple providers. Euclid and Garfield Heights have centralized dispatch operations.

R4.27 The police chief should work with the fire chief and safety director to centralize dispatching services. All dispatching functions should be handled in the Police Department, which will eliminate the need for firefighters to dispatch fire and EMS calls. The consolidation would require the following:

- **CAD system upgrade**- The CAD system should be upgraded to allow both police and fire emergencies to be maintained in the system. Furthermore, the central server should be expanded so it can handle the increased number of calls routed through the CAD (see **R4.37**).
- **Staffing**- Staffing levels should be increased to allow for two to three dispatch personnel at all times (see **R4.28**).
- **Training**- All dispatchers should become certified in emergency medical dispatch (see **R4.29**).
- **Policies**- Dispatcher policies should be developed to explain the procedures to follow in answering calls and to provide standard operating procedures for the Department (see **R4.34**).

By centralizing dispatch operations, the City would ensure a consistent approach to performing dispatch functions and eliminate potential duplication of similar duties.

Centralization would help to ensure dispatch is operated cost-effectively while maintaining a high-level of service. Centralizing dispatch operations may also improve call to dispatch and call to response times (see **F4.15**), and reduce expenses related to maintaining dispatch equipment in multiple facilities.

F4.28 ECPD does not employ a sufficient number of dispatch personnel to allow for an effective consolidation of police, fire, and EMS dispatch. The City is maintaining a Dispatch Unit with two dispatchers on some shifts, and sometimes with only one dispatcher per shift. Additionally, patrolmen also engage in dispatch responsibilities when the unit is short of staff. **Table 4-14** represents a comparison of staffing levels as of August 2002 for ECPD and the peers. ECPD dispatchers work 12 hour shifts while the peers work 8 hour shifts.

Table 4-14: Dispatch Staffing Levels Comparison

	ECPD	Euclid	Garfield	Warrensville	Peer Average
Total dispatchers	5.0	15.4	9.0	6.0	10.1
Total 911 Police calls	22,344	12,898	6,680	8,832[1]	9,789[1]
Total 911 fire/EMS calls received	6,314	4,180	3,430	N/A	3,805
Total 911 calls	**28,658**	**17,078**	**10,110**	**8,832**	**12,007**
Total non-emergency police calls	14,872	26,805	12,116	N/A	19,461
Total number of calls	**43,530**	**43,883**	**22,226**	**N/A**	**33,054**
Total 911 calls per dispatcher	5,732	1,109	1,123	1,472	1,235
Total calls per dispatcher	8,706	2,850	2,469	N/A	2,660
Total 911 calls per 1,000 citizens	1,053	324	329	585	365
Total number of calls per 1,000 citizens	1,599	832	732	N/A	782

Source: CECOMS
[1]Warrensville Heights does not track total number of police calls. The 8,832 calls also includes fire/EMS calls, so this was excluded from the peer average.

While **Table 4-14** does not include the amount of time firefighters spend responding to and dispatching calls, ECPD responds to a significantly higher number of 911 calls and total calls per dispatcher than the peers. Excluding 911 fire/EMS calls results in 4,469 911 calls and 7,443 total calls per dispatcher at ECPD, which is still significantly higher than the peers. In addition, the number of 911 and total calls per 1,000 residents is significantly higher than the peers. As a result, ECPD does not appear to have an adequate number of dispatch personnel to respond to its high volume of calls, which could impact its ability to dispatch calls in a timely manner (see **F4.15**). However, ECPD is the only peer using a computer aided dispatch system (CAD), which has improved the efficiency of dispatch operations (see **F4.38**). Therefore, ECPD could effectively handle

a higher number of calls per dispatcher than the peers. Furthermore, ECPD has recently upgraded its motor data terminals so police officers can complete reports and run background checks in the field, thereby allowing dispatchers to focus on responding to, answering, and dispatching calls in a more timely manner.

According to the NFPA 1221 Standard for the Installation, Maintenance and Use of Emergency Services Communications System, communication centers that provide emergency medical dispatching (EMD) protocols shall have two dispatchers on duty at all times. Two of the three peers (Euclid and Garfield) have dispatch units staffed with emergency medical dispatchers. ECPD staffs each of its shifts with a single dispatcher. Although ECPD uses a CAD system, this suggests that ECPD may not be responding to all 911 calls in the most effective manner, especially considering its higher workload. In the absence of sufficient dispatchers to handle the volume of calls received, the dispatching of appropriate response units may be delayed.

R4.28 In order to meet the needs of a centralized Dispatch Unit, the police chief should increase dispatcher staffing levels by 4.0 FTEs to ensure that each shift has at least two dispatchers at all times. By increasing staffing, the Dispatch Unit will be able to handle the increased volume of calls received for fire and EMS. This higher staffing level would reduce dispatcher workloads by half. Nonetheless, ECPD would still be handling more 911 and other calls per dispatcher than the peers, which should be possible through the use of the CAD system and motor data terminals. Increasing dispatcher staffing levels would also reduce the need for sworn police officers and firefighters to fill in as dispatchers. In addition, the City should ensure that current and new dispatchers are fully trained in emergency medical dispatching (see **F4.29** and **R4.29**).

Financial Implication: Based on dispatcher salaries in 2002, the class AA dispatcher received a base salary of $11.54 per hour, for a total gross annual salary of $24,000. Assuming an additional 30 percent for benefits, four dispatchers would cost the City approximately $125,000 annually.

F4.29 Not all of the dispatchers are trained in emergency medical dispatching (EMD). In September 2001, the City hired three additional dispatchers to handle the inclusion of EMS services within the City. These dispatchers were provided with emergency medical dispatcher training to allow them to effectively classify and handle all types of emergency medical calls. However, budget cuts that occurred in July 2002 resulted in the elimination of the three trained emergency medical dispatchers.

Currently, firefighters handle the EMS calls. While firefighters do possess basic life support certification, they do not have the certification necessary to allow them to classify or provide appropriate instructions to initiate care before the response is made. According to the National Association of Emergency Dispatch, the emergency medical

dispatcher must be given the appropriate level of training and medical control to ensure that they possess the special knowledge and skills to effectively initiate the appropriate response. Without specially trained and dedicated staff, inadequate equipment and personnel may be dispatched, the appropriate response may not be made, and the quality of emergency care may be reduced.

R4.29 All personnel assigned to dispatch duties should be required to attend emergency medical dispatcher courses. Through dispatch-specific education and practical experience, the EMD is able to more accurately obtain caller information, identify more pertinent information, and make more prudent decisions about EMS responses.

Financial Implication: Training in emergency medical dispatch would cost approximately $295 per person. If the City recalled the three dispatchers already trained in emergency medical dispatch, six dispatchers would need training, which would result in one-time expenditures of about $1,800.

F4.30 ECPD is not maintaining dispatchers' certifications and training within individual personnel files. Dispatchers are to be certified in Law Enforcement Agency Data System (LEADS) and Cuyahoga Regional Information System (CRIS), as well as have training in CAD. A review of the ECPD's police personnel files revealed that some files contained letters of confirmation for training registration, but training certificates were not maintained within individual files. A letter of confirmation for training does not provide evidence of an individual's attendance.

According to the NFPA 1221 Standard for the Installation, Maintenance and Use of Emergency Services Communications System, training records shall be maintained for each employee. In the absence of support of training for dispatchers, the Department may be in the position where they are unable to provide evidence of qualifications of dispatchers. This can potentially leave the Department open to liability in the event that a complaint is filed regarding services received by a dispatcher.

R4.30 ECPD should maintain dispatchers' records of certification and training within individual personnel files. Maintaining documentation of training allows the Department to easily have access to verify dispatchers' qualifications, thereby reducing liability regarding quality of services delivered.

F4.31 ECPD does not track the number of training hours and types of training received by dispatchers each year. The Association of Public Safety Communications Officials (APCO) has established national training standards for public safety dispatchers. The standards were established in collaboration with the National Emergency Number Association (NENA). The result was a 40-hour course of eight modules. APCO

recommends that the course be given within 12 months of hiring a new dispatcher. **Table 4-15** presents APCO training modules, and the national average for dispatchers.

Table 4-15: APCO Training Standards and National Averages for Public Safety Dispatchers

Subject	APCO	National Average
Role and Responsibilities	4	4
Legal Aspects	2	2
Interpersonal Communications	6	2
Technologies	2	2
Telephone Technique	7	7
Call Classification	8	12
Radio Communications	8	12
Stress Management	3	3
Total	**40**	**48**

Source: Dispatch Monthly 1997 Story Archive

According to the ECPD police chief, in order to obtain this information for East Cleveland's dispatchers, personnel files maintained in the Police Department would have to be individually reviewed. By failing to track the number and types of training provided to dispatchers each year, the Department may not be able to measure strides toward meeting the minimum standards as set forth by APCO.

R4.31 ECPD should begin to track the number of training hours and types of training received by dispatchers each year. Tracking this information should allow the Department to be able to determine whether it has met minimum recommended standards while maintaining a qualified and competent staff.

F4.32 Dispatchers of ECPD do not have established time requirements for call pick-up. According to the Dispatch Unit, calls are to be answered as soon as possible. The absence of time requirements may be due to the Police Department not having any established performance goals (see **F4.9**). According to the police chief, the development of performance goals and measures is currently in process. The vendor for ECPD's CAD system has indicated that the system has the ability to measure call pick-up times.

According to *911 Dispatching (1998), A Best Practices Review Summary*, distributed by the Office of Legislative Auditor for the State of Minnesota, a survey of Minnesota's 112 communications centers and 10 state patrol communications centers found that calls to dispatch centers are answered within an average of five seconds of the first audible ring.

The absence of time requirements for answering calls within the Dispatch Unit precludes the Police Department from determining whether it is serving citizens in a timely fashion.

Furthermore, by not having time requirement for answering calls, ECPD reduces its ability to hold dispatchers accountable for the quality of service in response to citizens' calls for assistance.

R4.32 The police chief should establish standards for call pick-up times, such as answering calls within five seconds of the first audible ring. Establishing a performance standard that can be measured should allow management to hold dispatchers accountable for delivering quality services to the community.

F4.33 ECPD does not track call pick-up times for dispatchers' performance. Call pick-up time begins with the initial audible ring to the time that a dispatcher answers the call. According to the police chief and the Dispatch Unit, calls must be answered immediately. The police chief claims the Department does not possess the capability of tracking call pick-up times. Additionally, the police chief has not established any performance measures for the Department. The Department's failure to track call pick-up times precludes it from determining the efficiency of the Unit through the analysis of this data.

According to the vendor who installed the Department's CAD system, the system has the capability of tracking call pick-up times. The vendor offers general instructions on operating the CAD system. Furthermore, many clients designate one individual within their department to receive specific training on report generation. The vendor has stated that training in the database program, Access, will suffice for this purpose.

R4.33 The Dispatch Unit should begin tracking call pick-up times for dispatchers' performance. In order to accomplish this objective, an individual will need to be identified to receive Access training in order to generate and analyze reports produced from the CAD system. The tracking and analysis of data will assist the Unit in determining its efficiency.

F4.34 The Dispatch Unit does not have a policy and procedures manual to guide dispatchers in carrying out their duties. According to the police chief, dispatchers are guided by the LEADS and CRIS manuals. The LEADS system serves as the electronic communication network for Ohio's criminal justice communities. LEADS is used to query information about driving records, vehicle ownership and outstanding warrants. All incidents of police response are entered in the CRIS system.

The Euclid Police Department is in the process of consolidating protocols developed by the Police Department, Fire Department, and Emergency Medical Service into a combined communications center operation manual. ECPD's lack of a policy and procedures manual for its Dispatch Unit can potentially have negative effects on communications with fire and police, and emergency medical services in general. Furthermore, without written policies and procedures, the Dispatch Unit may be increasing the number of citizen complaints regarding the way calls were handled.

Additionally, lacking documented standard procedures makes it difficult for the Unit to respond to these complaints.

According to the State Auditor of Wisconsin, because dispatchers provide the critical link between callers and emergency service providers, providing dispatchers with a complete understanding of their responsibilities and a detailed description of how essential duties are to be performed will help ensure the consistent delivery of high-quality 9-1-1 service. The most effective dispatch units, therefore, provide dispatchers with written policies and procedures that describe the management structure for the answering point; the general conditions of employment; and the specific techniques to be used to process calls, prioritize requests for emergency services, and dispatch emergency service providers.

Furthermore, the State Auditor of Wisconsin states that the most effective written procedures identify strategies by which dispatchers can identify both critical information for initiating a timely and appropriate response and the information needed to prepare emergency service providers for the incident. Management can best guide staff by developing written definitions of the relative importance of various types of requests, such as incidents that are in progress versus those that occurred in the past, and incidents that involve weapons versus threats to property but not persons, as well as written criteria for distinguishing among them.

R4.34 The police and fire chiefs should develop a policy and procedures manual for dispatch that will encompass police, fire and EMS protocols. A policy and procedures manual can be used to document the Dispatch Unit's policies for personnel, communications with fire and police, emergency medical services, dispatch of equipment, and emergency operations. In addition, written policies and procedures may assist in minimizing citizen complaints, as standardized practices limit deviation in dispatchers' responses. Developing and adhering to written policies would make it easier for management to respond to citizen's complaints.

F4.35 The Dispatch Unit does not solicit regular feedback from other emergency units (police, fire, and EMS). Ongoing communication between dispatch and emergency units to determine call system effectiveness and identify improvements does not occur. Although informal communication takes place, there are no scheduled meetings for the purpose of quality improvement and preparation for change.

The Euclid Police Department holds monthly meetings to encourage the free flow of information between personnel most directly affected by the communications center operations. These meetings are held at the direction of the patrol division commander, and are regularly attended by dispatchers from each patrol shift, the communications center supervisor, the department's information systems specialist, and representatives of the fire department administration.

According to *911 Dispatching (1998), A Best Practices Review Summary*, distributed by the Office of Legislative Auditor for the State of Minnesota, public safety communications centers should have face-to-face meetings on a regular basis, monthly or otherwise, involving representatives from the Dispatch Unit and all public safety response agencies. There are instances where planned changes in police activity may affect the Dispatch Unit. For example, if the police department plans to initiate an intensive crack down on drunk drivers, the Dispatch Unit needs to determine whether it should add more personnel on shifts to accommodate this activity. Without advanced notification and preparation, the Dispatch Unit could be inundated with radio traffic and caught short staffed.

In the absence of ongoing communication between personnel most directly and frequently affected by the Dispatch Unit's operations, it may be difficult for the Dispatch Unit to determine whether it is meeting the needs of the emergency units that it serves.

R4.35 The Dispatch Unit should begin to solicit regular feedback from other emergency units for the purposes of ongoing interagency communication, discussion of common issues, and sharing of pertinent information. This feedback should occur in the form of regular meetings that include representatives from each emergency response unit. Because changes in one unit may affect the other, ongoing interactions between the Dispatch Unit and the emergency response units can assist in preparing each entity for any changes that may arise.

F4.36 ECPD and ECF/EMS do not offer public education regarding the use and purpose of the 911 system and services for all residents. While each department provides public education forums to children, they do not provide education to the elderly or hearing impaired (telecommunication device for the deaf - TDD) users. As a result, many calls still come in on the 911 line that are not emergencies, and emergencies come in on the regular police line that are medical or fire emergencies, indicating that citizens are not fully educated on the use of 911.

According to the State of Minnesota Office of Legislative Auditor, special needs populations such as TDD users and the elderly need to be targeted for education since these groups are sometimes less informed about 911 services. Citizens need to know who to call, when to call, and what services they can expect to receive. The lack of public education pertaining to the 911 system for TDD users and the elderly may increase the number of non-emergency calls received through the 911 system, thereby tying up phone lines for legitimate 911 calls.

R4.36 The police chief and the fire chief should work together to more effectively use its public education forums by targeting TDD users and the elderly to educate them about the 911 system and services. Educating the public about the 911 system can increase the

likelihood that the system will better service those in need and, when necessary, reduce unnecessary calls. Furthermore, the misuse of telephone lines may be reduced, thereby increasing dispatchers' ability to better to serve its citizens.

F4.37   East Cleveland's purchased its Computer Aided Dispatch System (CAD) in 1999 to assist in the dispatching of police emergencies. CAD has increased the efficiency of the dispatch process by allowing information to be kept in a central system. This has assisted in providing reports to oversight agencies such as CRIS. The system also has the ability to generate several types of reports based on the information requested by the user that allows administrators to assess performance and make improvements. None of the peer police departments used in this report possess CAD systems.

C4.1   The purchase of a CAD system displays the City's commitment to improving its response to citizen calls while maximizing officers' time in the field. The following are additional advantages of using a computerized dispatch process:

- Increased accuracy;
- Standardized reports; and
- Increased exchange of information between ECPD and other departments.

F4.38   ECPD does not fully use CAD. In September 2001, when EMS services transferred to the City, a decision was made to consolidate police, fire, and emergency medical services under police dispatch. Since that time, each department has been attempting to identify additional CAD functions needed to operate a consolidated dispatch unit. In its current phase, the system is not used to dispatch fire or medical emergencies. According to the police chief, CAD can only track call-pick up times for 911 calls. **Table 4-16** illustrates the major CAD system functions and whether these functions are fully used by ECPD.

Table 4-16: CAD System Functions

CAD Functions	Features in use at East Cleveland
CAD interfaces directly with the telephone company 911 system.	Yes
The system has the capability of producing numerous reports that can be used to measure both police officers and dispatchers' performance.	No-ECPD does not use the system to develop reports regularly and does not use the system to monitor call pick-up times.
CAD can dispatch police, EMS, or fire units from a common console.	No-ECPD uses this function to dispatch police calls only. The system has not been set up for fire and EMS, since the server has not been increased and unit icons have not been developed.
CAD allows dispatchers to add additional information about incident after dispatch.	Yes
Information from 911 appears automatically on the incident entry screen without specific operator action.	Yes.
The system provides assess to CRIS, LEADS, NCIC through the dispatcher screen.	Yes
The display provides information on police, fire, and EMS units available for dispatch.	No-ECPD is only using this function to view available police units, not fire or EMS.
The system can display a complete sequence of unit activity for a selected shift or time period.	AOS found no documentation of its use to monitor staff.
Status information can be displayed at supervisor terminal position upon request.	Yes
Incident history information can be displayed or printed upon command, based on the search of time range, incident type, agency, police beat, caller location, dispatcher identifier, etc.	Yes-ECPD uses this function to review incidents on an as needed basis. It is unclear if an annual report is printed and reviewed.

Source: Sundance Systems and ECPD

Table 4-16 indicates that ECPD is not fully using all the functions of its CAD system. According NIJ, in *Measuring What Matters*, CAD can be used to detect problems in the field. Comparisons made by using CAD data can be triggers for inquiry. CAD can be used by looking at a mix of calls and comparing them with the mix of outcomes recorded by the officers responding. However, by not centralizing dispatch functions for fire, medical and police emergencies, and not fully using the major features of CAD, ECPD and ECF/EMS cannot detect problems in the field. Furthermore, the effectiveness of the dispatch process cannot be fully determined and monitored.

R4.37 The police chief should work with the fire chief to identify the types of reports, information, and server upgrades needed, so the CAD system can be used for all types of emergencies. Then, the fire chief and the police chief should ensure that CAD is being used to monitor the effectiveness of the dispatch process. This includes doing the following:

- Using the report function to generate reports to track response and call pick-up times.
- Using the display functions to ensure that units are on stand by at established areas.
- Using dispatch functions to dispatch and maintain all information for all emergencies.

The full use of CAD will reduce the amount of repetitive work performed and allow ECPD and ECEMS/ECF/EMS to maintain an accurate record of all run information.

Financial Implication Summary

The following summarizes the estimated annual costs, one-time costs, cost savings, cost avoidance, and revenue enhancements for the recommendations in this section of the report. For the purpose of this table, only recommendations with quantifiable financial impacts are listed.

Summary of Financial Implications

Recommendations	Estimated Annual Costs	Estimated One-Time Costs	Estimated Annual Costs Savings	Estimated Annual Revenue
R4.5 Increase the amount of grant awards.				$153,000
R4.7 Negotiate a reduction in the annual incentive for SWAT participation.			$20,000	
R4.13 Cost to send two participants to OPOTA Crime Prevention Training.		$300		
R4.21 Replace nine vehicles.		$190,400		
R4.24 Operate within capacity by sending excess prisoners to other jails and reduce operations to an eight hour holding facility to reduce 2.0 FTE corrections staff.			$113,000	
R4.28 Hire four additional dispatch FTEs.	$125,000			
R4.29 Provide emergency medical dispatch training to dispatchers.		$1,800		
Total	**$125,000**	**$192,500**	**$133,000**	**$153,000**

Conclusion Statement

ECPD faces numerous challenges. It responds to more calls and crimes per sworn officer than the peers, and the City's crime rate has risen over the past three years. To compensate for staffing layoffs, the Department is using sworn officers to cover dispatch and jail functions, and is using vehicles that are not in satisfactory condition. Despite its challenges, there are many actions ECPD can take to improve its operations and overall effectiveness

The City is significantly smaller than the peers, which may allow ECPD to respond to more calls and crimes per sworn officer than the peers. However, increasing the use of auxiliary staff, hiring 4.0 FTE dispatchers, and operating the jail at recommended capacity would reduce the number of civilian functions performed by sworn officers. This would allow sworn officers to focus on patrol and crime prevention activities, as well as to effectively respond to calls and crimes throughout the City. By maintaining, tracking, and fully analyzing detailed reasons for overtime use, ECPD would be able to determine the adequacy and cost-effectiveness of employing additional sworn officers.

In addition to implementing measures to allow sworn officers to allocate more time to patrol and crime prevention activities, ECPD should invest more resources to crime prevention activities by re-establishing its Crime Prevention Bureau, investigating reasons for the decrease in arrests, and implementing suggestions throughout this report to help ECPD improve its response time. ECPD should closely examine crime clearance rates and implement measures employed by Euclid to clear more crimes, considering that Euclid clears significantly more crimes while maintaining a similar number of crimes per detective as ECPD.

ECPD needs to focus on data collection and analysis, and use that information to make sound decisions regarding staffing, equipment, and department performance. ECPD would greatly benefit by collecting data and information in order to determine its effectiveness in a number of areas, such as by tracking total number of calls and average response times by priority. ECPD should use the data and information gathered to perform strategic planning functions. The Department needs to identify goals and objectives that will improve operations, and develop a strategic plan to formalize and communicate those goals. Furthermore, ECPD should track vehicle mileage and maintenance expenditures to maximize the useful life of police vehicles, and to plan for their replacement as needed. ECPD also should develop an equipment and vehicle replacement plan so the Department can appropriately budget for future needs.

Considering the City's long history of financial difficulties, it should attempt to renegotiate the following provisions in ECPD's collective bargaining agreements: no minimum call-in hours paid for emergencies, no minimum number of hours for court attendance, cease payment to sergeants and above for stand-by hours, and reduce the SWAT team incentive.

While ECPD has effectively sought law enforcement grants from sources other than the U.S. Department of Justice Local Law Enforcement Block Grant, the peers have identified and were granted significant awards to further support operations during 2001 and 2002. Based on peer comparisons, ECPD could increase revenues by about $153,000 annually by aggressively researching and pursuing grant funding.

The City's jail is over ODRC's recommended inmate capacity by 51 percent and ECPD has had to use sworn officers to supervise inmates on the weekends. To address these issues, the City should stay within its capacity limits by sending inmates to other city jails with lower bed day costs, saving approximately $43,000 annually. By either reducing jail operations to an eight-hour holding facility or implementing two 12-hour shifts, ECPD would be able to reduce 2.0 FTE corrections officers, resulting in annual salary and benefit cost savings of about $73,000.

The police chief should work with the fire chief and safety director to centralize the dispatching services to ensure a consistency and eliminate potential duplication of effort. To successfully centralize dispatch operations, the CAD system should be upgraded, dispatch staffing levels should be increased by 4.0 FTEs, appropriate training should be provided, and formal polices and procedures should be developed. Fully using the CAD system would further enhance dispatch operations.

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Fire and Emergency Medical Services

Background

This section summarizes the performance review of the City of East Cleveland's fire and emergency medical service (ECF/EMS) operations. Comparisons are made throughout this report with the peer cities of Euclid, Garfield Heights and Warrensville Heights.

Organizational Chart

The City is in the process of combining the Fire Department and its emergency medical service functions. **Chart 5-1** provides an overview of ECF/EMS's organizational structure and staffing levels as of November 1, 2002. All positions are shown as full-time equivalents (FTEs).

Chart 5-1: Organizational Chart as of November 1, 2002
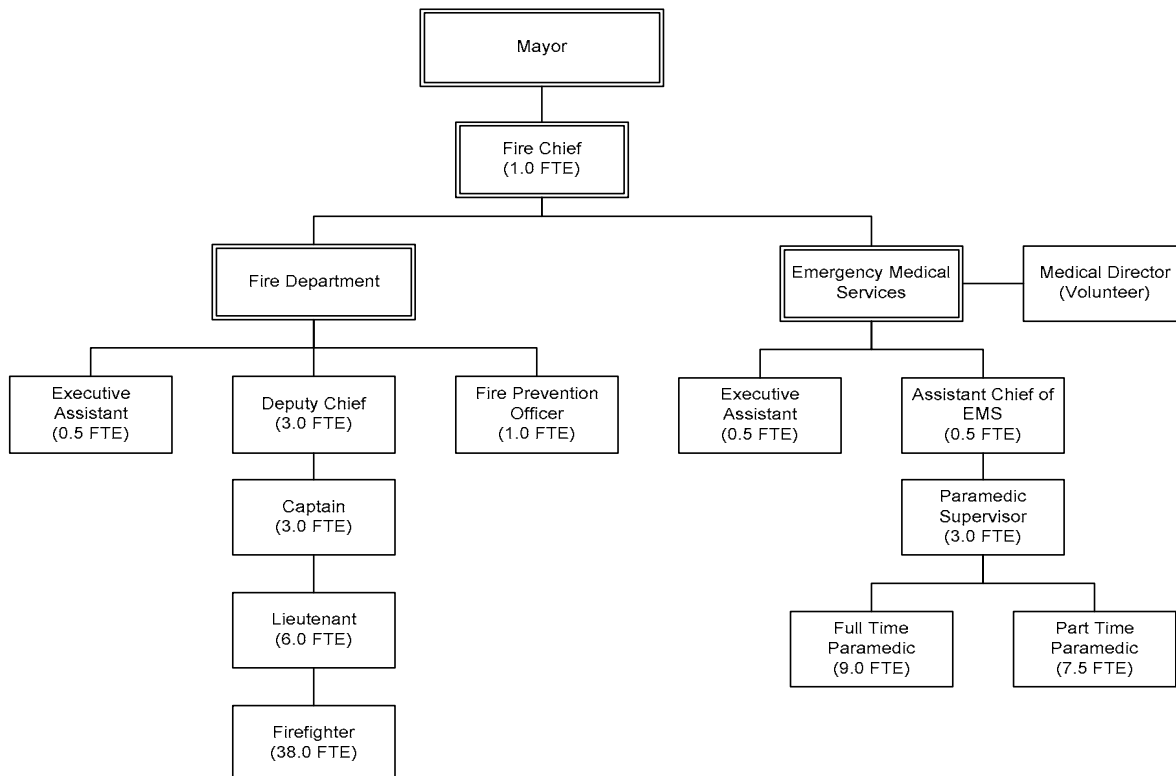
Source: City of East Cleveland Fire and EMS Department

Organizational Function

ECF/EMS is responsible for coordinating and executing fire suppression and prevention activities. It also performs fire incident investigations, building fire safety inspections, is the first responder to medical emergencies and responds to hazardous material incidents.

ECF/EMS began to offer emergency medical services (EMS) when the City took over EMS operations from Huron Hospital in September 2001. In 1999, the federal government established more stringent Medicaid reimbursement regulations concerning double billing for hospital-based EMS providers. The new law impacted the amount of reimbursements Huron Hospital could receive for its EMS services, which resulted in significant financial losses. The loss in revenue led to a decision between Huron hospital and the City to transfer EMS services to the City in 2001. Included in the transfer were all EMS personnel, three ambulance units, a part-time EMS manager and the volunteer medical director.

Fire suppression personnel are represented by the East Cleveland Professional Fire Association, Local No. 500, International Association of Fire Fighters (IAFF). The agreement runs from January 1, 2001 to December 31, 2003. Emergency medical personnel are currently in the process of gaining collective bargaining unit representation from the Ohio Council 8 of the American Federation of State, County and Municipal Employees (AFSCM), AFL-CIO.

Summary of Operations

In 1996, ECF/EMS was assessed an Insurance Services Offices, Inc. (ISO) rating of Class 4 for its fire services. As ISO ratings are typically given every ten years, East Cleveland is due for an assessment in 2006. A community's fire suppression capability is generally measured by the standards set forth in the ISO Fire Suppression Rating Schedule which assigns a Public Protection Classification number (PPC). ISO collects a variety of information on a community's public fire protection to develop and assign a PPC number ranging from Class 1 to Class 10. Class 1 represents the best public protection while Class 10 indicates less than the minimum-recognized protection. As part of its fire protection services, the Fire Department performs the following functions:

- Fire investigation services;
- Public education and fire safety awareness;
- Fire emergency response and suppression;
- Response, suppression and rescue training;
- Fire safety inspection; and
- Building plan reviews.

In November 2002, ECF/EMS was staffed with fifteen personnel per shift to staff two engine companies (seven firefighters), a ladder company (three firefighters), a command vehicle (one officer) and two ambulance squads (four paramedics). The National Fire Protection Association (NFPA) recommends two engine companies and a ladder company for a full structure fire calls, which ECF/EMS is able to meet. For other fires which require fewer staff and equipment, such as dumpster and vehicle fires, ECF/EMS responds per the NFPA recommended deployment policy.

When a multiple alarm fire occurs (a fire requiring more personnel than a single structure fire) or when more than one fire occurs in the City and the current on-duty crew cannot be redeployed, ECF/EMS requests mutual aid from the fire departments in the cities of Cleveland Heights and Cleveland. ECF/EMS also participates in the county Mutual Aid Box Alarm System (MABAS) which specifies mutual aid assistance by multiple alarm and hazard severity. ECF/EMS can request additional assistance from other surrounding counties through the Interdivisional Mutual Aid Box Alarm System (IMABAS).

ECF/EMS also offers the following EMS services:

- First Responder: The minimal level of service is the first responder. First responders are first to arrive at the scene of an emergency, initially taking control and administering medical care before the arrival of a licensed ambulance. Firefighters who are certified at the basic level (EMT-B) act as the first responders in all emergencies. All fire units are equipped with automatic defibrillator capabilities, which are used as needed until the ambulance arrives on the scene to transport the patient.

- Basic Life Support (BLS): EMT-B's have completed at least 81 hours of instruction and have been tested for certain skills including patient assessment, first aid, basic airway management, oxygen management, stabilization, childbirth, CPR and automatic defibrillator capabilities (AED). BLS ambulances need two persons trained at the EMT-B level to transport patients. ECF/EMS has not used this type of staffing since its squads are staffed completely with paramedics or with one (EMT-P) paramedic and one EMT-B.

- Advanced Life Support (ALS): The highest level of EMS is advanced life support. ALS-licensed ambulances can offer more advanced services than BLS units and can administer medication. ALS can provide advanced airway management, cardiac defibrillation, and intravenous administration. To transport, ALS crews must have one paramedic and one EMT. Currently, ECF/EMS staffs all ambulances at the ALS level.

Staffing

During 2002, ECF/EMS experienced numerous staffing changes that impacted operations. In 2001, the Fire Department was staffed with 34 firefighters, 12 officers, 1 full-time fire chief, 1

prevention officer and 1 executive assistant (who performs functions for both Fire and EMS), for a total of 49 personnel. In July 2002, the staffing numbers were increased to the authorized staffing level of 53 with the hiring of four additional firefighters. Later in July, however, the mayor authorized the layoffs of seven full-time firefighters, including the four new hires, which reduced the staffing number to 46.

In October 2002, in anticipation of combining the fire and EMS operations (integration), the seven full-time firefighters were recalled. Subsequently, department staffing as of November 1, 2002, totaled 52.5 FTE's for fire and 20.5 FTEs for EMS. For fire operations, each 24-hour shift is typically staffed by one deputy chief, a captain, two lieutenants, seven other firefighters and four paramedics assigned to the two EMS squads. A minimum of 12 firefighters (including the officers) is necessary to comply with union contract provisions, but to accommodate integration, the union and management have agreed to staff each shift with 15 personnel. In situations where a deputy chief is not available, the highest ranking officer will assume the role of commander in an emergency situation. East Cleveland EMS personnel also work 24 hour shifts, with two squads per shift.

Table 5-1 illustrates the staffing levels for ECF/EMS.

Table 5-1: ECF/EMS FTE Staffing Levels as of November 1, 2002

Position	Number Budgeted FTEs	Number of Actual FTEs
ECF		
Fire Chief	1.0	1.0
Executive Assistant[1]	1.0	1.0
Deputy Chiefs	3.0	3.0
Captains	3.0	3.0
Fire Prevention Officer	1.0	1.0
Lieutenants	6.0	6.0
Firefighters	38.0	38.0
Total	53.0	53.0
EMS		
Assistant EMS Chief	0.5	0.5
Paramedic Supervisors	3.0	3.0
Full-time Paramedics	9.0	9.0[2]
Part-time Paramedics	7.5	7.5
Total	20.0	20.0

Source: East Cleveland Fire and EMS departmental rosters

[1] The executive assistant provides administrative support to both fire and EMS staff.

[2] This staff level includes a 1.0 FTE for a person that has been off for most of 2002, due to an accident.

Additional staffing changes occurred at ECF/EMC during the course of this performance audit (see **F5.1**).

Financial Data

Fire operations have been funded almost exclusively through the General Fund, with the exception of a small amount of grant revenue, which is used for training.

Table 5-2 presents a summary of the actual fire operational expenditures from the General Fund for FY 1999, 2000, and 2001 and the FY 2002 appropriation amounts for each cost category.

Table 5-2: General Fund Expenditures for Department Operations

	Actual FY 1999	Actual FY 2000	Percent change (1999 to 2000)	Actual FY 2001	Percent change (2000 to 2001)	Appropriated FY 2002	Percent change (2001 to 2002)
Salaries and Wages	$1,860,591	$1,954,101	5.0%	$2,037,103	4.2%	$1,768,864	(13.2%)
Overtime	$243,296	$196,511	(19.2%)	$217,588	10.7%	$175,000	(19.6%)
Fringe Benefits	$776,072	$736,316	(5.1%)	$834,638	13.4%	$1,057,559	26.7%
Travel	$300	$1,087	262.3%	$1,151	5.9%	$1,500	30.3%
Communications	$2,573	$2,807	9.1%	$3,012	7.3%	$4,723	56.8%
Professional Services	$137	$0	(100%)	$1,975	--	$1,000	(49.4%)
Supplies	$146,967	$137,539	(6.4%)	$154,032	12.0%	$266,308	72.9%
Training	$11,557	$17,597	52.3%	$28,264	60.6%	$42,874	51.7%
Books, Memberships and Licensures	$1,316	$2,692	104.6%	$3,219	19.6%	$4,900	52.2%
Capital Outlay	0	0	0.0%	0	0.0%	0	0.0%
Total Costs	**$3,042,809**	**$3,048,650**	**0.2%**	**$3,280,982**	**7.6%**	**$3,322,728**	**1.3%**

Source: City of East Cleveland Financial Reports for FYs 1999, 2000, 2001, FY 2002 budget appropriation and City of East Cleveland Fire Department Expenditure Report

Table 5-2 illustrates that between 1999 and 2001, ECF/EMS has spent an average of 88 percent of its budget on salaries and benefits, not including overtime. When overtime costs are factored into salary and benefit expenditures, ECF/EMS personnel costs approximate 95 percent of total expenditures for each of the respective years. The Department budget for 2002 shows that approximately 85 percent of anticipated expenditures are for personnel salaries and benefits. Including budgeted overtime compensation, the percentage rises to approximately 90 percent.

In March 2003, AOS analyzed the actual expenditures for 2002. In 2002, the total expenditures were $3,847,615 and 16 percent higher than the appropriated expenditures. Increases in overtime and salaries contributed to actual expenditures exceeding appropriations. Since lay-offs left the Department without the mandated minimum staffing during part of 2002, overtime expenditures were $302,995, which is 73 percent more than the appropriated amount. Additionally, appropriations for salaries and wages were underestimated since the lay-offs in 2002 were not permanent. In 2002, the actual expenditures for salaries and wages were $2,237,558, which is $468,694 or 26.5 percent more than the appropriated amount.

Additional variances in spending are discussed in the following:

- **Salaries** - Salaries increased in FY 2000 and 2001 because of the five new hires in December 1999 and three in May 2000.

- **Overtime Costs -** Overtime expenditures decreased by 19 percent in 2000 from 1999, but then increased by almost 11 percent in 2001. Overtime expenditures amounted to approximately $217,600 in 2001, which is about 10 percent of salaries paid to firefighters annually. Undertaking EMS services, along with meeting minimum staffing provisions, contributed to the overall increase in overtime in 2001. The decreases in 2000 from 1999 are attributed to the five new hires in December 1999 and an additional three hires in May 2000, decreasing the reliance on overtime to maintain the minimum staffing requirements.

- **Fringe Benefits -** Despite increases in salaries and wages, benefits declined from 1999 to 2000 by 5 percent and increased in 2001 by 13 percent. In 2000, the City changed to a premium-based insurance plan from its administrator-based plan. This resulted in the elimination of third party administrator (TPA) costs in mid-2000. Hospitalization costs also decreased because departments began to pay a single premium for the coverage rather than a percentage of the cost per claim. The 2002 budget allocation reflected a projected increase of 27 percent for benefits and expenditures. A general increase in premiums for all staff in 2002 led to increased fringe benefit expenditures (see the **human resources** for a full assessment on healthcare costs).

- **Training -** The greatest percentage increase in spending occurred in training which had an overall increase of 145 percent from 1999 to 2001. An additional $31,317 was appropriated for training in 2002 as compared with the 1999 actual expenditures. A significant portion of the increase can be attributed to training fire staff in EMS.

- **Communications, Supplies and Membership** - In 2002, expenditures for communication, supplies, and books, licensure, and membership increased by 57 percent, 73 percent and 52 percent, respectively. As with the aforementioned expenditure areas, increase spending for these line items is in support of integrating fire and EMS services.

EMS operations are funded almost exclusively through transport fees, with the exception of some grant revenue from the Ohio Department of Public Safety that is allocated for training and equipment expenditures. EMS services have been offered by the City since September 2001. Expenditures for FY 2001 were $203,000 and covered the period of September 1 through December 31. The proposed budget to cover EMS operations for FY 2002 was $1.2 million, but the actual cost to the City was $934,893.

Performance Measures

The following is a list of performance measures used to conduct the analysis of ECF/EMS operations.

- Assess staffing levels and composition of staff ECF/EMS
- Assess trends in revenues and expenditures (capital and operating) over the last three years, potential grant funding, and EMS billing structure
- Assess collective bargaining and contractual issues within ECF/EMS Department
- Assess the effectiveness of system performance and performance monitoring.
- Assess ECF/EMS equipment and apparatus to determine condition, usage and maintenance
- Assess ECF/EMS dispatching process
- Assess the effectiveness of fire prevention activities

Findings/Commendations/Recommendations

Staffing

F5.1   ECF/EMS workload and staffing levels differ from the peers. The City is one of a few suburban communities to operate separate fire and EMS services. However, in October 2002, an initiative was undertaken to integrate fire and EMS functions. Therefore, much of the analysis in this report is based on combining fire and EMS services as a single department. Analyses that do not combine the entities are noted. **Table 5-3a** illustrates the combined staffing levels as of November 1, 2002, for ECF/EMS as compared to peer cities.

Table 5-3a: ECF/EMS FTE Staffing Comparison

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Fire Chief	1.0	1.0	1.0	1.0	1.0
Administrative Support	1.0	2.0	3.0	1.0	2.0
Training Captain	0.0	1.0	0.0	0.0	0.3
Officers[1]	12.0	17.0	9.0	4.0	10.0
Firefighters	38.0[2]	60.0	33.0	25.0	39.3
Fire Prevention/Investigation	1.0	3.0	2.0	1.0	2.0
Assistant Fire Chief/EMS Coordinator	0.5	1.0	1.0	0.0	0.7
EMS FTEs	19.5	0.0[3]	0.0[3]	0.0[3]	0.0[3]
Total Fire and EMS FTEs	73.0	85.0	49.0	32.0	55.3
Total Population	27,217	52,717	30,734	15,109	32,853
Ratio of Total FTEs Per 1,000 Population	**2.7**	**1.6**	**1.6**	**2.1**	**1.7**

Source: ECF/EMS and the peers

[1] Officers consist of Deputy/Platoon Chiefs, Captains, and Lieutenants

[2] Firefighter numbers reflect the October 2002 recall of seven firefighters, all of which are dually certified and can staff EMS squads.

[3] Firefighters in all the peer cities are dual certified to perform EMS as well as fire duties, while East Cleveland fire staff is not.

Table 5-3a illustrates that total staffing levels for ECF/EMS personnel is 32 percent higher than the peer average and the ratio of staff to 1,000 residents is 60 percent higher than the peer average. However, ECF/EMS has a higher workload than the peers. **Table 5-3b** illustrates 2001 workload of ECF/EMS and the peers.

Table 5-3b: 2001 Workload Measures

Categories	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average	% above and Below the peer Average
City Population (2000)	27,217	52,717	30,734	15,109	32,853	(17.2%)
EMS						
Total Number of Certified EMS FTEs	66.5	81.0	43.0	30.0	51.3	29.6%
Annual Number of Transports	2,499	4,174	2,180	1,195	2,516	(0.6%)
Number of Transports Per Day	6.8	11.4	6.0	3.3	6.9	(1.4%)
Total Number of Calls	5,287	5,032	2,925	N/A[1]	3,979	32.9%
Number of Calls Per Day	14.5	13.8	8.0	N/A[1]	10.9	33.0%
Total Number of Transports Per 1,000 Population	91.8	79.2	70.9	79.1	76.4	20.2%
Total Number of Calls Per 1,000 Population	194.3	95.5	95.2	N/A[1]	95.4	103.7%
Total Number Transports Per EMS FTE	37.5	51.5	50.7	39.8	47.3	(20.7%)
Total Number of Calls Per EMS FTE	79.5	62.1	68.0	N/A[1]	65.1	22.0%
Fire						
Fire Personnel[2]	50.0	77.0	42.0	29.0	49.3	1.4%
Annual Number of Fire Emergency Calls	1,027	1,227	983	N/A[1]	1,105	(7.1%)
Number of Fire Calls Per Day	2.8	3.4	2.7	N/A[1]	3.1	(9.8%)
Annual Number of Structure Fires	83	20	32	N/A[1]	26	219.2%
Number of Housing Units (2000)	13,491	26,123	12,998	6,741	15,287	(11.7%)
Square Miles	3.1	10.7	7.2	4.0	7.3	(57.5%)
Ratio of Housing Units to Square Miles	4,352	2,441	1,805	1,685	1,977	120.1%
Number of Fire Calls Per 1,000 Population	37.8	23.3	32.0	N/A[1]	27.7	36.5%
Number of Fire Calls Per Fire Personnel	20.5	15.9	23.4	N/A[1]	19.7	4.0%
Number of Structure Fires per Fire Personnel	1.7	0.3	0.8	N/A	0.6	183%

Source: ECEMS, the peers, and Census Data
[1] Warrensville Heights was unable to provide data on the number and types of fire and EMS calls.
[2] Fire personnel consists of firefighters and officers only.

Table 5-3b illustrates that ECF/EMS responds to the highest number of EMS calls per EMS FTE, while providing the lowest number of transports per FTE. However, ECF/EMS has to respond to every call, regardless of whether it results in a transport. **Table 5-3b** also indicates that ECF/EMS responds to a slightly higher number of fire calls per FTE than the peer average, but handles a much higher number of structure fires

per FTE. The high ratio of housing units per square mile could increase the potential for structure fires. Nonetheless, performing frequent inspection and prevention activities could help to minimize structure fires (see **R5.16**). Although some of these measures indicate a high workload for ECF/EMS, peer cities are dually certified to complete both fire and EMS functions while the majority of staff at ECF/EMS can only complete either fire or EMS activities. Therefore, the peers have implemented streamlined and consolidated fire and EMS operations that can function with less total staff compared to ECF/EMS, which operates fire and EMS separately.

In addition, the relatively high number of transports and EMS calls per 1,000 population can be attributed to the demographic and economic conditions in East Cleveland, as indicated in **Table 5-3c**.

Table 5-3c: Economic Indicators

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average	Percent Above (Below) Peer Average
City Population (2000)	27,217	52,717	30,734	15,109	32,853	(17.2%)
Elder Population Totals	3,616	10,112	5,724	2,176	6,004	(39.8%)
Percentage of Population	13.3%	19.2%	18.6%	14.4%	17.4%	(27.3%)
Pediatric Population	2,001	3,327	1,940	1,002	2,090	(4.3%)
Percentage of Population	7.3%	6.3%	6.3%	6.6%	6.4%	14.1%
Median income	$20,542	$35,151	$39,278	$37,204	$37,211	(44.8%)
Percent of population unemployed	8.3%	3.1%	3.8%	5.3%	4.1%	102.4%
Percent below poverty level	28.0%	7.1%	6.0%	10.4%	7.8%	258.9%

Source: Census Bureau: 2000 Census data

As shown in **Table 5-3c**, East Cleveland has the highest pediatric population, unemployment rate, and poverty rate of the peers, and the lowest median income. Based on this, East Cleveland's residents may be more likely to postpone medical treatment until the point where emergency care becomes necessary. Economically distressed persons tend to rely more heavily on emergency room visits than those from a more stable economic situation. Subsequently, requests for emergency medical assistance tend to be higher in East Cleveland.

Furthermore, the lack of dual certification results in ECF/EMS having fewer EMS certified staff (paramedics) as compared to peers, who can respond to medical emergencies. **Table 5-3d** compares the Emergency Medical Technician (EMT) certification levels of East Cleveland staff to those of the peer cities.

Table 5-3d: Certification for EMTs

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Number of FTEs with EMT-Paramedic Certification	26.5[1]	53.0	32.0	19.0	34.7
Number of FTEs with EMT-Basic Certification	40.0	18.0	0.0	4.0	7.3
Other[2]	0.0	10.0	11.0	7.0	0.3
Total EMS Certified FTEs	66.5	81.0	43.0	30.0	51.3
% EMT Paramedic Certified	39.8%	65.4%	74.4%	63.3%	67.6%

Source: ECF/EMS and the peers
[1]This category consists of EMS staffing levels and eight firefighters that have dual certification.
[2]Other consists of EMT- intermediate, EMT-advanced, or nursing certification

Table 5-3d illustrates that ECF/EMS has only 39.8 percent of its EMS staff with paramedic certification, compared to the peer average of 67.6 percent. Since the City currently offers critical care services to its residents, paramedic certification will be an important consideration in integrating fire and EMS services. According to Lifeforce Management, Inc., the EMS billing agency for the City, ECF/EMS had 3,313 transports in 2002, of which 1,799, or 54 percent, were for critical emergencies. Yet, the majority of ECF/EMS personnel (60 percent) are only certified at the EMT-B level, which will not allow them to respond to critical care emergencies.

In March 2003, the City began integrating fire and EMS services that resulted in the elimination of all EMS personnel and the hiring of additional firefighters, resulting in an overall reduction of ECF/EMS staffing levels to 60 FTEs. ECF/EMS currently has 11 fire personnel certified in both fire and paramedic operations and also has a deputy chief dually certified, who only engages in EMS activities on an as needed basis. The Department has five fire staff who volunteered to attend paramedic training at the Center for EMS Education and Research (CEMSER). The City paid the $3,000 per student tuition cost with grant funds and attending personnel agreed to adjust their work schedule to accommodate the need for classroom and clinical setting requirements. The Department is hopeful that it will have others volunteer for the next paramedic training course, which is scheduled for September 2003. The advantages for a firefighter to obtain certification in paramedic procedures are career/professional development and possible additional monetary rewards. In having staff volunteer to attend training and allowing them to make adjustments to their work schedule to accommodate classroom and clinical training, ECF/EMS is able to maintain shift staffing at a level that lessens the likelihood for the accrual of overtime for shift coverage.

Upon completion of the CEMSR course work, the Department will have 17 dually trained firefighter paramedics, of which 16 will be available for EMS squad deployment. Optimally, ECF/EMS envisions having 18 firefighter paramedics (6 firefighter

paramedics per platoon), which appears to meet the interim needs of the Department. To have the same level of paramedic certified staff as the peer average in **Table 5-3d** (68 percent), ECF/EMS will need to have 40 firefighters dually trained as paramedics. Therefore, the Department needs an additional 23 staff members certified as paramedics. ECF/EMS can achieve this level through attrition by hiring dually certified staff, thus lessening training costs and also limiting the possibility of incurring overtime for shift coverage while personnel attend paramedic training.

Continued progress in having a sufficient level of dually certified staff will strengthen the pool of personnel to provide EMS coverage, thereby reducing the overtime use for the combined staff. Furthermore, dual certification will allow operations to be streamlined in the future and increase the effectiveness of the EMS services provided to the City.

R5.1 The City should avoid significantly reducing ECF/EMS staffing levels until the integration process is close to completion. Considering the recent actions taken by the City, it should immediately do the following to ensure that service levels are maintained during the integration process (see **F5.2**):

- Identify personnel who have the capability of completing both fire and EMS functions, and provide them with voluntary training. ECF/EMS can accomplish this by continuing to use its contract with CEMSER to provide paramedic and EMT-I training to related personnel.

- Hire candidates who are dually certified as paramedics and firefighters. This reduces the administrative costs and staff time associated with training fire personnel to become certified paramedics in the future.

- Expand the mutual aid agreements to include EMS response (see **R5.3**).

- Gauge the efficiency of service delivery by undertaking internal process reviews to ensure that staffing does not fall below a level that degrades the operational readiness of ECF/EMS.

After ECF/EMS becomes dually certified and fully integrated, it will be able to reduce its overall staffing levels. During this performance audit, ECF/EMS reduced staffing levels to 60 FTEs and minimum manning was reduced to 14 personnel per shift. By staffing a shift with 14 personnel, accounting for leave usage (vacation, sick and special days), and increasing the work cycle to 53 hours per week (see **F5.8** and **R5.8**), ECF/EMS may be able to operate with 60 FTEs. However, the relatively high volume of calls may require ECF/EMS to operate with additional staff. **Table 5-3e** compares the workload measures for November 2002 and March 2003 staffing levels to the peers.

Table 5-3e: 2001 Workload Measures

Categories	East Cleveland November 2002 Staffing	East Cleveland March 2003 Staffing	Euclid	Garfield Heights	Warrensville Heights	Peer Average
EMS						
Total Number of Certified EMS FTEs	66.5	60.0	81.0	43.0	30.0	51.3
Annual Number of Transports	2,499	2,499	4,174	2,180	1,195	2,516
Total Number of Calls	5,287	5,287	5,032	2,925	N/A[1]	3,979
Total Number Transports Per EMS FTE	37.5	41.7	51.5	50.7	39.8	47.3
Total Number of Calls Per EMS FTE	79.5	88.1	62.1	68.0	N/A[1]	65.1
Fire						
Fire Personnel[2]	50.0	60.0	77.0	42.0	29.0	49.3
Annual Number of Fire Emergency Calls	1,027	1,027	1,227	983	N/A[1]	1,105
Annual Number of Structure Fires	83	83	20	32	N/A[1]	26
Number of Fire Calls Per Fire Personnel	20.5	17.2	15.9	23.4	N/A[1]	19.7
Number of Structure Fires per Fire Personnel	1.7	1.4	0.3	0.8	N/A	0.6

Table 5-3e indicates that 60 FTEs would be able to handle the number of transports, fire calls and structure fires within the City. In addition, fire prevention activities may help to reduce the number of structure fires (see **F5.16** and **R5.16**). However, the number of EMS calls per FTE increases to 88.1, which is 35 percent higher than the peer average (65.1). With the November 2002 staffing levels of 66.5 certified EMS FTEs, ECF/EMS was also responding, albeit in a timely manner (see **F5.11**), to the highest number of calls per FTE. Therefore, ECF/EMS may need more than 60 FTEs to adequately respond to EMS and fire calls, and it should reassess staffing levels after fire and EMS services have been fully integrated. Doing so would fully ensure that ECF/EMS has adequate staffing levels to provide high quality services to its residents.

Financial Implication: To provide a liberal estimate of staffing that accounts for the City's high volume of calls and provides sufficient coverage for leave usage, ECF/EMS would realize an annual cost savings of $355,000 in salaries and benefits by reducing seven FTEs to attain staffing levels of 66 total FTEs. Assuming that ECF/EMS provides paramedic training to two staff members to have 18 dually certified staff, it would incur $6,000 in one-time costs. To provider additional refresher training to staff, ECF/EMS must maintain its contract with CEMSER at a potential implementation cost of $10,000, which may have to be renewed for several years until fully integrated.

F5.2   ECF/EMS management did not establish a formal integration plan prior to merging fire and EMS service personnel. A proposal to integrate fire and EMS operations was introduced in October 2002, by the American Federation of State, County, and Municipal Employees (AFSCME) in a letter of understanding (LOU). According to the LOU, all laid off firefighters would be recalled, and all EMS personnel would be under the fire division. The LOU does not require firefighters to receive paramedic certification, but four have been enrolled in paramedic courses. **Chart 5-2** illustrates the effect of AFSCME's proposed integration on staffing levels and the reporting structure:

Chart: 5-2: Proposed Reorganization
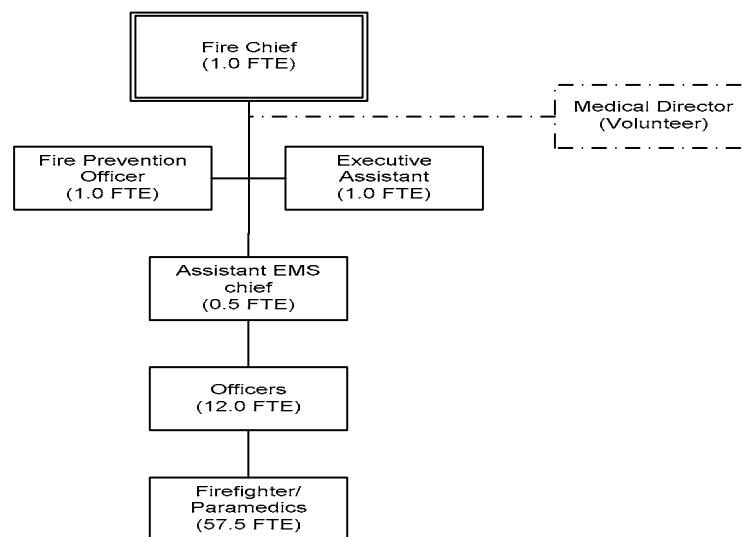
According to Jan Thomas in his article, *One Plus One Makes One*, management must do the following to integrate fire and EMS services effectively:

1.   **Determine feasibility -** Explore potential benefits and possible challenges. While the City did assess its staffing and workload levels, it did not conduct a formal cost analysis which would have enabled it to determine, and prepare for, the particular challenges of integration.

2.   **Form and activate an advisory group -** Form a central executive committee and a number of working groups. The executive committee will most likely consist of the chief and mayor. ECF/EMS did not establish a work group. Rather, City officials worked with the fire chief to establish a LOU with the union without first identifying the process to integrate. By not forming a work group consisting of internal and external stakeholders, the varying perspectives were not included in

the deliberation to integrate and not all of the appropriate approaches were identified and considered.

3. **Identify key issues, requirements, and constraints in a letter of agreement -** The LOU indicates that management did identify key concerns in integrating the departments, including staffing, union representation, training and certification, orientation, and medical protocols. However, without formal meetings and minutes, the extent to which each constraint was assessed is unclear. It is likely that all possible costs and problems were not identified.

4. **Develop goals and objectives that are measurable and achievable -** ECF/EMS did not develop any formal measurable goals and objectives to assess the effectiveness of the process.

5. **Establish criteria for selecting programs and approaches -** Since there were no formal meeting minutes to review, it was not possible to determine whether the City used any criteria to select an integration proposal.

6. **Develop and analyze alternative programs and approaches -** Each alternative is analyzed according to its projected costs, benefits, and political and legal considerations. Any that do not meet established goals and objectives should be eliminated. ECF/EMS did analyze each proposal developed by ECF, EMS, and the union based on its feasibility to ensure that the department could implement the plan.

7. **Formulate an action plan -** The plan will outline a strategy for implementing selected programs and approaches, such as staffing reductions or reorganizations. The plan must include criteria for evaluating the consolidation after it has been implemented. The plan should also outline every detail of the new organization and specify how each of the goals and objectives will be achieved. ECF/EMS has established a LOU that outlines how the integration will be implemented and the steps to be taken, but it does not have a timeline or detailed description of who would be responsible for each stage of implementation. Furthermore, the City has not established formal written criteria for evaluating the integration after it has been implemented.

8. **Implement the plan -** Implement in accordance with approved procedures, budgets and schedules. The City began implementing the plan in October 2002, but has not developed a formal implementation plan.

9.   **Monitor implementation -** Monitor programs to determine whether intended results were obtained. ECF/EMS did not establish a formal plan to monitor the implementation.

To determine the degree to which fire departments use the proposed consolidation steps in this article, AOS interviewed the City of Lakewood to understand the process it used to integrate in 1999. Lakewood established a consolidation plan about two years prior to the integration that included:

- **Identifying needs** - Lakewood identified the following areas to address during the integration:

  o   Public education;
  o   Response time;
  o   Equipment needs;
  o   Recruitment;
  o   Station needs;
  o   Integration of paramedics into the fire department;
  o   Medical priority dispatch; and
  o   EMS billing and orientation.

- **Convening an integration and negotiation team** - Lakewood's team consisted of the fire chief, mayor, health director, council, citizens and a consultant.

- **Developing an implementation plan -** Lakewood's implementation plan included the following:

  o   Steps required in the process, such as training staff, purchasing equipment, and hiring staff;
  o   Target dates for implementing steps in the process;
  o   Task assignments that are necessary to achieve steps; and
  o   Definitions of "success time" to determine how long a particular step or task should take in order to achieve success.

Without a formal integration process, ECF/EMS cannot adequately consolidate its operations in a seamless manner, which can impact its ability to streamline staffing levels, and centralize dispatch functions.

According to the Federal Emergency Management Agency (FEMA), consolidating fire and EMS services may provide the most efficient and cost effective way to offer services. Savings from this method are usually brought about through the elimination of duplicate functions such as management, fire prevention and inspection, training and

communications. For instance, ECF/EMS has 3.0 FTE paramedic supervisors, whereas management personnel at the peers are responsible for both paramedic and fire supervision (see **R5.1**). During the course of this performance audit, ECF/EMS eliminated these 3.0 FTE paramedic supervisor positions.

R5.2   The City, in conjunction with ECF/EMS, should establish a formalized integration plan. Outlining steps to attain a unified fire and EMS service operation can be achieved by first forming an integration committee similar to one that the City of Lakewood created for its own integration efforts. Likewise, the City should ensure that the plan includes completion dates, task assignments, and performance measures. In addition, the City should conduct the activities outlined in *One Plus One Makes One*. Effective consolidation efforts could result in the following:

- Centralized management and reduction of administrative costs (see **R5.1**);
- Centralized dispatch support services, including maintenance and training (see **R5.15**); and
- Reduced insurance premiums for the citizens of East Cleveland because of improvements in the ISO rating.

F5.3   The City's EMS unit does not currently benefit from mutual aid agreements. Mutual aid agreements provide for assistance from surrounding cities in the event of multiple alarm fires, multiple fires, or natural disasters. The agreements generally outline the terms of the aid to be provided and the procedures for incident command. Currently, the City has mutual aid agreements with Cleveland Heights and Cleveland to respond to fire emergencies, but mutual aid agreements did not include coverage for EMS emergencies. However, integration will allow the City to use mutual aid agreements for both functions in the future.

According to the State of Minnesota, Office of Legislative Auditor, mutual aid agreements allow departments to supplement personnel, equipment, and apparatus. This is a cost effective way to benefit from the training and apparatus of other fire departments. Furthermore, to be effective, mutual aid arrangements must be written prior to the occurrence of major emergencies so it is clear who assumes incident command, which department is liable for injuries that may occur, and what staffing and equipment will be available to respond. Without establishing a mutual aid agreement for both fire and EMS emergencies, ECF/EMS is not able to benefit from an increased availability of emergency medical resources.

R5.3   The City should renegotiate current mutual aid agreements so coverage for both fire and medical emergencies is provided. Expanding the agreements to include EMS response will result in more effective service delivery in the event of multiple medical emergency events and can ensure that response time standards are met. Furthermore, by revising

mutual aid agreements and progressing toward integration, the City will be able to eliminate the use of private ambulance services (see **F5.4**). Additionally, the City should have the law director analyze exposure to potential liability by not including EMS response in mutual aid agreements.

F5.4   The City has relied on expensive supplemental EMS services. The City uses Hillcrest Ambulance Service Inc. (HASI) to provide backup ambulance and standby services during high call volume periods. This service costs ECF/EMS $100 per hour whenever a HASI standby unit is activated. ECF/EMS spent $20,195 from September 2001 to October 2002 for ambulance services from HASI. However, private ambulance services are not needed based on the equipment allocation analysis in **F5.14**. The need for additional response services during high call volume periods is a result ECF/EMS's lack of dual certification (see **F5.1**) and mutual aid agreements (see **R5.3**), as well as staff constraints and budgetary.

R5.4   As the City nears completion of integrating fire and EMS functions, it should discontinue the use of HASI and organize EMS operations to provide adequate coverage during high call volume periods. This can be achieved by doing the following:

- **Revising mutual aid agreements with surrounding cities for EMS services** (see **R5.3**) - By establishing mutual aid agreements, the City will have access to additional coverage during high call volume periods without incurring service related costs.

- **Requiring dual certification for fire and EMS personnel** (see **R5.1**) - As the City progresses with the integration process, it should require all new personnel to have dual fire and EMS certifications and encourage existing personnel to acquire additional certification. This will maximize coverage per shift for both fire and EMS duties without requiring additional personnel beyond that necessary to equip the apparatus and equipment.

During the course of this performance audit, ECF/EMC discontinued the use of HASI.

Financial Implication: If the City were to discontinue supplementary ambulance service, revise its mutual aid agreements to encompass EMS services, and require dual certifications, it would save approximately $20,000 annually.

Revenues and Expenditures

F5.5   ECF/EMS expenditures per capita are 8.4 percent higher than the peer average. **Table 5-4** presents a summary of the FY 2001 operational expenditures for ECF/EMS and the peers.

Table 5-4: 2001 General Fund Expenditures

	ECF/EMS Fire	Euclid	Garfield Heights	Warrensville Heights[1]	Peer Average
Salaries and Wages	$2,037,103	$5,177,496	$2,476,354	$1,871,156	$3,826,925[2]
Overtime	$217,588	$587,877	$52,097	N/A[2]	$319,987[2]
Fringe Benefits	$834,638	$1,644,467	$801,393	$615,697	$1,020,519
Travel	$1,151	$2,738	N/A[3]	$0	--
Communications	$3,012	$6,457	N/A[3]	$0	--
Professional Services	$1,975	$143,294	$20,372	$24,918	$62,861
Supplies	$154,032	$129,555	$226,960	$89,537	$148,684
Training	$28,264	$5,334	$8,324	$0	$6,829
Books, Memberships	$3,219	$1,841	$3,458	$0	$2,650
Capital Outlay	$0	$16,111	$169,525	$1,605	$62,414
EMS Expenditures (FY 2002)	$934,893	N/A	N/A	N/A	N/A
Total Expenditures	**$4,215,875**	**$7,715,170**	**$3,758,483**	**$2,602,913[1]**	**$4,692,189**
Total Population	27,217	52,717	30,734	15,109	32,853
Expenditures per Capita	**$155**	**$146**	**$122**	**$172**	**$143**

Source: City of East Cleveland Fire Department 2001 expenditures; 2001 expenditure reports of peer departments

[1] Warrensville Heights has additional funding to support fire operations: $138,175 in fire levy funds to fund salaries ($123,000), training ($1,530) and equipment ($13,645); and fire pension funds to support $77,000 of pension expenditures. In addition, Warrensville Heights uses grant funding for training.

[2] Warrensville Heights did not provide the overtime expenditures separate from the salaries and wages. Therefore, the peer averages for salary and wages and overtime did not include Warrensville Heights.

[3] Travel and Communications costs for the fire department were included in the police department budgets at Garfield Heights.

As illustrated in **Table 5-4**, ECF/EMS expenditures per capita are higher than two of the peers, indicating a potential to streamline operations and provide more efficient services in the future (see **R5.1** and **R5.2**). In addition, ECF/EMS' overtime expenditures comprise 11 percent of its salary and wage expenditures, while overtime made up only 8 percent of peer average salary expenditures from the General Fund.

Information provided by ECF/EMS indicates that the Department, in total, accumulated approximately 14,800 hours of overtime in 2001. Furthermore, documentation obtained from the Department shows that approximately 24 percent of the overtime hours was attributable to manpower shortages. Therefore, approximately 3,552 hours of overtime were incurred because ECF/EMS was unable to sufficiently cover operations without having to rely on employees to make up staffing shortages by working overtime. With its seven recalls, ECF/EMS staff should be able to reduce its overtime accrual in 2003.

If the Department were to incur overtime at the same rate as during 2001 and if causal factors (i.e., leave usage, time off, etc.) remained the same, the city could realize

overtime cost savings of approximately $79,000, annually by keeping department staffing commensurate with minimum staffing requirements per the IAFF Local 500 union agreement.

Finally, overtime usage is also impacted by firefighters working fewer regular hours within a three week cycle than the peers (see **F5.8**). The increased overtime results in ECF/EMS having higher personnel costs, which is supplemented through the General Fund.

R5.5   ECF/EMS should reduce overtime expenditures by maintaining staffing levels commensurate with operational requirements and the minimum manning provision contained within the bargaining unit agreement. By reducing overtime expenditures in this manner, ECF/EMS will free up budgetary funds that could be allocated to other operational expenditures, such as the payment of paramedic training for fire staff (see **R5.1**)

Financial Implication: By reducing overtime use through the retention of employees, ECF/EMS will save approximately $79,000 in overtime costs annually.

F5.6   ECF/EMS provides two types of EMS services including basic life support (BLS) and advanced life support (ALS). Residents are charged for either BLS or ALS and mileage fees if they are transported to a medical facility. Typically, these fees are established by the municipality based on the amount of anticipated reimbursements from Medicare and Medicaid, surrounding cities' fee structures, and experience in the EMS system. However, East Cleveland bases its fee structure primarily on recommendations from its billing agency, and reimbursement estimates from Medicaid and Medicare. **Table 5-5a** compares the fee structure for ECF/EMS and the peers.

Table 5-5a: 2001 EMS Fee Structure and Reimbursement rates

Category	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average	Percent Above (Below) Peer Average
Basic	$375.00	$255.35	$355.00	$355.00	$321.78	16.5%
Advanced	$475.00	$334.65	$375.00	$372.00	$360.55	31.7%
Mileage (rate/mile)	$7.00	$3.00	$2.00	$10.00	$5.00	40.0%

Source: ECEMS and the peers

As shown in **Table 5-5a,** ECF/EMS fees are higher than the peer average in every category. However, it does not receive full reimbursement of these fees in all cases. Specifically, ECF/EMS is reimbursed for most of its services by Medicare and Medicaid, but the reimbursement rates from these federal payment programs are lower than the

rates charged by the City. Medicaid is provided to indigent individuals and is reimbursed at a rate of $85 for BSL services and $166 for ALS, which is less than ECF/EMS fees by $290 for BLS and $309 for ALS. Medicare is provided to the elderly and is reimbursed at a rate of $145 for BLS and $429 for ALS services, which is less than ECF/EMS fees by $230 for BLS and $46 for ALS. Furthermore, new Medicaid and Medicare laws require cities to accept the reimbursement levels as payment in full. As a result, the City must cover the additional cost of the service. However, the City also receives payments from self-pays (uninsured) and insurance. While insurance would provide some level of reimbursement, many of the City's residents are below the poverty level and may not have insurance coverage, insurance coverage may be minimal, or they may not have the funds to pay timely for EMS services. Therefore, they often pay the cost of EMS services on a monthly installment basis, which can span over several years. These issues impact the City's collection rate and its ability to forecast future revenues for planning purposes. **Table 5-5b** compares the 2002 collection rates for ECF/EMS and the peers.

Table 5-5b: FY 2002 Collection Rates

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Amount Billed	$1,466,555	$1,100,622 [1]	$532,833	$455,565	$494,199 [3]
Amount Received	$685,835	$815,156 [2]	$272,822	$264,991	$450,990
Collection Rate	47%	N/A [4]	51%	58%	54.5%
2002 Transports Totals	3,313	N/A	2,512	1,678	
Collections per Transport	$207	N/A	$109	$158	$134

Source: ECF/EMS and the peers
[1] Represents Euclid's total billings thru October 2002 only.
[2] Represents Euclid's total collations for all of 2002.
[3] Average dollar amount billed for 2002 excluding Euclid.
[4] Requires total billings and total collections in order to compute comparative percentage rates.

As shown in **Table 5-5b,** East Cleveland's collection rate is approximately 14 percent lower than the peer average. However, ECF/EMS's ratio of collections per transport is 54 percent higher than the peer average. The lower collection rate and higher ratio of collections per transport could both be attributed to the higher fee structure at the City. Nonetheless, the relatively high collections per transport could also be attributed to effective collection procedures. Lifeforce Management Inc. completes the entire billing process for the City and pursues collections on accounts delinquent up to 120 days. The City then has the choice to pursue the account through further collection efforts or to "write off" the expense. Although the peers "write-off" delinquent accounts, the City has established a contract with Javitch, Block, Eisen and Rathborne (JBER) in May 2002, to collect EMS payments on accounts delinquent over 120 days. However, JBER ceased offering this service to the City in December 2002. As a result, accounts delinquent over 120 days are not being actively pursued.

Altering its fee structure to better coincide with the actual costs of services, the City's demographics, and reimbursement rates from Medicare and Medicaid, would improve the City's collection rate and allow ECF/EMC to develop more accurate and reliable revenue forecasts for planning purposes. This may also increase collections because self-pays may be better able to pay fees in full, which would minimize the likelihood of the City paying for EMS services up to the current fee structure. However, changing the fee structure could also have an impact on actual collections received by the City.

R5.6 The City and Life Force Management should collaborate on reviewing the current EMS fee structure and determine if it needs to be altered based on the costs of providing EMS services, and the City's demographic and economic status. However, the City should ensure that a revised fee structure does not have a negative impact on actual collections. If the City and Life Force Management conclude that fee structure changes would potentially result in a decrease in actual collections, the current fee structure should be maintained. In addition, the City should contract with a vendor to actively pursue accounts delinquent over 120 days. Prior to contracting with a specific vendor, the City should implement a competitive bidding process for these services to ensure the most qualified vendor is selected. Furthermore, the City should monitor the vendor's performance by analyzing its collection rate for delinquent accounts.

F5.7 The City has not actively pursued supplemental revenues from all possible grant sources. Consequently, the City uses general fund dollars to fund most of its fire and EMS services. ECF/EMS has pursued funding from the Ohio Department of Public Safety (ODPS) and Community Development Block Grant Funds (CDBG). **Table 5-6** presents the grants received by ECF/EMS and the peers for 2002-2003 from ODPS.

Table 5-6: State Grant Award Amounts 2002-2003

	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
2002					
Patient Care Equipment	$5,127	$7,405	N/A[1]	$3,700	$5,553
Training	$5,195	$10,545	N/A[1]	$7,810	$9,178
Total Grant Award	$10,322	$17,950	N/A[1]	$11,510	$14,730
2003					
Patient Care Equipment	$2,405	N/A[2]	$1,135	$0	$568
Training	$5,945	N/A[2]	$1,725	$6,880	$4,303
Total Grant Award	$8,350	N/A[2]	$2,860	$6,880	$4,870

Source: The Ohio Department of Public Safety
[1] Garfield Heights did not receive state funding for FY 2002
[2] Euclid did not receive state funding for FY 2003

Table 5-6 illustrates that ECF/EMS has obtained grant funding from ODPS to cover patient equipment and training costs. However, due to state budgetary concerns, grant

allocation decreased for FY 2003, and is expected to decline for the foreseeable future. However, additional resources have not been sought to replace these funds.

According to the FEMA and the United States Fire Administration (USFA), EMS and fire services can be funded through various local, state, federal, and private sources. The following list provides examples additional revenue sources:

Local
- *Property Taxes* - According to FEMA/USFA, the most common tax supporting fire and EMS services nationally are property taxes. They are usually levied at a rate per dollar of assessed property value. The advantage of this method is that it can be earmarked as dedicated revenue for fire and EMS operations. Although the City has not established a safety levy, Warrensville Heights has opted to supplement its General Fund revenue with a fire safety levy. The City has a property tax base of approximately $195 million (assessed value) and could establish a safety levy to defray safety service costs in the future. Nonetheless, integrating fire and EMS operations would save the City considerable costs in the future (see **R5.1**). Furthermore, the City's current ECF/EMS expenditures per capita are higher than two of the peers (see **F5.5**).

- *Fee for Service* - FEMA/USFA suggests that fire departments charge for fire inspections, construction plan reviews, and transports. These funds can be used to recoup the cost of offering these services. The City of Benicia, California was reported to charge $35 per fire inspection. However, in order to promote fire safety, Benicia waves the fee if the inspected property is found to be in compliance. If the property is not in compliance, a fee is charged for every reinspection. The fee is set based on the time it takes to complete the inspection by the firefighter. ECF/EMS charges for patient transport (see **F5.6**), but it does not receive revenue for fire inspections or construction plan reviews. In 2001, ECF/EMS completed 610 fire inspections, and 38 plan reviews for which it did not charge a fee.

- *Local Emergency Planning Committee (LEPC)* - LEPC's provide general services to the public, government agencies, and regulated facilities regarding chemical and other harmful substances. Additionally, LEPCs coordinate training and provide funding for emergency response to hazardous material exercises. ECF/EMS does not receive funding from LEPC.

State
- *ODPS* - provides funding for training and patient equipment. The City has proactively sought funding from ODPS for several years. However, as previously

mentioned, the State is experiencing tax revenue shortfalls and is likely to curtail redistribution of tax dollars for this purpose.

Federal
- *Various Federal Sources* - FEMA/USFA suggests that federal resources be used to fund fire and EMS services. Some of these sources include Community Development Block Grant funds, Chemical Emergency Preparedness Training funds, and Chemical Stock Pile Emergency Preparedness program funds. Many of these sources cannot be directly applied to a fire department, but they can be used to fund certain aspects of fire and EMS operations such as hazardous material training and planning programs. ECF/EMS used CDBG funding to purchase a fire truck in FY 2001, but has not sought additional grant funds for EMS services.

Without pursuing all sources of funding, ECF/EMS is limiting its potential to offset expenditures. Additionally, given the City's continuing financial constraints, it would greatly benefit from supplemental funding for its fire and EMS operations.

R5.7 ECF/EMS and City finance officials should actively pursue all possible sources of revenues. The fire chief should work with the City's building commissioner to determine an appropriate charge for the Fire Department performing construction plan reviews and building inspections. ECF/EMS should also monitor the availability of funds from county resources to offset training and preparedness costs.

ECF/EMS should continue to submit applications for state grant funding and remain mindful that future awards may be less than previous awards. Therefore, ECF/EMS needs to inquire about other sources of state grant funding to offset any unanticipated reductions in awards. The fire chief should submit a proposal for CDBG grant dollars to address EMS equipment needs and pursue funding from federal sources such as the Chemical Emergency Preparedness Training fund, and Chemical Stock Pile Emergency Preparedness program fund. Finally, the executive and legislative branches of the City should continually review property tax revenue to determine whether it is adequate to support safety services, and should work to implement the efficiency improvements that would result in cost savings discussed throughout this report.

Financial Implication: If the City charged at least $35 for fire inspections, based on the number of inspections in 2001, it would generate approximately $21,300 in additional revenue.

Contractual Issues

F5.8   East Cleveland fire personnel are represented by Local 500 of the IAFF. **Table 5-7** compares select contractual provisions for ECF/EMS to peer contracts.

Table 5-7: Contractual Issues and Benefits for Firefighters

Description	East Cleveland	Euclid	Garfield Heights	Warrensville Heights
Officers Represented	All officers, excluding chief	All officers, excluding chief	All officers, excluding chief and captain in charge of training.	All officers, excluding chief and captain
Probationary Period	1 year	Cadet firefighter (0 to 6 months); Probationary Firefighter (6 to 12 months); 3rd class firefighter (12-18 months); 2nd Class firefighter (18-24 months) and 1st Class firefighter after 24 months	2 years following the date of hire with no seniority. Newly promoted officers on probation for 1 year	2 years total. First six months: fourth class firefighter; second six months: third class firefighter; second year for second class firefighter
Negotiated salary increases	4 % per year	Exact salaries are presented in the appendix for the contract period. The 2001 contract provided for a 3% increase. There was no salary increase for 2002.	Based on yearly salary survey of fire divisions in the suburban cities with a population of 25,000 or more, whose boundary lines are contiguous to the City of Cleveland. This was a 3.3% increase in 2001.	None stated; average increase in 2001 was between 3% to 4%
Average Hours Per Work Cycle (3 weeks)	144 hours Fire Prevention Officer will work a traditional 40 hour work week.	144 hours Fire Prevention & Training officers will work 40 hour weeks.	153 hours Fire Prevention Officer shall work 8 hour shift-40 hours per week Monday thru Friday.	156 hours
Overtime Policy	More than 144 hours in a three week cycle	If hours exceed those of a regular shift or in excess of 159 hours in a three week cycle	Hours in excess of regularly scheduled hours at employee's election are paid at; 1-1/2 times regular hourly rate or compensatory time computed at 1-1/2 times	More than 156 hours in a three week cycle
Minimum staffing level	12 firefighting staff	Must maintain personnel sufficient to operate needed equipment	None Stated	Management can reduce staff for financial reasons
Maximum number of sick days accrued	Unlimited; accrues at 1 day per month of work completed (288 hours annually); begins after 90 days of service	Unlimited; accrues at 12 hours per month of work completed (144 hours annually); can convert hours in excess of 1,200 hours (so long as a 1,200 hours remains in employee's sick leave bank) to comp time annually	Unlimited; Accrues at 4.6 hours per 80 hours of completed service. (110 hours annually)	Unlimited; accrues at 168 hours per year

Source: Collective bargaining agreements for the City of East Cleveland and peer cities
[1]A tour is defined as one 24 hour shift followed by 48 consecutive hours off

Table 5-7 illustrates that ECF/EMS' union contract terms are more generous than peer contracts in the following areas:

- **Officers represented-** All ECF/EMS officers, except for the fire chief, are a part of the IAFF bargaining unit, while Garfield and Warrensville Heights both have

captains excluded. As fire chiefs have the ability to make decisions that can impact unionized and other personnel, a potential conflict of interest may occur by including the highest ranking deputy officer in the union since the deputy officer can also serve as the fire chief.

- **Probationary period-** ECF/EMS has a one year probationary period for its new hires, while Garfield Heights and Warrensville Heights have two year probationary periods. Longer probationary periods allow management a greater opportunity to assess performance and make better decisions regarding retention and training.

- **Negotiated salary increases-** ECF/EMS firefighters have negotiated 4 percent salary increases for each of the three years of the current collective bargaining agreement. In the peer contracts, pay increases are linked to merit or, as is the case in Garfield Heights, to a survey of fire divisions of similar sized suburban cities contiguous to Cleveland.

- **Length of work day-** ECF/EMS staff work fewer hours than the peers in a three week period. Despite the fact that section 7(k) of the Fair Labor Standards Act (FLSA) states that a department can negotiate work hours up to 212 hours per 28-day cycle, or 53 hours per week, ECF/EMS currently works just 144 hours per 21 day cycle or about 48 hours each week. The peer cities average more regular work time in their cycles. As a result, ECF/EMS accrues overtime sooner than the peers.

- **Overtime Policy-** While the policy for overtime under the firefighters contract indicates that personnel will be paid time and a half for hours worked in excess of 159 hours, the fact that staff cannot work more than 144 hours in a three week period suggests that anything above 144 qualifies for overtime. Each of the peers pay overtime rates for hours worked in excess of the following: Euclid 159, Garfield 153, and Warrensville Heights 156. East Cleveland EMS personnel, before integration, accrued overtime pay after 144 hours which is 7.6 percent lower than the average hourly maximum of 156. By not counting overtime accrual by the three week rotation, the division may be paying higher overtime costs as a result of the length of work day policy.

- **Minimum staffing requirements-** ECF/EMS has established minimum staffing requirements, while peer cities have not. The negotiation of minimum staffing requirements in the labor agreement may potentially reduce the Department's ability to alter staffing levels when necessary.

- **Sick leave-** ECF/EMS staff accumulates more sick days than the peers. ECF/EMS' sick leave accrual of 288 hours annually (12 days) is 104 percent higher than the peer average of 141 hours annually. The increased sick leave accrual amounts can result in increased sick leave and pay-outs, which can lead to increased personnel costs for the Department. In addition, ECF/EMS used an average of approximately 259 sick leave hours (10.7 days) per employee in 2002, which appears to be significant considering that the maximum number of sick days accrued per year, per employee is 288 hours (12 days). Furthermore, ECF/EMS provides sick leave payout to employees that resign, even though State law allows public sector employees to transfer sick leave balances to their new public sector employer.

R5.8 ECF/EMS and the City's law director should make efforts to renegotiate the following provisions during the next collective bargaining talks.

- **Officers Represented** - ECF/EMS should have at least one additional senior member of the Department excluded from the collective bargaining unit. This will help alleviate any potential conflict of interest or impeding of objectivity in cases where the chief, who is the sole person not included in the bargaining unit at this time, is absent from duty.

- **Probationary Period** - The probationary period for new employees should be increased to two years. Extending the time period to assess an employee's performance will provide ECF/EMS management with more opportunity to thoroughly evaluate an employee's performance and suitability for the work environment.

- **Negotiated Pay Increases** - Given the City's financial condition, careful consideration should be given to future salary increases.

- **Length of Work Cycle** - The City should review FLSA related contractual provisions to determine the degree to which these provisions actually affect overtime costs. ECF/EMS work cycles should be lengthened to approximate FLSA allowances and potentially reduce overtime expenditures. Staff scheduling could be revised to incorporate more employees' time in covering shifts at regular pay rather than necessitating mandatory overtime requirements to ensure sufficient shift coverage.

- **Overtime Policy** - As with length of work cycle, the City should negotiate the current overtime policy so it is commensurate with the proposed revision for the length of work cycle policy (see **R5.5**).

- **Minimum Staffing** - By negotiating to allow senior ECF/EMS administrators to staff shifts in accordance with operational standards, the Department will be able to better exercise discretion in effectively manage its personnel assets.

- **Sick Leave -** The significant difference in sick leave accrual for ECF/EMS and the peers suggests that renegotiating related contract language will reduce departmental expenditures. By reducing sick leave accruals, the Department reduces the likelihood of indiscriminate use or abuse of sick leave and can reduce the amount of sick leave payouts. In addition, ECF/EMS should consider ceasing sick leave payouts for employees that resign since sick leave is portable in the public sector.

Financial Implication: ECF/EMS maximum number of sick days accrued is 42 percent higher than Warrensville Heights (168 hours annually or seven days), which accrues the next highest amount sick leave. Based on the amount of overtime costs attributed to sick leave in 2001 ($82,700) and assuming that reducing accrued sick leave to 168 hours annually would result in a 42 percent reduction in overtime attributed to sick leave, ECF/EMC would save approximately $34,700 annually in overtime costs. ECF/EMS would also realize savings in annual sick leave costs by reducing sick leave accrual to 168 hours because actual sick leave usage in 2002 was 259 hours. Based on the lower number of sick leave hours available for use (91 hours), average salary ($15.49 per hour), and number of officers, firefighters and prevention staff (51 employees), ECF/EMS would save approximately $72,000 annually in sick leave costs by reducing the accrual level to 168 hours annually.

Additionally, the length of work day is 6.25 percent shorter than Garfield Heights. Differential pay accounts for about 31 percent of ECF/EMS's total overtime pay. By increasing the regular hours in a work period, the differential paid in a year could be reduced by 6.25 percent, resulting in annual costs savings of approximately $4,200. As a result, the total financial impact of this recommendation is a cost savings of approximately $110,900 annually.

Effectiveness of the Fire/EMS System

F5.9   ECF/EMS does not have a formal strategic planning process nor does the Department routinely conduct internal performance assessments regarding service delivery. This is primarily the result of changes in fire chiefs, and the City's attention being focused on ECF/EMS integration, and budgetary concerns.

According to the Minnesota Office of the Legislative Auditor, all fire departments should conduct strategic planning in conjunction with their community's planning process and write long-range plans, or master plans, for providing their services. The plan should

cover a minimum of three years and describe how the fire department is to meet service demands with available resources. These plans typically include the following:

- A mission statement of defined service goals or programs;
- Strategies and work plans for implementing programs and deploying resources;
- Operating and capital budget plans to support department programs; and
- Performance indicators for quality assurance and to measure the department's performance in meeting outlined goals and objectives.

According to the Minnesota Office of the Legislative Auditor, these plans should include the following three elements, none of which were developed by ECF/EMS:

1. **Develop contingency plans** - Contingency plans should be developed in the event fire departments are unable to provide their usual fire suppression, rescue, or other emergency response activities due to service outages, equipment malfunctions, or natural disasters. The contingency plan should identify alternative resources, including alternative water supplies, and outline ways to implement backup procedures.

2. **Assess risks** - Fire departments should identify the type and magnitude of fire risk throughout the primary response area to determine the needed levels of fire suppression resources, appropriate fire station locations, and response strategies.

3. **Develop a plan to replace equipment and apparatus** - Fire departments should also have a plan to prepare for the eventual replacement of obsolete or worn trucks and equipment, and ensure they have the vehicles and tools needed to respond to incidents. An apparatus replacement plan allows the department to prepare for future capital expenditures. In laying out a replacement plan, the department should analyze community service demands and the apparatus' expected life cycles. Departments should include tools and equipment in the replacement plan.

Without a strategic plan that includes capital, financial, and staffing concerns, ECF/EMS resources may not be fully maximized. Furthermore, without a strategic plan, personnel and certification issues relating to the integration of fire and EMS services may not be addressed in an effective and timely manner.

R5.9 ECF/EMS should place a high priority on completing a long-term strategic plan that links to and supports the City's overall strategic plan (see **council operations**). A successful strategic plan should encompass at least three years and be updated annually to reflect accomplishments and changes in priorities. The plan should include service goals or programs, strategies and realistic time lines for implementation, operating and capital plans, and performance indicators for quality assurance and goal attainment assessments.

The plan should also include contingency planning, risk assessment and a plan for apparatus and equipment replacement. This plan will provide the Department with a future outlook that can drive funding pursuits and resource allocation.

F5.10   ECF/EMS has not established a cost effective means of training its fire staff. **Table 5-4** illustrates that 2001 training expenditures for fire personnel were 314 percent more than the peer average. The average training costs per firefighter at ECF/EMS is $554, which is significantly higher than the peer average cost of $97 per firefighter. In addition, the average hourly cost of training at ECF/EMC is $5.25, compared to $0.61 at Euclid and $3.10 at Garfield Heights. Although providing training to non-certified staff hired during 2001 contributed somewhat to overall higher training costs, the high training costs have primarily resulted from the department not using in-house training for fire services and not aggressively pursuing all sources of training funds obtainable through various levels of government (see **F5.7** and **R5.7**).

In 2001, the City established a $10,000 training contract with the Center for EMS Education and Research (CEMSER) from Saint Vincent Charity Hospital to provide training for emergency medical staff in 2001. The establishment of this contract was made in an effort to ensure that continuous training in medical protocols, equipment, and processes occur. However, ECF/EMS has not established a similar program for firefighters. Peer cities rely on in-house training to train fire personnel. By not establishing an in-house training program, ECF/EMS has incurred high training costs as compared to the peers, which will only increase as additional training will be needed during and after the integration of fire and EMS services. The potential for increased training costs can result in a reduction of available funds for equipment and operational needs.

R5.10   ECF/EMS should continue to make training an emphasis for all staff, especially given the propensity for fire and medical emergencies within East Cleveland. However, it should consider using in-house training to lower its per-hour costs for training. By using in-house expertise and training, ECF/EMS may be able to lower its per-hour cost and offer regular training to all staff, which can lead to increased dual certification of several staff after the integration.

Financial Implication: If ECF/EMS reduced its training costs per hour by $2.15 per hour, similar to Garfield Heights, it would save approximately $11,000 annually.

F5.11   ECF/EMS does not track response time performance on an annual basis. While it has a run review process for medical emergencies, it does not compile response times as part of an annual internal performance assessment. Furthermore, ECF/EMS does not track response time through its dispatch or tone-out process for fire emergencies. During the course of this performance audit, ECF/EMS began to manually track its run times by

adding an arrival time field on its run sheet for fire emergencies. However, since those sheets were not developed until November 2002, AOS was unable to calculate an average response time for FY 2001. The average response time calculated in 1996 for the ISO review was 3.5 minutes, which is under the 5 minute government standard.

To assess ECF/EMS's emergency medical response time performance, a sample of 39 random run reports for 2001 were used. Based on the sample, the calculated response time for ECF/EMS emergency medical services is approximately 4.1 minutes, which is slightly higher than the City's self established 4 minute or less response time standard. As illustrated by the sampling for 2001, emergency medical response time compares favorably to the Department's response time standard.

According to the average EMS response times workload figures reported in *Municipal Benchmarks: Assessing Local Performance and Establishing Community Standards*, smaller cities with shorter travel distances reported that an average response time for medical emergencies is between 3 and 5 minutes. ECF/EMS, with an estimated 4.1 minute response time, is within this standard range. Peer departments track their response times using a variety of methods, including automatic tracking through the dispatch system and manual tracking on every run. Monitoring response times provides the ability to track trends in responses, such as challenges for particular shifts, physical barriers in areas of the city or problems with the dispatching process itself.

R5.11 ECF/EMS should track and compile response times for both fire and EMS runs electronically through the CAD once dispatch has been centralized (see the **police** section). Furthermore, the fire chief should establish a formal written policy that informs department personnel of the performance target for fire and EMS response time. By establishing written goals and tracking whether the goal is met, ECF/EMS can know whether improvements are needed and address shortfalls in achieving departmental performance goals. Furthermore, knowing how the Department is performing is useful in developing budget requests and informing residents about response performance.

Equipment and Apparatus

F5.12 ECF/EMS does not have a vehicle replacement plan for either its fire apparatus or emergency medical vehicles. According to national benchmarking data from Ammon's, *Municipal Benchmarks: Assessing Local Performance and Establishing Community Standards* for a community the size of East Cleveland, a department should provide about 0.116 pumpers per 1,000 people, and 0.023 ladder trucks per 1,000 people. East Cleveland provides approximately 0.111 pumpers per 1,000 people and 0.037 ladder trucks per 1,000 people which is consistent with the national standard. This suggests that the ECF/EMS has an adequate level of fire equipment to respond to fire emergencies. The fire apparatus was recently purchased in 1998, 2000 and 2001. However, as

illustrated in **Table 5-3b**, ECF/EMS has responded to a higher number of fire calls as compared to the peers, which indicates that the vehicles are highly used and could lead to a need for replacement sooner than peer cities. Similarly, **Table 5-8** in **F5.15** illustrates that EMS squads may also require replacement sooner than the peers, as the City responds to a higher number of EMS calls. However, despite its higher usage of vehicles, ECF/EMS has not established a vehicle replacement plan.

According to the State of Minnesota Office of the Legislative Auditor, emergency departments should have a plan to prepare for the eventual replacement of obsolete or worn apparatus to ensure that the department is supported with effective means to respond to incidents. Without an appropriate replacement plan, ECF/EMS may not have a sound means for identifying future needs regarding vehicles and other firefighting apparatus.

R5.12 Although ECF/EMS' equipment is relatively new (ladder truck: 1998 model year; pumper trucks: 1991, 2000 and 2001 model years), it should develop a vehicle replacement plan. The plan should address usage, mileage, community needs and the life-expectancy of existing vehicles (based on manufacturer standards) to prepare for major vehicle upgrades and purchases in the future. This document should be incorporated into the long-range planning document (see **R5.9**).

F5.13 ECF/EMS does not have an equipment replacement plan. While ECF/EMS does have a complete inventory of its equipment and procedures for testing all fire and medical equipment, it does not keep a record of maintenance costs as part of assessing equipment replacement needs. Furthermore, ECF/EMS has not developed a long-range plan for addressing future equipment needs. According to the *State of Minnesota Office of the Legislative Auditor*, it is important to ensure that firefighters have the proper tools available to them to respond effectively to emergency incidents. Without periodic assessments, firefighters may find themselves ill-equipped to respond to emergencies in the safest and most effective manner.

R5.13 ECF/EMS should create an equipment replacement plan as a part of its long-range plan that includes the dates and results for all equipment assessments, including personal turn-out gear, hoses and ladders (see **F5.9**). Furthermore, as part of this on-going document, ECF/EMS should keep track of its maintenance costs for both labor and materials to assess the need for replacement of worn or irreparably damaged gear.

F5.14 ECF/EMS squad levels are not sufficient to respond to the high number of medical emergencies in the City. **Table 5-8** illustrates the number of squads and the ratio of squads to the number of runs and square mileage for East Cleveland as compared to peer cities.

Table 5-8: EMS Squads

Category	East Cleveland	Euclid	Garfield Heights	Warrensville Heights	Peer Average
Number of Squads	2[1]	6	2	3	3.7
Number of EMS Calls	5,287	5,032	2,925	N/A[2]	3,979
Number EMS Calls Per Squad	2,644	839	1,463	N/A[2]	1,151
Square Miles	3.1	10.7	7.2	4.0	7.3
Number of Squads Per Square Miles	0.65	0.56	0.28	0.75	0.53
City Population	27,217	52,717	30,734	15,109	32,853
Ratio of Squads to 1000 Citizens	0.07	0.11	0.07	0.20	0.13

Source: ECEMS and peer cities
[1] The department has a third squad that is not being used so it was not considered in the analysis
[2] Warrensville Heights could not provide information on the number of EMS calls.

Although the City has allocated a similar number of squads per square mile as Euclid and Warrensville Heights, **Table 5-8** illustrates that the City's number of EMS calls per squad is 130 percent higher than the peer average and the ratio of squads to 1,000 citizens is 46 percent lower than the peer average. These statistics suggest that ECF/EMS does not have a sufficient number of EMS vehicles to address medical emergencies as compared to the peers.

R5.14 ECF/EMS should purchase an additional vehicle so one of the current vehicles can be used as backup, which provides the City with adequate coverage while vehicles are being serviced. To purchase the vehicle, the Department should pursue CDBG funding as outlined in **R5.7**. An additional vehicle will allow ECF/EMS to rotate vehicles for maintenance purposes in an effort to prolong the service life.

Financial Implication: According to the fire chief, a new squad vehicle costs approximately $147,000.

Fire Dispatch

F5.15 ECF/EMS staff engages in dispatching fire and EMS emergency calls. As discussed in the **police** section, all 911 phone calls are received by the East Cleveland Police Department (ECPD) dispatch unit. ECPD dispatch transfers all fire and EMS calls to firefighters. During an alarm situation, the dispatching firefighter answers the call, quickly takes down information from the caller, and sounds the alarm according to the appropriate deployment practice. If the call is for EMS, the dispatching firefighter must simultaneously take caller information and call the squad for deployment to the incident. However, if all firefighters have been deployed to an emergency, the call is transferred back to ECPD for dispatch. This dispatch process results in serious flaws in efficiency

through duplication and redundancies, and reduces resources for front-line fire and EMS services.

While firefighters possess basic life support certification, they do not possess the necessary emergency medical dispatch training to provide medical instructions until EMS personnel arrive on scene. According to the National Association of Emergency Dispatch, adequate level of training and medical control should be given to emergency medical dispatchers to allow them to effectively initiate appropriate responses. Without specially trained and dedicated staff, inadequate equipment and personnel may be dispatched, the appropriate response may not be made, and the quality of emergency care may be reduced.

R5.15 ECF/EMS should coordinate with ECPD to establish a centralized dispatch unit (see the **police** section). By working collaboratively, the two departments can determine dispatch staffing levels, develop a method to effectively classify all calls, establish medical instructions to initiate care before an emergency medical service response is made, and develop a method for training dispatchers. After fire dispatch services have been fully integrated into ECPD, firefighters should be utilized in a capacity that furthers fire and EMS service delivery.

Fire Prevention

F5.16 ECF/EMS conducts fire prevention inspections and issues smoke detectors to protect against the loss of life and property. Activities include education, code management, and advice to the service area. ECF/EMS enforces all related state and local fire codes, ensuring that all required properties in the City conform to these codes. It also investigates the cause of all fires and provides additional support upon request. **Table 5-9** compares ECF/EMS' 2001 inspection numbers to the peer departments.

Table 5-9: 2001 Inspections per Staff Member

	ECF/EMS	Euclid	Garfield Heights	Warrensville Heights[1]	Peer Average
Prevention Inspections	610	3,542	561	N/A	2,052
Inspections per FTE [2]	13.0	44.3	12.8	N/A	28.6
Smoke Detectors issued	806	298	2,320	75	898

Source: ECF/EMS and peers

[1] Warrensville Heights could not provide information on the number of inspections.

[2] Calculation based on fire suppression (officers and firefighters) and inspection/prevention staffing levels for 2001.

As shown in **Table 5-9**, ECF/EMS conducts 236 percent fewer inspections and approximately 120 percent fewer inspections per FTE compared to the peer average. Euclid conducts a significantly higher number of inspections per FTE, which can be

attributed to allocating three personnel solely to inspection and prevention compared to one at ECF/EMS. **Table 5-9** also shows that Garfield Heights issued a much higher number of smoke detectors, because it has a long-standing priority to provide every resident with a working smoke detector. Overall, **Table 5-9** suggests that ECF/EMS could place a higher priority on fire prevention, which can reduce the high number of structure fires (See **F5.1**).

According to the State of Minnesota's "*A Best Practice Review,*" one way to improve overall public awareness, of which inspections and smoke detector issuance are a part, is to implement an overall public awareness initiative. The report states that comprehensive fire safety education includes programs for all target populations, both commercial and residential. Working with employees in industry, school administrators, nursing home employees and residents, people with disabilities, and any other targeted group, can assist fire departments to target the appropriate safety and prevention information to these groups.

R5.16 ECF/EMS should engage in more inspection/prevention activities to help residents assess risks. This can be accomplished by ECF/EMS doing the following:

- Reallocate prevention dollars to focus on conducting inspections, assisting residents in assessing safety needs, and identifying abandoned buildings to encourage their resolution, whether by demolition, sale, or other eminent domain activities.

- Prioritize the fire prevention officer's role to include more public outreach in the form of awareness campaigns that include such activities as: issuing smoke detectors, conducting more prevention inspections, and targeting specific populations to provide safety training.

- Provide assistance to citizens to develop escape routes and offer other assistance regarding fire safety planning.

By taking these actions, ECF/EMS will be able to promote fire safety in the City and potentially reduce the number of structure fires.

Financial Implications Summary

The following summarizes the annual cost savings, implementation costs and revenue enhancements for the recommendations in this section of the report. For the purpose of this table, only recommendations with quantifiable financial impacts are listed.

Summary of Financial Implications

Recommendation	Estimated Cost Savings (Annual)	Estimated Implementation Costs (One-Time)	Estimated Revenue Enhancements (Annual)
R5.1 Reduce at least 7 FTEs after integration	$355,000		
R5.1 Provide training for paramedic certification		$16,000	
R5.4 Eliminate the use of HASI	$20,000		
R5.5 Reduce overtime expenditures by maintaining November 2002 staffing level	$79,000		
R5.7 Implement a fire inspection fee			$21,300
R5.8 Reduce sick leave accrual and lengthen the work cycle, resulting in overtime and sick leave savings.	$110,900		
R5.10 Reduce training expenditures through the implementation of in-house training	$11,000		
R5.14 Cost of purchasing a new squad vehicle		$147,000	
Total	**$575,900**	**$163,000**	**$21,300**

Conclusion Statement

The City is faced with the challenges of integrating fire and emergency medical services without interrupting service delivery or diminishing the quality of service to the citizens of East Cleveland. To ensure a seamless transition, the City administration, Fire and EMS management, and representatives of the bargaining units need to establish an integration committee. This committee should engage in such functions as assessing staffing and training needs; addressing labor contract issues to ensure cooperation and buy-in as well as avoid any union contract violations; and addressing equipment needs in light of medical protocols and increased capacity among the staff.

As the Department progresses with its initiative of attaining 100 percent dual certification among firefighter/paramedics, it needs to ensure that the interim staffing levels support the workload of the EMS and fire suppression functions. Based on the number of calls and transports, demographics of the City, and the response times for fire and EMS calls, the current (November 2002) staffing levels appear sufficient. As City integrates the departments more fully and more of the officers are dually certified, ECF/EMS should be able to reduce overall staffing levels, thereby significantly reducing personnel expenditures. When fire and EMS operations are fully integrated, ECF/EMS should be able to reduce at least 7.0 FTEs, saving approximately $355,000 annually in salaries and benefits.

As it integrates, ECF/EMS should engage in an overall strategic planning process to address issues such as staffing, certification, training, equipment needs and budget planning. As part of its planning process, ECF/EMS should develop performance measures to assess the results of internal performance and goal attainment. Response times should be the primary performance indicator. ECF/EMS should track their response times daily to assess short term issues and perform an annual assessment to identify trends either in delayed response or other operational shortcomings.

The City should consolidate fire and EMS dispatching with the Police Department's dispatch center to create one centralized dispatch unit. All dispatching functions should be handled in the Police Department. This will allow ECF/EMS to reallocate fire staff to duties that are commensurate with job descriptions and wages.

ECF/EMS should address several contractual issues during its next contract negotiations, including officer representation in the bargaining unit; probationary period; automatic salary increases; length of work-cycle; overtime; minimum staffing; and sick leave. Renegotiating sick leave and lengthening the work cycle would result in annual savings of about $110,900. In addition, ECF/EMS should address its funding issues by increasing its grant seeking efforts and implementing fees for fire inspections. Implementing fees for fire inspections would provide approximately $21,300 in additional revenue annually.

Finally, ECF/EMS should undertake more preventative inspections and outreach activities. Fire prevention staff should attempt to educate citizens about fire safety and make safety equipment, such as smoke detectors, available to residents.

Parks and Recreation Department

Background

This section of the performance audit focuses on the City of East Cleveland's Parks and Recreation Department (ECPRD). Comparisons are made in this section to the parks and recreation departments in the cities of Garfield Heights, Trotwood, and Maple Heights, as well as best practices for the management of Parks and Recreation operations as defined by the American Public Works Association (APWA) and the International City Managers Association (ICMA). Furthermore, a survey of 76 randomly selected registered voters residing within the city of East Cleveland (the City) was conducted to gather citizen views on park operations.

Organization Function

ECPRD is primarily dedicated to providing a variety of recreation, education, health, and community service programs to the citizens of East Cleveland. As a result of staffing reductions effective August 8, 2002, ECPRD's role has been reduced to primarily coordinating and administering the following activities:

- Youth Fashion Modeling;
- Rites of Passage (civic awareness class);
- Arts and Crafts;
- Conferences;
- Youth Summer Day Camp;
- Youth Martial Arts;
- Youth Boxing;
- Youth Wrestling;
- Youth Tennis Lessons;
- Youth Basketball;
- Youth Baseball;
- Youth Flag Football;
- Youth Archery;
- Youth Soccer;
- Youth Fishing;
- Youth Dancing/Cheerleading;
- Reading Club;
- Youth and Adult Open Gym;
- Adult Weight Training and Fitness Support;

- Adult and Senior Aerobics/Power Walking; and
- Bike Rodeos (bicycle safety class).

Organizational Chart and Staffing

Chart 3-1 illustrates the organization of ECPRD's paid staff.

Chart 3-1 Parks and Recreation Department Organization and Staffing

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                        ┌─────────────────────┐
                        │     Director of     │
                        │ Parks and Recreation│
                        │      (1 FTE)        │
                        └─────────────────────┘
        ┌───────────────────┬──────────┴──────────┬───────────────────┐
┌───────────────┐  ┌───────────────────┐  ┌───────────────┐
│  After School │  │ Health and Fitness│  │   Secretary   │
│  Coordinator  │  │    Coordinator    │  │    (1 FTE)    │
│   (1 FTE)     │  │     (1 FTE)       │  │               │
└───────────────┘  └───────────────────┘  └───────────────┘
                   ┌───────────────────┐  ┌───────────────┐  ┌─────────────────────┐
                   │ Part-time Recreation│ │   Custodian   │  │ Seasonal Summer Day │
                   │    Leaders (3)    │  │    (1 FTE)    │  │ Camp Counselors (8) │
                   │    (1.7 FTEs)     │  │               │  │     (1.5 FTEs)      │
                   └───────────────────┘  └───────────────┘  └─────────────────────┘
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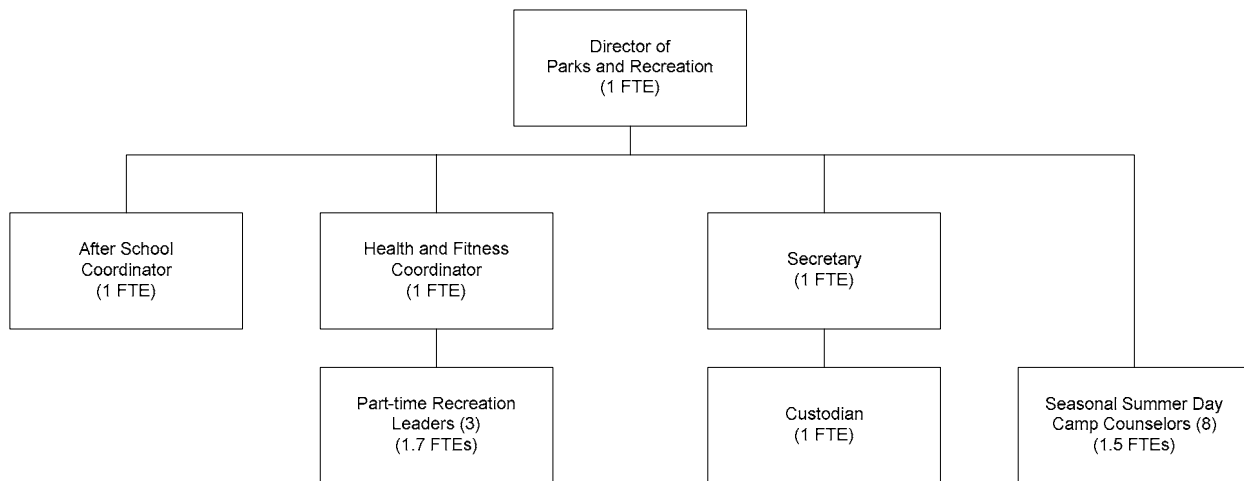
Source: ECPRD
Note: This organizational chart reflects only paid positions either employed as of 3/12/2003, or expected to be employed on a seasonal basis. At the time of this report, approximately 10 additional volunteer sports coordinators report to the director.

Summary of Operations

The Martin Luther King (MLK) Civic Center is a facility that houses several indoor activities and facilities such as a gymnasium, a weight room, a public meeting room, a computer room, department administrative offices, as well as outdoor facilities including a ¼ mile running track, and grounds used for soccer and football. The indoor facilities are used for the Department's administered activities including basketball, wrestling, martial arts, aerobics, and after school activities. From October to June, the MLK Civic Center is open from 8:30 am to 10:00 pm on Monday through Friday. From June to September, MLK Civic Center is open from 7:30 am to 6:00 pm on Monday through Friday. Weekend hours are as scheduled year round.

The director of parks and recreation (the director) reports directly to the mayor. The director supervises the health and fitness coordinator, the secretary, and the after school coordinator. The director supervises and plans recreational programs and activities that take place at the municipal

parks and the MLK Civic Center. In addition, the director supervises and plans the maintenance function of parks and facilities.

The secretary performs a variety of clerical and administrative duties such as maintaining ECPRD financial records, communicating with outside parties, and collecting program and rental fees. In addition, the position description states that the secretary should posses a willingness to work with subordinates and make sound and reasonable decisions in the absence of the director.

The health and fitness coordinator directs, supervises, and plans fitness zone activities and municipal parks and recreation programs and activities. The health and fitness coordinator is responsible for the aerobics program, the vegetarian cooking program, the martial arts program, the power walking program, and the weight training program. The health and fitness coordinator supervises part-time recreation leaders who lead participants in various activities and programs.

The after school coordinator directs, supervises, and plans the after school programs and activities. The after school coordinator is responsible for all after school youth activities including wrestling, boxing, arts and crafts, basketball, computer tutoring, study table, open gym, and the after school transportation program. Previously, this position was filled by a full-time volunteer; however, during this performance audit the after school coordinator became a full-time paid position.

The custodian performs a variety of land and building maintenance duties as well as other responsibilities assisting with the equipment needs of the Department's program activities. The custodian is responsible for interior and exterior building operations and maintenance, painting, and minor repairs.

Summary of Facilities

Table 6-1 compares ECPRD's facilities to those of the peer parks and recreation departments as well as national benchmarks established by *Municipal Benchmarks: Assessing Local Performance and Establishing Community Standards*, by David Ammons.

Table 6-1: Park Facility Per Capita Comparison
(per 10,000 citizens)

	East Cleveland	Garfield Heights [1]	Maple Heights	Trotwood	National Benchmarks	Peer Average
Population	27,217	30,734	26,156	27,420	N/A	28,103
Total Acres per 10,000 citizens	41.3	6.54	50.1	62.7	62.5 to 105	38.3
Baseball Diamonds	1.47	0.98	2.68	0	2	1.19
Softball Diamonds	1.10	0.65	1.53	0	2	0.71
Basketball Courts	3.67	0	1.91	2.55	2	1.42
Soccer Fields [2]	0.37	0	1.53	2.92	1	1.42
Tennis Courts	5.14	1.30	2.29	1.82	5	1.78
Football Fields	0.37	0	0	0	0.5	0
¼ Mile Track [2]	0.37	0	0	0	0.5	0
Swimming Pools	0	0.49	0.76	0.36	0.5	0.53
Ice Skating Rink	0	0.33	0	0	N/A	0.12
Meeting Rooms	1.47	0.65	0	0	N/A	0.24
Comfort Stations	2.94	0.98	4.2	3.28	N/A	2.73

**Source:** ECPRD and peer city parks and recreation departments
[1] The City of Garfield Heights has stated its intention to develop an additional 48.5 acres of city-owned park land that will include five baseball diamonds, one soccer field, a hiking trail, two playgrounds, and three pavilions.

ECPRD provides more facilities per capita than its peers, as indicated by the City exceeding peer facility ratios in 9 of 12 facility categories. However, peer cities have a greater number of soccer fields and swimming pools per capita than ECPRD. While ECPRD provides more facilities than peer cities, it is slightly below national facility per capita benchmarks in seven facility categories. A survey of randomly selected residents was conducted for this report to determine overall citizen satisfaction of parks (see **F6.1**) and public use of parks and programs (see **F6.6**, **Graph 6-1**, and **Graph 6-2**).

The City has seven parks, one civic center, and three tot lots for approximately 112 acres of city-owned recreational space. ECPRD has engaged in capital improvement projects to improve City parks and tot lots in conjunction with a 501 (c)(3) non-profit corporation called the Parks Association. However, the City's Service Department maintains parks facilities due to recent personnel reductions within ECPRD. While ECPRD is responsible for maintaining the MLK Civic Center, its primary role is coordinating and administrating activities and programs.

Seventy-six (76) randomly selected registered voters in the City were asked in a survey how many times members of their household visited each of the City's parks and civic center. Of the 67 respondents that indicated they had visited at least one park one time, **Graph 6-1** illustrates the percentage of respondents that visited each park at least once.

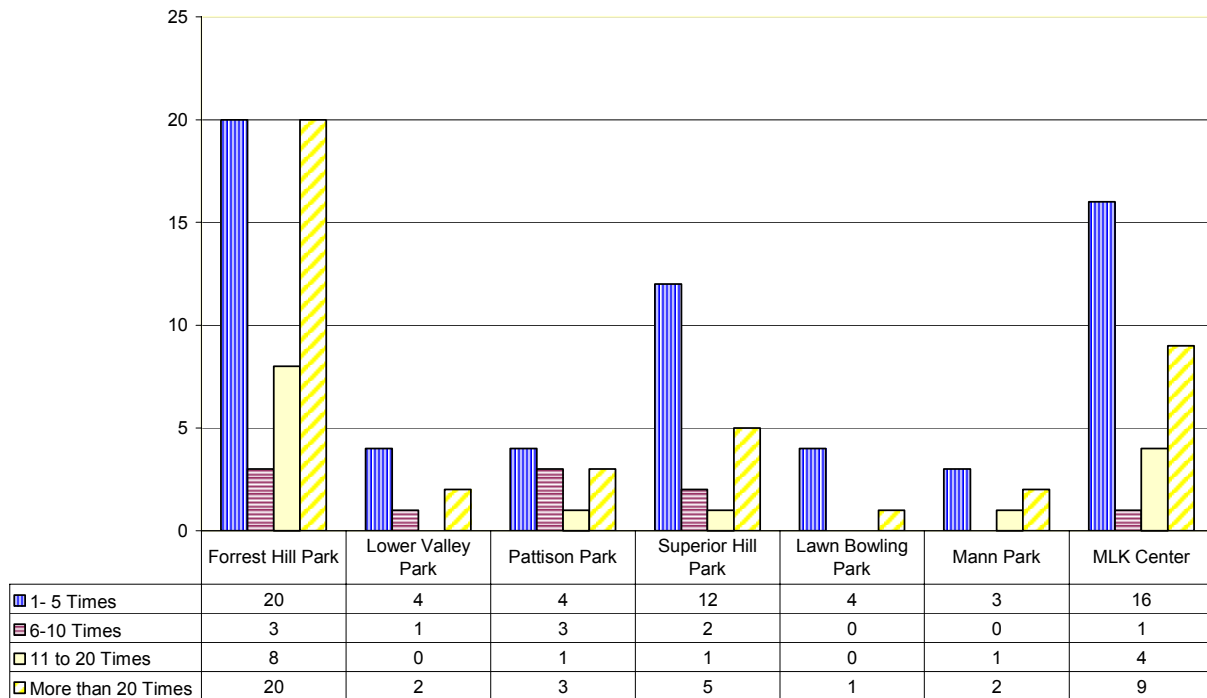## Graph 6-1: Relative Usage of Each City Park

Park Usage
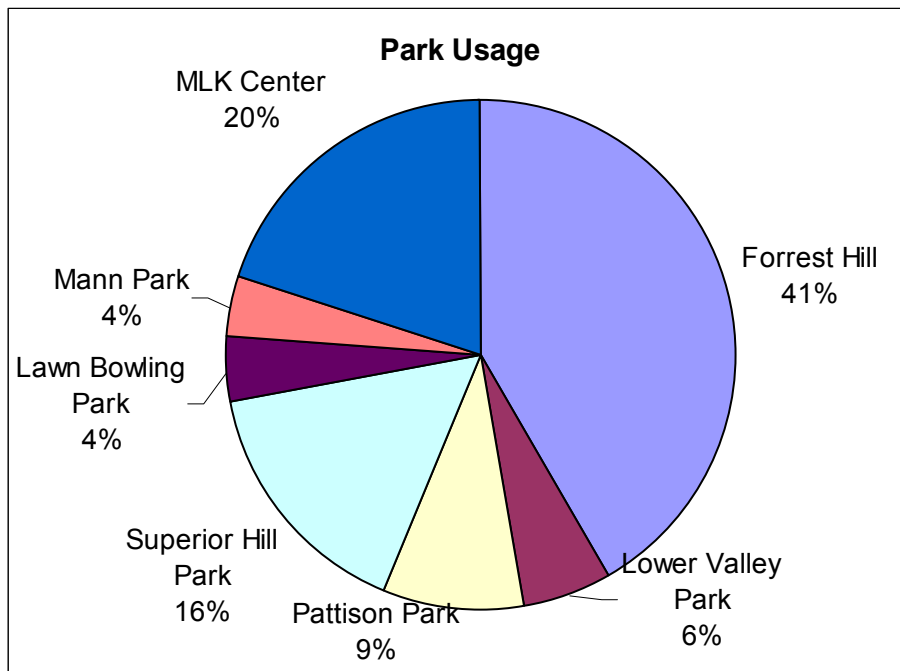
Source: A survey of 76 randomly selected registered voters in East Cleveland
Note: These percentages are based upon whether respondent's households had attended the park or facility, rather, than the frequency of their visits.

The above graph indicates that Forrest Hill Park is used by a greater number of residents than any other ECPRD park or facility. Forrest Hill Park is followed by the MLK Civic Center, Superior Hill Park, and Pattison Park. **Graph 6-2** illustrates the frequency of use of each ECPRD park and facility.

Graph 6-2: Frequency of Use of ECPRD Parks

Frequency of Respondents Visits by Facility

	Forrest Hill Park	Lower Valley Park	Pattison Park	Superior Hill Park	Lawn Bowling Park	Mann Park	MLK Center
▨ 1- 5 Times	20	4	4	12	4	3	16
▤ 6-10 Times	3	1	3	2	0	0	1
☐ 11 to 20 Times	8	0	1	1	0	1	4
☐ More than 20 Times	20	2	3	5	1	2	9

Source: A survey of randomly selected registered voters in East Cleveland

Combined with the results indicated in **Graph 6-1**, the data shows that Forrest Hill Park is used by more residents and is used more frequently than the other facilities. The number of residents and frequency of use by those residents is the next highest at the MLK Civic Center and Superior Hill Park. While Pattison Park is not used by a large portion of residents, those residents that do use Pattison Park use it more often relative to Lower Valley Park, Mann Park, and Lawn Bowling Park. In addition, Lawn Bowling Park is used by only 4 percent of respondents. Usage of parks and facilities is further discussed in **R6.1** and **R6.6**.

Financial Data

ECPRD's activities are primarily supported by the General Fund and several special revenue funds. Some of these special revenue funds were established to administer grant funding, which has largely come from the Department of Juvenile Justice and the Commission on Minority Health. In addition, fund balances from a Community Development Block Grant, a grant for travel expenses from the Department of Action, and matching funds from the Cleveland Foundation were used for operational expenses from FY 1999 to FY 2002. The grants from the

Department of Juvenile Justice and the Commission on Minority Health were primarily for administration of programs such as soccer, wrestling, softball, volleyball, boxing, track and field, modeling, archery, basketball, study club, art, African drumming, tennis, and the creation of a hall of fame. These grants also financed the personnel costs associated with the Health and Fitness Coordinator, a personal trainer, an aerobics instructor, a martial arts instructor, and a weight trainer.

From FY1999 to FY 2002, Department operations were supported by the Children First Youth Development Initiative (YDI) Special Revenue Fund, the Minority Health Grant Special Revenue Fund, the Summer Day Camp Special Revenue Fund, the Healthy Living Special Revenue Fund, the Youth Services Special Revenue Fund, the Parks and Recreation Tennis Association Fund, and the Wall of Fame Special Revenue Fund. In addition, the Finance Department has identified three Special Revenue Funds that are able to support park operations. These funds have positive fund balances as of December 31, 2002, but have not had any financial activity from 1999 to December 31, 2002. These funds are the Hypertension Clinic Special Revenue Fund, the Smoke Prevention Special Revenue Fund, and the AIDS Prevention Program Special Revenue Fund. For the purpose of this discussion, only those funds with significant financial activity will be summarized in the following tables.

Table 6-2 summarizes the General Fund receipts and expenditures associated with the operations of the City's Parks and Recreation Department.

Table 6-2: Parks and Recreation Department General Fund Receipts and Expenditures
(rounded to the nearest $100)

	FY 1999	FY 2000	FY 2001	FY 2002
Receipts:				
Charges for Services	$3,600	$23,700	$21,600	$16,200
Expenditures:				
Wages and Salaries	133,300	168,000	263,800	151,000
Pensions and Benefits	28,700	14,800	47,900	53,000
Operating Supplies	30,500	16,400	30,300	20,900
Office Supplies	2,000	7,800	11,100	9,300
Repairs and Maintenance	50,500	12,300	2,500	7,200
Park Improvements	10,100	2,500	2,400	2,500
Travel	0	1,600	2,500	500
Park Study	44,800	200	3,000	0
Miscellaneous	1,400	900	100	300
Total General Fund Expenditures:	301,300	224,500	363,600	244,700
Total Revenues Over/ (Under) Expenditures	**($297,700)**	**($200,800)**	**($342,000)**	**($228,500)**

Source: City of East Cleveland Finance Department
Note: This table presents those revenue and expenditure line items within the General Fund that are solely attributed to ECPRD operations; therefore, any expenditures that exceed revenues will be funded by General Fund resources.

In FY 2002, total receipts increased by approximately three and one-half times those of FY 1999. Department operational expenses are offset by fees and rental charges for use of facilities and participation in programs. The director explains that increased participation by citizens in ECPRD programs and increased use of facilities contributed to the increased receipts in FY 2000. According to the director, increased participation was partially caused by the renovation of the MLK Civic Center. In particular, the refreshment room and the gymnasium floor were renovated beginning in FY 2000. Decreased program participation could contribute to the decrease in receipts in FY 2002 (see **F6.6**).

Department expenditures charged to the General Fund decreased by 18.8 percent from FY 1999 to FY 2002. This is primarily explained by an 85.7 percent decrease in repairs and maintenance expenses as well as a 31.5 percent decrease in operating supply costs. The director states that renovations of the MLK Civic Center were underway in 1999 and 2000 contributing to the higher expenditures in operating supplies, and repairs and maintenance categories. Renovations included gym floor repair, new heating and air conditioning, plumbing updates, and bathroom/ locker room renovation. Furthermore, the director stated that operating supply expenses decreased from FY 1999 to FY 2000 due to weight lifting equipment purchased in FY 1999.

ECPRD expenditures charged to the General Fund increased 21 percent from FY 1999 to FY 2001. These increases were primarily due to a 98 percent increase in wage and salary expenses, a 67 percent increase in pension costs, and a 450 percent increase in office supplies from FY 1999 to FY 2001. The increases in wage and salary expenses can be explained by the director's salary increases to be comparable to the previous director's salary level, standard longevity increases, and additional seasonal workers employed to help renovate an annexed portion of the MLK Civic Center into offices, meeting rooms, a computer room, and a weight room during FY 2001.

In FY 2001, the City changed the process for charging back health care costs to the individual departments. Prior to FY 2001, the City charged premium costs for departmental employees to their departments. After FY 2001, actual claims were charged to the departments, contributing to the significant increase in pension and benefits in FY 2001. Finally, ECPRD began to publish a semi-annual program booklet in mid FY 2000, which contributed to increased office supply expenses. Additional expenses associated with administrating grant programs were incurred in 2001 (see **F6.7** and **F6.11**).

Table 6-3 summarizes the Children First/ YDI Special Revenue Fund receipts and expenditures.

Table 6-3: Children First/ YDI Special Revenue Fund
(rounded to the nearest $100)

	FY 2000	FY 2001	FY 2002
Receipts:			
Children First Foundation Grant [1]	$15,400	$57,100	$0
Expenditures:			
Wages and Salaries	6,700	22,700	4,800
Operating Supplies	700	14,900	1,700
Office Supplies	700	0	3,400
Travel	0	2,700	0
Miscellaneous [1]	500	3,900	5,500
Total Fund Expenditures:	8,600	44,200	15,400
Total Revenues Over/ (Under) Expenditures	**6,800**	**12,900**	**(15,400)**
Beginning Fund Cash Balance	0	6,800	19,700
Ending Fund Cash Balance	**$6,800**	**$19,700**	**$4,300**

Source: City of East Cleveland Finance Department

Note: These funds were received in mid FY 2000 and ended in FY 2001, therefore, a comparison of financial activity is of limited relevance as it would be comparing activities of different duration.

[1] As the "fiscal agent" of this grant collaborative, the City recorded reimbursements in these line items that did not directly benefit ECPRD's operations. Therefore, these line items were adjusted so that only those funds benefiting ECPRD are indicated.

Funding from this grant ended September 30, 2001; however, positive fund balances remain. Pass through monies from the Cuyahoga County Board of Commissioners were not available after September 30, 2001 due to the discontinuation of federal funding. The Youth Development Initiative's stated intention is to promote life skills, social skills, social recreational development, community service, and pre vocational career exploration. ECPRD helped meet these objectives by administrating youth athletic programs, such as soccer, wrestling, softball, volleyball, boxing, track and field, modeling, archery, basketball, study club, art, African drumming, and tennis. Continuation of activities supported by this fund is largely dependent upon identification of additional revenue sources.

Table 6-4 illustrates the revenues and expenditures of the Minority Health Grant Special Revenue Fund for FY 2001 and FY 2002.

Table 6-4: Minority Health Grant Special Revenue Fund
(rounded to the nearest $100)

	FY 2001	FY 2002
Receipts:		
Minority Health Grant	$20,700	$111,700
Expenditures:		
Wages and Salaries	11,900	76,900
Pensions & Benefits	0	8,500
Operating Supplies	1,300	2,900
Office Supplies	0	400
Miscellaneous	900	1,200
Total Fund Expenditures:	14,100	90,000
Total Revenues Over/ (Under) Expenditures	**6,600**	**21,600**
Beginning Fund Cash Balance	0	6,600
Ending Fund Cash Balance	**$6,600**	**$28,200**

Source: City of East Cleveland Finance Department

Funding from this grant will end June 30, 2003. This grant program is strictly for initiating programs that promote cardiovascular health among minorities and is not intended as a sustained funding source. Funding from the Minority Health Grant was provided with the understanding that ECPRD will coordinate extensive health awareness and disease prevention activities during Minority Health Month by developing a local media campaign, kickoff activities, and distribution of the Minority Health Month Calendar of Events. These resources were used for personnel costs associated with the Health and Fitness Coordinator, a personal trainer, an aerobics instructor, a martial arts instructor, and a weight trainer.

Table 6-5 summarizes the receipts and expenditures of the Summer Day Camp Special Revenue Fund for FY 1999 through FY 2002.

Table 6-5: Summer Day Camp Special Revenue Fund
(rounded to the nearest $100)

	FY 1999	FY 2000	FY 2001	FY 2002
Receipts:				
Summer Day Camp Fees	$10,500	$5,200	$400	$14,300
Expenditures:				
Wages and Salaries	$19,600	$14,500	$3,400	$14,100
Pensions & Benefits	$0	$0	$600	$100
Operating Supplies	$1,200	$5,200	$2,400	$0
Total Fund Expenditures:	$20,800	$19,700	$6,400	$14,200
Total Revenues Over/ (Under) Expenditures	**($10,300)**	**($14,500)**	**($6,000)**	**$100**
Other Financing Sources and Uses:				
Transfers in	$0	$8,700	$15,000	$0
Advances Out	$0	$0	$8,700	$0
Total Other Financing Sources and Uses	**$0**	**$8,700**	**$6,300**	**$0**
Receipts and Financing Sources Over Expenditures and Other Financing Uses	**($10,300)**	**($5,800)**	**$300**	**$100**
Beginning Fund Cash Balance	$16,600	$6,300	$500	$800
Ending Fund Cash Balance/(Deficit)	**$6,300**	**$500**	**$800**	**$900**

Source: City of East Cleveland Finance Department

Currently, these funds support a summer day camp operated by ECPRD for children between the ages of 5 and 12 for eight weeks during the summer. From FY 1999 to FY 2002, expenditures were consistently greater than receipts. In addition, the program is supported by transfers in from the General Fund. While a comparison of FY 1999 to FY 2002 revenues and expenditures indicates a positive trend of increasing receipts and decreasing total expenditures, a conclusive tendency cannot be determined due to numerous fluctuating receipts and expenditures. ECPRD's director stated that some fluctuations in FY 2001 may be due to changes in the program fee structure, resulting in a lower number of participants in 2001.

Table 6-6 compares various ECPRD financial ratios to the peer parks and recreation departments.

Table 6-6: Parks and Recreation Department Financial Ratios FY 2002

	East Cleveland	Garfield Heights [1]	Maple Heights [2]	Trotwood [3]	Peer Average
Park Acres	112	20	131	172	108
Population	27,217	30,534	26,156	27,420	28,037
Combined 2002 Generated Revenues	$30,543	$90,892	$60,765	$68,500	$73,386
Combined 2002 Operating Expenditures	$370,475	$795,523	$773,539	$740,830	$769,964
Cost per acre	$3,308	$39,776	$5,905	$4,307	$7,151 [4]
Expenditures per capita	$13.61	$25.88	$29.57	$27.02	$27.46 [4]
Percent of expenditures recovered	8.2%	11.4%	7.9%	9.2%	9.5% [4]

Source: The city of East Cleveland Finance Department and peer financial departments.
Note: The operations of peer parks departments are more extensive than those of ECPRD because they maintain labor intensive facilities such as swimming pools and ice rinks that can generate significant receipts. The costs and revenues associated with facilities not maintained by the ECPRD were not included in peer operational costs and receipts to the extent possible.
[1] Garfield Heights has stated its intention to add an additional 48 park acres, which may affect some cost ratios.
[2] Although operating labor costs, maintenance costs, and all pool revenues were excluded, labor costs for maintaining the swimming pools could not be separated by Maple Heights.
[3] The city did not provide actual financial figures at the time of this performance audit. Therefore, budgeted figures are used for 2002.
[4] Rather than take a ratio of averages, this figure reflects an actual "combined" ratio of the peer parks and recreation departments.

ECPRD provides significantly less park and recreation funding on a per capita and per park acre basis than the peers. ECPRD's cost per acre ratio and expenditure per capita are 53.7 percent and 50.4 percent less than the peer average, respectively. However, this is partially explained by the Garfield Heights cost per acre ratio which is unusually high due to the development of additional park lands. In addition, ECPRD does not generate sufficient revenues through park activities to recover an appropriate portion of operating expenditures, as indicated by its recovering the second lowest percentage of expenses as compared to the peers. Considering that Maple Height's ratio does not include swimming pool revenues but includes a portion of swimming pool expenses, ECPRD's percentage of expenses offset by revenue is likely the lowest of all the peers. For a further discussion of revenue generation, see **F6.7**, **F6.8**, and **F6.9**.

Performance Measures

The following performance measures were used to analyze ECPRD:

- Assess the adequacy of staffing levels;
- Evaluate current management practices;
- Assess current operational policies and procedures;
- Assess third party contracts;
- Assess the public use of ECPRD's programs;
- Assess ECPRD's funding sources;
- Assess the fundraising activities of ECPRD;
- Assess ECPRD's facility rental charges;
- Assess participation charges for Department administered programs;
- Assess ECPRD's grant seeking procedures; and
- Assess ECPRD's grant management procedures.

Findings and Recommendations

Staffing

F6.1   **Table 6-7** compares ECPRD's current full-time equivalent (FTE) employees to the peer parks and recreation departments.

Table 6-7: Current Staffing Level Comparison

	East Cleveland [1]	Garfield Heights	Maple Heights	Trotwood	Peer Average
Total park acres	112	20	131	172	161.5
Total Number of Programs	27	33	31	10	24.6
Total Number of Activities	23	8	6	7	7
Program and administrative (P&A) FTEs	7.23	3.1	4.5	4.3	4.0
Maintenance FTEs	1 [1]	4.1	6.3	2.7	4.4
Total FTEs	8.23 [1]	7.2	10.8	7	8.3
Total Park acres per Total FTE	13.6	2.8	12.1	24.6	12.9
Department programs per Total FTE	3.5	0.97	2.8	1.4	1.9
Total Park acres per Maintenance FTE	112	4.9	20.8	63.7	24.7
Department programs per P&A FTE	3.7	10.6	6.9	2.3	6.2
Activities per P&A FTE	3.2	2.6	1.3	1.6	1.8

Source: City of East Cleveland, peer city parks and recreation departments
Note 1: Only paid positions are included in staffing figures, the use of volunteers is excluded.
Note 2: The operations of peer parks departments are more extensive than those of ECPRD because they maintain labor intensive facilities such as swimming pools and ice rinks. Staff hours associated with maintaining facilities and programs not maintained by ECPRD were not included in peer labor figures and receipts to the extent possible.
[1]   Some park maintenance duties are performed by the City's service department; however, insufficient records and a lack of a service agreement do not allow this analysis to incorporate those activities into the FTE figure.
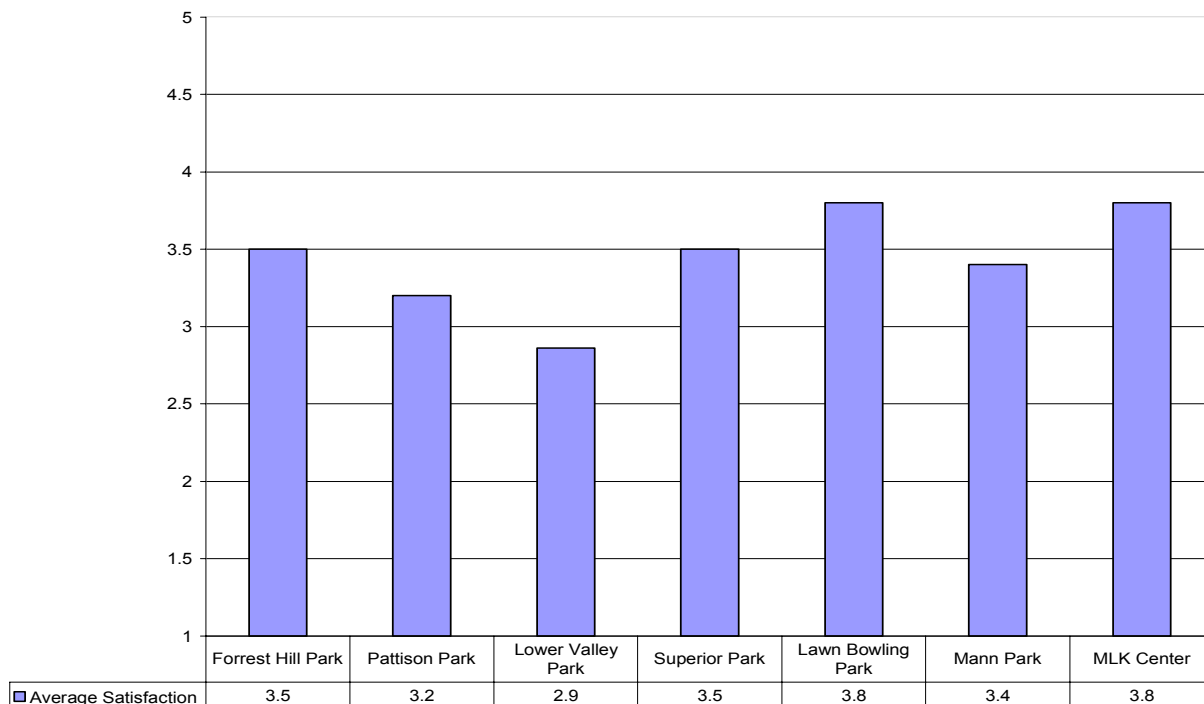
While total staffing levels at ECPRD are comparable to the peer average, peer parks and recreation departments have distributed these staffing levels differently among various functions within the department. The majority of ECPRD's staffing allocations are dedicated to the administrative or program management functions of the organization. Although ECPRD's programs per P&A FTE ratio of 3.7 is significantly less than the peer average of 6.2, activities per P&A FTE at ECPRD is the highest of the peers. As a result, ECPRD may need higher P&A staffing levels to operate all of its programs and activities. However, the scale of programs at ECPRD is of a limited nature and therefore, program staffing resources may not be allocated effectively. Maple Heights uses its staff to provide several programs within the same activity. For instance, there are 17 separate softball leagues that each count as a program. The scope and scale of ECPRD's programming is discussed further in **F6.6**.

Peer departments have devoted an average of 4.4 FTEs for maintenance of park grounds and facilities, while ECPRD has allocated only one maintenance FTE for these purposes.

ECPRD allocates one FTE per 112 park acres, which is significantly higher than the peer average of 24.7 park acres per maintenance FTE. However, Garfield Heights' park acres per maintenance FTE appears low, partially due to future land development plans. Regardless, an average of Trotwood's and Maple Heights' park acres per maintenance FTE is 33.7, which is still significantly lower than ECPRD's ratio. Furthermore, *Municipal Benchmarks* reports that appropriate park acres per maintenance worker ranges from 82.6 to 10.6 in best practice cities. It should be noted that some park maintenance duties are performed by the City's Service Department. However, the extent of these duties could not be determined.

Further exacerbating staffing levels are the high turnover rates and fluctuating funding levels. These conditions are primarily the result of the City's efforts to address its fiscal emergency condition. On August 8, 2002, the City laid off ECPRD's maintenance staff, reducing ECPRD's ability to sufficiently maintain park facilities. As a result, citizen satisfaction with the City parks could be improved. In a survey of randomly selected registered voters residing within the City, respondents were asked to rate their overall satisfaction with each park on a scale of 1 to 5, with "1" being dissatisfied and "5" being satisfied. **Graph 6-3** summarizes the responses to this question.

Graph 6-3: Overall Citizen Satisfaction with City Parks

	Forrest Hill Park	Pattison Park	Lower Valley Park	Superior Park	Lawn Bowling Park	Mann Park	MLK Center
☐ Average Satisfaction	3.5	3.2	2.9	3.5	3.8	3.4	3.8

Source: A survey of 76 randomly selected registered voters residing with the City

The graph indicates a moderate citizen satisfaction rate toward the City's parks and recreational facilities. While this survey evaluated overall satisfaction, other detailed components could impact overall satisfaction, such as the type of facilities, general maintenance of facilities, accessibility, safety concerns, and the quality of facilities. However, the survey gathered comments from randomly selected citizens and then grouped those comments into the above categories. Of the comments made by respondents regarding Forrest Hill Park, 28 out of 39 comments were clearly negative. Of those negative comments, poor maintenance was the most frequent criticism. Of the 11 comments made regarding Superior Hill Park, 9 comments were negative in nature with a roughly equal number of comments made regarding maintenance, availability of activities, and security issues. Thirteen comments were made regarding the MLK Civic Center. Nine of these comments were negative in nature, with maintenance being the most common complaint. The complaints regarding the upkeep of parks and facilities is a direct result of insufficient maintenance staffing levels.

R6.1 ECPRD should reallocate staffing resources so that park maintenance is the first priority of ECPRD operations (see **F6.9** and **R6.9**). ECPRD should seek to formally prioritize both its maintenance and program administration duties. Maintenance duties should be a priority over other activities because they represent the fixed minimum operating costs of the Parks Department as discussed in **F6.9**. Maintenance of parks and facilities should also be prioritized according to those parks visited more often by residents as shown in **Graph 6-1** and **Graph 6-2**. Furthermore, maintenance duties should be prioritized according to those activities that are first for emergency needs, secondly for safety reasons, and thirdly of a preventative maintenance nature. Reallocating staffing resources to maintenance duties would also allow the Service Department to redirect its activities to its core responsibilities or potentially reduce its staff levels.

ECPRD should employ approximately three maintenance FTEs to maintain 37.3 park acres per employee, which is consistent with the Trotwood and Maple Heights average ratio of 33.7. As a result, ECPRD should reallocate 2.0 FTEs from program staffing. To accommodate a reduction in program staffing levels, ECPRD should implement programs based on citizens' priorities and program usage, as well as focus on the scale of activities to ensure quality services in the areas it administers, rather than a broad scope of activities. Based on the analysis in **F6.6**, ECPRD could eliminate close to 16 activities. If ECPRD eliminated 16 activities and reallocated 2.0 FTE staffing positions from programs to maintenance, the number of programs and activities per P&A FTE would be 5.2 and 1.3, which are less than the peer average, respectively. Increasing the use of volunteers could also assist ECPRD in adequately operating programs. Nevertheless, the state of ECPRD's financial records does not allow for fully determining a financial impact associated with program and activity reduction (see **F6.6** and **F6.10**).

Park Administration: Strategic Planning, Policies, and Procedures

F6.2   ECPRD does not have a formal and institutionalized strategic planning function. According to the American Public Works Association (APWA), strategic planning involves establishing long-term goals and objectives; developing shorter-term plans to reach those goals and objectives; assessing and planning for the organization's infrastructure needs; and designing a method to monitor the agency's progress in attaining these goals.

The APWA recommends that governmental agencies engage in institutionalized strategic planning that is consistent with its own mission. A strategic plan should designate the appropriate level of service to be provided by each of the agency's functional areas, which will help determine appropriate operational and capital improvement plans. APWA guidelines establish operational plans as part of the strategic planning process as short-term goals and objectives to move the agency toward its long-term objectives. These goals should focus on the managerial and organizational needs of the agency to perform its mission. Furthermore, these needs translate into resource allocations and budgetary decisions. According to APWA, capital improvement planning should be a detailed plan that assesses and plans for the infrastructure needs of the organization to achieve its long-term goals. Infrastructure needs refers to all facilities and equipment needed by the organization. The capital improvement planning process should include an analysis of potential funding source availability, as well as priorities and measurement guidelines to choose between project proposals. In addition, progress toward long-term and short-term goals should be reviewed in each of the agency's established short-term planning periods. Finally, APWA recommends that all portions of the strategic planning process should be documented and provided to key employees.

While formal, long-term goals and objectives do not exist for ECPRD, the director identified a list of personal goals for the organization, established at the start of her employment in 1999. The director organized the following goals in year long time increments from the start of her employment:

- Year one- Restore the MLK Civic Center; improve the public programs at the parks and civic center, and increase staffing for all necessary duties.
- Year two- Restore lighting in the parks; improve park safety systems by increasing park staff; reduce the number of ducks in the parks; and restore baseball diamonds, softball diamonds, and basketball courts.
- Year three- Improve the park's trails, address forestry issues, and restore comfort stations and snack bars.

In the fourth and fifth years of employment, the director wanted to review and evaluate the progress toward achieving these goals and redirect park activities. According to the

director, these goals have been met with varying degrees of success and no revisions were made.

The director's list of informal long-term goals can be improved as a planning resource by doing the following:

- Linking them to the broader output goals of the department, such as maintaining levels of customer service and satisfaction;
- Organizing them in a manner that does not combine long-term capital improvement plans and short-term operational planning elements;
- Making them more consistent with the broader strategic plans that will be established by the City's legislative and administrative bodies, as discussed in the **council operations** section;
- Documenting and maintaining these goals in formal manner, so that they are accessible to key personnel; and
- Making these goals more specific and quantifiable so that progress can be compared against definable and specific goals, or measures.

Due to the interrelated nature of the strategic planning process, inadequate long-term planning often results in faulty capital improvement planning, operational planning, and performance monitoring. While some capital improvement documents exist, the scope and focus of these documents are inadequate for meeting ECPRD's strategic planning needs. In addition, ECPRD's capital improvement master plan is not specific to those lands owned by the City of East Cleveland, nor is it a comprehensive plan that pertains to all of ECPRD's parks, facilities, and programs.

According to APWA standards, long-term objectives and goals should be implemented through shorter-term operational plans. However, ECPRD does not have the necessary components for a formal operational plan. A comprehensive land management plan is needed to estimate the workload for the upcoming year. ECPRD does not maintain accurate acreage measurements for parks or building square footage. No determination is made regarding the amount of time that should be allocated to each land area in order to meet the estimated workload or staffing level for the year. The lack of planning for parks maintenance services reduces ECPRD's ability to justify funding or future staffing needs. Furthermore, labor and resource allocations are made without any form of feedback on goal progress in the form of performance measurement.
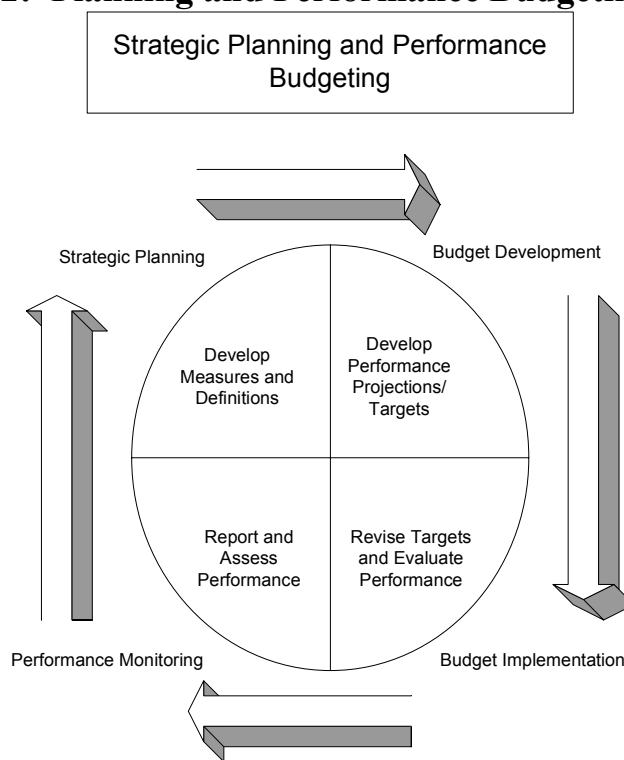
While ECPRD has some rudimentary forms of performance measurement for grant program administration, these measurements are not sufficient for a comprehensive strategic planning function. The director stated that ECPRD uses management tools such as attendance sign in sheets, inventory forms, supply order lists, annual staff performance evaluations, and park maintenance reports. However, no operational benchmarks are

employed by the director, who questions the usefulness of formal management tools with a small maintenance and program staff. The management tools currently employed do not evaluate employee performance and progress toward goal achievement in a quantifiable manner.

The State of Texas developed comprehensive standards for the strategic planning process, thereby linking the performance measurement process to strategic planning and budgeting. The process used for performance measurement, and its link to budgetary allocations, is shown in **Chart 3-2**.

Chart 3-2: Planning and Performance Budgeting Process

Strategic Planning and Performance Budgeting

Strategic Planning

Budget Development

Develop Measures and Definitions

Develop Performance Projections/ Targets

Report and Assess Performance

Revise Targets and Evaluate Performance

Performance Monitoring

Budget Implementation

Source: Texas State Auditor Report

According the Texas State Auditor's standards, a good performance measurement system should be results-oriented, focused on the most important performance indicators, provide useful information for decision-making, and be accessible and reliable. Useful performance measures should also be valid, cost-effective, and relevant to agency goals, objectives, strategies, and functions. Internal performance measures can be used by managers to periodically review agency progress toward operational goals and priorities; evaluate agency staff performance; develop and refine agency rules, policies, and

procedures; and communicate with agency employees, customers, and other stakeholders. The following are the four major types of performance measures:

- **Outcome:** Indicators of the public's or customer's benefit from agency actions.
- **Output:** Measures of the number of services an agency produces.
- **Efficiency:** Indicators of productivity expressed in unit costs, units of time, or other units.
- **Explanatory/input:** Measures of factors, agency resources, or requests that affect a state entity's performance.

The International City Managers Association (ICMA) recommends tracking citizen satisfaction, user satisfaction, participation rates, safety, and accessibility. Criteria for measuring satisfaction with park facilities and programs includes: accessibility, hours of operation, staff helpfulness, safety, quality of facilities, satisfaction with maintenance, satisfaction with type of facilities/programs, and user charges. ICMA suggests household surveys, user surveys, attendance records, trained observer ratings, and census mapping as viable data collection methods. Public surveys are also recommended by the National Park Service's Rivers, Trails, and Conservation Assistance Program. While ECPRD has made limited use of a survey, it was primarily for a feasibility study of a specific program and was not used in a performance monitoring function.

The city of Trotwood's parks and recreation department used citizen attitudes for a needs assessment that guided their long-term planning efforts. The city contracted with an organization for approximately $20,000 to write a master plan for their city-owned parks. This plan solicited citizen needs, wants, and attitudes through public workshops, telephone surveys, mail surveys, citizen advisory committees, discussions with local schools, meetings with special interest groups, and discussions with other local parks departments. Through these methods, the city was able to write a long-term capital improvement plan that incorporated citizen priorities.

R6.2   ECPRD should collaborate with the mayor and council to develop a strategic plan for ECPRD that correlates with the City's overall strategic plan, as discussed in the **city council** section of this report. Using this plan, ECPRD should develop a long-term capital improvement plan for all of its parks and facilities as well as shorter-term operational goals. Consistent with these goals, the City should use the strategic plan to help determine the appropriate resource levels necessary to achieve these goals as the City's financial condition allows.

As ECPRD administers the budget, its progress and performance should be measured against an established set of internal benchmarks and performance measures. Furthermore, ECPRD should use household and user surveys on a quarterly basis to determine citizen satisfaction with the programs, services, and facilities it administers.

Based on those results, ECPRD should assess its performance and identify areas needing improvement and optimize the budgetary decisions for the next year. While these practices are not critical with current staffing levels, they will improve performance and provide focus for the organization's efforts. Finally, as the financial condition of the City improves, or if additional staff need to be allocated to ECPRD, a systematic plan and monitoring system becomes increasingly important.

During this performance audit, ECPRD prepared a user survey for its next Town Hall meeting. ECPRD plans to use its survey results and the results of the Auditor of State's survey used in this report to determine citizen satisfaction and funding priorities.

Financial Implication: According to ICMA, a comprehensive data collection effort involving quarterly household surveys, user surveys at the end of each recreational season, and quarterly trained observer ratings will cost approximately 40 person weeks and $5,000 annually for a medium sized city. However, this cost could be partially offset by additional grant funding resulting from incorporating these results into a more effective grant seeking and grant management process outlined in **F6.11** and **F6.12**. In addition, these costs may be offset by additional user fees outlined in **F6.9**. Finally, these costs could be offset by using these results to validate other fundraising activities outlined in **F6.7**.

F6.3   ECPRD does not have sufficient formal policies to detail standardized operational practices and has not implemented programs to ensure effective operational practices. The Department does have a Park Works Maintenance Plan but the documentation only provides high-level general standards and basic procedures. ECPRD only uses applicable City-wide manuals, such as the purchasing and human resource manuals. In addition, a transportation policy is being written for the newly implemented after school transportation program, but operational policies do not exist for that program. There also is no fence inspection program, playground equipment program, tree inspection program, safety manual, or sufficient published rules for use of parks or ECPRD facilities. It should be noted that forestry duties are the responsibility of the Service Department.

The absence of operational policies is primarily due to prioritizing improvements to unusable facilities, rather than maintenance. Therefore, maintenance needs were subordinate to more extensive rehabilitation or replacement needs. For instance, most of the playground equipment has been replaced. In addition, much of the park fencing is in a state of disrepair. As funding becomes available, the director has expressed a desire to repair or replace these sections of fencing.

APWA has determined that effective management of parks and recreation department maintenance duties should involve the use of a comprehensive land management plan. This plan should include formal policies, procedures, and practices for operations,

inspections, maintenance, and inventory requirements. The following policy, procedure, and practice standards specifically outline the accepted contents of a land management plan:

- A turf maintenance program that specifies policies and practices regarding the frequency of mowing, an inventory of turf areas with information on the condition and type of turf, periodic inspection of turf areas, fertilization program standards, and disease, insect, and weed control policies;
- A fence maintenance program ensuring proper fence maintenance, replacement, and inspection;
- A policy regarding appropriate controlled burning of vegetation, specifying location, frequency, and appropriate procedures;
- A playground equipment program that identifies supervisory responsibility, a formal inspection plan, a maintenance plan, and training for maintenance personnel; and
- A policy or procedure that controls the design and maintenance of recreation amenities such as public restrooms, walks and trails, and seating/ rest areas.

Formal policies controlling the inspection and maintenance of these facilities will help ensure consistent fulfillment of job duties among maintenance personnel and ensure efficient resource allocation. In addition, they will allow the agency to maintain service level continuity during managerial or staff turnover.

Finally, ECPRD could convey rules and policies for resident's use of parks and facilities in a more effective manner. According to the director, only signs at Forrest Hill Park and MLK Civic Center outline rules for park users. The sign at Forrest Hill Park includes rules and policies pertaining to hours of operation, prohibiting pets, and prohibiting cars from areas other than the parking lot. The sign at MLK Civic Center posts the hours of operation, prohibits food in the gymnasium, and prohibits the use of profanity. Published rules and policies facilitate proper use of facilities and could decrease the need for facility maintenance.

R6.3   ECPRD should develop and implement formal operational policies and procedures for the maintenance of its parks and facilities. These policies and procedures should include functional areas such as turf maintenance, fence maintenance, playground equipment maintenance, and park amenities maintenance. These policies and procedures will become more critical to effective operations as the number of maintenance staff increases and facilities are improved to meet minimum standards for public use. In addition, ECPRD should communicate rules and policies to park users more clearly through signs and other media. As the financial ability of City to employ additional park maintenance staff improves, formal policies and procedures will provide guidance to new staff members in the performance of their duties. Furthermore, those previously unusable

facilities that have been replaced or repaired will require a degree of preventative maintenance. Those duties should be guided by policies and procedures to ensure that appropriate maintenance is performed.

Third Party Agreements

F6.4   On May 9, 1927 the Cities of East Cleveland and Cleveland entered into a long-term lease agreement for portions of Pattison Park for the right to maintain a playground on the premises. The provisions of this agreement required that East Cleveland perform certain capital improvements to the park and surrounding streets. East Cleveland was granted the right to terminate this lease agreement with 60 days notice and could remove any recreational equipment it had placed on the premises so long as it did not disturb the landscaping of the grounds. This agreement expired on May 9, 1947. However, it was renewed on May 18, 1951 until January 1, 1971. There is no evidence of further renewals. Therefore, any agreement with the City of Cleveland for the right to maintain Pattison Park has expired. According to the ECPRD director, the cities of East Cleveland and Cleveland are currently discussing this agreement.

R6.4   The City of East Cleveland should either renew the lease agreement with the City of Cleveland, or it should cease to maintain Pattison Park. However, due to recent improvements and renovations, the City should strongly consider protecting its capital investment by renewing the lease agreement. If the City decides to pursue the latter course of action, East Cleveland should remove movable playground equipment according to the standards established by the original lease agreement to use in its remaining parks. A renewal of the lease agreement would reduce ambiguity of maintenance responsibilities and any legal liability resulting from operating this park.

F6.5   ECPRD entered into an agreement with the East Cleveland Parks Association on September 2, 2002. The East Cleveland Parks Association is a 501(c)(3) non-profit corporation established for the purpose of using the City's public open space to improve the lives of city residents through:

- Restoring and maintaining the city's public open space;
- Assisting and implementing appropriate recreational, horticultural, cultural, beautification, educational, environmental, and scientific programming; and
- Raising an endowment to ensure future maintenance of, and programming in, the City's public open space.

The cooperative agreement document generally outlines goals and areas of potential collaboration and pledges the East Cleveland Parks Association's assistance in obtaining funding, materials, and personnel to supplement City resources. In general, the agreement specifies the responsibilities of each organization and generally does not

increase the scope of duties for ECPRD. Furthermore, it does not obligate either party in a substantial manner except to make "every effort" to fulfill certain duties. However, under the maintenance section of the agreement, the document states that there should be appointed a full-time maintenance supervisor to oversee maintenance activity. It is unclear whether the current custodian or staff members of the Service Department fulfill this obligation.

R6.5 ECPRD should clarify whether they are in compliance with the requirements of the above agreement. The City should also investigate whether members of the Service Department meet the "maintenance supervisor" position requirement. Ensuring compliance with the agreement will promote a positive relationship with the East Cleveland Parks Association.

Public Use of Parks and Recreation Programs

F6.6 ECPRD experiences low program participation rates. **Table 6-8** summarizes the participation per meeting rates for each activity with attendance records administered by ECPRD.

Table 6-8: Meeting Participation

Activity	2001 Participation per Meeting	2002 Participation per Meeting
Youth Basketball	18.6	N/A
Youth Baseball	6.9	N/A
Youth Flag Football	N/A	13.3
Open Gym	25.7	51.1
Dancing/Cheerleading	36	11.1
Youth Wrestling	11.9	11.5
Youth Archery	10	N/A
Youth Martial Arts	5.2	10.9
Adult Aerobics	10.5	13.5
Weight Training	2.0	4.8
Youth Boxing	12.9	10.1
Youth Modeling	11.3	8.8
Computer Instruction	N/A	3.2
Youth Summer Day Camp	32.7	N/A
Youth Track	11.6	12.4
Line Dancing	N/A	8.4
Study Table/ Reading	11.7	9.0

Source: Department attendance records

ECPRD and the City do not maintain fiscal records that track expenses by ECPRD's activities or programs; therefore, a cost benefit analysis of each activity is not possible. However, the number of meetings is an indication of program expense because it is assumed that program costs escalate with each meeting. With additional meetings,

additional supervision, materials, and maintenance become necessary. As indicated in **Table 6-8**, ECPRD maintained attendance records for 14 programs in 2001 and 13 programs in 2002. In 2001, 4 out of 14 programs maintained an attendance per meeting rate of 10 participants or less. In 2002, 5 out of 13 programs maintained an attendance per meeting rate of 10 participants or less. Those activities with lower participation rates indicate a low rate of return on city funding. This condition is partially caused by the scope and scale of Department administered programs and services (see **Table 6-9**).

In the context of the City's financial condition, ECPRD provides a disproportionately high number of programs and services. Furthermore, those activities and programs may not reflect the priorities of the City's residents. For the purpose of the following discussion, activities will refer to distinguishable sports, training, or educational pursuits with durations of longer than one day; while programs refer to the number of leagues, and age groups that organize each activity. This analysis uses a ratio of programs per activities as an indicator of the scale or "depth" of activities.

Table 6-9 summarizes the number of programs and activities ECPRD administers and compares them to the peer parks and recreation departments.

Table 6-9: Activities and Programs

	East Cleveland	Garfield Heights	Maple Heights	Trotwood	Peer Average
Total Number of Activities	23	8	6	7	7
Total Number of Programs	27	33	31	10	24.6
Total Programs per Total Activities	1.2	4.1	5.2	1.4	3.5
Number of Activities Using Similar Facilities [1]	23	6	5	6	5.7
Number of Programs Using Similar Facilities [1]	27	12	30	8	16.7
Programs per Activities Using Similar Facilities [1]	1.2	2.0	6.0	1.3	2.9

Source: The City of East Cleveland and peer cities.
[1] The facilities of peer parks departments are more extensive than those of ECPRD because they maintain swimming pools and ice rinks. The programs and activities associated with these facilities and not offered by ECPRD were not included in peer figures to the extent possible.
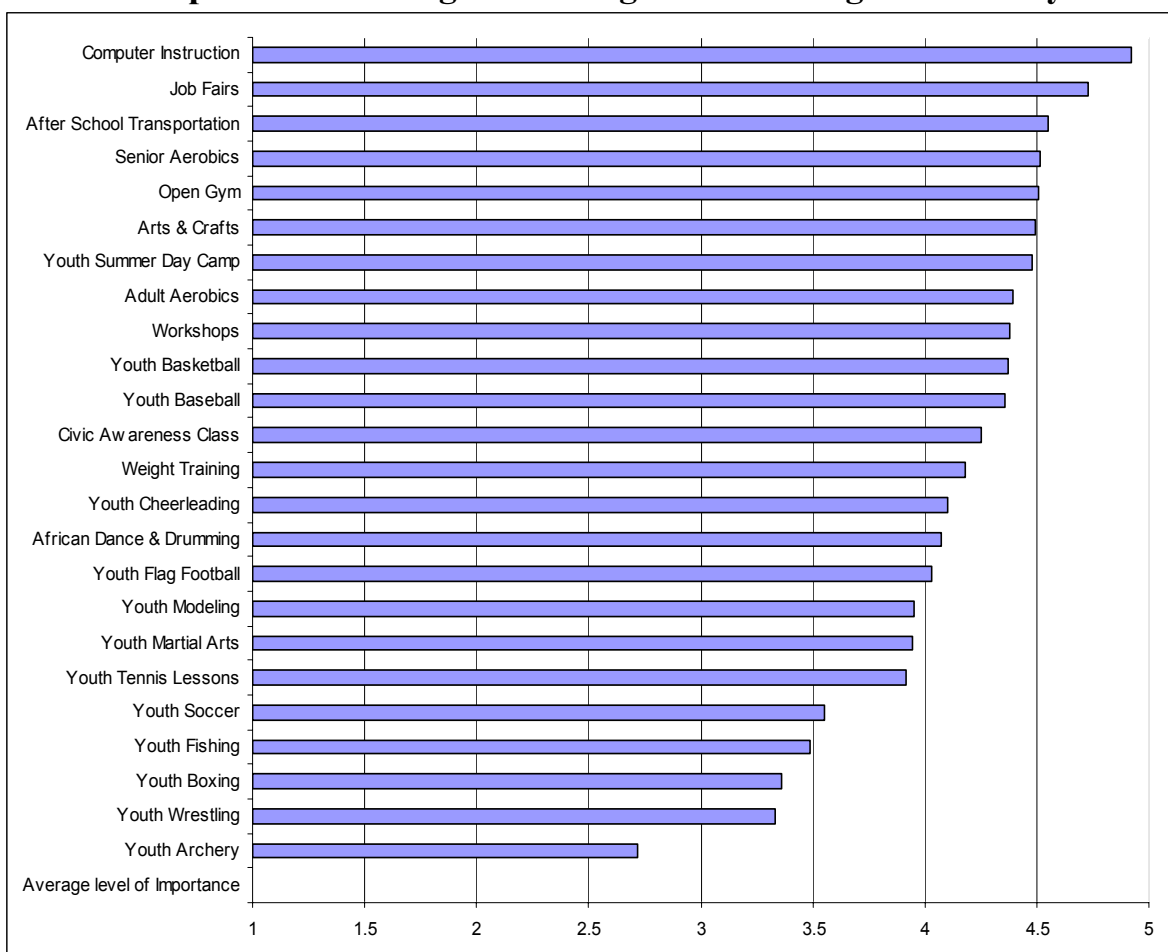
Table 6-9 illustrates that ECPRD administers more activities than its peer parks and recreation departments. ECPRD administers 23 separate activities, while the peers average 7 total activities. Considering the City's financial condition, ECPRD's staffing levels, and activity attendance levels, ECPRD may be exceeding an appropriate scope of activities for effective and efficient services. This condition is further exacerbated by the scale of services and programs ECPRD offers within each activity category, as illustrated by the number of programs per activity ratio.

While ECPRD provides more activities than its peer parks and recreation departments, it does not administer as many programs within these activity groupings. As a result, the scale of these programs is of a limited nature. For instance, ECPRD maintains a 1.2 program to activity ratio using similar facilities compared to the peer average ratio of 2.9. This difference is further illustrated when comparing total programs per activities against peer parks and recreation departments. Additional programs per activity allow higher levels of participation with the inclusion of different age groups. Furthermore, it allows peer parks and recreation departments to leverage facilities, equipment, and staff among several programs within the same activity. This could result in higher usage rates for facilities and equipment. In turn, this indicates a better use of department resources. For example, Maple Heights' parks and recreation department has 17 separate softball leagues ensuring that each field is used. Insufficient "depth" of service could be partially caused by insufficient and inconsistent funding of operations as well as the lack of a citizen driven strategic planning and performance monitoring system (see **F6.2**, **F6.8** and **Table 6-6**).

As funding constraints limit ECPRD's ability to provide services, those services could be prioritized to fulfill ECPRD's mission to the extent possible. ECPRD's mission is to provide a wide variety of quality recreation, education, health, and community service programs to male and female residents of all ages. Therefore, the priorities of residents become relevant, not only to increase participation rates, but also to meet ECPRD's mission. Citizen's program priorities were determined using a random sample of registered voters residing within East Cleveland. **Graph 6-4** summarizes the responses given when citizens were asked to rank each of ECPRD's programs on a scale of 1 to 5, with "1" being unimportant, and "5" being important.

Graph 6-4: Rankings of Average Citizen Program Priority

Horizontal bar chart titled "Rankings of Average Citizen Program Priority," with a value axis from 1 to 5:

Program	Approximate value
Computer Instruction	4.9
Job Fairs	4.75
After School Transportation	4.55
Senior Aerobics	4.5
Open Gym	4.5
Arts & Crafts	4.5
Youth Summer Day Camp	4.45
Adult Aerobics	4.4
Workshops	4.35
Youth Basketball	4.35
Youth Baseball	4.35
Civic Awareness Class	4.25
Weight Training	4.15
Youth Cheerleading	4.1
African Dance & Drumming	4.05
Youth Flag Football	4.0
Youth Modeling	3.95
Youth Martial Arts	3.95
Youth Tennis Lessons	3.9
Youth Soccer	3.55
Youth Fishing	3.5
Youth Boxing	3.35
Youth Wrestling	3.3
Youth Archery	2.7
Average level of Importance	

Source: A survey of 76 randomly selected registered voters within the City of East Cleveland.

The survey reveals a general preference for educational and after school programs, which is closely followed by team athletics. While these results are sometimes contrary to attendance records in **Table 6-8**, this could be explained by numerous factors including citizen knowledge of programs offered by ECPRD.

R6.6 ECPRD should prioritize its activities according to available funding. Those activities determined to be priorities should be fully supported and available to several age groups. In this manner, the quality of the most important activities can be maintained even during budgeting shortfalls. In addition, this ensures that citizens receive the greatest impact and responsiveness for their tax dollars. Furthermore, ECPRD should focus on the scale of activities to ensure quality services in the areas it administers, rather than a broad scope of activities. This will assist ECPRD in achieving higher participation rates by including

additional age groups. Higher usage rates indicate a higher impact of activities, programs, and facilities per funding dollar.

Assuming that ECPRD administers an equal number of activities as the peer average, ECPRD could eliminate 16 activities. Those activities that would remain as the highest priorities would be computer instruction, job fairs, after school transportation, aerobics, open gym, arts and crafts, and summer day camp. While the state of ECPRD's financial records does not allow for calculating a financial impact associated with program and activity reduction (see **R6.1**, **F6.9**, and **R6.10**), it is likely that ECPRD will save significant resources that could be used to fully support the high priority programs and park/facility maintenance. Furthermore, potential savings could be used for capital improvement needs or to lessen the burden on the General Fund.

In addition, ECPRD should examine the discrepancy between surveyed citizen priorities and actual attendance records. There is a high probability that this discrepancy is caused by a lack of citizen awareness of Department programs and services. The issue of communicating programs and services to the public is outside the scope of this performance audit.

Funding Sources

F6.7   ECPRD has an over-reliance on General Fund resources and grant funding. ECPRD is not supported by park levies nor does it engage in fund raising activities. **Table 6-10** illustrates the funding receipt sources of ECPRD from FY 2000 to FY 2002.

Table 6-10: Department Operating Funding by Type

	FY 2000	% of Total Receipts	FY 2001	% of Total Receipts	FY 2002	% of Total Receipts
Charges for Service	$28,900	11.1%	$22,000	4.8%	$30,500	8.2%
Grant Funds	$21,500	8.3%	$82,800	18.3%	$111,700	30.1%
Fundraising Receipts	$0	0.0%	$0	0.0%	$0	0.0%
General Fund Resources	$209,500	80.6%	$348,300	76.9%	$228,500	61.6%
Total Department Receipts	**$259,900**	**100%**	**$453,100**	**100%**	**$370,700**	**100%**

Source: Finance Department
Note: Funding figures are rounded to the nearest $100 and do not include grant funding administered for other organizations

From FY 2000 to 2002, the funding source structure has fluctuated due to grant funding. In FY 2000, grant funding constituted 8.3 percent of all supporting funds; however, grant funding contributed 30.1 percent of all funding in FY 2002. This is primarily explained by the receipt of the Youth Development Initiative (Children First grant) and Minority Health Grant funds in FY 2001. However, these grants expire in September 30, 2001 and June 30, 2003, respectively, as discussed in the **background** section. In addition, these

grants are not expected to be renewed. While charges for service have remained relatively consistent, the General Fund's contribution peaked in FY 2001 mainly due to increased salaries and wages, and pension costs. According to the director, these costs are attributable to renovation of the MLK Civic Center and resulting seasonal labor costs.

ECPRD has largely received government grant funding with limited duration rather than establishing long-term private sector philanthropic relationships. In addition, ECPRD was unable to generate any receipts from fundraising activities.

In July of 2001, ICMA conducted a survey that sought information regarding the source of operating budgets for parks and recreation departments within municipalities and county governments across the United States. ICMA surveyed 1,778 cities and counties across the United States. 671 of those respondents were municipalities within the geographical category entitled "East North-Central," including the states of Illinois, Indiana, Michigan, Ohio, and Wisconsin. **Table 6-11** compares ECPRD's funding to average national, regional, and peer funding sources as a percentage of their operating budgets.

Table 6-11: Sources of Parks and Recreation Operating Budgets

	General Fund	Another Local Gov't	Grant Funding	User Fees [1]	Fund Raising
National Average	74.6%	17.4%	18.6%	28.3%	7.5%
East North-Central Region Average	73.8%	6.6%	23.2%	28.5%	10.4%
2002 City of Trotwood	82.3%	0%	11.8%	5.9%	0%
2002 City of Maple Heights [2]	92.7%	0%	0.0%	6.2%	1.1%
2002 City of Garfield Heights	87.7% [3]	0%	0%	12.3%	0% [4]
2002 City of East Cleveland	61.6%	0%	30.1%	8.2%	0%

Source: ICMA, City of East Trotwood, City of Maple Heights, City of Garfield Heights, City of East Cleveland
Note 1: ICMA information reports the average percent of the operating budget for those cities and counties using these funding sources, rather than an overall average. Therefore, these percentages will not have a sum of 100%.
Note 2: The receipts and expenses associated with additional facilities maintained by peers were not included in peer figures and receipts to the extent possible.
[1] For a further discussion of appropriate user fees see **F6.8** and **F6.9**.
[2] Any expenses that did not have a corresponding receipt line item were assumed to be from the General Fund. While revenue sources associated with pool operations were completely removed, only a portion of expense line items attributable to the city's pools could be removed. Therefore, the funding from the General fund is overstated while the funding from fund raising and user fees is understated.
[3] The city of Garfield Heights uses special revenues from income taxes and property taxes as well as a small component from the General Fund, which were grouped with General Fund receipts.
[4] Garfield Heights Parks and Recreation Department uses non-profit booster organizations to conduct fundraising activities for park administered programs.

ECPRD does not engage in any significant fundraising activities, such as activities that seek donations and contributions that are not mandated by tax legislation or are related to the use of City parks and facilities. As a result, significant opportunities to supplement the operating budget and capital improvement plan may be overlooked. According to

the aforementioned ICMA survey, fund-raising is often used for capital improvement projects such as new facilities or facility revitalization.

While peer parks and recreation departments do not use fundraising activities significantly, Maple Height's parks and recreation department has received approximately $7,000 to $8,000 annually from local businesses in fundraising efforts. In addition, the Garfield Heights parks department has two separate booster clubs that support certain programs through fundraising activities. These booster clubs are separate 501(c)(3) corporations. Fundraising money supplemented the operating budget and was used for purchasing uniforms, trophies, equipment, and sponsoring tournaments. Garfield Heights' parks director estimates that the hockey boosters provide $200 per participant or $46,000 annually, and that the softball boosters provide $75 per participant or $37,500 annually. Furthermore, the Garfield Heights parks department has been sponsored by local businesses. In one instance, the department sold a five year exclusive vending rights contract to a local Pepsi distributor for a one time fee of approximately $50,000. The department used this money for capital improvement projects, such as rehabilitation of fences at their baseball diamonds

The director stated that ECPRD is unable to conduct fund raising activities because the council has not approved implementation of fund raising programs. The director stated that the subject of fundraising events has been proposed to the finance director in an informal manner so that these efforts could be funded through budget line items. In addition, the director presented a legislation request form dated September 23, 2002 to establish a "Special Projects" line item to receive and deposit money from fund raising events. However, the request was not formally approved by the City.

The absence of a formal fundraising program ignores a potential source of additional funding. Furthermore, this funding source is relatively more stable and renewable than grant funding. Additional funding from fundraising activities could increase the scope, scale, and quality of Department programs, services, and facilities; resulting in higher citizen satisfaction and participation. Furthermore, an additional funding source increases funding diversification. Finally, a high reliance on short-term grant funding could negatively impact long-term planning efforts as discussed in **F6.2**.

R6.7 City council should enact a city ordinance establishing a line item to receive and deposit money from fund raising events. In addition, it should allocate resources to fund these activities. Following council action to allow for fundraising activities, ECPRD should explore fund raising opportunities and determine those activities that provide the most favorable return on investment of City funds. A survey of users and residents, experiences of other parks and recreation departments, and a needs assessment could help determine appropriate fund raising activities, goals, and uses. Following this analysis, a fundraising program could be established to administer various events and activities. In

addition, ECPRD should solicit volunteers and facilitate the creation of separate booster organizations as in Garfield Heights. These organizations can be activity or function specific and raise money to assist park programs or operations. These funds should be used for supplementing program expenses, general maintenance or operating expenses, or capital improvement projects.

Financial Implications: Assuming future funding sources are consistent with 2002 and ECPRD can achieve results consistent with regional fundraising averages presented in **Table 6-11**, approximately $34,100 could be obtained through fundraising activities on an annual basis.

F6.8 ECPRD's current facility rental fee policies and practices do no sufficiently offset department expenses. According to *Municipal Benchmarks* by David Ammons, 10 best practice municipalities report that the percentages of overall recreation program expenses recovered through fees range from 40 to 92 percent. In contrast, ECPRD's fees were only 8.2 percent of the 2002 operating budget. ECPRD's insufficient recovery of expenses is further indicated in **Table 6-12**, which summarizes the current authorized facility charges according to City Code and compares it to ECPRD's actual rental practices.

Table 6-12: Authorized Department Charges
Compared to Actual Charges

Facility Use	Authorized Charges	Actual Charges
Meeting room rental-Annual meeting (2 hrs.)	$65	$25
Meeting room rental-daily meeting (2 hrs.)	$25	$25
Meeting room rental-birthday party (2 hrs.)	$25	$25
Meeting room rental-Family reunion (2 hr)	$75 ($25 each additional 2 hours)	$25
Exclusive use of Gymnasium (special events, banquets, receptions, etc.)	$200 to $250	$250
Gymnasium Rental	$3 (per person)	$0
Sheltered Playground	$50	$0

Source: City Code Chapters 933.01, 941.01, and 931.10, and ECPRD Director

ECPRD is able to charge an additional fee in the case of refreshment room rental for the purposes of annual meetings or family reunions. However, ECPRD's practice has been to charge a flat rate of $25 for 2 hours of use. Furthermore, while some of these facility use charges are administered effectively and efficiently, the remaining charges are difficult to

enforce. Charges such as rental of playground facilities or outdoor tennis courts are difficult to enforce because access to these facilities is not controlled by ECPRD and these facilities are used by individuals rather than organizations. Individual use of facilities is sporadic, and therefore, difficult to enforce rental charges. In contrast, organizations such as sports leagues could be more easily monitored and charged. In addition to facility usage fees, overall user fees do not charge enough for participation in the programs and services ECPRD administers as is discussed in **F6.9**.

While the City has authorized charges for rental of facilities within the MLK civic center, it does not charge individuals or organizations for use of its baseball and softball fields. In contrast to ECPRD's rental charges, a 2001 ICMA survey of 1,778 cities and counties in the United States indicated that recreation/ community centers, swimming pools, baseball/softball fields, golf courses, and picnic areas with shelters were the top five reported revenue generators in park and recreation operations. Furthermore, the *Catalog of Public Fees and Charges* compiled by the Government Finance Officers Association (GFOA) provides municipal practices for rental of ball fields. These municipalities charge between $10 and $25 for a one hour rental of a field.

R6.8 ECPRD should enforce those portions of city code that allow for additional charges to be levied against certain activities in its refreshment room. By charging for specific activities, the Department would be able to collect additional revenues for use of the refreshment room. In addition, the city council should revise its current facilities rental policies so that a fee is charged for use of the City's baseball and softball fields. These rates should be based upon the prices charged by adjacent municipalities, GFOA national standards, or user willingness to pay for these facilities. Since there are no attendance records that indicate the type of refreshment room rental or the number of individuals or organizations using the City's ball fields, the financial impact of the recommended changes in policies and practices cannot be quantified.

F6.9 ECPRD's current program participation charges do not sufficiently offset program expenses. Additionally, current charges do not appear to be authorized by city council. As illustrated in **Table 6-11**, only 8.2 percent of ECPRD's 2002 operating budget came from user charges compared to the national benchmark of 28.3 percent, the regional average of 28.5 percent, and Garfield Heights' average of 12.3 percent. **Table 6-13** compares ECPRD's fee structure as provided by the director to comparable programs of the peer parks and recreation departments.

Table 6-13: Fee Structures

Participation/ Usage Charge	East Cleveland	Garfield Heights [1]	Maple Heights	Trotwood
Summer Day Camp (per week)	$110 to $70 [2]	N/A	free	$69
Dancing (per month)	Free	N/A	N/A	$20 (10 line dancing classes)
Cheerleading (per lesson)	Free	N/A	N/A	$5
Aerobics and Body Toning- resident/ nonresident (per month)	Free	$27.75/ $35.25 [3]	N/A	$24 [3]
Youth Baseball- resident/ nonresident	Free	$20/ $40	N/A	N/A
Youth Softball	N/A	$20/ $40	$5	N/A
Youth Martial Arts (per month)	Free	N/A	N/A	$15
Youth Soccer	Free	$20/ $40	$5	N/A
Youth Basketball	Free	N/A	$5	N/A
Open Gym (per visit)	$1	N/A	N/A	N/A
Weight Training (per visit)	$1	N/A	N/A	N/A

Source: ECPRD and the City of Garfield Heights, City of Maple Heights, and City of Trotwood
Note 1: ECPRD is authorized to charge users for roller skating; however, these activities are not available due to the state of facilities.
Note 2: "N/A" indicates that these programs or activities are not administered by the department.
[1] Garfield Heights requires an identification card for participation in any activity; however, the same identification card can be used for additional activities in that year. The cost of this card is included in each participation charge presented.
[2] ECPRD has a sliding rate scale that varies based upon the number of participants within a household and whether the children stay for the extended program hours.
[3] These figures were adjusted for a monthly payment

Table 6-13 illustrates that ECPRD does not charge participants for many of the programs it administers. With the exception of Summer Day Camp, open gym, and weight training, ECPRD does not charge any user fees. However, ECPRD's ability to set user charges is largely dictated by the willingness of City residents to pay for participating in these programs. Therefore, a survey of East Cleveland citizens was conducted by AOS.

A survey of 76 randomly selected registered voters residing within the City revealed that residents have a varied willingness to pay for participation in certain activities. As a result, ECPRD has some ability to increase its charges for participation in its programs. The **Appendix** illustrates the distribution of the residents' willingness to pay for participation in the programs administered by ECPRD.

The survey results, as well as ECPRD's operations as a whole, can be viewed in context of microeconomic theory, as explained in Case and Fair's *Principles of Microeconomics*. The survey results for citizens' willingness to pay can be used to determine an approximate demand for ECPRD programs and services. However, inconsistent with microeconomic theory, ECPRD does not make programming and budgeting decisions based upon a traditional profit motivated supply curve. Rather, it provides services and programs without a profit motivation because it is subsidized by local and other taxes.

Therefore, a certain level of output will be provided at no additional charge to users and participants. However, these local tax subsidies are not sufficient to offer the current scope and scale of services without outside funding, as is evidenced by the heavy reliance upon grant funding in **Table 6-11**.

Assuming that the survey results are representative of the attitudes of citizens at large and that responses are normally distributed within each user fee category, it is possible to determine the user fee category that would result in maximum program receipts. While these fees may result in lower participation rates, the offsetting increases in user fee receipts allows this analysis to conclude the price level and the resulting demand level that will result in a revenue maximizing strategy. **Table 6-14** presents user rates likely to result in maximum program revenues.

Table 6-14: Optimal Usage Charge for Programs

Program	Basis of User Charge	Maximum Revenue Generating Usage Fee	Program	Basis of User Charge	Maximum Revenue Generating Usage Fee
Youth Basketball	One-time charge	$11 to $15	Youth Baseball	One-time charge	$11 to $15
Youth Flag Football	One-time charge	$11 to $15	Youth Soccer	One-time charge	$11 to $15
Youth Archery	One-time charge	$6 to $10	Youth Fishing	One-time charge	$6 to $10
Computer Instruction	Per session	$4 to $5	African Dance and Drumming	One-time charge	$11 to $15
Youth Reading Club	Monthly charge	$11 to $15	Youth Modeling	One-time charge	$11 to $15
Arts and Crafts	One-time charge	$6 to $10	Civic Awareness	Monthly charge	$11 to $15
Job Fair	One-time charge	$6 to $10	Youth Tennis Lessons	Per Session	$4 to $5
Open Gym	Per session	$4 to $5	Martial Arts	Monthly charge	$1 to $15
Youth Boxing	Monthly Charge	$1 to $15	Youth Wrestling	One-time charge	$1 to $15
Senior Aerobics	Monthly charge	$1 to $15	Adult Aerobics	Monthly charge	$1 to $15
Weight Training	Monthly charge	$11 to $15	Summer Day Camp	Weekly charge	$1 to $25
After School Transportation	Monthly charge	$11 to $15	Youth Dancing/ Cheerleading	One-time charge	$1 to $15

Source: A survey of randomly selected registered voters residing within the City.

These optimal revenue participation charges could indicate the feasibility of each program to operate independently from ECPRD funding. This analysis assumes that maintenance of the parks and facilities represents the primary source of ECPRD's

operational fixed costs and the program or activity expenses represent the primary source of variable costs. Fixed costs represent those costs that are constant, regardless of the level of use or service, and will be incurred as the minimum operational expenses. Variable costs are those that increase with additional use of facilities or services. Therefore, park maintenance duties would be the first priority of ECPRD, and any remaining local tax money could be distributed to programs based upon citizen priorities as discussed in **F6.6** and **R6.6**.

In deciding the continuation of current programs as going concerns, microeconomic theory states that those organizations that have committed long-term resources, and therefore, are subject to long-term fixed costs, should continue to provide services even at a loss, as long as price/revenues are sufficient to cover average variable costs. In this instance, the organization will stand to gain by operating rather than shutting down because fixed costs will be partially offset by the surplus of revenues over variable costs. This is in contrast to those programs that are under consideration for implementation. Any additional programs under consideration for implementation need to be evaluated for feasibility according to their ability to be funded by the revenues they generate from operations.

Optimally, fiscal records for each administered program would allow this analysis to determine the feasibility of administrating these programs compared to the available revenues. Unfortunately, the lack of detailed financial records precludes this analysis from determining the optimal scope and scale of Department administered programs (see **F6.10** and **R6.10**).

R6.9   The city council should review its current parks fee schedule to authorize those fees charged to residents for participation in ECPRD programs. This will update city code and operating policies to be consistent with current operations. In addition, the city council should revise its current program participation charges to reflect those presented in **Table 6-14**. These charges should be collected prior to participation to ensure collection of participation fees. These fees will provide additional stability in funding of ECPRD's activities and programs as well as provide additional funding source diversity. Making ECPRD's programs more self-sufficient will lessen the burden upon the City's General Fund, thus helping to address the City's fiscal emergency condition

The first priority of ECPRD's local tax funding should be the maintenance of city parks and facilities because these expenses represent fixed costs. Furthermore, these maintenance expenditures should be prioritized to those facilities that are most frequented by the citizens of the City (see the **background** section of this report). A secondary priority of ECPRD should be the expenses related to administered programs and activities. Surplus local tax funding can then be applied to programs based upon citizen priorities discussed in **F6.6**. Those programs that cannot be funded by tax subsidies

should be self-sufficient so that they can be solely supported by usage fees. Therefore, ECPRD should administer services to the extent that generated program revenues will allow.

Financial Implication: Using ECPRD's available attendance records for 2001 and 2002 and the midpoint price in the categories resulting in maximum revenue, approximately $32,000 would be generated by implementing the charges presented in **Table 6-14**. This assumes that the survey results reflect the participants' willingness to pay, future participation levels remain consistent with prior years, and those respondents within the participation fee category are normally distributed within the category. Nonetheless, it should be noted that this estimate is based upon ECPRD's problematic attendance records.

F6.10 ECPRD lacks sufficient and detailed financial records to fully analyze operations, including the optimal scope and scale of administered programs (see **F6.6** and **R6.6**). ECPRD currently maintains manual records, by line item, within each fund that supports ECPRD operations. These manual records are submitted to the Finance Department on a monthly basis. In contrast, peer parks and recreation departments such as Trotwood and Garfield Heights also maintain cost accounting records for each administered program. Garfield Heights maintains and tracks costs according to the following: recreation board, each recreation center, an Easter egg hunt, senior citizens' baseball game, fourth of July fireworks, administrative, swimming, skating, special events, organized sports, etc. Trotwood's parks and recreation department maintains and tracks costs according to the following: parks and recreation administration, parks maintenance, municipal pools, rental facilities, recreation programs, and park development improvements.

Trotwood's parks and recreation director recently began maintaining these records for each administered program with Microsoft Excel software. Garfield Heights' parks and recreation director maintains these records with Microsoft Money software, which allows users to manage payroll, track receivables and payables, manage customers and vendors, and track business cash flow. With some adjustment, these functions can be converted to a cost accounting basis for each program or cost center desired. This software costs approximately $60 to $85. QuickBooks Premier Edition 2003 software sells for approximately $500 and allows users to create forecasts, business plans, track sales orders, create budgets, conduct job costing and estimates, determine price levels, track income and expenses by class, and handle cash or credit sales. These functions can be converted to park cost accounting needs. Finally, RecWare SAFARI is comprehensive software customized to assisting parks and recreation operations in specific activities, such as fee collection, promotions, front desk interaction, point of sale capabilities, data exchange with field offices, financial recording and reporting, and activity scheduling. While rates vary with number of users and locations, RecWare has a basic rate of $9,995.

R6.10 To adequately determine those programs that can be supported by the revenues, effectively maintain and track financial data, and fully understand the nature of expenses, costs and revenue should be maintained at the program level of detail. Expenditures should be categorized according to their fixed or variable nature. In addition, ECPRD should evaluate the costs and benefits of available accounting and other software packages, such as Microsoft Money and QuickBooks Premier Edition, to assist with monitoring costs, performance, and outcomes of ECPRD administered programs. Improved financial records will allow ECPRD to better administer programs for increased impact and efficiency. Furthermore, it will allow ECPRD to determine the feasibility of continuing existing programs and deciding whether to implement additional programs based upon the costs and revenues they generate.

Financial Implication: Software that costs between $85 to $500 would benefit ECPRD.

Grant Funding

F6.11 As was illustrated in **Table 6-10**, ECPRD has obtained significant grant funding during FY 2001 and FY 2002. However, this funding will expire during mid 2003 with no replacement funds expected (see *background* section). While grant seeking activities have been modestly successful, ECPRD's grant seeking practices can be improved.

Currently, grant applications are prepared primarily by the director with assistance from the City grant writer. However, grant seeking is a relatively informal procedure guided by the director's general perception of future funding needs. These needs, in turn, are directed by an informal list of goals the director established upon the start of her employment as discussed in **F6.2**.

The current grant seeking practices entail identification of potential grant funding by reading newspapers, reviewing funding periodicals, and consulting with those organizations that participate in the same collaborative programs. These organizations include the East Cleveland Neighborhood Center, Eastside Catholic Shelter, Harvard Community Services Center, Rap Art Association, and the Administarial Day Care Alliance. As a result of these activities, ECPRD has received three separate grants greater than $5,000 during FY 1999 to FY 2002. **Table 6-15** summarizes the grant receipts ECPRD has received during this time period, as well as those grants that are still maintained as balances within various special revenue funds.

Table 6-15: Historical Grant Funding

Grant	Administrating Agency	Duration	Total Grant Amounts
U.S. Tennis Association	Private Foundation	1999	$480
American Greeting Cards	Private Foundation	2000	$500
Out of School Time	Juvenile Justice Program	June 2000 to October 2000	$25,510
Youth Enrichment Consortium Summer Program	Cuyahoga County Commissioners	June 2000 to August 2000	$2,268
Minority Health Month	Commission on Minority Health	2001	$1,525
Youth Development Initiative	Juvenile Justice Program, Department of Justice Affairs	January 2001 to June 2001	$47,715
Youth Development Initiative	Juvenile Justice Program, Department of Justice Affairs	July 2001 to September 2001	$9,406
Minority Health- Families for Fitness	Commission on Minority Health	July 2001 to June 2002	$80,828
Minority Health- Families for Fitness	Commission on Minority Health	July 2002 to June 2003	$100,000
Ford Motor Company	Private Foundation		$10,000
TOTAL			**$278,232**

Source: ECPRD

ECPRD's grant seeking efforts have largely been directed toward those grants that help subsidize its programs and services, while its capital improvement needs have received less attention. This is partially explained by its relationship with the Parks Association discussed in **F6.5**.

In comparison to best practice parks and recreation departments, ECPRD has the potential to increase its grant seeking efforts. According to an ICMA report entitled *Comparative Performance Measurement*, Westerville, Ohio's parks and recreation department had the highest grants, endowments, and foundations per capita at $10.48. In contrast, ECPRD received $111,700 in 2002, or approximately $4.10 per capita.

In addition to grant information published by specific state and federal agencies, information regarding available grants and their eligibility requirements can be found in the following sources:

- Grant Source- a newsletter published by the Auditor of State every other month, which provides specific grant opportunities, grant writing and research information;
- Federal Register- contains all current grant solicitation notices issued by federal agencies;
- Catalog of Federal Domestic Assistance- a searchable database of federal grant programs;
- Office of Management and Budget Circulars;

- The Foundation Center- a comprehensive source about grant writing and the funding process with internet links to private and corporate foundations; and
- The Nonprofit Times.

Table 6-16 illustrates grants awarded in 2002 whose eligibility standards are similar to ECPRD's characteristics.

Table 6-16: Available Grant Opportunities

Grant:	Administrating Agency	Purpose of Grant
Child and Adult Care Food Program & Summer Food Service Program	Ohio Department of Education (ODE)- Office of Child Nutrition Services	Offers funds for meals and snacks for children during after-school and summer hours in low-income areas between the ages of birth to 18 years of age. Reimbursement is based on the percentage of children in each of three income categories multiplied by the number of meals served, multiplied by the reimbursement rate for each income category.
Physical Education for Progress Grants	US. Department of Education	Initiate, expand, and improve physical education programs, including after-school programs, for students in kindergarten through 12th grade. Funds for equipment, staff, teacher training, education, and support for physical education activities is available.
Urban Park and Recreation Recovery Program- Rehabilitation Grants	National Parks Service; or City of Cleveland (if not applying as a discretionary applicant)	Rehabilitation Grants are matching grants (70% federal/30% local) to eligible local governments for remodeling, rebuilding, expanding or developing existing outdoor or indoor recreation areas and facilities.
Urban Park and Recreation Recovery Program- Innovation Grants	National Parks Service; or City of Cleveland (if not applying as a discretionary applicant)	Innovation grants are matching grants (70% federal/30% local) which must be designed to demonstrate innovative and cost-effective ways to enhance park operations such as: unique integration of recreation with other community services: new management and cost saving or service efficient approaches; innovation in improving transportation and public access; facilitating involvement of the community; improved use of land resources; adaptive reuse of facilities and areas; and prevention of crime are eligible.
Clean Ohio Trails Fund	Ohio Department of Natural Resources (ODNR)- Division of Real Estate & Land Management	75% of project costs for eligible trail acquisition and development costs
Land and Water Conservation Fund	ODNR- Division of Real Estate & Land Management	Provides funds for planning, acquisition, and development of needed land and water areas and facilities with a 50% reimbursement.
Nature works: Parks & Recreation	ODNR- Division of Real Estate & Land Management	Up to 75% reimbursement for acquisition, development, or rehabilitation of public park and recreation areas

Recreational Trails Program	ODNR- Division of Real Estate & Land Management	Up to 80% matching federal funds is reimbursed for development of urban trail linkages, trail head and trailside facilities, maintenance of existing trails, restoration of trail areas damaged by usage, improving access for people with disabilities and acquisition of easements and property
Outdoor Skills "Step Outside"	ODNR- Division of Wildlife	Up to $500 per event (annual 2 event limit) for hands on training in the shooting sports and fishing education. In addition, custom grants of longer duration (up to 1 year) and larger amounts are available.
Clean Ohio Green Spaces Conservation Projects	Cuyahoga County Natural Resources Assistance Council (CCNRAC)	$150 million in grants awarded for projects including: purchase of open spaces, cost of making green spaces available to the public, protection of stream corridors and the area along a waterway that provides wildlife habitat.
Clean Ohio Brownfields Projects	Clean Ohio Council	Revitalization of now vacant or underutilized, industrial sites with an economic and environmental benefit to be used for a combination of industrial, commercial, or residential uses.
Nike: Bowerman Track Renovation Program	Private Sector: Nike	Provide matching cash grants up to $50,000 to community based, youth-oriented organizations that seek to refurbish or construct running tracks.
Soaring Beyond Expectations	ODE	Holistic approach to keep children in Title 1 schools or low-income families safe and off the street during times when school is not in session and provide an additional opportunity to gain academic assistance in subjects such as math and reading. Provides a minimum of funding up to $50,000.
Safe and Drug-Free Schools and Communities Act	Local Alcohol Drug Addiction and Mental Health Services	Funds the delivery of alcohol and other drug prevention services/activities. Continued funding is available after a review of performance measures and availability of funds.

Source: Ohio Department of Natural Resources, National Parks and Recreation Association, US Department of Education, Ohio Department of Education, National Parks Service, and Ohio Department of Alcohol and Drug Addiction Services

As a result of ECPRD's informal grant seeking and management practices, ECPRD may not receive the maximum grant funding available to help offset expenses.

R6.11 ECPRD should implement formal grant identification and application policies and procedures. These procedures should require a quarterly review of funding opportunities, a prioritized list of resources and contacts, a review of funding received by similar operations, and criteria for pursuing grant funding. Criteria for pursuing grant opportunities should include how well the grant's purpose corresponds with ECPRD's mission and strategic plan, ECPRD's prior relationship with grant administrators, the proposed program's ability to continue operations after the funding period, and ECPRD's probability of receiving funding. With these policies and practices in place, the effectiveness and efficiency of ECPRD's grant seeking efforts should improve.

Financial Implication: Assuming that ECPRD can secure grant funding comparable to that of Westerville, OH, it could potentially receive an additional $173,500 in grants, endowments, and foundation funds annually.

F6.12 While grant seeking activities have been modestly successful, more selective initiation of programs and better grant management practices can reduce funding inconsistencies. **Table 6-10** reveals large fluctuations in ECPRD funding levels. For instance, the Department received a high of $453,100 in 2001 and a low of $259,900 in 1999; an increase of 74 percent. While this funding allows an expansion of the scope of department activities, its variable nature results in inconsistent programming, staffing, and activities.

Uncertain funding of ECPRD programs is partially explained by a lack of funding foresight at the outset of grant applications and insufficient grant management practices. As discussed in **F6.11**, grant seeking is a relatively informal procedure guided by the director's general perception of future funding needs. Since most grant funding is of a limited duration for initial program costs, it is important to fund only those activities that have a stable alternative funding source going forward. Assuming an absence of alternative funding, an organization's proposed programs must be self-sufficient on a long-term basis. In this context, potential programs could be limited to those with a reasonable expectation of being sustainable. However, should ECPRD seek to continue funding its activities and programs through grant funding, effective grant management practices are instrumental to re-securing grant funding on a consistent basis (see **R6.11**).

With the exception of mandatory reporting requirements for certain funding, ECPRD's current grant management practices are not distinguishable from those of ECPRD's general management practices discussed in **F6.2**. In addition, the duties specifically associated with grant management are not formally defined or assigned to anyone in the organization, but are performed by the director.

Robert Leffert's *The Basic Handbook of Grants Management*, defines the duties of a grants administrator as follows:

- Understand and respond to requirements imposed by the host agency and the funding agencies;
- Organize the project staff, activities, and processes in a manner that will expedite the implementation of the program's activities;
- Communicate and report on performance to funding agencies, the host agency, project staff, project participants, and external groups;
- Lead, direct, and control the project's programmatic, administrative, and financial activities;

- Resolve internal and external crises; and
- Develop plans for future funding of the project or related activities.

Currently, the primary management tools used by ECPRD in grant management are the same tools discussed in **F6.3**. In addition, ECPRD prepares reports for those organizations providing the grant funding. However, these documents primarily rely upon performance measurements that use inputs rather than outputs. Furthermore, goals and planning documents are broadly defined without quantifiable outcome statements or timetables.

The Basic Handbook of Grants Management suggests the following management tools to ensure monitoring and controls over staff and project progress:

- Timetables- such as Gantt charts listing major activity phases, assigning time estimates, and then estimating start and completion dates;
- Flow charts- a conceptualization of the flow of activities;
- Performance measures- where productivity may be measured in terms of process (# of hours in activities), in terms of output, or a combination of the two;
- Program/Process evaluation; and
- Fiscal management.

Effective management tools aid in planning and managing projects to ensure mission achievement. In addition, planning and performance monitoring provides solid benchmarks and performance indicators to communicate with grant providers (see **F6.2**). In this manner, grant providers are able to determine the effectiveness of offering ECPRD funding. Quantifiable funding impacts can be evaluated objectively by the grant providers, and therefore, can be effective tools in renewing funding.

While ECPRD prepares mandatory reporting documents for grant providers, the Department does not volunteer information beyond those requirements. Furthermore, those stakeholders that do not mandate performance or progress reports may benefit from this information. As discussed in the background section, the minority health grant from the commission on minority health is the largest grant ECPRD currently receives. A conversation with the director of the Commission on Minority Health and the program director revealed opportunities for improvement in the areas of performance monitoring and interagency communication. The director specifically noted that ECPRD did not demonstrate sufficient compliance. Progress reports were not submitted in a timely manner and were frequently incomplete. The program director also noted a general lack of outcome based performance measures to indicate ECPRD's progress toward meeting its stated goals. The director also stated that ECPRD's financial records were insufficient for financial audits and significant effort was required for these monitoring activities. As a result of ECPRD's insufficient communication, reporting, financial records, and

outcome based performance measures, the Commission would be reluctant to extend further funding to ECPRD in the form of additional grants.

The Basic Handbook of Grants Management further states that effective grant management requires communicating with five different groups. Each group requires different types and levels of information. The following lists the different stakeholder groups and the information they require for effective communication of program results:

- Communicating with funding sources- formal program, financial, and operational reports;
- Communicating with the host agency- reports on finances, administration, and program, as well as informal communication with superiors and other units of the host agency to coordinate efforts and develop collaborative arrangements;
- External communication with other agencies and organizations- reports to regulatory agencies, and information to build a constituency and support among the community;
- Internal communications with project personnel- Planning and conducting training, consultation for administrative decisions, and keeping them informed of progress; and
- Communication regarding project achievements- preparation of final reports, dissemination of reports to funders, host agencies, and community organizations.

From a practical perspective, *The Basic Handbook of Grants Management* recommends five steps to establishing an effective reporting system:

- Set up report materials files with prior reports to funders and host agencies, the project proposal, the grant award notice, information about the funding source, information about the reporting requirements and forms, and correspondence and relevant news clips;
- Prepare a master schedule of reports;
- Establish a report preparation and production schedule;
- Assign preparation responsibilities; and
- Prepare reports.

R6.12 ECPRD should closely scrutinize additional programs and activities requiring grant funding. Prior to submitting grant applications, ECPRD should identify alternative funding sources to ensure continuation of these programs and activities following the expiration of any grant funding. Should continuing funding sources be unavailable, only those programs and activities that can sustain their own funding needs through the revenues they generate should be pursued for grant subsidies (see **F6.9**).

ECPRD should also enact formal grant management policies that define the responsibilities of personnel in the grant management function, use sufficient management tools, and formalize the reporting process and communication policy. Personnel roles should be specific to the performance of each grant's mission so that staff members are clear as to their roles in the planning, management, and reporting functions of grant administration. Management tools should include time lines, performance measures, process charts, and fiscal management with sufficient detail to budget and track costs at the program level. A communication/reporting policy should be developed so that the stakeholders, such as the grant provider, the City's administration, associated external agencies and organizations, internal staff, program participants, and all other stakeholder groups, receive the appropriate scope and scale of information regarding the Department's programs.

Financial Implications Summary

The following table is a summary of estimated annual revenue enhancements, estimated annual implementation costs, and estimated one-time implementation costs for the recommendations in this section of the report. For the purpose of this table, only recommendations with quantifiable financial impacts are listed.

Summary of Financial Implications

Recommendation	Estimated Annual Revenue Enhancements	Estimated Annual Implementation Costs	Estimated One-Time Implementation Costs
R6.2: Conduct household and user surveys		$5,000	
R6.7: Implement fund raising program	$34,100		
R6.9: Implement program user fee schedule	$32,000		
R6.10: Implement software to better monitor and track financial data			$500
R6.11 & R6.12: Implement formal grant seeking and grant management policies	$173,500		
Total	**$239,600**	**$5,000**	**$500**

Conclusion Statement

ECPRD and the City have made significant efforts to meet the challenges of a fiscal emergency condition through staffing reductions, while trying to maintain city owned parks and recreational programs with additional grant funding. These efforts could be better guided with additional management direction and monitoring. In addition, ECPRD could better focus and prioritize its resources to ensure fiscal responsibility and citizen satisfaction.   Furthermore, while ECPRD has had some modest success with grant seeking efforts, there is potential for additional grant funding through improved application policies and grant management practices.

ECPRD employs ad-hoc management practices that often are in response to emergency conditions to ensure continuation of operations. Challenging fiscal conditions require ECPRD focus its resources on those critical activities in a more systematic manner. Formal planning techniques aid organizations in determining their priorities and implementing plans to achieve their missions. A specific and quantifiable strategic plan consistent with the City's mission and vision would help ECPRD to determine short-term operational activities in context of larger goals. However, effective implementation of these goals requires an effective monitoring capability. Currently, ECPRD employs rudimentary monitoring techniques that are not outcome focused. Parks and recreation departments do not provide tangible products or services, rather they provide recreational opportunities. Therefore, citizen surveys and measuring various aspects of satisfaction, would allow assessment of ECPRD's output in a quantified manner. Planning and monitoring allow an organization to prioritize it duties and operations in the most efficient manner.

Fiscal conditions mandate that ECPRD prioritize its duties and operations so that the most important duties continue to be performed. The nature of park maintenance duties requires that ECPRD establishes the maintenance function as its top priority over programming and administration of activities. Park maintenance is a fixed cost in that these duties are required in order to prevent legal liability and citizen dissatisfaction. In addition, the maintenance function includes preventative maintenance to avoid future repair or renovation expenditures. However, ECPRD has placed a greater emphasis on the administration of activities and programs, as evidenced by staffing allocations predominantly to programming or administrative functions. Consequently, ECPRD staff needs to be reallocated to effectively perform required maintenance duties.

In conjunction with staffing reallocations, ECPRD should reduce the number of activities that it administers. An emphasis on leveraging existing facilities and staff expertise should be employed by decreasing the number of activities ("scope") and increasing the number of programs within those activity categories ("scale"). In this manner, ECPRD can generate higher facility utilization rates. Furthermore, activities should be prioritized so that ECPRD only funds those programs valued most by the citizens. Any activities or programs that cannot be fully funded by local tax subsidies should be fully self-sufficient through user charges. User charges

will effectively prioritize programs so that those programs which are truly priorities of the local population will continue to be offered through their operating revenues.

Finally, pursuit of additional subsidies in the form of fundraising and grant funding can be improved. Fundraising events provide additional local support, thereby increasing the base level of service that ECPRD may provide the citizens free of charge. While current grant funding efforts have been moderately successful, there is potential for additional support. In order to obtain additional grant funding, ECPRD should systematically search for opportunities and have a methodology in place to determine whether to pursue those funds. Furthermore, grant management practices are interrelated in that measurable high performance validates additional or continued funding.

Through more focused management practices and established priorities, ECPRD will be better able to provide the best level of service to its citizens within its resource constraints. In this manner, ECPRD will help to improve the City's financial condition.

Appendix

Graph 6-5 through **Graph 6-25** indicates the distribution of the residents' willingness to pay for participation in the programs administered by ECPRD. Based on the number of participants willing to pay within each pricing category and the subsequent amount of revenue that would be generated, this analysis determines the price level that would result in maximizing revenue (see **F6.9** and **R6.9**).

Graph 6-5: Residents' Willingness to Pay for Participation in a Youth Basketball Program
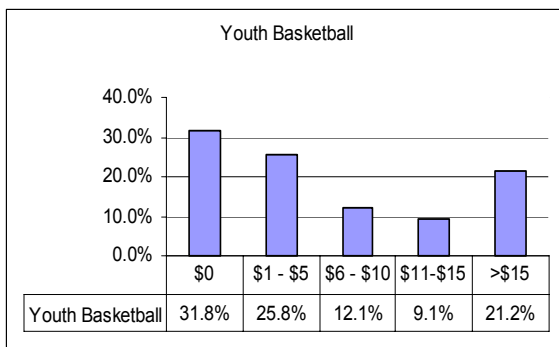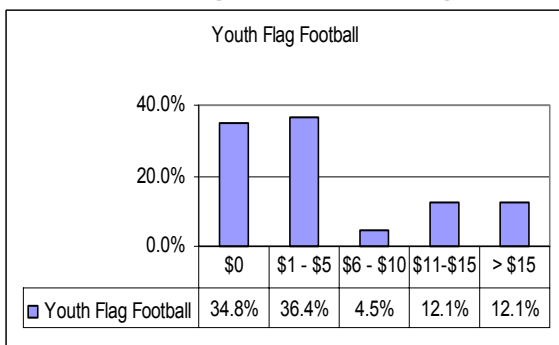
Youth Basketball

	$0	$1 - $5	$6 - $10	$11-$15	>$15
Youth Basketball	31.8%	25.8%	12.1%	9.1%	21.2%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

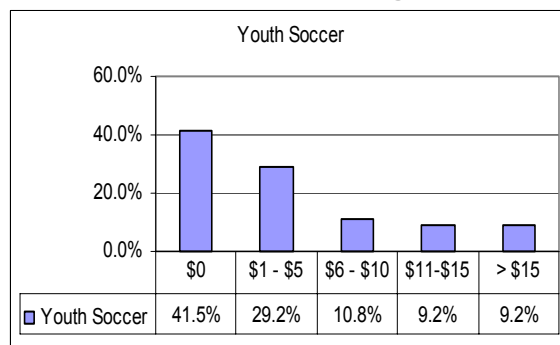### Graph 6-6: Residents' Willingness to Pay for Participation in a Youth Baseball Program
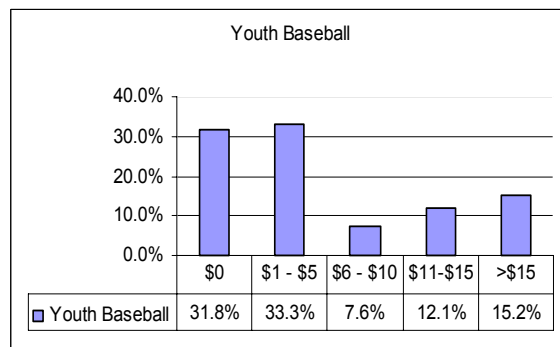
Youth Baseball

	$0	$1 - $5	$6 - $10	$11-$15	>$15
Youth Baseball	31.8%	33.3%	7.6%	12.1%	15.2%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

Graph 6-7: Residents' Willingness to Pay for Participation in a Youth Flag Football Program
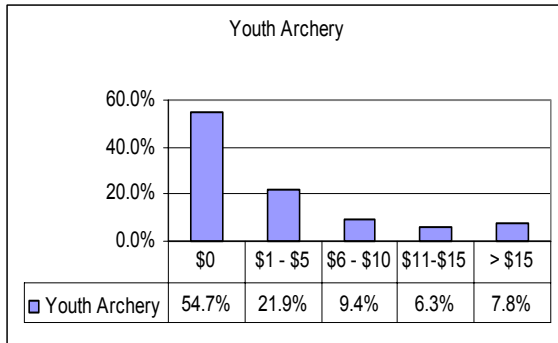
Youth Flag Football

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Youth Flag Football	34.8%	36.4%	4.5%	12.1%	12.1%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

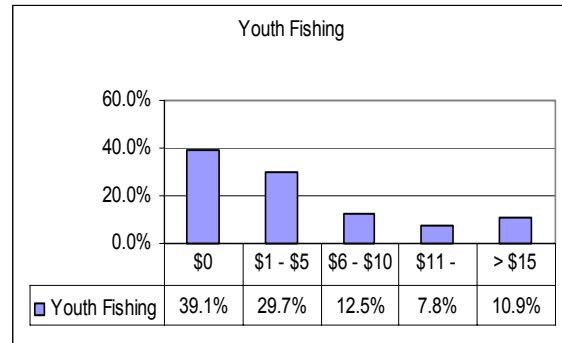### Graph 6-8: Residents' Willingness to Pay for Participation in a Youth Soccer Program

Youth Soccer

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Youth Soccer	41.5%	29.2%	10.8%	9.2%	9.2%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

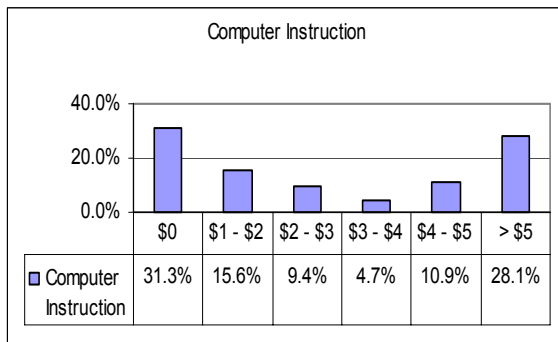## Graph 6-9: Residents' Willingness to Pay for Participation in a Youth Archery Program

Youth Archery

	$0	$1 - $5	$6 - $10	$11-$15	> $15
■ Youth Archery	54.7%	21.9%	9.4%	6.3%	7.8%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

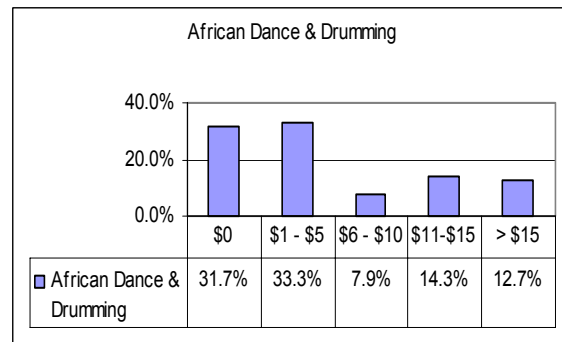## Graph 6-10: Residents' Willingness to Pay for Participation in a Youth Fishing Program

Youth Fishing

	$0	$1 - $5	$6 - $10	$11 -	> $15
■ Youth Fishing	39.1%	29.7%	12.5%	7.8%	10.9%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

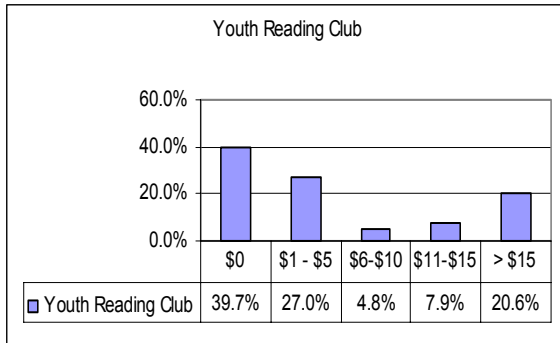## Graph 6-11: Residents' Willingness to Pay for Participation in a Computer Instruction Program

Computer Instruction

	$0	$1 - $2	$2 - $3	$3 - $4	$4 - $5	> $5
■ Computer Instruction	31.3%	15.6%	9.4%	4.7%	10.9%	28.1%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

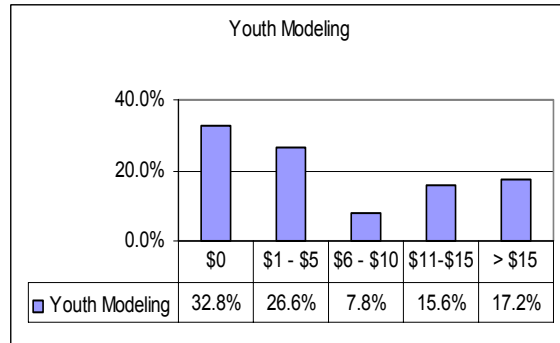## Graph 6-12: Residents' Willingness to Pay for Participation in African Dance & Drumming

African Dance & Drumming

	$0	$1 - $5	$6 - $10	$11-$15	> $15
■ African Dance & Drumming	31.7%	33.3%	7.9%	14.3%	12.7%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

Graph 6-13: Residents' Willingness to Pay for Participation in a Youth Reading Program
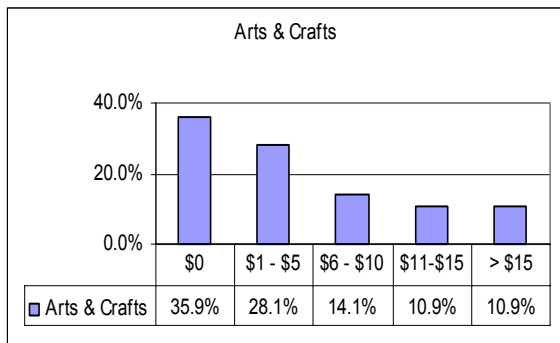
Youth Reading Club

	$0	$1 - $5	$6-$10	$11-$15	> $15
Youth Reading Club	39.7%	27.0%	4.8%	7.9%	20.6%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

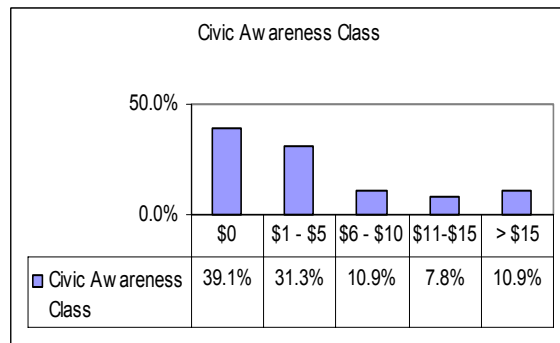### Graph 6-14: Residents' Willingness to Pay for Participation in a Youth Modeling Program

Youth Modeling

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Youth Modeling	32.8%	26.6%	7.8%	15.6%	17.2%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

Graph 6-15: Residents' Willingness to Pay for Participation in a Arts & Crafts Program

Arts & Crafts

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Arts & Crafts	35.9%	28.1%	14.1%	10.9%	10.9%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

Graph 6-16: Residents' Willingness to Pay for Participation in a Civic Awareness Class

Civic Awareness Class

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Civic Awareness Class	39.1%	31.3%	10.9%	7.8%	10.9%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

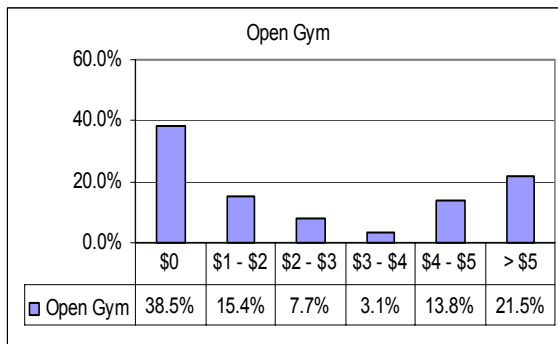## Graph 6-17: Residents' Willingness to Pay for Participation in a Job Fair
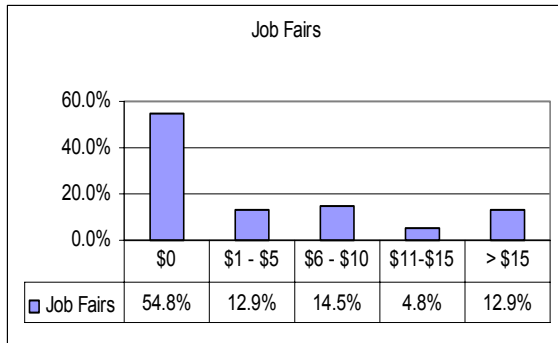
Job Fairs

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Job Fairs	54.8%	12.9%	14.5%	4.8%	12.9%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

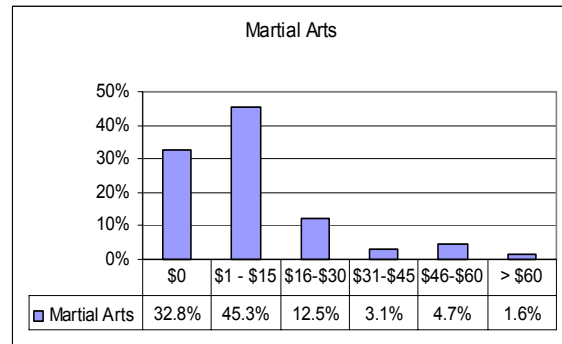## Graph 6-18: Residents' Willingness to Pay for Participation in Youth Tennis Lessons
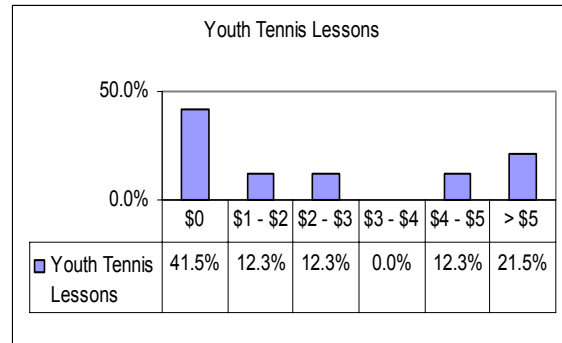
Youth Tennis Lessons

	$0	$1 - $2	$2 - $3	$3 - $4	$4 - $5	> $5
Youth Tennis Lessons	41.5%	12.3%	12.3%	0.0%	12.3%	21.5%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

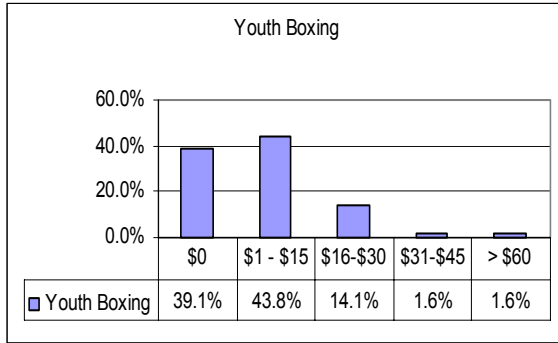## Graph 6-19: Residents' Willingness to Pay for Participation in an Open Gym Program

Open Gym

	$0	$1 - $2	$2 - $3	$3 - $4	$4 - $5	> $5
Open Gym	38.5%	15.4%	7.7%	3.1%	13.8%	21.5%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

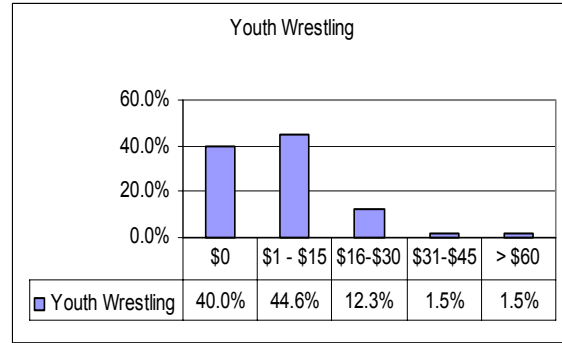## Graph 6-20: Residents' Willingness to Pay for Participation in a Martial Arts Program

Martial Arts

	$0	$1 - $15	$16-$30	$31-$45	$46-$60	> $60
Martial Arts	32.8%	45.3%	12.5%	3.1%	4.7%	1.6%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

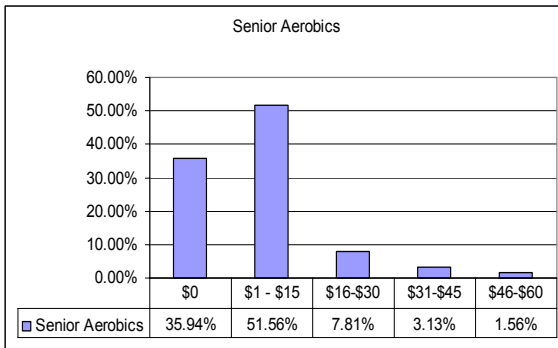## Graph 6-21: Residents' Willingness to Pay for Participation in a Youth Boxing Program

Youth Boxing

	$0	$1 - $15	$16-$30	$31-$45	> $60
■ Youth Boxing	39.1%	43.8%	14.1%	1.6%	1.6%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

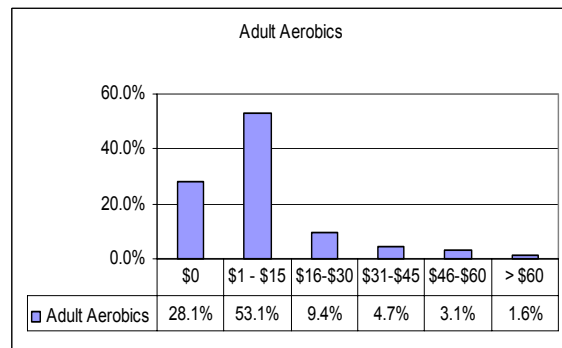## Graph 6-22: Residents' Willingness to Pay for Participation in a Youth Wrestling Program

Youth Wrestling

	$0	$1 - $15	$16-$30	$31-$45	> $60
■ Youth Wrestling	40.0%	44.6%	12.3%	1.5%	1.5%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

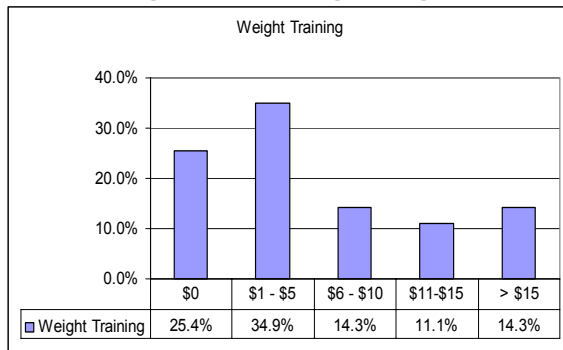## Graph 6-23: Residents' Willingness to Pay for Participation in a Senior Aerobics Program

Senior Aerobics

	$0	$1 - $15	$16-$30	$31-$45	$46-$60
■ Senior Aerobics	35.94%	51.56%	7.81%	3.13%	1.56%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

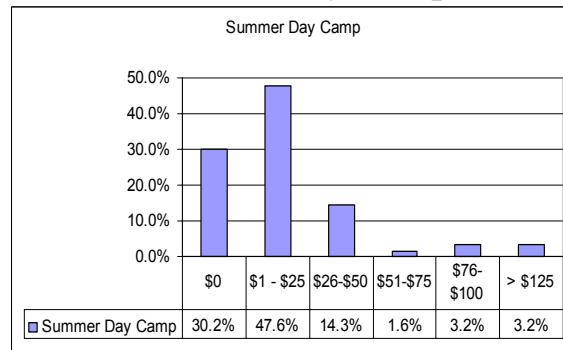## Graph 6-24: Residents' Willingness to Pay for Participation in a Adult Aerobics Program

Adult Aerobics

	$0	$1 - $15	$16-$30	$31-$45	$46-$60	> $60
■ Adult Aerobics	28.1%	53.1%	9.4%	4.7%	3.1%	1.6%

Source: A survey of randomly selected registered voters within the City of East Cleveland

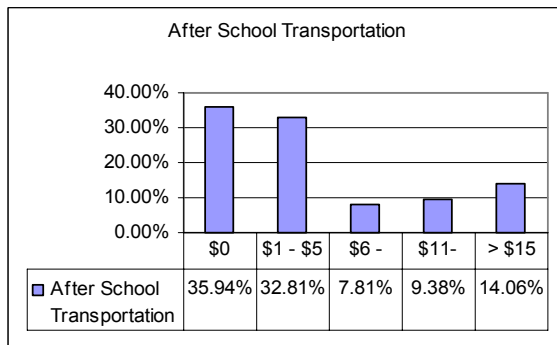## Graph 6-25: Residents' Willingness to Pay for Participation in a Weight Training Program

Weight Training

	$0	$1 - $5	$6 - $10	$11-$15	> $15
Weight Training	25.4%	34.9%	14.3%	11.1%	14.3%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

## Graph 6-26: Residents' Willingness to Pay for Participation in a Summer Day Camp

Summer Day Camp

	$0	$1 - $25	$26-$50	$51-$75	$76-$100	> $125
Summer Day Camp	30.2%	47.6%	14.3%	1.6%	3.2%	3.2%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

Graph 6-27: Residents' Willingness to Pay for Participation in an After School Transportation Program

After School Transportation

	$0	$1 - $5	$6 -	$11-	> $15
After School Transportation	35.94%	32.81%	7.81%	9.38%	14.06%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

Graph 6-28: Residents' Willingness to Pay for Participation in a Dancing/Cheerleading Program
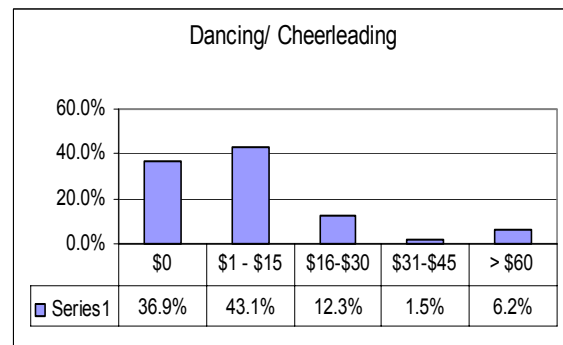
Dancing/ Cheerleading

	$0	$1 - $15	$16-$30	$31-$45	> $60
Series1	36.9%	43.1%	12.3%	1.5%	6.2%

Source: A survey of randomly selected registered voters within the City of East Cleveland.

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