

## Decision Packages - 2022 Sedgwick County Budget

### [879] Redistricting/Change of Polling Place Notification

<b>Division:</b>	Election Commissioner	<b>Contact Name:</b>	Sandra Gritz
<b>Department Priority:</b>	1	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	66001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	

#### Summary

This funding would be used to notify registered voters affected by redistricting of their new voting districts and polling place assignments. The Sedgwick County Print Shop has indicated that a mailing of this size would require outsourcing.

As the exact number of voters who will be affected by Redistricting in 2022 is not currently known, it is prudent to include funding in the Election budget adequate to send a required notification to all registered voters in Sedgwick County after redistricting in 2022.

**Legal Reference:** K.S.A. 25-2701 (d) (1)

#### Legal Requirement:

K.S.A. 25-2701 (d) (1) The county election officer may not change a voting place prior to an election without providing mailed notice to the voters affected at least 30 days prior to the election. If an emergency is declared by the county election officer, the mailed notice requirement shall be waived.

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42901 - Printing	110	66001-110		14,000
45300 - POSTAGE/SHIPPING	110	66001-110		117,000
TOTAL			0	131,000

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

This funding would be used to notify registered voters affected by redistricting of their new voting districts and polling place assignments. Notification to voters of a change of polling place is a statutory requirement.

##### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Notification to voters of changes in voting districts and polling places prevents voter confusion and builds voter confidence in the election process through increased transparency. Voters who are not informed of changes in polling places and / or voting districts due to redistricting can be confused by these changes and can feel

they have been disenfranchised by lack of open communication and transparency in the electoral process.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This funding does not have a new revenue source and is being requested from the General Fund.

**Other:**

N/A

**Please provide information regarding any type of study done to support your current request.**

This information is based on past redistricting experiences and current statutes.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need, as redistricting and notification to voters of changes in polling places are required by state statute.

**Please provide 3 years' worth of data to support your request.**

N/A

## Decision Packages - 2022 Sedgwick County Budget

### [881] Voting Machine Battery Replacement

<b>Division:</b>	Election Commissioner	<b>Contact Name:</b>	Sandra Gritz
<b>Department Priority:</b>	2	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	66003-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	

#### Summary

Elections requests funding to replace backup batteries and CMOS batteries in 1,202 voting machines currently owned by Sedgwick County. During the initial RFP and purchase of this voting equipment, battery life was stipulated to be 5 years, so this is an anticipated cost that was approved with the purchase of the voting equipment. Performing this service involves soldering internal electronic components, and can only be performed by certified technicians in order to maintain the voting equipment's certifications.

The current batteries are at end of life and the manufacturer has recommended replacement. The attached pricing is valid only if performed during a scheduled preventative maintenance visit, which occur in the spring of even numbered years. Due to the nature of the service, it is common for up to 10% of the units receiving battery replacements to require follow up repairs. Sedgwick County has a sufficient amount of equipment to mitigate this issue in the 2022 election cycle. If the battery replacement is not performed in 2022, it would be delayed until 2024, immediately prior to a Presidential Election and could negatively affect the ability of this office to conduct the anticipated high turnout elections in 2024.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42411 - Equipment Repair &	110	66003-110		216,360
TOTAL			0	216,360

#### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

Maintaining voting equipment properly ensures reliable and accurate performance during elections.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Due to the nature of the service, it is common for up to 10% of the units receiving battery replacements to require follow up repairs. Sedgwick County has a sufficient amount of equipment to mitigate this issue in the

2022 election cycle. If the battery replacement is not performed in 2022, it would be delayed until 2024, immediately prior to a Presidential Election and could negatively affect the ability of this office to conduct the anticipated high turnout elections in 2024.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Funding is being requested from the General Fund as there is not a new source of revenue for this request.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need, as properly function voting equipment is essential in conducting fair and accurate elections. When equipment does not function correctly, it erodes voter confidence in elections.

**Please provide 3 years' worth of data to support your request.**

N/A



## Decision Packages - 2022 Sedgwick County Budget

### [882] Replace 2 Part-time Positions with 1 FTE

<b>Division:</b>	Election Commissioner	<b>Contact Name:</b>	Sandra Gritz
<b>Department Priority:</b>	3	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	66001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	

#### Summary

Elections requests that the 2 part time, non-benefitted positions in our current budget be combined into a single full time, benefitted position. The current two part time positions do not meet the needs of the department, as the reduced work hours and lack of flexibility in scheduling do not allow sufficient time to become proficient in required duties and result in reduced efficiencies when transitioning shifts. Additionally, these positions have been difficult to fill and have a higher turnover rate than the full time positions in this office. Changing the two Part time, non-benefitted positions to one FTE will increase personnel costs by a maximum of \$22, 082

**Legal Reference:** N/A

**Legal Requirement:**

N/A

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41101 - Salaries and Wages	110	66001-110		5,000
41301 - FICA-OASDI Taxes	110	66001-110		17,082
TOTAL			0	22,082

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Converting these two part time positions into one full time position will provide better continuity of service to our customers, reduce down time at shift changes, and will assist in recruiting higher performing applicants to fill the position.

##### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

When these two part time positions were created, it was done in place of one FTE with the goal of realizing a cost savings. After five years, it has become apparent that dividing this position into two part time positions has not benefited this office as intended, and instead has become burdensome due to additional training time needed due to the reduced hours and high turnover.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This request is to be funded with existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Currently, both of these part time positions are not filled. This department currently struggles to keep up with the workload when a staff member is absent for any reason, and this is the slowest season of the election cycle. Part time staff members who work partial days or fewer days per week require greater amounts of training time and do not attain proficiency as quickly as full time staff members. This reduces their ability to fully serve voters during an election cycle and limits the tasks they are able to perform independently.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need, as the staffing of these positions during busy election cycles does not allow the flexibility necessary for our staff members to meet all statutory deadlines.

**Please provide 3 years' worth of data to support your request.**

N/A

**Budget Impact**  
**Electons 2 Part time Fiscal to 1 FTE Fiscal Associate**  
**January 4, 2021**

<b>Current</b>				
<b>Position</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
<b>PT Fiscal Associate</b>	121	\$ 13,516	\$ 1,093	\$ 14,609
<b>PT Fiscal Associate</b>	121	\$ 13,516	\$ 1,093	\$ 14,609
<b>Cost</b>				\$ 29,218

<b>Requested</b>				
<b>Position</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
<b>Fiscal Associate</b>	121	\$ 32,032	\$ 19,268	\$ 51,300
<b>Cost</b>				\$ 22,081.99

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2021 Compensation Plan

\* Planning information only

## Decision Packages - 2022 Sedgwick County Budget

### [885] Addition of One New FTE

<b>Division:</b>	Election Commissioner	<b>Contact Name:</b>	Sandra Gritz
<b>Department Priority:</b>	4	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	66001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	

### Summary

Elections requests one additional FTE, Grade 124 Administrative Technician. The addition of this position would reduce the amount of overtime hours expended during large election cycles while allowing the election office to meet statutory deadlines. Additionally, adding this position would provide staffing resources to allow for cross training within our staff structure, improved adherence to county financial and human resource policies, and better customer service coverage during staff absences.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	66001-110		37,055
41300 - BENEFITS	110	66001-110		28,117
TOTAL			0	65,172

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Administrative Technician	GRADE124	1.00	37,055	28,117
TOTAL			1.00	37,055	28,117

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Elections are cyclical. This results in a large workload during the last 5-6 months of each year which is specific only to the election and is in addition to the normal, everyday workload of the office. At the current time, staff members are required to tackle election duties in addition to their regular daily tasks, which causes overtime expenditures during the time surrounding elections and often results in tasks which are not election specific being delayed. Additionally, this department currently struggles to keep up with the workload when a staff member is absent for any reason, which is due to there not being sufficient staff to allow time for proper cross-training and thorough auditing of work and work processes. The addition of this position would aid in alleviating the need for excessive amounts of staff overtime, and allow regular office tasks to be maintained

through-out the election cycle. It would also provide additional staffing to allow time for cross training of team members, which will increase the overall efficiency of this office.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

This office has encountered a great deal of turnover in personnel in a number of positions, much of which have been at least in part due to the amount of overtime and lack of flexibility during election cycles. A high turnover rate is costly to every employer and increases costs for recruiting and training new employees. It also diminishes the quality of services the office is able to provide when new employees are not fully trained and longer term employees are required to work long hours, are overly tired and become ineffective.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

There is no new revenue source for the funding of this request.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

In large election cycles, this office has hired temporary employees to assist with additional election specific duties, however this has not proven to be an efficient solution for ongoing office duties such as shopping and procurement, time entry and approval, employee evaluations, staffing and recruitment, and records management/KORA. As a result, these tasks tend to be set aside in the time surrounding elections for election duties which have statutory deadlines, or they result in excessive amounts of overtime for full time staff members to manage the additional workloads.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need for Elections. It will allow this office to maintain a better understanding of Sedgwick County Human Resource and Finance policies, identify and utilize resources available within the county more effectively, and improve the ability of the Election Office to provide continuity of service through cross-training of staff and audits of work processes.

**Please provide 3 years' worth of data to support your request.**

N/A

## 2022 Sedgwick County Budget

### [891] Add Temporary Personnel and Election Workers

<b>Division:</b>	Election Commissioner	<b>Contact Name:</b>	Sandra L. Gritz
<b>Department Priority:</b>	5	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	66003-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	0

#### Summary

As 2022 is a Gubernatorial election year, additional election workers are needed to adequately staff the additional polling places that have been added over the course of the last 4 years. Additionally, Election redistricting will also take place in 2022, and will require additional temporary staff to meet the increased workload it will create.

#### Legal Reference:

#### Legal Requirement:

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41101 - Salaries and Wages	110	66003-110		85,873
TOTAL			0	85,873

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

This request will allow for sufficient staffing of the 83 polling site currently serving over 325,000 registered voters in Sedgwick County for the Gubernatorial election cycle. Additionally it will allow sufficient staffing of the election office with temporary personnel to complete federal, state, county, and local redistricting projects in a timely and accurate manner.

##### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Without additional election workers to sufficiently staff polling places during the gubernatorial election cycle voters may experience excessive weight time at polling places.

Without additional temporary office personnel to assist with redistricting regular staff overtime will greatly increase. Excessive overtime leads to a decrease in the efficiency of office staff.

##### Will the funding of this request be from existing resources, or from a new revenue? Please outline how any

**new revenue was estimated.**

No new sources of revenue are available for this request.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need for the election office.

**Please provide 3 years worth of data to support your request.**

N/A

## 2022 Sedgwick County Budget

### [892] Additional Funding for Gubernatorial Elections

<b>Division:</b>	Election Commissioner	<b>Contact Name:</b>	Sandra L. Gritz
<b>Department Priority:</b>	6	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	66003-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	0

#### Summary

Request for additional funding to cover licensing and maintenance fees of voting equipment that was acquired in 2020, and to meet the increased funding requirements of conducting Gubernatorial Elections.

**Legal Reference:**

**Legal Requirement:**

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42000 - Contractual Services	110	66001-110		51,231
42000 - Contractual Services	110	66003-110		59,954
TOTAL			0	111,185

#### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

This request will allow the election office to meet its contractual obligations, to provide voters what services they have received in past gubernatorial elections, and to maintain current licensing on voting equipment and software.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Without this funding election office will be unable to meet its statutory and contractual obligations.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

There is no new revenue source for this request.

**Other:**



**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This funding is a need for the election office.

**Please provide 3 years worth of data to support your request.**

N/A

## Decision Packages - 2022 Sedgwick County Budget

### [862] Additional Personnel for Human Resources

<b>Division:</b>	Division of Human Resources	<b>Contact Name:</b>	Sheena Schmutz
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	81002-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	

#### Summary

The Division of Human Resources (HR) is requesting the addition of 1.0 full-time equivalent (FTE) in the Work Environment Department of Human Resources, specifically for assistance in the Family Medical Leave Act (FMLA) / Americans with Disabilities Act (ADA) section of the Department. This area works with all departments and employees for all FMLA and ADA matters. Since COVID, HR has had two temporary positions that have assisted, but the workload continues to grow and ADA requests have increased. Each time an employee submits a request, the Department is responsible for oversight and proper legal notifications to the employee. Each case can be quite cumbersome and time consuming. HR currently has one employee that works all the cases.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41101 - Salaries and Wages	110	81002-110		
41100 - EARNINGS	110	81002-110		30,482
41300 - BENEFITS	110	81002-110		26,925
TOTAL			0	57,407

#### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	HR Assistant	GRADE120	1.00	30,482	26,925
TOTAL			1.00	30,482	26,925

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The Division of Human Resources has two primary goals: (1) to provide competitive employment environment to attract and retain a diverse and high-performance workforce and (2) to create opportunities for talent development to enhance employee engagement and contributions to Sedgwick County's mission. In order to

achieve those, HR must have a trained workforce to meet the needs of those they serve. In Work Environment, staff must have the capacity to assist the current workforce with their FML and ADA issues. Even more so, staff need to have the capacity to make sure all situations are handled timely and properly to decrease any litigation situations.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Currently, HR has on permanent staff member working all FML and ADA cases. Due to COVID, HR has been provided two additional temporary staff to assist through June. However, each situation with an employee takes many hours and lots of communication. The current workload maximizes the capacity of this one staff member.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

There is no existing fund source for this position.

**Other:**

N/A

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Currently, HR has two temporary staff and one permanent staff member working all FML and ADA cases. The current workload often times, exceeds the typical work week. In addition, the amount of time that is spent on time input for payroll is very tedious. Often the staff member is working during the evening hours to ensure email / documentation / communication is finished for each employee assisted.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

HR truly needs another addition to the Work Environment area. It is clear that the workload demands more assistance and by adding on FTE to this area would allow the current staff member to focus more on the ADA situations and complex FML cases.

**Please provide 3 years' worth of data to support your request.**

N/A

**Budget Impact  
Annual Impact  
March 23, 2021**

<b>Requested</b>				
<b>Position</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
HR Assistant	120	\$ 30,482	\$ 26,925	\$ 57,407
<b>Cost</b>				<b>\$ 57,407</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2021 Compensation Plan**

**\* Planning information only**

	2019	2020	2021-so far
Intermittent FML	527	470	324
Continuous FML	278	267	99
ADA Cases	28	30	14
ADA Citizen Business Complaints	6	6	3
FFCRA		1038	
EFMLA		96	
Hours per week	50-55	60-70	

## 2022 Sedgwick County Budget

### [810] Add Grant Administrator position

<b>Division:</b>	Division of Finance	<b>Contact Name:</b>	Mandy Estes
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	72003-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	State/Federal Funding Enhancement	<b>Attachments:</b>	2

### Summary

Add a new full-time position to the Revenue Management team to respond to increasing additional funding opportunities through Federal, State and private foundations. This position will have a special focus on the development and pursuit of Federal earmarks for community or County needs. The position will assist with grant writing on behalf of departments, oversee grant policy and procedure improvement, and manage the Grants Analyst position.

**Legal Reference:** n/a

**Legal Requirement:**

n/a

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	72003-110		54,758
41300 - BENEFITS	110	72003-110		31,328
45102 - Operating Supplies	110	72003-110		500
45111 - Computer Equipment	110	72003-110		2,550
45110 - Software	110	72003-110		500
42300 - PROF & TECH SERVICES	110	72003-110		500
<b>TOTAL</b>			0	90,136

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Grant Administrator	GRADE132	1.00	54,758	31,328
<b>TOTAL</b>			1.00	54,758	31,328

### KPI Impact

Performance Indicator	Previous Year KPI	Current Year Target	Projected If Addressed	Projected If Not Addressed
Audit recommendations	9	0	0	5

Adopt grant policy,procedures	2	2	5	2
Federal earmarks	0	0	2	0
Value of grants	164000000	164000000	16400000	120000000

## Question Responses

### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The most recent organizational strategic plan identified growth in grant capacity as a goal. In addition, COVID relief bills have dramatically increased the amount of direct grant funding through 2024, while making significant additional other funding available for special projects. The Revenue Management section did not have a dedicated grant position before December 2020; this one position is not adequate to handle the additional workload, even with additional external support. This position will begin to allow the County to identify additional funding opportunities and make persuasive case in application, make necessary updates to policy and procedure, and seek Federal, State, and other grant awards. In addition, the position could review grant applications on behalf of departments to enhance customer service offered by the Division of Finance.

### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Significant missed funding opportunity. More than \$1.9 billion was recently approved through the 2021 American Rescue Plan. The attached NACo presentation outlines the various funding sources that will be made available to communities. Without a position like this, those funding opportunities may be missed and/or there may not be staff capacity to pursue opportunities.

### Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

Existing resources. but the hope is to capture some funds through admin charges

### Other:

N/a

### Please provide information regarding any type of study done to support your current request.

- N/a

### For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.

Grant demands exceed current capacity given ongoing audits, audit recommendations, and necessary policy revision and enforcement. There are additional demands related to Coronavirus funding opportunities, including the application for, reporting on, and auditing of - by both our external auditor and the Treasury OIG.

### Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.

Strong need, given current/anticipated Federal funding through at least 2024, and then reporting

requirements for five years into the future

**Please provide 3 years worth of data to support your request.**

Value of grants received by Sedgwick County:

2018: \$44 million

2019: \$45 million

2020: \$164 million (CARES, State SPARK, Provider Relief, CTCL, HAVA, etc.)



# SEDGWICK COUNTY JOB DESCRIPTION

## Grant Administrator

<b>Working Title:</b>	Grant Administrator	<b>Work Location:</b>	525 N. Main, Ste. 823
<b>Position Number:</b>	<b>NEW</b>	<b>Expected Hours of Work:</b>	M-F 8-5
<b>Classification:</b>	Management Analyst III, Grade 132	<b>Supervisor: Yes / No</b>	Yes
<b>Reports to (position):</b>	Revenue Manager	<b>Number of staff supervised:</b>	1
<b>Date Revised:</b>	<b>3/11/21</b>	<b>Job Code:</b>	

### Job Summary (Major objectives of this position. Why does the job exist?)

Performs management and administrative work pertaining to grant programs, including researching funding opportunities, writing grant applications, creating and updating applicable policy, and supervising the Grants Analyst. This role will also assist the Revenue Manager with oversight of County grant programs.

### Primary Job Functions (List three job categories with specific tasks listed)

#### Develop and manage Grant Administration for the organization

- Research Federal earmarks and grant opportunities that align with County vision from various funding sources including Federal, State, and private foundations.
- Work with lobbyist and County Communications team on identifying opportunities for Federal earmarks
- Work in collaboration with program managers and department directors in responding to identified grant opportunities
- Gather necessary documentation and fulfills requirements of various awarding agencies
- Write and edit grant proposals and applications
- Lead grant application process in compliance with County policy and procedure
- Assist departments with OnBase routing of grant agreements
- Oversee development and management of system for tracking grant expenditures and receivables
- Perform research required pertinent to grant due diligence, ongoing review and close-out analyses.
- Ensure County compliance with 2 CFR 200-Uniform administrative requirements, cost principles, and audit requirements for federal awards
- Update job knowledge by participating in educational opportunities; maintain personal networks
- Obtains proper grant training in compliance with best practices and auditor/supervisor recommendations

#### Lead Finance policy and procedure creation

- Identify policy gaps and work with Grants Analyst to craft or update policy when needed
- Review existing policies on an annual basis and update as needed
- Collaborate with stakeholders for implementation of policies and procedures
- Research best practices for policies and procedures, become subject matter expert
- Develop goals for Grants Analyst and review quarterly

#### Provide day-to-day supervision of the Grants Analyst

- Ensures Grants Analyst has the skills to accomplish assigned tasks. Provide training and opportunities for growth to improve Grant Analyst's skills.
- Review and approve all policies, procedures and applications submitted by Grants Analyst. Provide re-training opportunities when errors are found.
- Review the County website for grant awards on a quarterly basis. Ensure the webpage is user friendly, easy to view, and has accurate and timely information.
- Perform annual evaluation of Grants Analyst.

# SEDGWICK COUNTY JOB DESCRIPTION

## Grant Administrator

Secondary Job Functions (list no more than five)	
<ul style="list-style-type: none"> <li>• Acts as a backup for Revenue Manager</li> <li>• Other tasks/projects as assigned</li> </ul>	
Competencies (Select five from Core Competency list and specify Behavioral Indicators specific to position)	
Persuasion	The ability to impact and influence others. The ability to gain others' support for ideas, proposals, projects, and solutions. Involves others in a process or decision to ensure their support. Identifies and proposes solutions that benefit all parties involved in a situation.
Behavioral Indicators: <ul style="list-style-type: none"> <li>• Seeks information to understand situations, needs, and desired potential benefits.</li> <li>• Develops approaches that best position products, services, or ideas; leverages supportive factors, overcomes or minimizes barriers, and addresses unique needs and preferences of key decision makers.</li> <li>• Makes favorable impressions by interacting with prospects/clients in a manner that builds effective relationships.</li> <li>• Presents products, services, or ideas in a manner that clearly shows how they would meet needs and provide benefits; builds confidence in the products, services, or ideas.</li> <li>• Uses appropriate techniques to move others to action or to gain agreement.</li> </ul>	
Subject Matter Expertise	The ability to apply the principles and practices of (subject matter) management to contribute to the success of the county.
Behavioral Indicators: <ul style="list-style-type: none"> <li>• Remains current on relevant laws, legal rulings and regulations.</li> <li>• Develops and utilizes best-practices.</li> <li>• Delivers customized (subject matter) solutions for organizational challenges.</li> <li>• Utilizes core business and (subject matter)-specific technologies to solve business challenges.</li> <li>• Demonstrates a thorough working knowledge of (subject matter).</li> </ul>	
Time Management	Shows ability to plan, schedule, direct work of self and others. Balances task requirements and individual abilities; organizes materials to accomplish tasks; sets high standards and well-defined, realistic goals for one's self. Displays a high level of effort and commitment towards completing assignments in a timely manner; works with minimal supervision and is motivated to achieve.
Behavioral Indicators: <ul style="list-style-type: none"> <li>• Identifies more critical and less critical activities and tasks; adjusts priorities when appropriate.</li> <li>• Effectively allocates own time to complete work; coordinates own and others' schedules to avoid conflicts.</li> <li>• Takes advantage of available resources (individuals, processes, departments, and tools) to complete work efficiently.</li> <li>• Uses time effectively and prevents irrelevant issues or distractions from interfering with work completion.</li> <li>• Shows up to work on time, and follows instructions, policies, and procedures. Meets productivity standards, deadlines, and work schedules.</li> </ul>	
Analytical Thinking	Works systematically and logically to resolve problems, identify causation and anticipate unexpected results. Manages issues by drawing on own experience and knowledge and calls on other resources as necessary.
Behavioral Indicators: <ul style="list-style-type: none"> <li>• Undertakes a complex task by breaking it down into manageable parts in a systematic, detailed way.</li> <li>• Gets input from internal/external contacts who are closest to the problem.</li> <li>• Identifies gaps in information and makes assumptions in order to continue the analysis and/or take action.</li> </ul>	

# SEDGWICK COUNTY JOB DESCRIPTION

## Grant Administrator

<ul style="list-style-type: none"> <li>Seeks for a wide range of sources of information.</li> </ul>	
Initiative	Takes action without being asked or required to. Achieves goals beyond job requirements. Identifies opportunities and issues, and proactively acts and follows through on work activities to capitalize or resolve them. Actively seeks and identifies opportunities to contribute to and achieve goals. Maintains a sense of purpose, value, and ownership of their work. Seizes opportunities when they arise. Works independently with little direction.
Behavioral Indicators: <ul style="list-style-type: none"> <li>Completes assignments without the need for prompting from his/her supervisor or others.</li> <li>Seeks out information on his/her own initiative; may need to follow up with his/her supervisor for guidance or direction.</li> <li>Does far more than is minimally required in the assignment, task or job description.</li> <li>Creates opportunities or minimizes potential problems by anticipating and preparing for these in advance.</li> </ul>	
<b>Supervisory Responsibilities (Provide title of employee managed and the number of employees)</b>	
1 – Grant Analyst	
<b>Minimum Qualifications as defined by classification</b>	
<b>Educational Requirements:</b> Bachelor's degree from an accredited college or university	
<b>Years of Experience:</b> 3 years	
<b>License, certifications, etc...</b>	
<b>Preferred Qualifications</b>	
<b>Educational Requirements:</b> Bachelor's or Master's degree in Public Administration	
<b>Years of Experience:</b> 5 years	
<b>License, certifications, etc...</b> Professional grant administration or writing certification from a professional organization or accredited educational institution	
<b>Physical Requirements &amp; Working Conditions (must be directly tied to Essential Functions)</b>	
<b>Physical Activity of position</b>	
<ul style="list-style-type: none"> <li>Talking. Expressing or exchanging ideas by means of the spoken word. Those activities in which they must convey detailed or important spoken instructions to other workers accurately, loudly, or quickly.</li> <li>Hearing. Perceiving the nature of sounds at normal speaking levels with or without correction. Ability to receive detailed information through oral communication, and to make the discriminations in sound.</li> <li>Fingering. Picking, pinching, typing or otherwise working, primarily with fingers rather than with the whole hand as in handling.</li> <li>Repetitive motion. Substantial movements (motions) of the wrists, hands, and/or fingers.</li> </ul>	
<b>Physical Requirements of Position</b>	
<ul style="list-style-type: none"> <li>Sedentary work. Exerting up to 10 pounds of force occasionally and/or negligible amount of force frequently or constantly to lift, carry, push, pull or otherwise move objects, including the human body. Sedentary work involves sitting most of the time. Jobs are sedentary if walking and standing are required only occasionally and all other sedentary criteria are met.</li> </ul>	
<b>Visual Acuity Requirements</b>	
<ul style="list-style-type: none"> <li>The worker is required to have close visual acuity to perform an activity such as: preparing and analyzing data and figures; transcribing; viewing a computer terminal; extensive reading; visual inspection involving</li> </ul>	

# SEDGWICK COUNTY JOB DESCRIPTION

## Grant Administrator

small defects, small parts, and/or operation of machines (including inspection); using measurement devices; and/or assembly or fabrication parts at distances close to the eyes.

### Work Environment /Conditions Employee will be subject to

- The employee is not substantially exposed to adverse environmental conditions (such as in typical office or administrative work).

Please note this job description is not designed to cover or contain a comprehensive listing of activities, duties or responsibilities that are required of the employee for this job. Duties, responsibilities and activities may change at any time with or without notice.

### Signatures

**Supervisor:**

**Date:**

Employee signature below constitutes employee's understanding of the requirements, primary functions and duties of the position.

**Employee:**

**Date:**

## 2022 Sedgwick County Budget

### [845] Safety Coordinator

<b>Division:</b>	Division of Finance	<b>Contact Name:</b>	Elizabeth Wingo
<b>Department Priority:</b>	2	<b>Division Priority:</b>	2
<b>Primary Fund Center:</b>	74001-612	<b>Fund:</b>	612
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	4

### Summary

Recognize the need for a coordinated safety program with a designated program administrator.

### Legal Reference:

### Legal Requirement:

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	612	74001-612		47,295
41300 - BENEFITS	612	74001-612		29,974
45111 - Computer Equipment	612	74001-612		1,388
TOTAL			0	78,657

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Safety Coordinator	GRADE129	1.00	47,295	29,974
TOTAL			1.00	47,295	29,974

### KPI Impact

Performance Indicator	Previous Year KPI	Current Year Target	Projected If Addressed	Projected If Not Addressed
Safety Training hours			20,000	0
Safety Awareness response		1070	1150	<1000
Safety Inspections			100	0

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

This position will allow us to focus on improving and maintaining a healthy and safe work environment for our

employees, which will allow them to focus on delivering exceptional services to the public at large.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Increased medical claims, vehicle claims, and general liability claims due to lack of safety program which promotes safety awareness, safety decision making, and empower employees to identify and mitigate risks within the work place.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing resources; funded through reserves.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

Increasing medical work comp claims and increasing claim expenses since the departure of the prior Safety Coordinator.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Day to day responsibilities include managing existing County-level safety program, develop a strong safety culture through departmental collaboration, data analysis related to claims, safety inspections/field compliance, accident review, development of new safety programs/training, and provide training to departments on safety topics.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This is a need for the department and the County to meet the County's mission of a safe working environment and protection of county assets.

**Please provide 3 years worth of data to support your request.**

Data in attachments

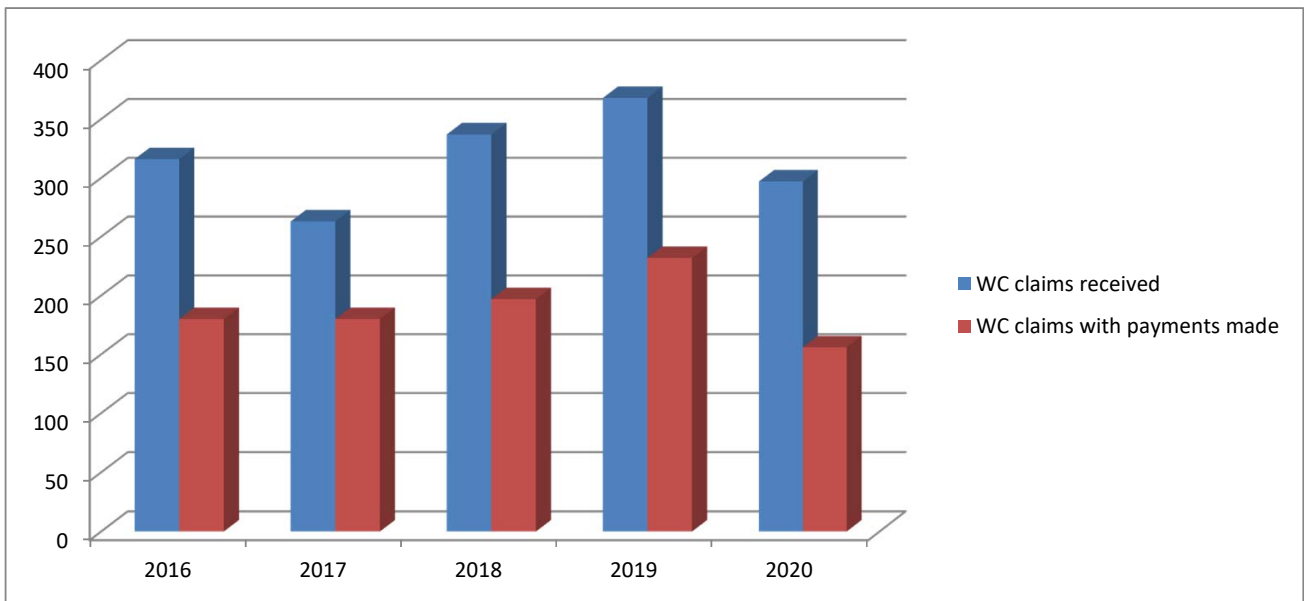
**Budget Impact**  
**Safety Coordinator**  
**March 3, 2021**

Position	Grade	Salary	Benefits	Total
Safety Coordinator	129	\$ 47,294	\$ 28,857	\$ 76,151
<b>Cost</b>				<b>\$ 76,151</b>

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2021 Compensation Plan

\* Planning information only





## Thornbrugh, Elizabeth K.

---

**From:** Wingo, Elizabeth K.  
**Sent:** Monday, April 5, 2021 11:37 AM  
**To:** Thornbrugh, Elizabeth K.  
**Subject:** Safety coordinator  
**Attachments:** wc claims.pdf

Data attached.

So the number of claims is all WC claims is for both injury and non-injury claims. We expect that to climb and level out as we get improved reporting for non-injury and "near-miss" incidents (those are super valuable for tailoring safety programing).

The concerning increase is on claims with expenditures, as that is an increase in claims where there was a physical injury we had to provide medical/disability for. That has been rising for several years (excluding the 2020 anomaly).

**Elizabeth (Biles) Wingo, MPA | Risk Management Coordinator | Sedgwick County Division of Finance**

p: (316) 660-9682 | f: (316) 383-7674 | [elizabeth.wingo@sedgwick.gov](mailto:elizabeth.wingo@sedgwick.gov)

525 N. Main, Ste. 1150 | Wichita, KS 67203 | [www.sedgwickcounty.org](http://www.sedgwickcounty.org)



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**From:** Thornbrugh, Elizabeth K.  
**Sent:** Monday, April 5, 2021 11:30 AM  
**To:** Wingo, Elizabeth K.  
**Subject:** Safethy Coordinator

Hey!! Quick question. Do you have anything that shows that the claims have gone up since the last safety manager left? I think it will be helpful when the Budget team goes over the decision packages.

Beth

**Beth Thornbrugh | Budget Analyst | Sedgwick County Division of Finance**

p: (316) 660-7143 | f: (316) 660-7622 | [elizabethk.thornbrugh@sedgwick.gov](mailto:elizabethk.thornbrugh@sedgwick.gov)

525 N. Main St., Suite 1150 | Wichita, KS 67203 | [www.sedgwickcounty.org](http://www.sedgwickcounty.org) | [Facebook](#) | [Twitter](#)



## 2022 Sedgwick County Budget

### [895] Chief Deputy Appraiser

<b>Division:</b>	County Appraiser	<b>Contact Name:</b>	Mark Clark
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	75002-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

### Summary

The Appraiser's Office is requesting a Chief Deputy Appraiser Position. All Appraiser's Office staff will report to the Chief Deputy Appraiser with the exception of the County Appraiser. The County Appraiser's Office is actively engaging in sustainability and this is an important step in that direction.

**Legal Reference:** Article 11, Section 1 of the Kansas Constitution and K.S.A. 79-503a (along with multiple

### Legal Requirement:

There are multiple statutes that impact the operation of the Appraiser's Office. Article 1, Section 1 of the Kansas Constitution and K.S.A. 79-503a require the Appraiser's Office to value properties at fair market value and that those values should be uniform and fair.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	75002-110		73,369
41300 - BENEFITS	110	75002-110		34,704
<b>TOTAL</b>			0	108,073

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Chief Deputy Appraiser	GRADE138	1.00	73,369	34,704
<b>TOTAL</b>			1.00	73,369	34,704

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The Sedgwick County Appraiser's Office lacks adequate personnel to maintain efficient control of appraisal processes and to insure effective quality control and sustainability in the main duties of discovering listing and valuing properties. The Appraiser's Office has only been granted one additional employee since the Great Recession. Numbers of sales and building permits are approaching levels that are similar to 2006/2007.

This request will enable the Appraiser's Office to implement a strategic plan that will allow for rigorous quality assurance, increased production levels and a sustainability plan that will prepare the Appraiser's Office to

sustain itself over the long term, perpetuating the ability to fulfill the office mission.

The request will also assist the office in achieving more uniform and fair valuations; thereby, satisfying constitution and statutory responsibilities.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

The Appraiser's Office needs additional staffing to fulfill PVD statutory requirements in a timely manner, with adequate quality control. Tasks such as onsite inspections and sales verification calls must be completed between the business hours of 8am and 5pm. Overtime is not a solution due to property owners becoming upset when being contacted prior to 8am or after 5pm. A pilot program using overtime and extended hours was attempted in the past by two previous county appraisers and was unsuccessful. Property owners did not appreciate being bothered outside of conventional business hours.

Over several years we've done workarounds in the office to squeeze as much efficiency out of staff as possible. We've consistently done more with less. We are at the point where this is no longer working.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Appraiser's Office is requesting enhanced funding in the base operating budget to cover additional personnel expenditures.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

The Appraiser's Office had an International Association of Assessing Officers (IAAO) audit of its operations and that report was presented to the BOCC in April. Staffing needs and other technology needs were addressed in the audit. The audit is a public document and is attached for your review.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

As the economy improves more stress is being experienced by the staff as they attempt to keep up with the increased volumes of work; thus, severely impacting the quality of data collection and entry of property characteristics and the generation of appraised values. It is challenging to work through PVD's list of processes which takes the office through the entire tax calendar. The volume of sales increases and building permits are more prevalent, the amount of work per employee has significantly increased as well. Sustainability is not being addressed because we do not have the resources to cross-train. Without changes to the manning table it becomes a daily grind whereby more errors are made and staff morale erodes.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This is an important need. Without adequate staffing our office cannot carry out its mission or strategic plan as mandated by the Property Valuation Division (PVD). Our office is statute-driven and must follow the directives, memorandums, guidelines of PVD, Kansas law and the Uniform Standards of Professional Appraisal Practice

(USPAP). The mass appraisal is conducted by the Sedgwick County Appraiser's Office for the benefit of Sedgwick County and all of the other taxing authorities so as to provide the valuations from which funding is ultimately driven to provide citizens with needed services. Lack of staffing makes it very difficult to carry out this mission in an efficient and effective manner. Sustainability is sacrificed in the name of just getting the job done. Eroding morale is not conducive for maintaining the three important components needed in daily appraisal work: quality, quantity and attendance.

Parcel counts continue to grow. This makes it continually difficult to remain in statistical compliance with PVD. Employees are being tasked with more work and not enough time to complete it. This increases the chance of errors and places the Appraiser's Office at significant risk of not being able to satisfy statutes and PVD directives and guidelines.

**Please provide 3 years worth of data to support your request.**

Please reference attached audit.



PROFESSIONAL **CONSULTING SERVICES** OF IAAO, LLC

*A wholly owned subsidiary of IAAO*

Final Report  
Sedgwick County – Operational Audit

of the  
County Appraiser's Office

Commented Review  
of  
Business Processes and Valuation Practices

February 28, 2020

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## Introduction:

The Board of County Commission (BOCC) in the State of Kansas appoints the County Appraiser as is the case for Sedgwick County. Appointments are made for a four-year term prescribed by law to begin July 1 and each fourth year thereafter, beginning in 1993. The next appointment cycle is July 1, 2021. Should a vacancy occur prior to the next designated cycle the BOCC may appoint a successor to fill the unexpired term or may appoint an interim appraiser for a period not to exceed six months. Mark Clark, AAS, Chief Deputy Appraiser, was appointed Interim County Appraiser by the BOCC and served in that capacity from September 1, 2018 to March 1, 2019. Since Kansas law does not provide for the reappointment of an interim county appraiser, the BOCC contracted with the Kansas Department of Revenue, Division of Property Valuation for the Division to provide an Acting County Appraiser to serve until the currently vacant county appraiser position is filled on or before September 1, 2019, whichever occurs first. Raelane Schnacker RMA, has been appointed Acting County Appraiser.

The primary functions of the county appraiser are to discover, list, and value all property within the county (jurisdiction) in accordance with Kansas law which includes Kansas statutes (K.S.A.) as well as Kansas appellate court decisions. The county appraiser's office performs its duties under the directions of the property valuation director (PVD) for the state of Kansas.

The Sedgwick County website video for the Appraiser's Office does a good job of explaining their responsibilities at <https://www.sedgwickcounty.org/appraiser/>. The Mission, as stated on the website: **"To annually produce a fair and equitable appraisal roll used in formulating the funding for quality public services in our community"** is also a reflection of the legal and constitutional requirements of the office. Fairness in application of appraisal methods and techniques along with adherence to legislative mandates ultimately results in an equitable treatment of property owners/taxpayers. To be clear, "funding" in this case is the apportionment of the property tax burden based on value so that each taxpayer is paying their fair share of the total property tax burden. This tax apportionment is also known as "Ad Valorem" or according to value.

Sedgwick County deploys the use of "Mass Appraisal" methods to achieve measurable applications of "fairness and equality." Mass Appraisal requires the same appraisal process as prescribed for private sector appraisers. What is different is the Scope of Work, and the specialized skills using quantitative methods, exploratory data analysis, and proprietary Computer Assisted Mass Appraisal systems (aka, CAMA). Also required are individual skills and efforts to adapt common software, MS Excel, Adobe Acrobat, and custom programs to the functionality of the state mandated CAMA package to produce credible results. Credible results can be measured via several performance methods as mandated by law, standards or best practices. The following analysis, discussion, and comments examine and compare the operations, procedures, and processes used by the appraiser's office in accordance with industry standards, best practices, appraisal theory, and adherence to Kansas law, and mandated regulations from the PVD of the State of Kansas.

## Audit Plan and Scope of Work Statement

At the request of the Sedgwick County Board of Commissioners, the International Association of Assessing Officers, hereafter (IAAO) entered into a contract for professional services to conduct an audit of the county appraiser's processes and valuation practices. The IAAO has engaged Michael Ireland, RES, CAE the retired elected assessor in Bloomington, IL as the principle consultant. Assisting Mr. Ireland in matters relating to IAAO's interest as project director is Larry Clark, CAE, Director of Strategic Initiatives for the IAAO. The resumes of Mr. Ireland and Mr. Clark are available in the report's supplemental resources at the end of the report.

### Scope of Work

Prior to engaging the Professional Consulting Services of IAAO, a Scope of Work document was prepared by Mr. Larry Clark and sent for review of content, and proposed services to be provided by PCSIAAO. This document was review by Ms. Patricia J. Parker, AAS, Assistant County Counselor, and Mr. Mark Clark, AAS as interim County Appraiser for comment, additions, time tables, and expected deliverables. Requirements from the county included as primary are:

- All valuation units of the Appraiser's Office and their associated property types, e.g. commercial, residential, personal property, etc.
- The audit will encompass review of current operational practices related to:
  - All resources required for various major property types within each valuation unit.
  - Sales validation process and methodology.
  - Sales ratio study methodology and use with the valuation creation through value defense processes.
  - Appraiser to property ratio (number of properties assigned to each appraiser).
  - Reliance on technology for value creation through reconciliation for the creation of the final appraisal roll.
  - Final review process.

From the above submissions a Scope of Work plan was developed as follows:

- Management Practices:
  - Quality control procedures for property types identified for data collection and business processes.



- Current sales validation process.
- Staff allocation and quantity related to workflow and property type allocation.
- Final value selection for Appraisal Roll (Full Market Value).
- Staff Qualifications for Property Types Assigned:
  - Review current job descriptions with designation requirements versus existing staff qualifications.
  - Property type assignment in staff job descriptions versus property type valuations performed by appraisal staff.
- Appraisal Roll, full market value ratio study program, and performance results for all properties identified within the SOW.
  - Sales ratio study practices and how the results are being used.
- Valuation model procedures and methodologies development for all valuation approaches used to develop full market value for all property types identified and valued by the Sedgwick County Appraiser's Office. Also included is the appraiser review of model generated (CAMA system) values for the Appraisal Roll.
- Final Review Process:
  - Final Value Review Process currently implemented by the Sedgwick County Appraiser's Office from model developed value through to appeal defense.
  - Review documented standard operating procedures and training related to the Final Review Process.

The audit focused on property class found in the table below and separated by property class. Some properties have multiple classes.

Class	Description	Class Count	Land Value	Improvement Value	Total Value
R	Residential Including Apartments	170,552	3,877,381,800	18,745,713,385	22,623,095,185
F	Residences on Farm Home sites	3,426	67,757,300	501,988,040	569,745,340
A*	Agricultural Use Land & Improvements	16,825	91,607,700	50,878,410	142,486,110
C	Commercial & Industrial	13,837	1,339,939,280	4,527,446,480	5,867,385,760
V	Vacant Lots	13,297	240,820,800	0	240,820,800
	Personal Property		NA	NA	
	Appeals				

\* Counts are based on economic neighborhood groupings.

## Deliverables

IAAO's Assessment Practices Self Evaluation Guide and Technical Standards are the basis for the operational audit. Kansas law, including PVD's legal and technical requirements and USPAP are also taken into consideration in the audit. The audit process includes analysis of strengths and weaknesses measured using the various IAAO technical standards on assessment practices and an internal evaluation based on a series of questions presented and answered by the jurisdiction using the Assessment Practices Self Evaluation Guide. Included was an on-site visit by the consultant (three days) to interview staff members, review processes in the working environment, and to collect additional information regarding inputs and outputs. The on-site visit also provided the consultant with live demonstrations of functional operations used within the appraiser's office. Following is a list of information and data collected from the questionnaire and on-site visit.

- ❖ Conducted in-person interviews with available staff to (1) ensure PSCIAAO consultants have the appropriate documentation both in paper and electronic data file form and (2) understand the current status, systems and methodologies being employed by the Sedgwick County Appraiser's Office.
- ❖ Reviewed Orion and other Computer Assisted Mass Appraisal System (CAMA) capabilities from the perspective of how they are currently being used considering their capabilities for use in model development and Final Review process.
- ❖ Reviewed current data collection processes for all the Property Classes identified within the scope of work requirements section, including field sheets (manual or electronic) and any mailer type collection forms for all three approaches to value utilized: cost, market and income approaches.

- ❖ Reviewed sales verification procedures and accompanying analysis programs for model development and / or valuation table rates contained within CAMA.
- ❖ Reviewed quality control procedures for data collection, data entry, valuation table rate adjustments and ratio studies for the properties identified within the requirements section.
- ❖ Reviewed staff expertise and capabilities/qualifications related to the valuation of properties assigned from a mass appraisal perspective. Current job descriptions are used as the source information for comparison of staff qualifications and experience to industry standards for work assigned to be performed.
- ❖ Reviewed the defense of value procedures and programs currently being used.
- ❖ Developed a Report with recommendations based on the above requirements and deliverables such as:
  - Resource requirements including organization and management.
  - Valuation procedures, internal controls, data acquisition, data adequacy, data storage, and data retrieval.
  - Quality control procedures and programs to measure performance of the Appraisal Roll based on IAAO industry standards and the requirements of PVD.

## Audit and Results

Audit results are reported using the IAAO Self-Evaluation Guide for progression through the topics. The general topic theme is presented for each topic being reviewed. Strengths are summarized with comments, followed by a discussion of topics that need to be addressed for improvement, where current technology, statutory mandates, or PVD guidelines inhibit a process, progression, or practice. The format follows the questionnaire, stating the question, followed by the “Response” from Sedgwick County, “Response” from the consultant, and “**RECOMMENDATIONS**” from consultant. Each section ends with a “Conclusion” summarizing the full analysis of the section from the consultant.

## Practices and Procedures Questionnaire

### Operating Environment

This section covers the overall operating context in which the Sedgwick County appraiser's office operates and is mandated to carry out the appraisal and assessment processes, adhering to comprehensive and complex laws, rules, and procedures as prescribed by Kansas property tax law, with oversight by the Kansas Property Valuation Division. The fundamental demographics of the Sedgwick County property inventory is as follows:

<b>1. Basic Data</b>	<b>Real Estate Type</b>	<b>Numeric Summary</b>
Population		513,678 - 2017
Parcel Counts *	Residential	181,343 - 2018
	Commercial	22,904 - 2018
	Industrial	746 - 2018
	Agricultural	16,728 - 2018
	Total	221,721 - 2018
Typical Sales Per Year	Residential <b>(AVG)</b>	10,165 - 2015-2018
	Commercial <b>(AVG)</b>	1070 - 2015-2018
	Industrial <b>(AVG)</b>	17 - 2015-2018
	Agricultural <b>(AVG)</b>	876 - 2015-2018
	Total <b>(AVG)</b>	56,915 - 2015-2018
Typical Appeals Per Year	Residential <b>(AVG)</b>	2,274 - 2015-2018
	Commercial <b>(AVG)</b>	1,494 - 2015-2018
	Industrial <b>(AVG)</b>	88 - 2015-2018
	Agricultural <b>(AVG)</b>	276 - 2015-2018
	Total <b>(AVG)</b>	16,506 - 2015-2018
Total Land Area		1,008 SQ/Miles
Total Taxable Real Estate Value	215,067 parcels - 2018	\$4,384,591,850 <b>(Assessed)</b>
Personal Property Accounts		35,281 - 2018
Appraisal Date		1/1/of Tax Year

\*Not all "A" class properties are valued at fair market value and have an assessment rate of 25%. Land devoted to ag use is classified as "A" and has an assessment rate of 30%.

**Question #2: Where are the following functions performed? e.g. field data collections, valuation modeling, value generation, value review, building permit review, sales data collection, sales data review, and statistical analysis.**

Response by the Jurisdiction: All the above functions are a requirement of the appraisal process in order to generate value estimates that are deemed credible. The appraiser's office response to completing each function is: "This process is performed by the office." Some functions are completed in the office, and others in the field. An entire section is dedicated to the specifics of data collection. A detail audit of each process will be vetted during review of the Property Data Collection and Maintenance section.

**Questions #3 & #4: Do the governing statutes contain?**

- **Market Value requirement**
- **Ratio Study Mandate**
- **Revaluation and reinspection mandate**
- **Disclosure of sale price**
- **Taxpayer to provide income and expense statement**
- **Special treatment of classes, e.g. fractional assessment, exemptions, use value, TIF's, valuation caps etc.**

Response by the Jurisdiction: All the above have been affirmed as being statutory requirements and with references given to Kansas statutory law. Many of the statutory mandates covering property tax assessment are found in Chapter 79 of the Kansas Statutes.

The issue of the taxpayer providing an income and expense statement goes to the status of burden of proof. By law the burden of proof rests on the county appraiser, however regarding leased commercial and industrial property the burden shifts to the taxpayer unless the county appraiser is furnished an income and expense statement for the three years preceding the year of appeal. This applies to informal appeals, as well as small claims if the statement is not provided within 30 days after the informal meeting.

- **Statutes connected with education aid payments**

Response by the Jurisdiction: The Kansas legislature exempted \$20,000 appraised value from properties used for residential purposes. Rather than deducting \$20,000 from the 100% appraised value of residential properties, the County applies a tax credit on the tax bill. This law is enacted for 2017 and 2018 only.

Assistant County Counselor Response: In practice this exemption is applied as a tax credit on the tax bill. (\$20,000 appraised value x 11.5% residential assessment ratio = \$2,300 assessed value x 20 mils=\$46.00)

- **Statutes limiting assessor discretion to use generally accepted valuation methodology, or mandates to use only current use value?**

Response by Jurisdiction: This is not a direct statutory mandate, but the Orion CAMA system has been limited in its capability to value multi-parcel economic units using the sales comparison and income approaches. The income approach and sales comparison approach for all commercial properties are generated outside of the Orion CAMA. Only the cost approach is

performed in Orion CAMA on commercial property. Afterwards, these estimates are entered into Orion.

**RECOMMENDATION #1:** The chief deputy county appraiser, and assistant county counselor responded that Tyler Technologies, producer of the Orion CAMA system, has recently deployed within Orion a multi-parcel valuation application software solution. Without this Orion work around, the current CAMA system will not allow the county appraiser's office to produce a sales comparison or income approach value for multi-parcel properties. While the current proprietary system is familiar to the commercial staff, it was stated during the on-site visit the external system was at times temperamental. While no major upgrades to the Economic Unit Summary (EUS) are available, the appraiser's office yearly works with Sedgwick County IT staff to populate the application with current model data and ensures the application is working.

I recommend the county appraiser begin a migration to the "multi-parcel valuation" application now available in the Orion system. This process can begin with a period of learning and testing the system in a beta fashion. Workout the difficulties, with possible suggestions to Tyler on improvements and updates. In the future working within the Orion system will save time. It was stated that current multi-parcel valuation takes a lot of time to complete.

**SECOND LEVEL RECOMMENDATION #2:** It is also revealed that the county clerk invokes all property boundary changes regarding splits, and combinations. This puts an elected official and an appointed official in a position of needing to work together for the greater good of the taxpayer. I recommend the county clerk and appraiser work together to reduce the number of multi-parcel economic units by combining these multi-parcels into single parcels. Sedgwick county staff states, "They have more multi-parcels than any county in the state of Kansas". Cooperation to reduce the number of multi-parcels would reduce the work loads of both departments, save time, effort, and complexity. It is a common and best practice in most jurisdictions to allow multiple parcels to be combined. Benefits include single tax bills, reduced parcel mapping maintenance, improvement of valuation, better comprehension on appeal to make sure all parcels are included in the value and the appeal, and owners could not circumvent the tax payment system of being delinquent of a single parcel of the economic unit without facing the threat of a tax sale.

Should a cooperative effort to complete this recommendation proceed, I also recommend the property owner be notified as a courtesy and provide permission to combine parcels. Communication with the property owner will also allow the county to determine if combining the parcels would create a problem and if so, how can the county help resolve the problem. A cost benefit study is another option to consider. Reducing the number of multi-parcel units would be beneficial to reducing the cost and time to implement the first recommendation.

During this audit process, the office of the PVD has provided this option: that in cases where you have one owner of multiple parcels within the same legal description, the county can on its own, combine those parcels into one parcel, without permission from the property owner. This option provides a step in the right direction to solving the multi-parcel dilemma.

- **Classified property tax system? See Table below**

Assessment Rates from Article 11 § 1 Kansas Constitution					
Class 1	Type	Level	Class 2 PP	Type	Level
1	Residential	11.5%	1	Mobile Home	11.5%
2**	Land AG use	30%	2	Oil and Gas	30%
3	Vacant Lots	12%	3	Public Utility PP	33%
4	RP, IRC 501 (c)	12%	4	Motor Vehicles	30%
5	Public Utility RP	33%	5	C & I M&E	25%
6	Commercial RP + AG Land	25%	6	All Other	30%
7	All Other	30%			

\*\* Not valued based on the fair market value of the property as defined by K.S.A 79-503a

- **Limit on how much appraised value can be changed?**

Response by Consultant: *K.S.A 79-1460 addresses value change as follows, the valuation for all real property shall not be increased unless the record of the latest physical inspection was reviewed by the county or district appraiser, and documentation exists to support such increase in valuation in compliance with the directives and specifications of the director of property valuation, and such record and documentation is available to the affected taxpayer. For the next two taxable years following the taxable year that the valuation for commercial real property has been reduced due to a final determination made pursuant to the valuation appeals process, the county appraiser shall review the computer-assisted mass-appraisal of the property and if the valuation in either of those two years exceeds the value of the previous year by more than 5%, excluding new construction, change in use or change in classification, the county appraiser shall either: (1) Adjust the valuation of the property based on the information provided in the previous appeal; or (2) order an independent fee simple appraisal of the property to be performed by a Kansas certified real property appraiser.*

The Kansas Supreme Court in Bd. Of Cnty. Comm'rs v. Jordan, 303 Kan. 844 (2016) ruled that K.S.A. 2014 Supp. 79-1460 (a) (2) and (c) were unconstitutional as they violated Article 11, § 1 of the Kansas Constitution which provides that the legislature shall provide for a "uniform and equal basis

of valuation and rate of taxation of all property subject to taxation". The opinion provided for revaluation under certain changes in market conditions.

**Question #5: Does the property tax system have measures that ensure that the jurisdiction has the capacity to perform its assessment functions effectively?**

- **Jurisdictional support at the county or state level**
- **Ability for counties to coop or merge assessment district**
- **Lack of reliance on property tax results in improper funding for completing assessment function**
- **Fiscal importance of assessment function results in lack of full resources to complete the assessment function as statutorily mandated.**

Response by Jurisdiction: The topic of resources as related to funding the assessment function is a concern to the county appraiser. The appraisal/assessment process is very labor intensive even with the use of technology. When any taxable property or portion thereof is omitted from the tax roll a shift in the burden of payment occurs by causing those paying taxes to also pay the portion for the omitted property. Lack of funding for appropriate staff levels is one concern that requires continued monitoring. Staffing levels are a current concern regarding discovery and listing of new property and maintaining accuracy of existing parcels. Further discussion on staffing is provided in the next chapter topic, "Management and Staffing".

Not every legal mandate or administrative rule the county appraiser is obligated to follow has been covered in this Section. The operating environment is highlighted to set the stage for future chapters that cover details involving:

- Management & Staffing
- Technology
- Mapping -GIS
- Sales Data, Ratio Studies
- Data Collection
- Land Values
- Residential Value
- Commercial Values
- Value Defense
- Personal Property Value

Review and evaluation of these specific topics will examine additional mandates, and adherence to regulations promulgated by the PVD in completing the appraisal and assessment process.



# Management and Staffing

This chapter reviews compliance regarding laws, and PVD regulations and directives as they relate to the management functions for the appraiser's office. Included is a review of resources with a primary focus on staffing. As in the previous section the primary question is presented with paraphrased sub-questions, followed by comments and recommendations as needed.

**Question #1: Does the jurisdiction keep abreast of changes in laws, regulations, and court decisions?**

- **access to an up-to-date compilation of property tax laws and regulations**
- **ready access to, a service that reports property tax cases**
- **regularly monitors news of legal developments**
- **regularly briefs the staff (and other interested parties) on recent legal developments**
- **actively participates in current legislation and in the development of legislative proposals**
- **meets with and participates in groups concerned with improved legislation**

Response by Jurisdiction: The county appraiser tracks and monitors legislative changes and changes in rules, and regulations using several methods. Membership in professional organizations like the IAAO, Kansas County Appraisers Association, and continuous contact with assistant county counselor all assist in this effort. Constant monitoring is required at many levels. The IAAO provides court decisions from any state that recently experienced a court challenge to a specific property tax law. The county appraiser's association has a committee assigned to keep abreast of changes to laws in Kansas and can work with the PVD to also provide participation when required to improve a proposed law, or to lobby. The assistant county counselor keeps track of updates to current laws, Board of Tax Appeal decisions, and helps with interpretation of laws for implementation.

**Question #2: Does the jurisdiction regularly monitor the local economy, development patterns, and property market trends?**

Response by Jurisdiction: Monitoring is done through periodicals and local economists at Wichita State University. Real estate trends are also derived using sales transactions for each property type, as well as rents and income statements submitted for apartments and commercial properties. The appraiser's office has also used the outside services of a consultant to conduct a capitalization rate study and a benchmark study. Every other year the appraiser's office, along with

other jurisdictions, obtains a hotel/motel cap rate study. Such studies provide insight into the expectations of investors.

**Question #3: Does the jurisdiction engage in formal planning?**

Response by Jurisdiction: Each department develops their annual work plan for data collection, sale validation, valuation of all property types, e.g. residential, commercial, agriculture, personal property, and appeals. All plans must provide for the fulfillment of statutory requirements:

- A county appraiser must annually appraise each parcel of property as of January 1. K.S.A. 79-1412a; K.S.A. 79-1455.
- A county appraiser must view and inspect all the property in his or her jurisdiction once every six years. K.S.A. 79-1476
- Comply with rules, directives, and regulations as promulgated by the PVD

**Question #4. Has the jurisdiction prepared a written estimate of necessary human resources?**

**Question #5. Has the jurisdiction prepared an estimate of necessary physical resources?**

**Question #6. Does the budgeting process employed by the jurisdiction explicitly consider outputs in addition to inputs so that the prospects of obtaining adequate funding are improved?**

Comment by Consultant: The three questions above are interrelated. The county responses have been combined for clarity and convenience. An overview of data collection workflow is required.

Response by the Jurisdiction: Various exhibits and continuous discussion were provided to the consultant by the appraiser's office. The 2020 budget preparation is currently in progress. Mark Clark is requesting six new staff members for fiscal year 2020 and considering another six in fiscal 2021. The table below was provided in response to the questionnaire as a breakdown of how the office is currently staffed.

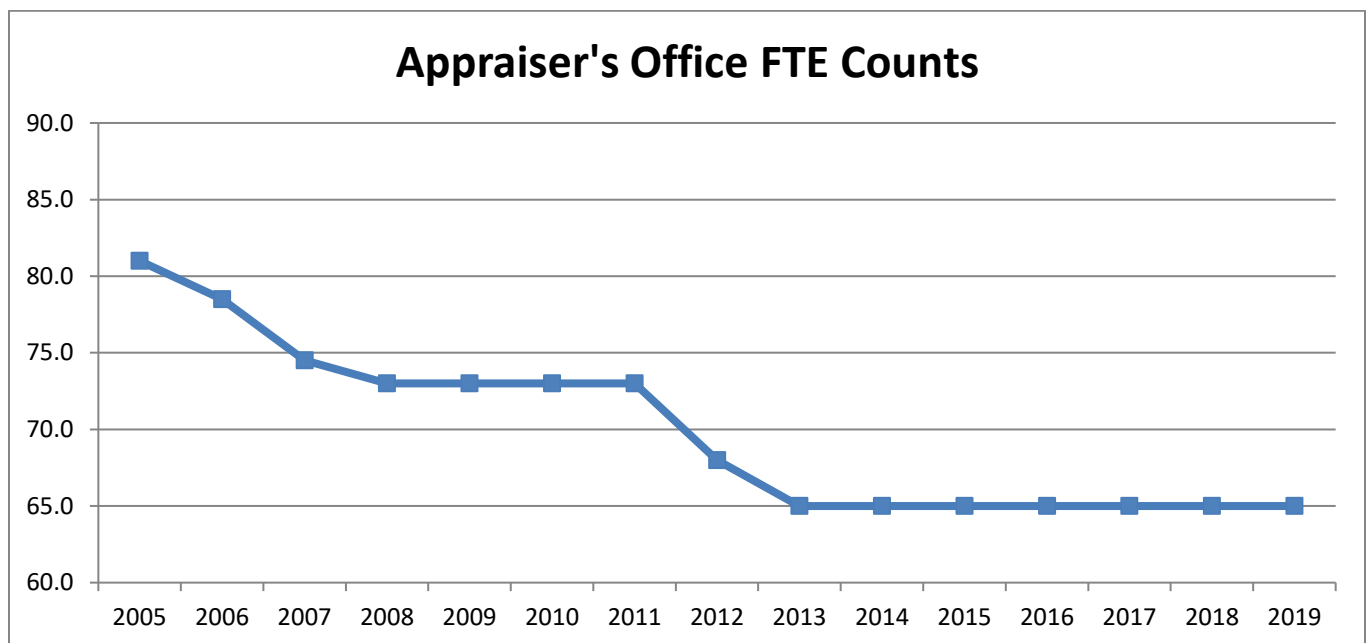
Staff Assignments Report		Future Staff Needs
Function	Current Staff	Needed (IN ADDITION TO)
Field Data Collection	Residential/Ag 9; Commercial 5	Residential/Ag 5; Commercial 5
Building Permit Review	Residential/Ag10; Commercial 2	<i>Above staff would aid in this process.</i>
Sales Verification	Residential/Ag 5; Commercial 3	Residential/Ag 2; Commercial 2
Income/expense Analysis	Residential/Ag 0; Commercial 1	Residential/Ag 0; Commercial 1
Valuation Modeling	Residential/Ag 1; Commercial 1	Residential 1; Commercial 1
Statistical Analysis	Residential/Ag 1; Commercial 1	Residential/Ag 1; Commercial 1
Personal Property Valuation	Personal Property 6	Personal Property 1
Personal Property Auditing	Personal Property 0	Personal Property 0

Appraisal Support (AS) - Data Entry	Data Entry 11	Data Entry 2
AS – Technology	Technology 2	Technology 1
AS – Mapping	Mapping 2	Mapping 1
Administration	Administration 3	Administration 1

The request for 2020 includes the following additions to staff:

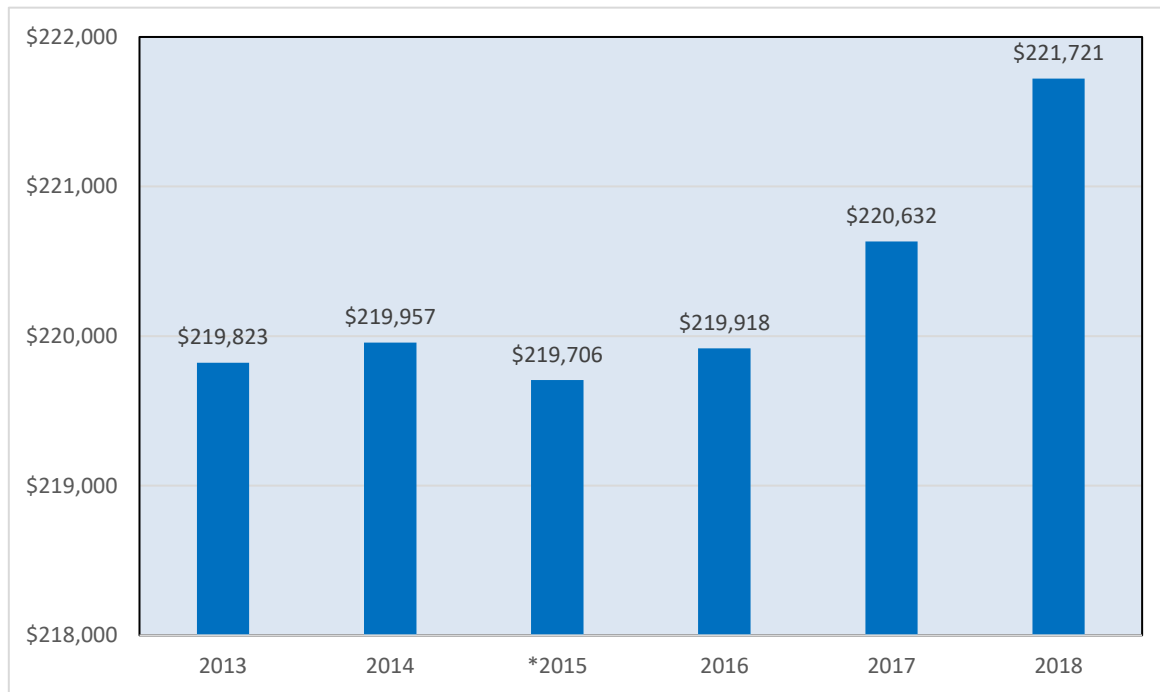
- Personal Property Appraiser (1)
- Appraisal Support (1)
- Residential Appraiser (2)
- Commercial Appraiser (2)

The chart below shows changes in staff level over the past fifteen years;



	2005	2019	Change
Administration	16.0	3.0	-13
Commercial	11.0	13.0	2
Residential & Agriculture	20.0	18.0	-2
Special Use Property	19.0	12.0	-7
Support Staff	15.0	19.0	4
<b>Total</b>	<b>81.0</b>	<b>65.0</b>	<b>-16</b>

## Parcel Growth in Sedgwick County



\*2015 was the year the appraiser's office cleaned up right-of -ways (ROWs) parcels.

The graph above depicts a growth in parcels of 1,898 or just shy of one-percent (0.09%). Much of this growth comes from new construction.

Returning to **Question #3** regarding planning and the statutory requirement, K.S.A. 79-1412a requires the county appraiser to “Annually, as of January 1, supervise the listing and appraisal of all real estate and personal property in the county subject to taxation except state-appraised property.” Each parcel requires a staff member to touch it in some manner. K.S.A. 79-1476 provides that “Commencing in 2000, every parcel of real property shall be actually viewed and inspected by the county or district appraiser once every six years.” This process is referred to as, “17% rule”, ( $1/6 = .1667$ , or 17%). This process is initiated first using technology in the office to digitally measure two sides of each structure and compare to measurements on the sketch. Exterior property attributes are also checked using oblique aerial high-resolution photos to view all sides of the improvements on the property. Standards for the seventeen percent property review are also mandated via a directive from PVD, with Directive #11-043. When any property review falls outside the standards quoted in the directive, an actual physical inspection is required including a new measuring of the improvement in question.

The county appraiser's office also enforces a 2% error rate in all data captures. This is completed with an iterative process of random checks by a supervisor to make sure data approvals and changes are consistent from property to property and validated by a second review. These secondary reviews are tracked and recorded. Whenever the review supervisor makes a correction, the initial data collector can track reasons and type of change made by the supervisor.

**Question #7: Is the jurisdiction well-organized?**

**Question #8: Is staff well-managed?**

- **Job descriptions for every position?**
- **there a current procedures manual?**
- **current written personnel policy?**
- **regular performance reviews performed?**

Response by Jurisdiction: The jurisdiction responded "Yes" to all the above questions and has provided examples of manuals. County policy states that performance reviews are to be conducted quarterly with a final annual performance review completed after October 31<sup>st</sup>. The supervisor and employee are present during the review.

Response by Consultant: The jurisdiction provided documentation in support of the above questions. The overall complexity of and interrelationships of the operations and procedures mandated by law require maximum levels of organization and planning. The PVD guideline on Procedural Compliance provides the details mandated including a calendar of milestone dates set forth by Kansas law. The compliance guideline uses a 100-point credit system to measure and assign a value to operational compliance. The 2018 Compliance Review document awarded 95.8 points to the county appraiser's office. During operation, the jurisdiction also tracks and reports their progress status to the PVD. When any item has not met its standard, the expected standard points are deducted. The county experienced deduction for a not commenting on changes, and lack of analysis documentation to the PVD.

**Question #9: Do the members of the staff have the right set of skills and experience?**

**Question #10: Are salaries and benefits competitive?**

- **Are there salary incentives for professional certifications or designations?**

Response by Jurisdiction: The county answered “Yes” regarding skill sets for the staff. This is driven primarily from the fact that staff members attend courses sponsored by the IAAO, PVD, and other providers of appraisal education. They also provided a list of staff members who have earned one or more designations.

Appraisal Institute	International Assn. Assessing Officers	Kansas Property Valuation Division
1 – SRA, MAI	3 RES	14 RMA
	7-AAS	
	1 CAE	
<p>Key:</p> <p>SRA = Residential Specialty  MAI = Specialty in all property types  AAS = Assessment Administration Specialist  RES = Residential Evaluation Specialist  CAE = Certified Assessment Evaluation  RMA = Registered Mass Appraiser</p>		

In all, twenty-five (25) staff members hold a designation. In addition to meeting educational and experience requirements of a designation, designees are also required to meet continuing education requirements as a maintenance provision to their designation. The Appraisal Institute, and IAAO require members and designees to keep up on revisions to USPAP, and standards of conduct through code of ethics, and conduct courses.

New hires work with experienced staff members through a process of shadowing, emulating, and then supervised independent application of the training. This is primarily for data collectors and support staff. New staff members are also enrolled in PVD courses and workshops including a course that covers the property tax laws in Kansas.

Typically, if budget provides, employees earning a PVD designation receive a \$1,000 salary increase and employees earning an IAAO designation receive a \$2,000 salary increase.

Regarding salaries and benefits being competitive, the jurisdiction used an IAAO Salary survey and an “Evergreen Study” as the basis to indicate compensation in the appraiser’s office is below competitive market levels.

Response by Consultant: Other states provide designation incentives, making the proposal by the appraiser’s office a reasonable request. There is a difference between skills and education. Education provides a knowledge and understanding of concepts and techniques. Skills are more of an application of knowledge and competency of the knowledge. IAAO and other professional

appraisal organizations test for knowledge and understanding with courses and examinations covering course content. They also test competency using requirements to produce demonstration appraisals, pass case study exams, and meet experience requirements. Adherence to standards is also required. After successful completion of all the previous requirements a designation is awarded.

**RECOMMENDATION #3:** The IAAO has produced a set of eight knowledge areas to be used for development of staff in the appraiser's office. Also, the IAAO has added the Mass Appraisal Specialist (MAS) designation. This designation puts a specific focus on methods and techniques used to attain the USPAP standard "credible Mass Appraisal results." It is recommended the Sedgwick County Appraiser provide for and encourage existing and new staff to pursue a MAS designation. There is no doubt, skills required to completing credible mass appraisals are only taught in the IAAO courses.

**Question #11: Are skills in procurement and contract management sufficient?**

Response by Jurisdiction: "The office manager has the responsibility of preparing and overseeing the annual budget, purchases and contract management. Contracts are approved/reviewed through OnBase with oversight by the County Counselor's Office and Division of Purchasing."

Response by Consultant: The audit scope of work is primarily targeted at the operations within the purview and control of the county appraiser's office. The appraiser's office does not directly engage in the procurement of contracts, and secures outside contractors. The county counselor's office oversees and prepares contracts for outside services. This does not mean the appraiser's office does not participate in defining needs for contractual services in cooperation with the counselor's office. The contract for this audit with the IAAO is an example of how the counselor's office and appraiser's office worked together.

The budget and planning process are also part of the contracting for services assignment. Any expected expenditure of funds for contractual services should be specifically identified during the budget approval process.

**RECOMMENDATION #4:** The IAAO does have a written Standard for Contracting Services, 2008. I would recommend the appraiser's office staff along with the county counselor review this standard for advisory compliance when developing proposals for contracted services. This standard is helpful with developing specific appraisal related concepts that are needed for assistance in developing values, data collection, software upgrades etc. One such discussion during the on-site interview is the need for a new capitalization rate study. Those needing the contract services should also be involved in providing needs of deliverables, justification of

needs, e.g. time saving, meeting legal and directive mandates, cost benefit analysis, etc. are examples.

**Question #12: Are exemption and other property tax reduction measures well-managed, etc.?**

Response by Jurisdiction: Yes.

Response by Consultant: The research and discussion with staff during the on-site visit confirmed that exemptions are controlled and managed through compliance with statutory mandates. K.S.A. 79-201 et seq., a majority of which covers the topic of exemptions in the state of Kansas. The PVD directive #92-025 also directs the specifics of how a property exemption process is implemented.

**Question #13: Is the quality assurance program of the jurisdiction adequate?**

- **Staff is required to adhere to ethical standards. The office provides needed guidance and deals promptly and effectively with ethical problems**
- **The office's organization reinforces quality assurance**
- **The office's computer system design reinforces quality assurance**
- **Standards of performance are formalized & procedures are documented**
- **Data maintenance programs reinforce quality assurance**
- **Valuation accuracy is monitored regularly using a flexible ratio study program**
- **Management communicates quality assurance expectations**
- **Management takes appropriate corrective action when potential or actual quality problems surface**
- **Management periodically commissions procedural audits**

Response by Jurisdiction: The jurisdiction considers the quality control checks to be in a state of general compliance, but also foresees that some specific areas of data production, data quality, and valuation results for market value property classes could be improved. The jurisdiction provided a thirty (30) page document used to control the sales validation process, and proper use and review of the "Kansas Real Estate Sales Validation Questionnaire." All property characteristics for valid sales are compared to third party sources, in addition to desktop review and field review. All changes are documented and attached as documented sources to the property record for viewing when required.



The PVD Procedural Guideline 2019, p 13, cites USPAP Standard Rule 5-7 “requires statistical testing of models.” In reconciling a mass appraisal, an appraiser must:

- (a) reconcile the quality and quantity of data available and analyzed within the approaches used and the applicability or suitability of the approaches used; and
- (b) employ recognized mass appraisal testing procedures and techniques to ensure that standards of accuracy are maintained.

K.S.A. 79-1476 is a reference to the PVD Directive #11-043. Directive #11-043 provides tools and methods for attaining and maintaining data quality. The appraiser’s office is required to track all re-inspections and new inspections and include a history record of changes. Random sampling is completed on at least 1% of parcels inspected, and a reviewer will recollect the data again. Thorough quality checks are completed on all models, e.g. land, improvements, residential, commercial, agriculture, manufactured homes, depreciation schedules etc. Multiple regression model values are compared to adjusted comparable sales and where the variance is greater than 10% additional explanatory notes are required.

K.S.A. 79-1485, K.S.A. 79-1444, and K.S.A. 79-1445 are statutory mandates for completing a sales ratio analysis. The PVD must publish the results of the ratio analysis and provide each county their results. The PVD will notify the county of “substantial compliance” on meeting the requirements of law to appraise taxable property at fair market value. The PVD relies on the IAAO standard of ratio studies (2013) as the guideline for appraised values to sales price ratios.

Response by Consultant: A review of the quality assurance and appraisal performance statistics has been conducted. Using the staff resource table presented in section 1 of this report, approximately fifty-percent (50%) of staff is dedicated to quality control of data. At the on-site interview staff members demonstrated examples of their daily on-going procedures. data collecting, model building, (residential and other), sales verification, data entry, and statistical analysis were all demonstrated. Staff members work daily to ensure any data they touch is of the highest quality. Every effort is made to ensure all review standards and statistical standards mandated by law or PVD directive are acceptable and within tolerances stated in a standard.

Topics of concern expressed and related to data and statistical quality are as follows:

- o Growth in parcel counts per person has put pressure on the ability to satisfy production and reporting deadlines going forward.
- o Experienced and knowledgeable staff members that work with data and the data products at the highest levels, e.g. model development, statistical analysis, economic unit

assignment, sales validation, are also staff members who are nearing retirement. When experienced staff retire a considerable amount of intellectual property (knowledge and experience) leave the building.

- o Senior staff members expressed concern that a succession plan was not in place. Retirement of experienced appraisal staff is an industry wide problem both in the private and public sector.

USPAP Standard 5 states: “In developing a mass appraisal, an appraiser must be aware of, understand, and correctly employ those recognized methods and techniques necessary to produce and communicate credible mass appraisals.” The awareness and understanding of the process is learned in the classroom. Correct application of these methods and techniques comes from years of application of the methods and techniques, in addition to understanding the relationship that each data attribute has toward producing credible mass appraisal values. As recently as February 22, 2019 the PVD issued Directive #19-051, directing county appraisers as follows: “For the 2019 and 2020 valuation years, the county or district appraiser shall perform all appraisal functions in conformity with Uniform Standards of Professional Appraisal Practice (USPAP), 2018-2019 Edition.”

**Competency Rule:** I bring this discussion to the forefront because according to USPAP competency requires: “#2. The knowledge and experience to complete the assignment competently.” The accompanying Comment goes onto say: “competency may apply to factors such as: Familiarity with specific type of property; assets; a market; a geographic area; specific laws and regulations; analytical methods.” These are all appraisal concepts previously presented by the county as part of the overall quality assurance program. K.S.A. 79-505(a) requires PVD adopt rules and regulations or directives prescribing appropriate standards for the performance of appraisals. Directive #19-051 directs county appraisers, for 2019 and 2020 valuation years, to perform all appraisal functions in conformity with USPAP, 2018-2019 Edition. Like the law, USPAP is not severable, other than by Jurisdictional Exception where a law or regulation precludes compliance with any part of USPAP, and should that happen only that part of USPAP becomes void for that assignment.<sup>1</sup>

**RECOMMENDATION - Discussion:** The previous discussion that covers the questions regarding quality control checks, resources to achieve and maintain adequate quality control have been presented with details. For the purpose of providing insight into the required use of human resources, and to be complying within quality control standards as mandated requires further discussion before a complete RECOMMENDATION is made on this section. Collecting

<sup>1</sup> Jurisdictional Exception Rule, eUSPAP 2018-19 Addn. Appraisal Foundation

and maintaining data requires more resources manpower and financial than any other function or process, required to be completed by the appraiser's office. Response from the jurisdiction is their recommendation when they evaluate all the mandated requirements including a very robust time-line to meet required statutory dates is, "We need more staff." As mentioned previously until all chapters have been through the audit process no recommendation for increasing staff will be provided.

As the consultant/auditor I will commend the staff members of the appraiser's office on their exemplary efforts toward attaining standards of quality. They say, "quality control could be improved/enhanced with more staff. Lack of resources for adequate quality control." Recommendations for this chapter address other areas that can lead to improvement of "quality control."

**RECOMMENDATION #5:** In part, the IAAO standard on Professional Development, 2013 is used as a compliance measurement relating to staff skills and development. USPAP Standard 5 and the Competency Rule are used also. Staff skills and compensation are inter-related and must be considered together. The staff skill level is very high as it must be in order to meet the compliance requirements. The question is, Is it high enough? Most of those holding designations are Registered Mass Appraisers, (RMA) and Assessment Administration Specialists (AAS). The education requirements for the RMA designation emulates the course requirements for the IAAO's RES, and includes Kansas specific courses on personal property and the property tax law course. The requirements for the RMA provide a good education nucleus of knowledge and understanding.

IAAO recently introduced a new designation Mass Appraisal Specialist, (MAS) to recognize competency in a wide range of mass appraisal theories, techniques and applications. While the Appraisal Process remains intact, the "Scope of Work" required to complete a mass appraisal differs considerably from "fee or single property "appraisal." The MAS designation is designed to recognize this difference in application of the appraisal process.

The required course list includes four of the same courses required for the RMA designation. see MAS education requirements as listed:

1. IAAO Course 101: Fundamentals of Real Property Appraisal
2. IAAO Course 102: Income Approach to Valuation
3. IAAO Course 300: Fundamentals of Mass Appraisal
4. IAAO Course 331: Mass Appraisal Practices and Procedures
5. IAAO Course 332: Modeling Concepts
6. IAAO Course 333: Residential Model Building

7. IAAO Workshop 171 Standards of Professional Practices and Ethics or IAAO online Standards of Practice.

Courses 331, 332, 333, and now 334 [Commercial Model Building] have all come on-line beginning in 2013. Course 300 remains, but courses 311, and 312 are being converted into a combined course to be offered online soon.

To address issues in chapter 2, e.g. staff skills, and begin a progression to a succession plan to replace and update knowledge backed by experience when retirement of senior staff members occurs, the following steps are recommended solutions:

1. The appraiser's office begins developing a succession plan to fill positions when senior experienced staff members retire. The plan should follow the general steps of:
  - a. Think in terms of a five-year plan, beginning with the end in mind.
    - i. What should the departments look like five years later?
    - ii. Create a vision identifying potential future directors of the various staff operations. Consider leadership skills in addition to technical skill.
    - iii. Share the succession plan concept with HR. as they may provide you with helpful information.
    - iv. Share the plan concept with the board of county commissioners. Keep them updated on the progress at least semi-annually. If additional funding is needed you want them to buy in.
    - v. Keep stake-holders involved in the process.
      1. Consider using performance evaluations to identify potential candidates for vacated positions.
      2. Provide for mentoring relationships when possible.
      3. Provide for additional education to update candidates' skills and knowledge levels.
      4. Update job descriptions to meet the future skills required to meet needed and desired improved level of compliance with the law and prescribed standards of practice.

- vi. Embrace the idea that succession planning will be an on-going process. This provides for a continued progression and motivation of subordinate staff members to enhance their skills and abilities should an opportunity to advance come available.
  - b. Why is succession planning important? A major finding in the IAAO 2016 Salary Survey reveals 48% of respondents plan to retire in the next nine years, and 23% in five years or less. Current appraiser's office staff members expressed similar concerns among their own ranks.
2. Current staff members holding the RMA designation should enroll as candidates for the IAAO designation of [MAS](#)<sup>2</sup>. (click on link for all qualification requirements)
- a. Those designated as AAS, RES, and CAE may also benefit from the hands-on course work conveyed by IAAO courses 331, 332, 333, and 334.
    - i. These courses build on applying actual mass appraisal concepts useful for understanding and application. Courses 331 and 332 use MS Excel, and 333, 334 teach modeling using SPSS.
  - b. The IAAO has recently published a [Body of Knowledge](#)<sup>3</sup> (BOK), that captures the expertise required to effectively work in the assessment profession. (IAAO BOK available on [www.amazon.com](http://www.amazon.com) , search IAAO)
  - c. The BOK not only describes key knowledge areas but also provides for levels of competency of knowledge as it pertains to a specific knowledge area. (a USPAP requirement)
  - d. Using the BOK provides for better structuring of targeted education for staff.
3. Competitive salary and compensation are considered by the appraiser's office as not competitive based on an IAAO survey. The IAAO has published many salary surveys with recent ones in 2016 and 2017. I recommend the appraiser's office purchase one or both surveys and complete a salary and compensation analysis using the data and conclusions from the survey to support their claim of non-competitive compensation. When completed the analysis should be shared with HR, with their recommendations. Such might include:

<sup>2</sup> [https://www.iaao.org/wcm/Education/IAAO\\_Designations/CAE/wcm/Designations\\_Content/MAS.aspx](https://www.iaao.org/wcm/Education/IAAO_Designations/CAE/wcm/Designations_Content/MAS.aspx)

<sup>3</sup> <https://www.iaao.org/media/pubs/Apendium.pdf>

- a. Review of all job descriptions to verify the current and recommended new salary classification for positions where the salary is based on outdated job requirements, skills and required education.
- b. One finding of the 2016 survey is IAAO designated members median base salary of \$63,000 was \$2,400 higher than non-designated staff.
  - i. Review of the surveys would provide details on salary increments for various designations.
  - ii. Interview other jurisdictions of similar parcel mixes (on a percentage basis) in Kansas for information on salary increments for designated staff.
- c. Complete a fully documented and comprehensive salary review document. Work with HR to adjust salary classes based on job requirements and updated job descriptions, provide for competitive compensation in the next budget presented for approval.

Conclusion on Operating Staffing and Budget: Staffing, budgeting, and quality control are all interrelated, in terms of the appraiser's office ability to meet all legal and directive mandates. The staff is in place as is the budget for 2018. The appraiser's office advocates for an increased staff size in the 2020 fiscal year. This impacts the budget for the office. Using 2018 documents provided, personnel costs (staff) are 93% of the total amounts budgeted for the appraiser's office. As recognized in the discussions presented, the work produced requires considerable human resources. At the current budgeted staff level, 65 employees work on completing the annual appraisal/assessment process. Each section of this report addresses efficiencies of staff processes. Due to the current workload there are no staff members specifically assigned to researching and developing more efficient procedures either by changes in workloads, or implementation of new advanced technologies. Gains in efficiency of procedures requires time and staff to research what processes need updating most.

The assessment process itself is not only rigorous but the time-line is demanding. Completing appraisals, appeals, issuing tax bills within a ten-month time frame on nearly 222,000 real property accounts, 35,000 plus personal property accounts and maintaining compliance with the many laws, regulations, and directives is commendable. Quality control is discussed and evaluated based on regulations from the PVD that are specific regarding compliance to data error rates and the methods used to assure quality data. The data quality is backed-up statistically during the valuation cycle and completion of the appraisal process using measures

of appraised value to sale price, as a ratio of the two (appraised value / sale price = ratio). The IAAO standard on Sales Ratio Study, provides the quality Standards see table below:

Type of property	Measure of central tendency	COD	PRD*
Single-family residential			
Newer, more homogenous	0.90–1.10	10.0 or less	0.98–1.03
Older, heterogeneous areas	0.90–1.10	15.0 or less	0.98–1.03
Rural residential and seasonal	0.90–1.10	20.0 or less	0.98–1.03
Income-producing properties	0.90–1.10		
Larger, urban jurisdictions	0.90–1.10	15.0 or less	0.98–1.03
Smaller, rural jurisdictions	0.90–1.10	20.0 or less	0.98–1.03
Vacant land	0.90–1.10	20.0 or less	0.98–1.03
Other real and personal property	0.90–1.10	Varies with local conditions	0.98–1.03

The 2018 Compliance report confirms the ratio standard on residential property meets compliance. For commercial real property the standard does not provide a definable line as to “Larger, Smaller” urban jurisdictions. The Sedgwick County jurisdiction is larger than the average size jurisdiction in the United States. In Kansas only Johnson County is larger than Sedgwick County. Commercial overall ratio is 90.5% with a COD of 22.2%, the COD falling outside of both large and small measure based on the standard. Recommendation for improving commercial ratio standards will be provided in Commercial Values Section. The overall Residential measures are within the Ratio Standard requirements.

2018 Compliance Review	RATIO	CONFIDENCE
MEASURE	STUDY	RANGE
<b>a. RESIDENTIAL</b>		
LEVEL: MEDIAN RATIO	90.1	IN ( 87.9, 91.8)
UNIFORMITY: COD	10.6	IN ( 9.7, 11.7)
<b>b. COMMERCIAL/INDUSTRIAL</b>		
LEVEL: MEDIAN RATIO	90.9	IN (86.2, 94.9)
UNIFORMITY: COD	22.2	IN (19.9, 25.1)
<b>TOTAL</b>		

Additional discussion of Sales Ratio specifics will follow in the audit “Sales Ratio Studies” Chapter 7. The point of this discussion is compliance with various “Quality Standards” requires staff first and foremost to have the skills, knowledge, experience and depth of application to

understand the methods and techniques needed for attaining compliance with the mandates. In this section I find the appraiser's office preformed their duties at a high level. The evaluation of compliance as mandated meets most standards of quality and performance.

Recommendations have been provided that intend to protect the accomplishments of meeting compliance mandates. Retirement of senior level, highly skilled and knowledgeable staff is a future concern, but must be addressed now with a proactive succession plan.

Technology and its use have created a paradigm shift in the process and application of mass appraisal methods and techniques (scope of work). Future leaders and directors of staff in the appraiser's office will require updates to their skill sets. It is recommended new and enhanced skills be obtained by attending the most current education available and then install these new methods and techniques into the appraisal process. Budgets and policies supported by the county board of commissioners, and the PVD will also need adjusting to support these changes from a funding and administrative perspective.

## Information Technology

**Question#1: Does a modern database management system with its expected services and interfaces underlie the assessment system?**

- Are there sufficient automated edits in place in the jurisdiction?
- Are there backup and recovery provisions in place?

**Question #2: Does the database improve quality and minimize potentially inconsistent redundancies?**

**Question #3: Does the database enable added functionality?**

**Question #4: Do the database tools provide for modern support for temporal and spatial variables?**

- Can the database handle data entry and updating for past, current, and upcoming tax years and the need of the users to separately activate separate tables to do so
- Does the data base meet IAAO standards for usability?

Response by Jurisdiction: Two database management systems operate within the appraiser's office. The Orion system from Tyler Technologies is the primary source for storing real property and manufacture home data. The personal property data resides in the Aumentum system from Thomson Reuters.



The Orion system is provided to counties throughout Kansas as the primary Computer Assisted Mass Appraisal (CAMA) software for real property. A personal property application is also available in the Orion system but is not used by the jurisdiction. The PVD provides detailed guidance in the Procedures Compliance Guide on the internal tables and use thereof contained in the Orion system.

The Orion system provides the jurisdiction adequate levels of editing and backups. The Aumentum system lacks the quality control features of the Orion System requiring other external application to assist with data integrity for personal property data and analysis.

**Questions #2 - #4** address the overall user satisfaction with system operations, ease of use, learning curve to get to proficiency in use, and ability to handle multiple tax years. For all categories the Orion system being a Windows based user interface, basic ease of use, and overall functionality is good. Users can move around in the Orion system without much difficulty. This is not the case for the Aumentum system. Functionality and flexibility of the Aumentum causes delays in workflow, requires an extra level of user education to learn scripted queries for retrieval of data items and reports. This system has been in place since 2010 with no updates, with only system patches being provided on a monthly basis. The vendor opines they don't expect to roll out any new versions of the software before 2021. They have developed a new version in California, and it is being tested. It is live in Riverside, CA and Sedgwick County is aware that version has experienced problems. The jurisdiction's estimate is it could be 2025 before an updated version is available for use in the appraiser's office.

The appraiser's office states they are confident the Orion system meets IAAO standards because the PVD does state that the Orion system produces results in compliance with USPAP.

**Question #5: Does the database provide support for parcel aggregates and sub-parcel records?**

**Question #6: Does the valuation software allow for flexibility and adaptation?**

- **Can revisions be made in valuation tables without jeopardizing the official roll in progress?**

Response by Jurisdiction: The current configuration of Orion in the appraiser's office does not include support for parcel aggregates (multi-parcels) and sub-parcels. However, Orion does now provide such configurations as part of the Orion system. Flexibility has been previously addressed in the response to questions #2-#4. Orion does allow table revisions, but Aumentum does not.

Response by the Consultant: **Questions #1 - #6** are aimed at addressing the operations, security and functional use of software applications. There is not a current IAAO Standard on database usability. The Standard on Mass Appraisal, 2017 does address the use of data, as does the

Standard on Automated Valuation Models, 2018. The private sector has created data standards for residential and commercial appraisals<sup>4</sup>. The “usability” is more of a user reaction to the retrieval and storing of data items.

The details of data base design and use is a process completed by technology companies and information technology departments. The Orion and Aumentum systems are in place and Orion is a mandated CAMA system by the PVD for use by all county property appraisers in the state of Kansas.

Each system was demonstrated during the on-site visit. Neither system provides full functionality or flexibility. If Orion and Aumentum engaged in complete functionality and flexibility there would be little need for staff to create external work arounds using MS Excel, or OnBase, a document management system. Commercial property activities other than data characteristics are processed entirely outside of the Orion system. This is a customized application referred to as “EUS” or Economic Unit Summary. The EUS was developed using C-Sharp a.k.a. C#, a programming language, designed by [Microsoft](#). The EUS application was designed to transact the needed functionality for valuing multi-parcels by working with the GIS and combining multi-parcels into “Economic Units” to be valued, and then to allocate the values back to the individual parcels for assessment. The IT support for the EUS is not in-house, meaning it is not provided by the county IT staff. The process used to create the economic units requires heavy processing loads and is usually completed in off business hours to avoid conflicts with other County batch processing routines.

**RECOMMENDATION #6:** The Orion CAMA system is locked in place and ultimate control of updates are provided by Tyler Technologies and to the PVD, the holder and distributor of Orion to users using a centralized browser-based system. Other than attending user meetings and requesting updates, improvements to functionality is through the PVD pipeline, there is no choice but to keep using the Orion system as is. The addition of the Multi-Parcel Valuation system in Orion may provide greater flexibility than the current EUS system once it is learned and implemented. See RECOMMENDATION #1 in the chapter on [Operation Environment](#). (click on hyperlink).

The Aumentum is problematic on several levels. Most notably it also functions as a tax billing system used by other departments. According to the staff in the appraiser’s office, some county departments are satisfied with how Aumentum performs and have not shown an interest in exploring other software options that would provide all users a more efficient system. (Note from Consultant: *A more precise recommendation will be presented in the personal property chapter*)

<sup>4</sup> IAAO Fair & Equitable 2008, Linne

According to the Tyler Technologies web site, there is an Orion solution for tax billing and collection. As stated below this option deserves further consider if it creates needed efficiencies.

## **“Orion is a proven software solution for CAMA and tax billing and collection.**

From simplifying processes and improving workflow to ensuring efficient and consistent operations, Orion connects you to all the essential business tools you need.”<sup>5</sup>

At the county level effort between county offices is required to improve work flow. Like with the multi-parcel issue, when a single department is functional and others require extra time and staff to create work-arounds outside of a central system, this is not efficient government. Exploring and finding software that is more flexible and functional for valuing personal property must be considered. With the projections for updates to Aumentum out as far as 2025, this is the equivalent of a user working in DOS applications from a technology perspective.

**Question #7: Does the valuation modeling software produce results capable of being timely applied?**

**Question #8: Can the valuation modeling software produce data on the confidence of its estimates?**

Response by Jurisdiction: **Questions #7 and #8** address the output and deliverables that the valuation systems are capable of. While not all valuation functions are completed within the Orion software, the cost model results and comparable sale results are completed and applied using Orion. Currently some analysis such as location adjustments, updating depreciation tables to the local market, sales validation results, notes, and developing market models using multiple regression analysis (MRA) are completed outside of Orion. The Orion MRA module provides standard regression measure of “goodness of fit” e.g.  $R^2$ , standard error of the estimate and coefficient of variation. Individual measures of variable importance included are, correlation, T or F values and standardized regression errors. All the above pertain to residential model development.

As previously discussed, the current version of Orion in use does not support the valuing of multi-parcels that represent a single economic unit. In-house tools have been developed and implemented for valuing commercial properties. Primarily used on commercial is a segregated summary statistical model developed using baseline values.

Response by the Consultant: As previously discussed the appraiser’s office must create work-arounds in their processes for all functions not provided by the CAMA software. This requires

<sup>5</sup> <https://www.tylertech.com/products/orion/appraisal>

additional efforts and testing before implementation. It also requires the appraiser's office to ensure their results will be accepted into the Orion CAMA and Aumentum systems for the purpose of noticing changes in value and creation of the tax bill.

**RECOMMENDATION #7:** The County Clerk, Treasurer/collector, information services, and appraiser's office must come together to improve functionality of all software products used in the property tax cycle. While this may come at a cost initially, if the benefit is improved efficiency for any one department, the one-time cost is preferred to annual cost increases required for additional staff. A full study of finding new or improved measures of efficiencies where current software is inadequate is needed sooner than later.

**Question #9: Does the valuation modeling software support its estimate of a parcel's value with a small set of comparable properties, sold or unsold, that have had their estimates adjusted to reflect how they would compare to the subject property after adjusting for the differences between them?**

Response by the Jurisdiction: Residential – Yes. Multi-parcel issues on commercial records prevent Orion from being able to produce income & comparable sales estimates (performed outside of Orion). Tyler Technologies made it possible in Orion, Aumentum did not. A demonstration of adjusted comparables was presented during the on-site visit.

Response by the Consultant: As mentioned in other responses by the jurisdiction the Orion system is focused mostly on valuing residential properties. Comparable sales and income analysis are completed outside of the Orion system, specifically for multi-parcel economic units. On the Tyler Technologies<sup>6</sup> web site promoting Orion as a full CAMA solution, specifically saying: "Develop, calibrate and test your model(s) using cost, market, or income appraisal methods". Understanding this as a marketing claim, the options to complete values for residential, income producing properties is at least potentially available for use. Now that a solution is also present to complete values on multi-parcel records is also present, the RECOMMENDATION made in the Operating Environment chapter is supported.

**Question #10: Can the valuation software permit the implementation of analyses not contemplated by the original design, either by customizing reserved variables and processes in the core DBMS, by facilitating third party interfaces, or both?**

Response by Jurisdiction: Tyler Technologies made it possible in Orion, Aumentum did not. The Orion System has been interfaced with the OnBase and Apex sketching software. When using the

<sup>6</sup> <https://www.tylertech.com/products/orion/appraisal>

Orion System notes and other documents created using OnBase are displayed seamlessly, as are the sketches created in the Apex application.

Response by the Consultant: As stated in their response, the jurisdiction provided demonstration and examples of third-party implementation and analysis. The functionality of third-party applications appeared seamless in operation.

**Question #11: Does the system take advantage of the benefits of integrated CAMA/geographic information technology?**

Response by Jurisdiction: GIS is managed by the Sedgwick County GIS Division. ESRI products services parcels and land data. Information is integrated in Orion automatically when GIS publishes their data. Maps in Orion ping to GIS servers. Demonstrations and examples were provided during the on-site visit.

**Question #12: Does the system provide advanced workflow processing and management, including those relevant for appeals documents at the various required levels?**

**Question #13: Does the system provide advanced document management?**

Response by Jurisdiction: Yes, when using Orion. No when using Aumentum. Orion does support documents being attached to records, but Sedgwick County uses a separate scanning software (OnBase) that is integrated with Orion. It does not support documents being attached. Aumentum PP has extremely limited integration with OnBase software.

Response by Consultant: The review of the Orion and Aumentum applications in terms of workflow and management are connected to the response in the two previous chapters on Operating Environment and Management and Staffing. The Orion technology provides the required tools needed to complete the appraisal/assessment function resulting in compliance with quality mandates and value mandates. The appraiser's office staff is highly skilled in all facets of operating Orion. While not all modules in Orion have been fully deployed, they are available for use. It has been suggested earlier that using the multi-parcel application must be considered and evaluated for use by visiting other jurisdictions where it is used and tested.

The Aumentum system is a source of frustration by users in the appraiser's office. A visit to the Thomson Reuters<sup>7</sup>. Web site reveals all the property tax components available as an integrated tax administration and CAMA system. The appraiser's office and the PVD have worked out the CAMA side with the Orion mandate. Aumentum remains in the Register of Deeds, County Clerk, and Treasurer's/collector's office as an active application. Based on the Aumentum system

<sup>7</sup> <https://tax.thomsonreuters.com/en/aumentum>

demonstrated compared to the one described on the Thomson Reuters web site, the system in place in Sedgwick county is an older version without recent updates.

**Question #14: Does the agency keep abreast of potentially relevant technological developments?**

Response by Jurisdiction: Yes. The staff members involved with modeling, reconciling final values, and the in-house GIS technician are involved keeping abreast of updates and enhancements to the current technology. They spend time reviewing new functions and evaluating how a new technology tool would benefit the overall appraisal and GIS process.

**Question #15: Does the computer system maintain a frozen record of the property at the time of sale?**

Response by Jurisdiction: "Sales history is used in creating Models in the valuation process determining value estimates. This process does not function for Commercial multi-parcels. A Commercial Sales Database is used for tracking of multi-parcels; however, it is not used in determining "value estimates."

Conclusion on Information and Technology: Availability and use of the many technology components used by the appraiser's office, are directly connected to the two previous chapters. Technology is responsible for completion of most procedures. When the technology is working correctly as the user expects, the Operating Environment is considered productive with appreciated efficiencies. These same efficiencies influence staffing levels and required abilities. The county appraiser's ability to influence improvements in current technology is tempered by dynamics from outside sources. The Register of Deeds and County Clerk participate in the property tax system at the beginning where sale transactions filed with the Register of Deeds evoke changes in property lines and the County Clerk has authority of what parcels are split, or combined. The Treasurer's/collector's work is at the end of the property tax cycle, via notice requirements, billing, and collections. There is general frustration among most elected officials with Aumentum software.

The PVD controls the Orion CAMA system, and provides assistance to counties when requested. This does not mean that if the county appraiser requires or requests added functionality it can be provided immediately, or ever. All indications from the county support the idea that Orion meets the majority of their needs and where it does not, they have developed a work around. The only exception is the management and control over multi-parcel economic units. There is an Orion solution for management, but issues involving control over who initiates splits and combinations of parcels are not part of the software domain.

Review of the technology and its operation have revealed its ability to comply with appraisal standards required by USPAP, and additional mandates of the PVD (known as special conditions

in USPAP). The provided RECOMMENDATIONS are directed toward strategies that would improve processes and reduce processing time. Technology has allowed the appraiser's office to do more with less, more parcels per staff member and fewer staff members. The appraiser's office has done an excellent job of using technology.

As the audit progresses there will be additional commenting on technology and its use.

## Cadastral Mapping.

### Questions:

- 1. Do the cadastral maps enable the jurisdiction to have reasonable assurance that all taxable parcels have been identified and no parcels have escaped inclusion in the system?**
- 2. Do the cadastral maps provide the basic information specified in the IAAO standard?**
- 3. Does the jurisdiction maintain a complete set of cadastral maps showing the identity, size, shape, and location of each parcel in the jurisdiction as of each assessment date that remains subject to ongoing litigation?**

Response by Jurisdiction: In response to the above questions, all are in the affirmative. Yes. "Copies of GIS Parcel layers are saved at the end of each year."

Response by Consultant: Demonstrations of the GIS were presented during the on-site visit. The internal review of the GIS is based on functionality and use by the staff in the appraiser's office. The Orion system and GIS are integrated and work seamlessly together. Map layers can be displayed from Orion for a specific parcel, and from a GIS parcel, users can display Orion data.

### Questions:

- 4. Are maps and related records maintained on a timely basis?**
- 5. Are all parcels assigned a unique identifier that is associated with its current configuration and size?**
- 6. Do cadastral maps include representations of improvements as well as the legal boundaries of the parcels?**
- 7. Are maps spatially referenced and capable of meeting national map accuracy standards or IAAO standards, including those cited by reference such as the**

**American Society for Photogrammetry and Remote Sensing (ASPRS) standards? Do they meet the standards when plotted at the scales cited in the IAAO standard?**

Response by Jurisdiction: **Questions #4-#7** are all “Yes.”

Response by Consultant: **Questions #4-#7** all pertain to compliance with the IAAO Standard on Digital Cadastral Maps and Parcel Identifiers, 2015. This standard is used to evaluate compliance with the specific questions.

It is important to note that the Geographic Information System (GIS) for Sedgwick County resides in its own department, a/k/a. Sedgwick County Geographic Information Services (SCGIS). The web site, <https://www.sedgwickcounty.org/gis/about/> provides details on all services provided for the Wichita/Sedgwick County region. Key services include data development and conversion, mapping, data queries, geo-spatial analysis, application development and website support.

It is the responsibility of the register of deeds and appraiser’s office to provide data required for updates to the parcel and ownership layers to the SCGIS updated regarding parcel layers.

The IAAO GIS standard provides this statement in section 2, Introduction:

- Cadastral maps for the entire jurisdiction.... are essential to the performance of assessment functions.
- Digital cadastral maps enable the assessor to more efficiently;
  - access parcel location and information,
  - reveal geographic relationships that affect property value,
  - provide a platform for the visualization of data layers and analytical results.

Section 2.1 The Role of the Assessor, from the GIS standard:

- The assessor, or an authorized agent, should be the data steward for parcel and assessment data.
- Possess the ultimate authority to inventory, create and define all parcels and other cadastral layers.
- The assessor should maintain parcel identifiers for assessment purposes.
- The assessor should work closely with GIS or IT agencies that creates and maintain GIS data.



The GIS standard continues with this statement: “The assessor should track current ownership of all parcels via the recording of deeds and other documents conveying title” ....and... “In larger jurisdictions this function may be performed by a separate department. Nevertheless, deed processing and cadastral mapping are functionally related through the review of ownership and the interpretation of property descriptions and should be organizationally linked in the assessor’s office” .... And.... “The assessor should address policy-level matters, such as how the overall mapping program is integrated in a multipurpose data-sharing environment.”

**RECOMMENDATION #8:** I have previously discussed the issue of multipurpose data sharing, in [Recommendation #2](#) . The IAAO GIS standard recognizes this issue as a division of responsible, departments that do share require being “organizationally linked.”

**Response by Consultant Continued: Questions #4-#7.** Section 3 of the IAAO GIS Standard - **Core Components of a Digital Cadastral Mapping System:**

- A geodetic control network based in a mathematical coordinate projection.
- A cadastral parcel layer delineating the boundaries of real property in the jurisdiction.
- A unique parcel identifier assigned to each parcel.
- Other cadastral layers related directly to the parcel layer, such as subdivision, lot and block, tract, and grant boundaries.
- Digital aerial orthophotographs.
- A computer system that links spatial data and parcel attribute data.

The SCGIS as it pertains to and operates within the appraiser’s office follows the Core Components of the IAAO GIS standard.

Section 3.3 - **Core Cadastral Map Layers** at a minimum consist of:

- A PLSS layer, if geographically applicable.
- Subdivision, plat and condominium boundaries as recorded or filed.
- Block and lot boundaries as recorded or filed.
- Parcel boundaries; platted and unplatted, both taxable and nontaxable.

These layers are specifically identified on the SCGIS website.

Property Data:

- [Lots](#)
- [Property Parcels](#)
- [Subdivisions](#)

A continued review of the IAAO GIS standard Sections 3.4 – 3.10 reveals the SCGIS complies in all areas based on review of data layers and processes described on the SCGIS website. Section 4 of the GIS standard covers the specifics of creating a digital geographic system. As this SCGIS is in place and fully functioning a comparison of processes is not required.

Section 5 covers System Maintenance of the GIS. The county appraiser has only partial responsibility for maintenance regarding parcels and ownership. They are responsible for “Archiving” tax layer data for each specific assessment cycle, thus year. Section 5.2 covers archiving and the appraiser’s office is complying.

Section 6 in the GIS standard covers “Quality Control” during creation and maintenance of the GIS layers. As the appraiser’s office does not create or maintain any line work, an audit comparison for controls falls outside of the scope of work specific to the appraiser’s office.

During the on-site interviews and demonstrations appraiser’s staff did not identify any issues experienced with mapping errors detrimental to their specific work and use of the GIS. Positional accuracy from a user perspective is acceptable.

**Questions Continued:**

- 8. Are maps (or a geographic information system) capable of significantly enhancing the mass appraisal system?**
- 9. Does the GIS or mapping system display and support valuation areas and identifiers?**
- 10. Can market areas and neighborhoods be updated with GIS?**
- 11. Does the jurisdiction perform advanced spatial analyses possible only with a GIS?**

Response by Jurisdiction: **Questions #8 - #10** are all “Yes.” **Question #11** is “No.” **Questions, 8,9,10** all address how the appraiser’s office uses the GIS technology. The creation of the economic unit system and tracking of multi-parcel values would be even more time consuming and difficult without the enhancements the GIS provides. Economic units can be displayed as single parcel unit (that is the users can see all parcels visually). This provides for instant visual feedback of building inventory and allocated values. The residential market areas are a map layer and used to control for market area adjustments in modeling process, identify outlier value estimates, and select comparable sales from competing neighborhoods within a market area. The GIS is also a product used for workflow controls, data collection, building permits, in-house data verification, land value maps, tracking and processing appeals. Some of these workflow processes are integrated with Orion, while others are completed using Orion data with external GIS processes and applications.

Conclusion by Consultant on Cadastral Mapping:

The IAAO standard on Digital Cadastral Maps and Parcel Identifiers is used as the guiding source document for compliance. The appraiser's office staff members are skilled users of the GIS layers made available to them. The specific layers of lots, parcels, and subdivisions are part of the daily and annual work products used and delivered by the appraiser's office. The integration of parcels from Orion with parcels in the GIS allows for many enhanced operations and geo-spatial analysis to be performed by staff in the appraiser's office.

The standard on GIS does provide guidance on the necessity for the assessor and others within the county governmental structure to work together to solve for the best outcomes when GIS production responsibilities cross departmental lines of authority or authorization.

[Recommendations #1](#) and #2 are presented in recognition of this guidance. Recognition of efficiency, cost savings, and best practices are also desired results.

**Question #11** was answered "No." The question does leave room for interpretation as the appraiser's office perceives "spatial analyses" as some type of 3D analysis, which can be true. What is completed using the EUS to combine single ownership, multi-parcels into a single economic unit to value, and then allocate the portions back out is an example of an advanced method of spatial analyses. While cumbersome and time consuming when viewed on a GIS layer, considering the processes used, not many jurisdictions have solved the multi-parcel processing question.

I do see an opportunity to use the GIS as an enhancement for analysis and valuation of commercial and industrial properties using a response surface variable in a commercial model to account for geographic differences. I will discuss this more and provide a recommendation during the chapter on Commercial Valuation -10.

After review and analysis of how the appraiser's office is supporting and using the SCGIS including comparative compliance with the IAAO GIS standard, there are no concerns of non-compliance. Recommendations #1 and #2, address departmental responsibility for a better environment of workflow, functional questions on operations of parcel creation, and ownership boundaries.

## Property Use Codes, Market Areas, and Neighborhoods

This section covers the statutory requirements of K.S.A. 79-1476 providing for a Real and Personal Property Classification system. The section will address only Real Property

Classification system as Personal Property has its own chapter devoted to valuing and assessing personal property. The questions below were answered by the jurisdiction.

**Questions:**

**1. Does the jurisdiction employ a logical property type classification scheme?**

Response by the Jurisdiction: The classification system is mandated by the state Constitution Article 11.—FINANCE AND TAXATION- § 1. System of taxation; classification; exemption, and K.A.S.79-1439 - Property Valuation, Equalizing Assessments, Appraisers and Assessment of Property. The constitution goes on to setup classifications for real property as follows:

Class Number 1	Sub-Class	Class	Percentage
	1	Residential - Apartments	11.5%
	2	Land Devoted to AG Use	30%
	3	Vacant Lots	12%
	4	Real Property Non-Profit – sub class	12%
	5	Public utility, Except RR	33%
	6	Commercial & Industrial, on Buildings on AG Land	25%
	7	All other not sub-classified	30%

All property except for agricultural land is appraised at full value based on its highest and best use, the classes are assigned based on such highest and best use. Once the appraised value is completed the class percentage is applied to convert the appraised value to assessed value.

**2. Does the CAMA system provide for mixed use properties?**

Response by the Jurisdiction: “Yes, but it doesn’t work.”

**3. Has the jurisdiction developed separate geographic areas and location identifiers for each major property type?**

Response by the Jurisdiction: “Yes.” This is discussed in the previous chapter under [question #10](#). There are ten geographic stratifications for market areas and each market area contains sub-strata neighborhoods.

**4. Do appraisers determine geographic areas used for valuation purposes?**

**5. Are geographic areas sufficiently large to afford adequate market data for analysis?**

Response by the Jurisdiction: Questions #4 and #5 are “Yes” but there is some misunderstanding of the question.

**6. Does the jurisdiction validate the assignment of property use codes and geographic identifiers?**

Response by the Jurisdiction: “Yes, this is completed through a query. Edits are set up to catch errors.”

Response by the Consultant: The USE CODE’s are mandated and in compliance with the mandates as provided by Kansas law, as well as the Kansas constitution. The PVD cited no violation of compliance in the 2018 report on compliance. The PVD provides specifications, manuals, guides, schedules, memoranda, regulations and directives on the various procedures for valuing property, as per Directive #17-048. This includes guides for specific methodologies directed at these property types.

- 1) Personal Property Guide
- 2) Oil and Gas Appraisal Guide
- 3) Grain Elevator Appraisal Guide
- 4) Commercial Feedlot Appraisal Guide

Further review and discussion of how property is valued is provided in the sections covering Land Values, Residential Valuation, Commercial Valuation, Personal Property Valuation, and Appeals.

## Property Data Collection and Maintenance

This chapter covers the specifics of what data is collected, how often, the sources of data, use of building permits, and zoning. I also looked at how technology is used to collect and maintain data and if any data quality standards are in place. The questions are grouped for responses from jurisdiction and consultant. In all, 15 questions on data are addressed in this chapter.

Compliance measurements for data collection are cited in the 2018-2019 Procedural Compliance Guidelines, PVD. Specifically stated are USPAP, PVD Manuals, PVD guidelines, and PVD Directives. PVD provides data collection guidelines for proper coding of attributes into the Orion system.

### Questions:

- 1. Do computer records contain information on current property use, highest and best use, and indicators of legal uses, such as zoning? Also covered are various methods of collecting and maintaining data.**
- 2. Does the jurisdiction have a documented rationale for the data it collects, including its decisions on interior vs. exterior inspections and the frequency of each type of inspection?**
- 3. Does the jurisdiction maintain computerized data on land attributes important in the local market?**
- 4. Does the jurisdiction physically inspect properties at least every four to six years?**

Response by the Jurisdiction: Yes, to all the above. Zoning is carried on the data file, but maintenance of zoning is lacking and does not meet accuracy standards. Maintaining zoning as a property attribute is not a priority. The reason is, there are 30 -40 different zoning classifications in the county, with no standards regarding meaning. Highest and best use is not a coded property attribute. We follow PVD guidelines and business rules in-house as directed. PVD compliance guidelines require documentation on all data changes, and updates. i.e. what data items were changed, who made the changes, creation of a record history of changes?

K.S.A 79-1476 mandates every parcel of real property shall be viewed and inspected by the county once every six years. The Revaluation Maintenance Specifications requires the county appraiser to select a sample of parcels for inspection to ensure that 100% are inspected at least once every six years. In the Sedgwick county appraiser's office this is known as "17%", e.g. 1/6 or 17% are reviewed each year.

Response by the Consultant: Having reviewed the requirements set-forth by:

- Kansas statute, PVD Directive #11-043, administrative regulation;
- USPAP SR 5-2(e);
- 2018 Procedural Compliance Review Checklist, 2018 Compliance Status Report, and Sedgwick County 2018 Compliance Review;
- On-site demonstration of process, and discussion.

The appraiser's office meets the compliance requirements as they pertain to Questions #1 - #4. The issue of "Highest and Best Use", while not carried on the actual record, the "Use Code" assigned gives the data collector/appraiser the opportunity to make the assigned use code represent each parcels highest and best use. At the time of assigning the Use Code if the parcel or economic unit is to be appraised based on highest and best use, as such the Use Code can reflect a

use other than the current actual use when it does not represent the highest and best use. Such an action would then reflect the finding of the case cited. (See *Board of Douglas County Comm'rs v. Cashatt*, 23 Kan.App.2d 532, 933 P.2d 167 (1997).)

**Questions:**

- 5. Does the jurisdiction regularly obtain copies of building permits, occupancy permits, or both, and does it conduct physical inspections of affected properties?**
- 6. Is the residential property record card designed to facilitate collection and review, and is it supported by a data-coding manual and training program?**

Response by the Jurisdiction: We complete a manual review of Metropolitan Area Building and Construction Department database for City of Wichita and unincorporated areas of Sedgwick County. Building permits for small towns that don't go through MABCD are faxed or emailed to our office. Building permits include % completed. We are reviewing building permits to determine if it's something we need to go out on. We would not go out on a roofing permit or elevator inspection.

**Question:**

- 7. Does the office use mobile electronic devices for field data collection?**

Response by the Jurisdiction: SG Co KS uses an older system from Tyler-"Mobile Office", appraisal staff finds inefficient & outdated for updating data in the field. A newer system is available- "Field Office" that allows for uploading and downloading of CAMA data which would eventually cut down on entry staff & errors. The estimated cost of upgrading to "Field Office" is \$70,000 with annual maintenance costs; the cost is based on the population of the county.

Response by the Consultant: Questions, #5 - #7 fit together for analysis of compliance and processes. The appraiser's office has access to the permitting system for the City of Wichita and can review permits on an as needed basis. The process is basically manual to get the permit from the city electronic system into the Orion system for field checks and review.

The data collection record is setup to match the data input for the Orion system. The appraiser's data collection staff did not indicate any issues regarding the order of data collected, or difficulty completing the form in the field. Since populating the record is completed manually for data entry, it is important the collection form follow the screen used to capture the field data electronically. Reducing data entry time, and errors provides better efficiency and order of inspection as field appraisers can easily adapt their inspection order to the form to gain efficiency. Data entry requires efficient organization to reduce errors and time.

**RECOMMENDATION #9:** Data collection is the most time consuming, labor intensive, and expensive task completed in the mass appraisal process. The appraiser's office is legally responsible for creating and maintaining a complete and accurate inventory of every piece of real estate in the county. A primary duty is to "discover" the specific data required to complete the appraisal. The ability to obtain building permits is a real time saver. Processing building permits manually is not.

As previously recommended, the appraiser's office must have solid line of cooperation with agencies outside of the office. Building, zoning and code enforcement offices are another example where this cooperation needs to exist.

Regarding Question #5, it is recommended that the appraiser's office develop a plan with the cooperation of the City of Wichita's permitting department to receive building permits via an electronic transfer of a file that can be used to directly attach the permit information to the assessment record. For this to happen one of two changes would be required.

- Work with the GIS departments so that the official address on the permit can be matched to the address on the assessment record.
- Or The appraiser's office provides a cross referenced database to the building department with the parcel identification number. Once the permitting officer enters the address the parcel ID is also included on the permit and can electronically attach the permit to the assessment record.

The second concept has been implemented in many assessment jurisdictions across the United States and is a workable option to be considered for implementation. (see [example document](#) at the end of the audit)

**RECOMMENDATION #10:** Question #7 addresses the use of mobile technology in the field. The jurisdiction has tried implementing "Mobile Office" a technology that provides for uploads and downloads of records for processing, and then upload of records processed. An updated process is available in Orion called, "Field Office." The appraiser's office is cautious in their approach to purchasing Field Office due to a cost estimate of \$70,000, plus an annual maintenance fee of \$5,680. The fee is based on parcel count.

The number one recognition when dispensing with an old system, (in this case manual data collection) and going to a new technology system, is there will be a change in required skill sets. These changes include, physical ability to manage another field apparatus, appropriate training using technology in the field, (classroom and field), and open lines of communication with the vendor.

Recently the Appraisal Manager from the Douglas County Appraiser's Office posted on the IAAO "Open Forum" the approach used to implement the "Mobile Office" technology. It is



recommended the Sedgwick County Appraiser's Office work towards a technology driven data collection solution to be implemented. The recommended steps include:

- Develop an Implementation Plan
  - Include expectations of results and cost saving
- Get in touch with Douglas County Appraiser's Office
  - Visit the office on a field trip to learn from their experience implementing Mobile Office
- Meet with the Vendor of Mobile Office to discuss an implementation plan.
  - Contract with Tyler Technologies to allow a pilot study to be conducted
  - Use the pilot study to find solutions to problematic issues.
- Consider alternate technology data collection applications. Assessment Analyst by ESRI would be an example as it also integrates with GIS.

The recommendations above are provided as a method for reducing workloads. As discussed in chapter 2 an increase in staffing up to six is being recommended in the 2020 fiscal year. Even with the above recommendations implemented, it does not guarantee increased staffing levels may not be needed. Attrition through retirement, and resignations are also part of the staffing equation.

S.W.O.T. analysis requires measuring the Strength, Weakness, Opportunities, and Threats when changes in processes are being considered. Failure of a previous attempt in using technology for data collection should not be the reason for ending the search for a solution. The fact that Douglas County has all the same mandates as Sedgwick County and has found a mobile solution that works is encouraging and needs further research on the part of Sedgwick County.

The \$70,000 price tag for Mobile Office sounds expensive, but in consideration that it may stave-off the need to hire even more data collectors in the future is an opportunity that deserves serious consideration. Technology does not require benefits, it's at work every day, and often provides opportunity for creative changes in other processes within the work environment.

Mobile data collection is relatively new in the property assessment industry in the past ten years. Many attempts have found failure. Recently more successes have emerged, specifically where planning, training, and testing were at the forefront of implementing the changes.

Recommendations #9, and #10 must be included with staff level discussions being requested. If \$70,000 were expended on a successful mobile data collection system, how would efficiencies be measured and what would the return be?

**Questions:**

- 8. Does the assessment office have computerized edits that include both range and consistency checks?**
- 9. Are property data collected or at least reviewed by experienced appraisers?**
- 10. Does the jurisdiction have explicit data accuracy standards?**
- 11. Does the jurisdiction have a data quality control program?**
- 12. Does the jurisdiction avail itself of valuable third-party data sources?**
- 13. Does the jurisdiction obtain and make appropriate use of electronic photographs?**
- 14. Does the jurisdiction capture property data available from marketing materials or blueprints?**
- 15. Does the jurisdiction capture information submitted during appeals?**

Response by the Jurisdiction: Yes to questions #8-#15. Edits are in place and work effectively and efficiently. **Questions #9, #10, #11** – Appraisal Support performs the checks for data accuracy as follows:

<1Yr Employment 100% QC  
1 – 2 yrs. of Employment 25% QC  
2 - 5 yrs. of Employment 10% QC  
5 + yrs. of Employment 5% QC  
Splits/Plats 100% QC

QC is increased if the error rate goes above 2% until error rate is improved. Caveat is that after QC is completed, the managerial staff is also doing the work being QC'd. All commercial data is 100% QC'd.

Sources for third-party data include: Zillow, Realty Rates, CoStar, LoopNet, CoreLogic, Burbauch, Keller Craig & Assoc., IREM. Marketing materials when available, blueprints, and data secured via the appeal process are other sources of data capture. Street level photos, aerials and oblique imaging are also used in the data verification procedure. All data provided in confidentiality is stored in a private hard copy file by order.

Response by the Consultant: The statements above from the jurisdiction provides the methodology deployed to ensure quality data. Inexperienced data collectors have 100% of their work checked for quality control. As a data collector gains experience, they require fewer checks. During the on-site visit the staff shared that an overall error rate of two percent (2%) or less is the requirement of PVD regarding data accuracy. Data edit within the Orion system keeps data entry errors to a minimum using on-line edits to capture data ranges that are not acceptable, and logical edits that provide warnings before the data entry is accepted.

Third party data sources provide additional insight for parcels with transactions currently on the market. It's not clear if data reviewed from third party sources is compared with the current record for corrections or updates. In the questionnaire response the jurisdiction does ensure third party contribution are scanned and attached to the specific record for viewing.

Conclusion by Consultant on Data Collection and Maintenance:

Quality data is a primary concern and expectation that drives all functions to be completed by the appraiser's office. Collecting data for appraising real property is a rigorous process that requires specific planning. The IAAO has recently published their Apendium of eight books, (AKA "The Body of Knowledge.", <http://www.amazon.com> search Apendium). Book 2 covers the entire breadth of knowledge and skills required for a successful and comprehensive data collection plan. Equally rigorous is data maintenance. The mandates set-forth by the PVD's Revaluation Maintenance Specifications (RMS), and directives require wide-ranging attention to details of collecting and maintaining the data. Kansas law requires reinspection of every parcel once every six years. Sold parcels require a measurement verification.

All processes used for data collection must be approved and verified by the PVD. Measurement errors greater than 10%, or +/- one foot or more are considered substantial errors. Stringent **quality control** checks are performed on the data by the appraiser's office and PVD. The PVD grades out the data collection and maintenance process using its compliance report system, at a maximum amount of four points (4) on a one hundred (100) point scale. These four points if weighted by importance are the most important points awarded. Without quality data,

compliance in other categories will suffer greatly in attempting to achieve their own required compliance points. Quality data results in credible value estimates and thus equitable assessments.

The data collection methods used by the appraiser's office are following mandates of the PVD, having graded out at the maximum compliance points of four (4). Two recommendations are provided as a means of efficiency and cost reduction over time. Two areas of data collection that are prone to errors (reduction in quality and time), are data reentry from hard copy to computer, and the fact the data must be keyed twice. Mobile data collection technology is designed so that if data is digitized in the field no further entry is required. All the field data is still subject to the same edits as if completed at a desktop station. The recommendations are not expected to significantly improve the data quality, but over the course of a few years it will provide greater efficiency in the overall process, and possibly reduce the need for additional future data collection staff.

All commercial data is collected and manually digitized but not commercial data resides in the Orion system. This is another area of operations that needs a plan, (five-year plan) to improve efficiencies. Data collection, transaction, market analysis, application, and appeals are all areas for commercial real property where better and expanded use of technology can improve many processes currently in place on the commercial side.

To repeat, the importance of data quality cannot be over emphasized. It is the nucleus of all valuation and assessment process, from discovery to appeal, and billing and collection. Because the data is used in the private sector via the Sedgwick County website, it is fully transparent to all who have a need. Attorneys, insurance companies, newspapers, realtors, title companies, real estate investment, represent just some of the commerce entities that use the data daily off the website, or through the taxpayer assistance staff. Incorrect, inconsistent, unreliable data can make for errors in decisions in the public and private sectors.

When all the different measures of data quality are considered the data collected and used by the appraiser's office is reliable, current, and meets prescribed data quality standards.

## Sales Data and Ratio Studies

Sales data and its use in a Ratio Study are evaluated using the IAAO Standard on Ratio Studies, 2013. The standard is divided into two Sections; Guidance of Local Jurisdictions and Monitoring by Oversight Agencies. According to the PVD (the oversight agency); **Permanent Administrative Regulations – Article 4. – Real Estate Ratio Study, 93.4.6 Performance standards**, “Table 2-3 of the “standard on ratio studies,” adopted by the executive board of the international association of assessing officers in April 2013, is hereby adopted by reference and shall constitute the performance standards used to evaluate the appraisal of residential and commercial and industrial real estate.”... However, the coefficient of dispersion shall have a range of **5.0 to 20.0** with a **level of confidence of 95 percent**. (Authorized by K.S.A. 79-1491; implementing K.S.A. 79-1485, 79-1486, 79-1487, and 79-1488, K.S.A. 2013 Supp. 79-1489, K.S.A. 79-1490, 79-1492, and 79-1493; effective June 26, 1998; amended April 20, 2001; amended Oct. 3, 2014.)

### STANDARD ON RATIO STUDIES—2013

**Table 2-3.** Ratio study uniformity standards indicating acceptable general quality\*

General Property Class	Jurisdiction Size/Profile/Market Activity	COD Range
Residential improved (single family dwellings, condominiums, manuf. housing, 2-4 family units)	Very large jurisdictions/densely populated/newer properties/active markets	5.0 to 10.0
	Large to mid-sized jurisdictions/older & newer properties/less active markets	5.0 to 15.0
	Rural or small jurisdictions/older properties/depressed market areas	5.0 to 20.0
Income-producing properties (commercial, industrial, apartments,)	Very large jurisdictions/densely populated/newer properties/active markets	5.0 to 15.0
	Large to mid-sized jurisdictions/older & newer properties/less active markets	5.0 to 20.0
	Rural or small jurisdictions/older properties/depressed market areas	5.0 to 25.0
Residential vacant land	Very large jurisdictions/rapid development/active markets	5.0 to 15.0
	Large to mid-sized jurisdictions/slower development/less active markets	5.0 to 20.0
	Rural or small jurisdictions/little development/depressed markets	5.0 to 25.0
Other (non-agricultural) vacant land	Very large jurisdictions/rapid development/active markets	5.0 to 20.0
	Large to mid-sized jurisdictions/slower development/less active markets	5.0 to 25.0
	Rural or small jurisdictions/little development/depressed markets	5.0 to 30.0

*These types of property are provided for general guidance only and may not represent jurisdictional requirements.*

*\*The COD performance recommendations are based upon representative and adequate sample sizes, with outliers trimmed and a 95% level of confidence.*

*\*Appraisal level recommendation for each type of property shown should be between 0.90 and 1.10.*

*\*PRD's for each type of property should be between 0.98 and 1.03 to demonstrate vertical equity. However, PRD standards are not absolute and may be less meaningful when samples are small or when wide variation in prices exist. In such cases, statistical tests of vertical equity hypotheses should be substituted.*

*\*Alternatively, assessing officials can rely on the PRB, which is less sensitive to atypical prices and ratios. PRB coefficients should generally fall between  $-.05$  and  $.05$ . PRBs that are statistically significant and less than  $-0.10$  or greater than  $0.10$  indicate unacceptable vertical inequities.*

*\*CODs lower than 5.0 may indicate sales chasing or non-representative samples.*

The appraiser's office can utilize ratio study data in more detail than does the PVD. As the questions are reviewed and analyzed the ratio study standard will be compared for compliance and application of use. The two major aspects of appraisal performance accuracy are the appraisal level, the overall ratio of appraised values to market values. The level provides information on the degree to which legal requirements are met and based on the statistical **median**. The second measure, uniformity measures the degree to which properties are appraised at equal percentages of market value, the coefficient of dispersion (COD) provides insight into uniformity within market strata, and between strata.

The state of Kansas requires that each real estate transaction completed include a "Sales Validation Questionnaire," (SVQ) form PV-RE22-OP (Rev. 08/12), with exceptions per Directive #03-041. The questionnaire is submitted to the Register of Deeds.

### **Questions:**

- 1. Are all transfers of property (sales) uniquely identified and captured?**
- 2. Are real estate sales properly screened and appropriate adjustments made?**

Response by the Jurisdiction: An operations documentation report on sales validation or SVQ was submitted in support of all questions in this chapter. Appraisal Support completes initial screening of the SVQ. A single person is assigned the responsibility of sales research to validate each sale, assign it to the proper class, and verify the legal description and update the sales information in the Orion system. The SVQ document being processed is an image residing with the register of deed, (ROD). Staff in the appraiser's office is notified by the ROD when SVQ's are available for processing. With the volume of SVQ's recorded each week and a PVD deadline on the 10<sup>th</sup> of each month to report, additional staff members are re-assigned from their primary duties to assist with SVQ validation process. In 2018 twelve-thousand plus (12,000 +) SVQ's were recorded in Sedgwick county.

The departmentalization of the appraiser's office also requires routing sales data to residential, ag, and commercial staff. Sales verification of the routed SVQ is completed by that department. The following steps are used to complete the verification process.

- Check the register of deed database for any accompanying documents
- Check the Aumentum tax system for entry
- Check the District Court database
- Contact buyer/seller, via phone
- Contact when required, attorney, realtor, involved parties to transaction

- Examine the sale on third party sources, Realtor.com, Zillow etc.
- Additional research if ratio is out of predetermine range .80 – 1.10
  - This may include field verification by the appraisal staff

After all processes are completed on verification and entry, all documents and notes are sent to imaging. All sales data is then imported into OnBase. At the request of the appraiser's office a batch processing routine must be run by county IT.

Response by the Consultant: As in the chapter on data collection, sales data validation is another required data collection item. In this case sales price and all related attributes to the sale so that the price can be evaluated and confirmed as a representation of an arms-length transaction. Sales flagged as arms-length are used to estimate market value, conduct ratio studies, and as comparables during appeal to support the estimated value.

Sales validation is a time consuming and labor driven process. See the IAAO standard on Verification and Adjustment of Sales, 2010. This standard provides the specifics steps and processes recommended for validating a sale price as an arms-length proxy for market value. The Appraisal Foundation's, Appraisal Practice Board published two documents in 2015, Identifying Comparable Properties Revised, and Identifying Comparable Properties in Automated Valuation Models for Mass Appraisal<sup>8</sup> as guidelines to be used in both the verification process, and the use of arms-length transactions for market analysis.

This review confirms the appraiser's office verification methods comply with the stated standards and guidelines.

### Questions:

- 3. Are sales used in valuation analyses and ratio studies adjusted to the valuation date (time-trended)?**
- 4. Are ratio studies conducted at timely intervals during the valuation process?**
- 5. Does the jurisdiction conduct ratio studies by property groups and subgroups?**
- 6. Does the jurisdiction use ratio studies as a tool for planning both reappraisals and staff needs?**

<sup>8</sup> [https://www.appraisalfoundation.org/imis/TAF/Resources/Guidance/TAF/Valuation\\_Advisories.aspx?hkey=d74f24ae-8dcb-412e-947f-6df153626ae2](https://www.appraisalfoundation.org/imis/TAF/Resources/Guidance/TAF/Valuation_Advisories.aspx?hkey=d74f24ae-8dcb-412e-947f-6df153626ae2)

**7. Can the jurisdiction perform ratio studies by combinations of property characteristics specified by staff on an ad-hoc basis?**

Response by the Jurisdiction: “Yes” sales are time-adjusted to the valuation date. Question #4, Residential runs them periodically through the year, commercial relies on information provided by PVD. Ratio studies are completed at the start and end of the valuation process for Residential properties. The report is viewed by County Appraiser, Residential Project Leader, Department Application Manager and Residential Modeler. PVD Ratio Report is seen by County Appraiser and is distributed to staff. The most recent ratio report includes a graph showing a decline in ratios over a twelve-month period, declining ratios are an indication of rising prices.

**Question #5:** Residential does periodically and at years end conducts a market analysis. Commercial staff members may run ratio studies periodically and performs a market analysis at the end of the year for final review.

**Question #6:** “No.”

**Question #7:** “YES.” FOLLOW UP QUESTION: *Can an appraiser conduct a ratio report for their own use by a neighborhood for example?* Security settings in Orion are in place to limit these reports to employees who need to see them. The Residential Department uses them. The Commercial Department cannot run the report in Orion, but the reports are done with outside applications and statistical software. Residential can conduct a ratio report for their own use by a neighborhood using the Orion sales file. The commercial sales file is not inside the CAMA system. Thus, commercial cannot run a ratio report in Orion due to the multi-parcels present.

Response by the Consultant: Questions #1 - #7 are originating from the portion of the Ratio Study standard in the context of compliance for jurisdictional use. As an on-going and continuous study of quality measures, ratio studies are aimed to keep all valuation staff informed and up-to-date on how current appraisals comply with ratio standards. Periodic ratio studies also provide for identifying compliance of vertical and horizontal equity patterns, examples would be: between market areas, and neighborhoods each being in an acceptable range. The appraiser can also analyze by property attributes, land size, building size, age, grade, wall type etc., looking to see whether these attributes show any appraisal bias being 10% +/- from the overall median? Uniformity can also be reviewed in the same manner.

All analysts and appraisal staff must have the ability to complete a quality assurance ratio study at any time, beginning of a cycle, in the middle, or to confirm compliance with the PVD ratio report.

**Questions:**



- 8. Does the statistical program used to produce the ratio study compute the IAAO standard measures of level (median, mean, weighted mean ratio), horizontal uniformity [coefficient of dispersion (COD)], and vertical uniformity [price-related differential (PRD) and coefficient of price-related bias (PRB)]? (Note: Jurisdictions will enjoy a grace period for introducing the use of the PRB.)**
- 9. Does the jurisdiction compute confidence intervals for the statistics it computes as described in question 8 above?**
- 10. Does the jurisdiction compute additional study-validating measures for the statistics it computes as described in question 8 above?**

Response by the Jurisdiction: Q #8. Yes, PRB is not being used at this time. Q#9. Yes. Q #10. "SPSS & R Studio software is used for this" SPSS is used to do time trend sales ratio and detailed market analysis. Information is easier to manipulate in SPSS over Orion and Excel.

**Questions:**

- 11. Does the jurisdiction test that sold and unsold properties have been appraised similarly (to ensure sample representativeness)?**
- 12. Do the ratio studies include appropriate graphics?**
- 13. Do the jurisdiction's ratio studies compare favorably with any the oversight agency may conduct, possibly an appraisal- rather than sales- ratio study?**

Response by the Jurisdiction: Q #11.- #13. Yes. SPSS & R Studio software is used for this. Limited graphs are available in Orion for PRD and median ratio(very basic)

Response by the Consultant: Using the standard on Ratio Studies as it pertains to the appraiser's office specifically, some deficiencies in use and construction of ratio reports exist. The deficiencies are not considered a violation or total non-compliance with the ratio standard, but they earn a discussion. The appraiser's office relies mostly on the ratio reports generated by the PVD. This is understandable due to the fact fifty-percent (50%) of their compliance score is based on the ratio statistics. The statistical measure in the PVD report confirms an overall compliance. The PVD report is not designed to measure appraisal performance within strata. Levels and uniformity using intra-county performance measures compared with the overall PVD measures will provide insight into uses and other data strata not in compliance. Responses by the jurisdiction imply internal ratio studies on stratified data are limited primarily due to limitation within the Orion system and time. Ratio studies on selected strata can be completed

in SPSS or R but it requires additional time and effort to export the data and to then complete the analysis. SPSS does support a pre-programed sales ratio module, the R system does not. The COD and PRB statistics require users to create the algorithm within those software platforms as these measures are specifically created for use by the property assessment industry, this setup requires an additional time commitment to setup for COD and PRB results.

#### PVD Sales Ratio Summary – 2018:

The sales ratio results from the Sedgwick County 2018 Compliance Review are displayed in the table below:

MEASURE	RATIO STUDY	CONFIDENCE RANGE (IN/OUT)	POINTS ALLOCATED	SUBCLASS WEIGHT	POINTS POSSIBLE	POINTS RECEIVED
1. STATISTICAL MEASURES						
a. RESIDENTIAL						
LEVEL: MEDIAN RATIO	90.1	IN ( 87.9, 91.8)	25	0.798	20.0	20.0
UNIFORMITY: COD	10.6	IN ( 9.7, 11.7)	25	0.798	20.0	20.0
b. COMMERCIAL/INDUSTRIAL						
LEVEL: MEDIAN RATIO	90.9	IN (86.2, 94.9)	25	0.202	5.0	5.0
UNIFORMITY: COD	22.2	IN (19.9, 25.1)	25	0.202	0.0	0.0
<b>TOTAL</b>					<b>45.0</b>	<b>45.0</b>

Considerable weight is placed on ratio results toward the total points awarded by the PVD, with 100-points being a perfect overall score. Fifty-percent (50%) or 50 points is possible to receive in sales ratio section. In 2018, the appraiser's office earned 45 of the 50-points available. As seen in the table the COD on Commercial/Industrial is slightly above the twenty-percent (20%) stated by the PVD and IAAO standard. It is noted the 22.2% does fall within the 95% confidence interval range. This however only validates that the 22.2% COD can be asserted as the true COD with a 95% level of confidence.

A second sales ratio report, generated by the SGCAMAPROD system on 2/13/2019, produced the following:

REPORT TOTALS									
	COUNT	PRICE	TOTAL VALUE	AGGR RATIO	MEAN RATIO	MEDIAN RATIO	STD DEV	COD	PRD
Summary	6301	\$1,157,240,807	\$1,108,701,070	95.81%	95.81%	95.85%	6.75	5.58	100.001

The above ratios are for residential class properties only and have been trimmed using the method of any ratio greater than 1.5 +/- times the median ratio. Thus, ratios greater than 143%, or less than 48% are not used in the study and are flagged as outliers. Comparing the two reports apples to apples is not reliable. The appraiser's office provides for all residential arms-

length sales as ratio candidates, then trims the outliers using the method stated above. This method does not conform to the IAAO Standard of Sales Ratio, Appendix B, page 53 and 54. The same outlier trimming method is also described in the Kansas Real Estate Ratio Study. The actual PVD report statistics are on the website <https://www.ksrevenue.org/pdf/17FinalRatioStudy.pdf>. Reviewing the 2016 PVD report as a gauge it appears the ratio reports are based on a data sample with fewer observations reported, and the PVD does a sub-class report on strata. No reason was provided for the difference in medians on the residential class.<sup>9</sup>

**RECOMMENDATION #11:** This recommendation is based on the full analysis in this section covering sales processing procedure, in-house ratio studies for intra-jurisdictional knowledge of different strata, and compliance with the PVD mandates of statistical compliance.

As stated previously, using PVD ratio standards the appraiser's office meets the statistical measures for compliance. No further action is required in reaching the overall compliance goal. The recommendations are directed toward improving workflow on documenting sales validation and improving processes for monitoring appraisal performance periodically during the appraisal cycle.

Sales validation and documentation is labor concentrated, and time-consuming. Methods and techniques that will reduce the time required and reduce the labor required should be explored. The suggestions here follow a pattern suggested in the data collection section. How technology is used currently is more important than what technology is used. With the technology pieces locked in, e.g. Orion, OnBase, EUS, and Aumentum, any improvement will need to be made using a study of workflow and processing habits. Following is a list of considerations for change:

- As filing and recording the SVQ falls on the Register of Deeds for initial processing before available for processing by the appraiser's office.

#### Opportunity #1

- Develop a system for and with the ROD, as an SVQ is recorded and the parcel identification number assigned, the property class is also assigned for that parcel.

<sup>9</sup> The 2017 Kansas Real Estate Ratio Report was not available on at the time this report analysis was completed.

- This eliminates the need for a second person to enter the PIN, decide if residential, Ag, or commercial/industrial. (This can be accomplished electronically)

Benefit: As sales are ready for review by the Appraisal Support, a second sorting, query is not required to identify non-residential sales. This type system also allows for agriculture, and commercial sale to be available for processing sooner.

- Understanding that once the ROD's notifies specific staff members that an SVQ file is ready for processing, each SVQ is then pulled for review and saved for attachment to the appraiser's record. From this step a "Sales Cover Sheet" is created.

## Opportunity #2

- It is apparent some information on the "Sale Cover Sheet" is populated from an electronic file. (If this is not the case it must be.) The Orion system must host a Change of Ownership screen, with the ability to add all pertinent data, and information about the sale. It will also include a history of Ownership report.
- Orion, or Aumentum will also provide space for appraiser notes, date, and initials. Example below:



- With deeds, and SVQ's being retained as an image by the ROD, it would save effort and time if a link is created using the parcel ID as reference to allow users in the appraiser's office to click on a link and all the pertinent documents would be available for viewing. No attachment would be needed. Click [Recorder of Deeds Parcel Documents](#)

Benefit: Keeping all data on sale and ownership changes as part of the CAMA database and not as an outside work around that must be attached will be a time saver, reducing redundancies and providing consistency of process.

When integrated with the CAMA database all the sale information is readily available for viewing on a single screen.

Any mandated reports by the PVD can then be generated from the CAMA database, in summary or full form. Click on to see [examples](#).

- Completing in-house sales ratio reports will bring hidden problems from models, or equity into focus. Using in-house ratio analysis to discover inequities, geographically, by property uses, age related, quality grade assignment, and many others is in the IAAO standard on Ratio Studies, under the topic of “Horizontal Equity.”

### Opportunity #3

- The concept of equity for property appraisal and assessments embeds what is described as vertical equity, as related to Sale Price. The price related differential, (PRD) and price related bias (PRB) statistics are used as measures for gaging whether appraisals are accurate at different price levels; whether higher priced properties are appraised at different percentages of value than lower priced properties?
- Horizontal equity compares ratio results for specific property attributes such as, age, location, size, use, etc. See example using validation codes:

FLAG	Count	Median	Mean	Mean	IQR	SD	COD	COV	PRD	PRB
1 Arm's Length	2313	0.9963	1.0242	1.0053	0.1235	0.1506	9.271	14.7090	1.0188	-0.0601
2 Relocation	273	1.0241	1.0301	1.0293	0.1025	0.0877	6.529	8.5107	1.0007	0.0211
7h Bank REO	45	1.5228	1.5197	1.3997	0.3330	0.2692	13.907	17.7129	1.0857	-0.1862
Combined	2631	1.0000	1.0333	1.0124	0.1257	0.1482	9.751	14.3410	1.0206	-0.0642

In this example jurisdiction it is mandated the Bank REO's initially remain in the ratio report, relocation sales are also mandated to remain. It is clear the REO sales do not represent the typical market and their use skews the overall result and analysis. While the “Relocation Sale” have good statistics, they tend to be appraised slightly high based on the overall ratio results. Relocations are appraised with the same model as arms-length transactions and Bank REO's. What is different with these two groups is the motivations of the seller are different than the typical market observes.

Example #2, commercial ratio results are outside of the COD standard of 20%, but without analysis to identify the problem finding a solution is difficult. Using the variable “Use” to breakdown the ratio report gives a better view of results as provided.

#### Ratio Summary Statistics Section

				Wtd.						
USE_CODE	Count	Median	Mean	Mean	IQR	SD	COD	COV	PRD	PRB
C 0050 Apt>6	10	1.0160	0.9343	0.9479	0.3170	0.2477	17.277	26.5129	0.9857	0.2653
C 0060 CBusn	62	1.0068	1.0276	0.8449	0.3498	0.3987	26.191	38.7968	1.2162	0.0009
C 0070 Office	19	0.9620	1.1198	1.0941	0.5038	0.5251	34.959	46.8970	1.0235	0.0940
R 0043 Apt<6	15	1.0000	0.9912	0.8357	0.2351	0.2954	19.775	29.8032	1.1861	-0.1662
Combined	106	1.0000	1.0211	0.8700	0.3449	0.3937	26.584	38.5606	1.1737	0.0065

The example jurisdiction, like Sedgwick County, has a median level that meets the ratio standard, but the COD is above the 20%. However, the apartments are within the standard COD. Office properties have an extremely high COD. This jurisdiction needs a full review of “Office” procedures, operations, and value outputs. Only by stratifying the commercial sales by “Use Code” is this revealed. The next example provides additional ratio statistics for consideration, all are discussed in the ratio study standard.

Additional Ratio Summary Statistics Section										
										5%
					15%	Wtd.	Wtd.			Trim.
USE_CODE	Count	Min	Max	Range	COC	COD	COV	MADM	MAPDM	Mean
C 0050 Apt>6	10	0.3988	1.1923	0.7935	60.000	20.535	964.1041	0.0985	9.697	0.9497
C 0060 CBusn	62	0.2072	2.2464	2.0391	50.000	40.299	2745.038	0.1469	14.589	1.0067
C 0070 Office	19	0.5320	2.8556	2.3236	26.316	39.855	2288.314	0.2446	25.430	1.0560
R 0043 Apt<6	15	0.3183	1.6654	1.3471	66.667	11.479	548.2145	0.1207	12.068	0.9911
Combined	107	0.0592	2.8556	2.7963	49.533	34.295	2269.650	0.1639	16.393	0.9967

#### Appraisal and Sale Price Summary Statistics Section

		Appraisal	Sale Price	Appraisal	Sale Price
USE_CODE	Count	Mean	Mean	Median	Median
C 0050 Apt>6	10	337461	356020	326881	332500
C 0060 CBusn	62	549448	650307	332752	342500
C 0070 Office	19	537756	491508	246447	390000
C20062 ComrDevRate	1	92040	1553473	92040	1553473
R 0043 Apt<6	15	163068	195136	168237	185000
Combined	107	469120	539237	246447	300000

The above examples were generated using NCSS 11<sup>10</sup>

Benefit: Additional depth of in-house ratio analysis provides the precise measures to identify areas of non-compliance with the ratio standard before, rather than after, the appraisal/assessment cycle is completed. In recognizing the additional time, and thus staff for this level of analysis, consider out-sourcing the analysis. Working with student interns from WSU should be considered. The jurisdiction's SPSS software is capable of all the above calculations, as is R, and Excel. It is just a matter of a one-time setup to make it all work. Further discussions will follow on stratification of sales data in the chapters on valuation and model development.

Another important benefit of having on-demand, in-house ratio analysis available is for use in an appeal. Statistically providing the actual level of appraisal on all parcels in a class, or by use, or with in specific market area is strong evidence on how credible the appraised values are. And when the ratio statistics are not supportive, it can be telling the review appraiser that a needed value change is basic and able to avoid an appeal all together.

Conclusion by Consultant on Sales Data and Ratio Studies: Sales data and its prescribed use goes to the core for all operations and processes in the appraiser's office. All property subject to market value estimates are evaluated comparing appraised value to sale price. Standard 5 of USPAP SR 5-7 (comment) states in part.....*"requires appraisers to evaluate performance of models, using techniques..... and model performance statistic such as appraisal- to sale ratio studies"*. As the PVD mandates compliance with both USPAP and the IAAO Standard on Ratio Studies and both standards site market value and thus sale price as the target of the value estimate, the entire effort toward estimating value by the appraiser's office is reliant on the use of sale price as both a guide and target.

This audit on process and operation finds the appraiser's office to be in compliance with how sales are processed and then used in estimating value based on the standards of compliance required. The audit review does reveal areas of operation that can be improved to gain efficiencies aiding in reducing staff time. Conducting stratified ratio studies can be used to help reduce the COD on commercial property as a class. These suggested steps are found in the "RECOMMENDATIONS." The "Opportunity" suggested to reduce the time to process the SVQ does require cooperation of the Register of Deeds and possibly county IT or Tyler Technologies/Orion staff. This is presented as an "Opportunity." For future change. As a county all opportunities to increase efficiencies must be explored. Completing in-house ratio studies

<sup>10</sup> NCSS 11 Statistical Software (2016). NCSS, LLC. Kaysville, Utah, USA, [ncss.com/software/ncss](http://ncss.com/software/ncss).

using various strata to discover areas where values and equity can be improved requires more staff time. This was stated as a reason for not completing ratio studies at this depth. The results of in-house ratio studies are needed. While ratio studies on-demand are desirable, even having quarterly studies with predefined requirements completed by an outside source, e.g. consultant, intern etc. is preferable to having no report.

## Land Valuation

Land valuation in Kansas is divided into three classes, residential, agriculture, and commercial. The PVD's 2018-19 Procedural Compliance Guidelines will be used for documentation of compliance for each class. The response by the appraiser's office to the questions in this chapter is weighed against the mandates of K.S.A. 79-1476, and K.S.A 79-420, USPAP Standard 5, SR 5-5a(iii), 5-6b, 5-7b, the RMS Section 8, and the IAAO Standard on Mass Appraisal of Real Property, 2017.

### Questions:

- 1. Is the land valuation process clearly documented?**
- 2. Is all land assigned an appropriate unit of comparison?**
- 3. Aside from areas with few sales, is land valuation based primarily on the sales comparison approach, using either a standard unit or base lot method?**
- 4. Are size adjustments regularly developed based on market analysis?**
- 5. Are adjustment factors regularly developed for relevant features based on market analysis?**
- 6. Does land valuation employ spreadsheet or statistical software?**

Response by the Jurisdiction: Residential land is valued using base rate models. In all there are 206 land models used to estimate land values in the neighborhoods. The valuation is completed manually outside of Orion in Excel and manually updated in Orion. Each parcel is assigned to a neighborhood in the Excel spreadsheet then the model is applied to estimate the value. Section 8 of the RMS provides a framework for each of the three land classifications. Industrial is classified as commercial land. The front foot, whole site, square foot, or per acre base rate method is the foundation of the model structures used on all land models. These models are known as Computer Assisted Land Pricing (CALP) models.



**Questions:**

**#7: Does land valuation employ computerized mapping or GIS software?**

**#8. When current year sales are insufficient for reliable analysis, does the office supplement them with prior sales and/or employ supplemental land valuation methods?**

**#9. Are land valuation tables or models regularly updated?**

**#10. Are sales ratio studies regularly conducted for vacant land?**

Response by the Jurisdiction: A neighborhood or market area map is generated in the appraiser's office utilizing GIS software which provides the defined areas to which each parcel is assigned for land valuation.

**Q#8, Q.#9, and Q.#10** are "YES."

**Questions:**

**#11. Is agricultural and timber land appraised in compliance with legal requirements using appropriate methods and techniques?**

**#12. Are mineral properties appraised in compliance with statutory requirements using appropriate methods and techniques?**

Response by the Jurisdiction: **Q.#11.** PVD provides annual agricultural use values for all counties. **Q#12.** Sedgwick County, Kansas has no severed mineral records to apply values to. Oil and Gas are valued as personal property.

Response by the Consultant: Agricultural land carries a split value. "Fair market value in money" in accordance with K.S.A. 79-503a, applies a market value to the home-site land and improvements. Land devoted to agricultural use shall be valued based on the capitalization of agricultural income. As set forth in K.S.A. 79-1476, agricultural use models based on soil productivity shall be developed and provided to the county by the PVD. The county appraiser is required to use the Orion "use value tables" as developed and provided by the PVD. The PVD sees the use value as a "Jurisdictional Exception" to USPAP as it is mandated value method prescribed by Kansas law.

**Conclusion by Consultant on Land Valuation:**

Land value models are stored in the Orion CAMA system using the prescribed tables, defining the models as, AgMkt, Acres, Site, Sqft, Lot, Depthfactor, and NBHD. During the on-site visit land

models were reviewed with discussion on the process. Land value is based on a simple base rate with a different model for each defined geographic area. An example model is: (Base Size \* Base Val) +/- adjustments. The adjustments are for size if the subject is smaller than the base there is negative adjustment. If the subject is larger, a positive adjustment will be made to the base value. Land values are tested for reasonableness to the market where vacant land sales are available. When such sales are unavailable, land to building ratios based on typical market allocations are used.

Land value compliance methods are found in the PVD, Procedural Compliance Guide. The PVD will verify each neighborhood profile for conformity of economic status, land use mix, and market trends. They also verify that each active land model has an analysis or narrative. The PVD also verifies that each active land model has an analysis or narrative. Such analysis and conclusion are required and must be available for review. Sales comparison is the preferred approach to land valuation. When sales data is insufficient, alternate recognized methods are required for valuing land.

For Agriculture land, the LandAgMkt table is reviewed to verify values are updated as provided by the PVD.

Overrides to market land values must be documented for reasons and supported. The overrides are coded into the Orion system.

### **RECOMMENDATION: #12**

Opportunity/Threat: This recommendation is provided for clarity of operational opportunity that is not currently in use. Creating and maintaining 206 land models even with the aid of the CAMA system is an intricate and time-consuming process. The Orion system as presented and discussed in the Information Technology chapter lacks [full flexibility](#), in this case to the use of “Hybrid Models”<sup>11</sup> that can be used to adjust for the variations of multiple base rate models. Use of this model structure can reduce the number of models required for 206, to in theory one, but a realistic estimate would be ten (10) or fewer.

It is possible with the current models to reduce the numbers of models by identifying models with similar base rates and adjustments, then using binary NBHD’s as a method to adjust for different locations, as the location provides the basis for the starting base rate. Obtaining the expertise of an outside modeling expert could prove helpful in condensing the number of models

<sup>11</sup> IAAO AVM Standard 2018, p23

and yet still being capable of applying the models using the Orion Land Valuation module and meeting compliance requirements as set forth by the PVD.

## Residential Valuation

The following documents are used for evaluation of residential real property. As set forth by the Kansas Constitution, Article 11 § 1 covers the classification system. Class 1: Real Property, sub-class (1) is Residential property (including multi-family residential and mobile homes). Guidelines used for compliance include, Procedural Compliance Guide PVD, 2018-19, Revaluation Maintenance Specifications PVD, 2019, USPAP 2018-19, IAAO Standard on Mass Appraisal Real Property, 2017, and Automated Valuation Models, (AVMs) 2003 revised 2018.

### Questions:

- 1. Is primary reliance placed on the sales comparison approach in the appraisal of single-family homes, condominiums, and townhomes?**
- 2. Are sales used in residential valuation adjusted to the valuation date?**
- 3. Are residential valuation models, equations, and tables recalibrated each revaluation year?**
  - Does the jurisdiction recalibrate residential valuation models, equations, or tables each revaluation year?**
- 4. Are single-family residential neighborhoods adequate in size?**
- 5. Do residential sales comparison models include those property characteristics that contribute significantly to value?**

Response by the Jurisdiction: Yes to all the above. Condominium's detached single family, townhomes, and multi-family are all part of the residential class. There are six (6) urban models, four (4) rural models and one (1) condo model. All models are fully recalibrated each year as required by law. Model specification and calibration is completed in the Orion CAMA system using the multiple regression analysis (MRA) module.

Response by the Consultant: **Q #1 - #5.** The standard on Mass Appraisal of Real Property begins with addressing the requirement of complete and accurate data. The audit covered the topic data collection in chapter 6. The Mass Appraisal Standard section 3, covers valuation accuracy, selection of characteristic data, and property classes. Section 4 give specifics on "Valuation" and

includes the three approaches to value. In section 4.1 of the standard, use of geographic stratification is provided saying: *“stratification is appropriate when the value of property attributes varies significantly among areas and each area is large enough to provide adequate sales.”* The Mass Appraisal standard provides this ranking system as a guideline for what value approach is “typically useful” for different use classes.

<b>Type of Property</b>	<b>Cost Approach</b>	<b>Sales Comparison Approach</b>	<b>Income Approach</b>
Single-family residential	2	1	3
Multifamily residential	3	1, 2	1, 2
Commercial	3	2	1
Industrial	1, 2	3	1, 2
Nonagricultural land	–	1	2
Agricultural	–	2	1
Special-purpose	1	2, 3	2, 3

Mass Appraisal Standard sections 4.6.1 – 4.6.3 specifically address different classes of residential real property and using MRA as a method to calibrate a sales comparison and multifamily residential models. Section 5 of the Mass Appraisal standard addresses, quality assurance and value defense. For this audit quality assurance is reviewed in chapter 7 and value defense is in the final chapter 12.

The IAAO standard on AVM's is also applied in this valuation section. The AVM standard covers the specifics of the modeling process with emphasis on appraisal and statistical principles. The following bullet points highlight areas where the AVM standard applies to completing a Mass Appraisal;

- 3.3 Purpose of an AVM – “efficiently provide an accurate, uniform, equitable estimate of fair market value.”
- 3.4 Development and Application of AVMs – “AVMs are developed using appraisal principles and techniques” ...” Two major components of valuation modeling are specification and calibration.”
  - The model specification process identifies property characteristics (variables) that reflect consumer demands and are used to construct the model structure.
  - Model calibration is the process of deriving coefficients for the variables previously specified in addition variables are created through transformations to avoid collinearity problems.

- 3.4.1 Scope of Work – “The scope of work defines the type of property and geographic area in which the AVM will be applied, and the steps required to develop and implement the AVM”

In Kansas the Scope of Work is promulgated by the PVD in the Procedural Compliance Guide, with specifics defined in the RMS, and USPAP Standard 5, SR 5-2(j), Standard 6, SR 6-1 and 6-2. All jurisdictions in Kansas are required to submit a SOWD electronically to the PVD. Compliance to this requirement is graded out in the “Procedures” section of the 2018 Compliance Review. A total of 36 points are possible in this section. Sedgwick County received 32 points. The deficiencies resulting from issues in reporting is discussed in the chapter on Land Valuation.

USPAP Standard 6, SR 6-1 states in the comment, Comment: “Documentation for mass appraisal for ad valorem taxation may be in the form of (1) property records, (2) sales ratio and statistical studies, (3) appraisal manuals, and documentation, (4) market studies, (5) model building documentation, (6) regulations, (7) statutes, and (8) other acceptable forms.” As noted in previous chapters and in this chapter, the appraiser’s office meets this requirement that is specific to the ad valorem methods of “Mass Appraisal”. SR 6-2 addresses the appraisal date. K.S.A. 79-503a states that the appraisal date is January 1, thus compliance is achieved with this rule. Due to the fact the PVD requires compliance with USPAP in all phases of the appraisal process and has promulgated directives and compliance documents, and statutory references, all county appraisers are required to follow, compels compliance with USPAP as the Appraisal Process is completed. On the 2018 Compliance Review, under “Procedures,” d1. LAND VALUATION MODEL CALIBRATION, and d2. MARKET AG LAND VALUATION, no points are received.

While it is stated the Orion CAMA, system is USPAP compliant, the total clarity of such a statement is asynchronous. The appraiser’s office as routine requires some analysis outside of Orion be completed in order to comply with PVD processes.

## **Questions:**

### **6. How are atypical homes valued?**

Response by the Jurisdiction: Cost Approach

### **7. How are homes subject to flooding, tornados, hurricanes, contamination, or other external obsolescence issues valued?**

Response by the Jurisdiction: Valued using cost, market or multiple regression analysis with additional lump sum or percentage adjustments.”

### **8. How are condominiums and townhomes valued?**

Response by the Jurisdiction: Valued using cost, market or multiple regression analysis

**9. Are condominium and townhome neighborhoods adequate in size?**

**10. Are appropriate procedures in place for the valuation of mobile/manufactured homes?**

Response by the Jurisdiction: Mobile homes placed on a permanent foundation are valued as real property. The title must be in the name of the same person(s) as the underlying real property. All other mobile homes are valued as Personal Property. The Marshal Swift cost for manufactured homes is available in the Orion CAMA system. For mobile homes classified as real property they are valued in Orion. For mobile homes on real property, but not on a permanent foundation are noted on the Orion record for reference.

**Questions:**

**11. Are appropriate procedures in place for the valuation of cottage and recreation properties?**

**12. Do construction costs manuals reflect the local market?**

**13. Are depreciation schedules market-derived?**

**14. Are cost values reconciled to the market?**

**15. Are values checked for accuracy, uniformity, and compliance with IAAO ratio study standards?**

Response by the Jurisdiction: Questions #9, #11 - #15 all "Yes."

**Question: #16. When multiple approaches are used, how are values reconciled?**

Response by the Jurisdiction: During final review of parcels where multiple approaches were developed (sales comparison, cost, MRA, etc.), the approach that is chosen will be the one which provides the best indication of market value and offers the most support. This process and its procedures are documented.

Response by the Consultant: The jurisdiction provided a sample of model development sheets for residential properties. Review of these work products, and using the requirements found in the scope of work documented in the PVD's Procedural Compliance Guidelines, the IAAO standards on Mass Appraisal, and AVM, evaluation of the models was conducted. The residential valuation processes used in the appraiser's office follow these evaluation documents. Mandates for completing a construction cost multiplier analysis, and depreciation analysis were each given maximum points on the 2018 Compliance Review by the PVD.

**RECOMMENDATION #13:** This recommendation is advisory for the purpose of clarity regarding the modeling process. Valuation model development and all the processes are complex in technique and development. Yet in the end it is the simple progression of the “Appraisal Process.” Development of a model summary report would be helpful and useful for explaining the complexities of the entire process. The report should include examples how the market areas are selected. The report should be structured to answer the following questions:

- Exactly what does the model structure for cost, market, and MRA models look like?
- If each model is market based, then how are they different in using the market data?
  - How is the same market data applied differently to Cost and Sales Comparison?
- Specifically, what accuracy measures are used to reconcile the different value estimates?
- Provide a ratio report for each market area, and within each market area a further breakdown by Cost, Market, or MRA models should be made.

A summary report provides an immediate review of results that are clearly stated and revealed for review by technical and non-technical users. The results can also be used as support in the appeal process. The Neighborhood Profile reports are a start on implementing this recommendation, but additional results on values would improve the total understanding. Standard 6 in USPAP provides guidance on completing a Mass Appraisal Report.

**Conclusion by Consultant on Residential Valuation:** The appraiser’s office staff devotes considerable time preparing data for use in the valuation process. These processes have previously been examined and validated in other chapters of this audit. Without quality data it is impossible to “produce and communicate credible mass appraisals” as USPAP Standard 5 requires. The Orion CAMA system allows for use of market derived construction cost multipliers, and market derived depreciation tables. The appraiser’s office provided MRA output results for the direct market models in each of the market areas. Also reviewed was a ratio report on residential values with the following results:

REPORT TOTALS									
	COUNT	PRICE	TOTAL VALUE	AGGR RATIO	MEAN RATIO	MEDIAN RATIO	STD DEV	COD	PRD
Summary	6301	1,157,240,807	\$1,108,701,070	95.81%	95.81%	95.85%	6.75	5.58	100.001

These overall results meet the standards of accuracy based on the IAAO standard on Ratio Studies.

**Opportunities:**

- The advisory recommendation provides for better communication of results.



- Additionally, an area of concern surrounds the methods used in the model development and analysis phases for excluding outlier sales or value estimates. This was expressed in the Sales Ratio chapter, but it changes some in the valuation section. It was expressed that during model calibration when percent error exceeded thirty percent (30%) +/- that case (sale) was no longer used to calibrate the model. This policy needs to be reviewed with the guidance provided in the IAAO standard on Ratio Studies, Appendix B.
- Holdout Samples are another chance to get better feedback on model performance. Section 5.3 Mass Appraisal Standard, “Since they were not used in the valuation, holdout samples can provide more objective measures of valuation performance.” Also see AVM standard 7.4.

The “Opportunities” are provided as processes to ensure the ratio statistics are unbiased measures not affected by elimination of all poor value estimates. If only the lowest error rate is allowed the “error rate measure” coefficient of dispersion (COD) is distorted. Using a consistent and objective outlier procedure is recommended. The COD in the report in the 2018 Compliance Report from the PVD, provides that the residential class accounts for half the COD points allowed and awarded in the report.

Overall analysis and development of residential values follow mandated laws, and directives. Evaluation with IAAO standards as guidelines reveals some areas where opportunities exist to improve the valuation processes.

## Commercial Valuation

Compliance regarding commercial valuation is evaluated based on Kansas law, K.S.A. 79-503a, K.S.A. 79-1476, USPAP, and adherence to the rules in the PVD Procedural Compliance Guide and the RMS. IAAO standards on Mass Appraisal, AVM and Sales Ratio Studies will be used for comparison of mandates by PVD and the Orion CAMA system, to suggested methods found in the IAAO Standards. Like with other property classes, commercial property is subject to the “17%” rule for data collection. Commercial property is appraised at 100% of fair market value and assessed at twenty-five percent (25%) of the appraised value. The following 13 questions were answered by the jurisdiction regarding the processes and operations used for completing the appraisal of commercial real property in Sedgwick County.

## Questions:

- 1. Does the jurisdiction have a commercial cost manual that is up to date and rooted in the local market?**

Response by the Jurisdiction: Cost values are generated in the Orion CAMA system using annually updated Marshall and Swift valuation tables with the local multiplier applied.

- 2. Does the jurisdiction have a program for the routine capture of income and expense data?**

Response by the Jurisdiction: I&E data is gathered through an annual survey questionnaire mailing and from information willingly supplied during valuation appeal meetings. It is also obtained through the appeal process.

Response by the Consultant: The appraiser's office provided a 61 page "Commercial Data Collection" document and the "Benchmark Study January1, 2018" providing insight into the processes used to apply the Cost and Income approaches. These documents contain much of the specific processes required to generate accurate cost estimates using the Orion CAMA system. The Benchmark Study includes the specific model specifications and calibrations used for application of the income approach.

- 3. Do commercial appraisers screen and validate commercial market data?**

Response by the Jurisdiction: We research market listings for sale and for lease properties through Co-star, Realty Rates, Burbach, IREM, Loopnet, and other local realty listing sources. Sale transaction data is verified through interviews.

- 4. Does the jurisdiction obtain and utilize information on typical income and capitalization rates available from third party sources?**

Response by the Jurisdiction: Cap rate studies are contracted annually from Keller and Associates. Property types addressed in the studies are rotated on a bi-annual basis.

- 5. Are spreadsheet and/or statistical packages used in analyses?**

Response by the Jurisdiction: SPSS, Excel, RStudio

- 6. Are multi-family properties appraised by the sales comparison or income approach?**

- 7. Do multi-family valuation models recognize features important to renters and investors in such properties?**

Response by the Jurisdiction: **Q#6 and Q#7** – The income approach is typical” “Many features are accounted for in the economic grade assignment. We list apartment counts by bedroom/bathroom combinations

**8. Are office buildings appraised based on capitalized net income?**

**9. Are retail appraisals rooted in market data, and do they recognize variations in relevant location and building features?**

**10. Do appraisals for warehouses and light industrial properties recognize the features that drive market value for such properties?**

Response by the Jurisdiction: **Q#8 YES.** Response by the Jurisdiction: **Q#8 Yes. Q#9** – Variances are recognized through economic grades and building section rank” **Q#10** – Many features are accounted for in the economic grade assignment.

**11. How are values reconciled?**

Response by the Jurisdiction: All Commercial property values are annually analyzed in comparison to model estimates. Properties with value outside the norm or that have special circumstances identified are individually reviewed by Appraisers.

**12. Does the jurisdiction have policies for the appraisal of mixed-use properties?**

Response by the Jurisdiction: PVD provides guidance. There is cooperation among divisions within the office regarding mixed use properties.

Response by the Consultant: **Q #3- Q#12** all involve the use of the data and analysis found in the Benchmark Study. The Benchmark Study is a stratified analysis of the varied uses, classes, sizes and tenancies found in the commercial properties within Sedgwick County. Examples of strata's:

- Apartments
- General Office Low Rise – Single Tenant
- General Office Low Rise – Multi Tenant
- Multi-Tenant Retail under 20,000 sq. ft.
- Multi-Tenant Retail over 20,000 sq. ft.
- Single Tenant Retail less than 5,000 sq. ft.
- Industrial Warehouse – up to 5,000 sq. ft.
- Industrial Warehouse – 5,000 to 15,000 sq. ft.

Improvements have been assigned an investment grade “class”: A, B, C, D that uses a different criterion than the assignment of a Marshall Swift building class that also uses A, B, C, D. An “Investment Class Definitions” table is provided for assistance. The Benchmark Table is well designed for easy application of the data. Sedgwick County Appraiser and staff are the intended users of the Benchmark Study, however there is not any specific mention of what specific data is used to develop the benchmarks. Knowing the full coverage areas of the data sources provides full credibility that all benchmarks reflect local market trends and economic conditions.

During the on-site interview commercial staff provided a demonstration of the valuation processes used on commercial property types. This included the cost approach generated from Orion and the application of results from the benchmark study. Problematic issues discussed included:

- Lack of full disclosure on data sources used to develop Benchmark Study.
- Use of the Economic Unit System (EUS) into the future without the ability to update or fix bugs.
- Anticipated updates to Marshall and Swift system will pressure production do to needed training and adjustments in processes.
- Frustrations with lack of income analysis capabilities within the Orion system.

When the cost estimate and the benchmark estimate have a spread greater than thirty percent (30%) +/- the value is specifically reviewed using comparable sales and equity analysis to reconcile the final value estimate. The practice of reviewing individual value estimates, or a sample set of parcels is not a part of the current valuation processes for commercial real property.

The appraiser’s office staff involved with valuing the commercial sector of real property in Sedgwick County exhibits a high level of skill and understanding and proficient application of the methods and practices required to produce credible mass appraisals.

### **13. How are special purpose properties appraised?**

Response by Jurisdiction: “Cost Approach is typical.”

Conclusions by the Consultant: Using the Sedgwick County, 2018 Compliance Review and the PVD Procedural Compliance Guide 2019 for a basis of mandated compliance on commercial processes, maximum points were awarded for the “Scope of Work” section. On the “Statistical Measures” section under “COMMERCIAL/INDUSTRIAL – UNIFORMITY: COD”, zero points were received as the COD is 22.2% thus greater than the 20% maximum allowed by the PVD for compliance.

**RECOMMENDATION #14:** The IAAO standard on ratio studies section 4.2, suggest completion of at least four (4) ratio studies when there is a revaluation. In Sedgwick County revaluation is completed annually thus a constant evaluation of results is required. A baseline study on commercial property provides preliminary information on appraisal level and uniformity. At the very least this baseline ratio report should provide results on the different commercial strata. Completing a stratified ratio study, any stratum with statistical measures outside of allowed compliance results can be identified. After all commercial property is revalued a second report should be generated for compliance results, and to identify any property classes or uses in need of further review.

A second level of non-compliance is associated with the fact no formal review of appraised values is conducted during the revaluation cycle. IAAO standard on mass appraisal, section 5.5 specifically states: “*confidence begins with application of reliable appraisal techniques, generation of appropriate valuation reports, and **review of preliminary values**”.* Such reviews are helpful in identifying specific causes of uniformity issues. For example, is the cost approach estimating value too high (or low) for a certain class, or market area? Determine if an adjustment can be made on the model side to correct this problem.

**RECOMMENDATION #15:** The valuation process is like all the processes in the appraiser’s office, it demands labor intensive assignments to complete the valuation cycle start to finish. The current Benchmark Study is completed by an outside consulting firm using a variety of data studies, and data sources. For 2019 the county appraiser’s office added local data, including sales and income information to the Benchmark Study using Microsoft’s Excel spreadsheet.

**Opportunity:** Going forward the format and templates for development of in-house benchmarks are established, it is recommended the process continue in-house in future valuation cycles. The advantage is appraisers can have input into the data used and analysis. Knowing what the data sources are and how reliable the data is, provides a higher level of confidence in the estimated values. The in-house benchmarks also allow for testing on sample data sets as part of the development process, this in turn allows for adjustments toward improved value estimates at the inception of the valuation cycle.

**Threats:** Implementation of the stated opportunity above can create complications of meeting mandated timelines for completion for the commercial appraisers. Much of the labor needed to complete the commercial values results from a lack of flexibility between the Orion, EUS, and Aumentum systems. In order to implement RECOMMENDATIONS #14, and #15, either additional staff is required, or a complete review and inventory of methods used is required. Such a review will develop a plan to reduce time thus labor and leverage the use of technology.

**Conclusion by Consultant on Commercial Valuation:** The knowledge, skills, and proficiencies required to complete credible mass appraisals on commercial real property takes years of

education and experience. There are many market variables that must be considered by the appraiser. Where residential property in general participates in the local market, there are many market components involved with commercial real property. Commercial property transacts in a local markets, regional markets, and global markets. Commercial property is purchased for single tenant use, multi-tenant use, no growth investment with tax advantage, to highly leveraged growth investment, and tax advantage. The list goes on as does the complexity of understanding market forces. Having reviewed the processes and steps mandated and used by the Sedgwick County appraiser's office, commercial staff, and appraisers, they meet the majority of compliance standards.

As discussed in this chapter there is room for improvement at the uniformity level. No data was provided, and no in-depth ratio studies conducted to measure how much improvement can be made. Recommendations are provided to address methods that can be implemented to improve the statistical COD and bring it into compliance. But more important these recommendations provide for improved processes to enhance the overall knowledge of the relationship the appraisals have to the sales price between different commercial classes.

Each chapter of the audit discusses the amount of labor required to meet compliance mandates of Kansas law, and the PVD. Commercial valuation is no different. Leadership at the county level and within the appraiser's office must continue to explore and investigate new methods to increase efficiencies and effectiveness. The commercial valuation section in the appraiser's office needs to begin with discovery and implementation of improved efficiencies immediately.

## Valuing Personal Property

This description provided by the appraiser's office incorporates the documents used for compliance accountability when valuing Personal Property. See below:

By law, the county appraiser must appraise all taxable personal property using publications and valuation guidelines prescribed by the State Division of Property Valuation. The county may deviate from a prescribed value, if it is "market-driven", in order to achieve market value. All deviations must be documented [K.S.A. 79-1456]. The Kansas Constitution places personal property into Class 2, which is further divided into six subclasses. A brief description of each personal property subclass and the manner in which it is valued and assessed for property taxation is outlined below. Guidelines for valuing personal property can be found on the Property Valuation Directors website. The Personal Property Valuation Guide provides the guidelines for valuing mobile/manufactured homes, motor vehicles, commercial/industrial machinery and equipment, and other tangible personal property. The Kansas Oil & Gas Appraisal Guide provides the guidelines for valuing oil and

gas property. Information pertaining to the valuation of state appraised railroads and public utilities can be found on the PVD website under “Public Utilities.”

**Questions:**

**1. What personal property is assessable in the jurisdiction?**

Response by the Jurisdiction: See below:

- **Mobile Home**
- **Mineral Leasehold** interests, *except* oil leasehold interests the average daily production from which is five barrels or less, and natural gas leasehold interests the average daily production from which is 100 mcg or less.
- **Public Utility**
- **Motor Vehicles (24M trucks, 16/20M trucks, Buses)**
- **Commercial & Industrial Machinery and Equipment**
- All other tangible personal property not otherwise specifically classified (**Trailers, ATV's, Non-Highway vehicles, Motorbikes, Recreational Vehicles**-not taxes when tagged, **Snowmobiles, Dune Buggies, Golf Carts**)
- **Watercraft**
- **Aircraft**

**2. Is a thorough personal property discovery program in place?**

Response by the Jurisdiction: The owners of taxable personal property are required by law to list their property each year with the county appraiser. When the owner does not list taxable property, the appraiser must discover the property and place it on the appraisal roll. Methods the county can use to discover taxable property within their jurisdiction include:

- Accessing information from public records,
- Viewing the property,  
Obtaining information from lessees and others that are required to list property they do not own, but have in their possession
- Utilize State title lists, state watercraft and the Manufactured Home Community list that is received by owners/operators

Refer to the “Discovery of Personal Property” section in this guide for more information. [K.S.A. 79-1411b].

**Additional Sources the county appraiser can use to discover taxable property or identify its owner are:**

- Previous assessment records, physical inspection of the property

- Real property field appraiser records, Previous Audits
- State and local sales tax permits, City and county business licenses
- Property transfer documents, Bill of Sale Business listings from the news media
- Classified Advertisements, Telephone directories
- City directories, Accounting records
- Public records (trade name records)
- Title and registration applications, Corporation charters, partnership
- FAA Aircraft Registrations articles
- Mobile/Manufactured Home Court Lists Permits
- Ks. Dept. of Wildlife, Parks, & Tourism Boat Registrations

### 3. How is personal property appraised?

Response by the Jurisdiction: Personal Property is appraised per guidelines, provided to the Appraiser's office every year, and established by the Kansas Dept. of Revenue (KDOR) and the Property Valuation Division (PVD).

All personal property, **except certain motor vehicles and commercial/industrial machinery** and equipment, is appraised at its "market value" as of the first day of January each year. Market value is the amount of money a well-informed buyer would pay and a well-informed seller would accept for property in an open and competitive market without any outside influence. Certain motor vehicles and commercial/industrial machinery and equipment are appraised using a **value-based method**; however, it is not "market value."

Response by the Consultant: Exceptions to the "market value" requirement is bolded and underlined above for clarity in the response. These exceptions are not valued at "market value".

### 4. Is personal property valuation automated?

Response by the Jurisdiction: No, however, Personal Property trailers and Commercial & Industrial Machinery & Equipment (CIME) and 16/20M trucks are auto valued based on depreciation.

### 5. Are the real and personal property systems linked to each other?

Response by the Jurisdiction: No, except for Manufactured Homes, which are valued in the Real Property system and then interfaced over into the Personal Property system.

### 6. Does the jurisdiction provide taxpayers with required reporting forms each year?



Response by the Jurisdiction: Yes, we have preprinted renditions and instruction letter that is mailed to the property owner every year. We also have blank renditions available to property owners at their request.

Response by the Jurisdiction: *Q#6 & Q#7 are the same questions;* No, we only utilize the forms that we mail to the property owners.

#### **8. Does the jurisdiction take remedial action when a taxpayer fails to respond?**

Response by the Jurisdiction: The county appraiser is required by law to apply a penalty to the assessed value of personal property that is not listed in a timely manner or that is not listed at all. County appraisers may grant an extension to file if a taxpayer submits a written request, or before the March 15th deadline, which states just and adequate reasons for the extension. When an extension is granted and the taxpayer fails to file by the extended deadline, penalties are calculated from the March 15th deadline (April 1st for oil and gas renditions), not the date of the extended deadline.

Response by the Consultant: What documents are available to discover a new business that has not previously filed on personal property? Answer below, also included a blank form:

**Failure to File Penalties: [50%] [K.S.A. 79-1422]** *If within one year following the March 15th filing deadline, the county discovers a taxpayer failed to file a list or failed to file a complete list of taxable personal property, the county appraiser must determine the assessed value of the property and apply a 50% penalty for failure to file. When the taxpayer fails to file a complete list of the property, the penalty is applied only to the omitted or underreported property. If the county discovers taxable personal property that was omitted from the appraisal roll after June 15th of the current tax year (the date the appraiser certifies the appraisal roll to the county clerk), but prior to March 15th of the following tax year, the county clerk must place the property on the assessment roll as an added tax and apply a 50% penalty to the assessed value. [K.S.A. 79-1427a]*

*If a failure-to-file penalty is applied to the value of taxable personal property and the taxpayer later files a list of the personal property within one year of March 15th, the failure- to-file penalty is no longer applicable and the appropriate late filing penalty is applied to the assessed value of the personal property which is now filed late.*

#### **9. Are personal property returns retained in a central repository?**

Response by the Jurisdiction: Yes, all returns, and documentation received are scanned and kept in our imaging system.

#### **10. Does the personal property system flag abnormal year-to-year changes?**

Response by the Jurisdiction: No, this is done manually with sequel queries that we run yearly.

## **11. Does the office conduct routine audits?**

Response by the Jurisdiction: No, we have not completed audits on accounts since the early 2000's. However, we do have a strict Quality Control (QC) policy on the valuation of accounts worked by staff.

Response by the Consultant: Collecting and listing the constitutionally classified personal property such as renditions, manufactured mobile homes, motor vehicles (all classes and sub-classes), commercial/industrial machinery and equipment, and mineral leasehold interests (oil and gas) is a discipline itself. The IAAO Standard on the Valuation of Personal Property provides this list of methods suggested for discovery:

Self-Declaration form, also called personal property statement, return, affidavit, report, listing, schedule rendition, and other titles in various jurisdictions.

- Conducting an annual canvass.
- Previous assessment records and previous personal property statements or returns
- Cross reference business with leasing company returns.
- Physical inspection (on-site review)
- Real property field appraiser reports and the property characteristic file
- Audits (desk, office, field, telephone, or correspondence)
- Income Tax Returns
- State, provincial, and local sales tax permits
- Federal, state, provincial, municipal, and county business licenses and registrations
- Building permits
- Chambers of commerce membership lists
- New business listings from news media
- Public records (such as trade name records, Uniform Commercial Code [UCC] forms, corporation charters, partnership articles, and assumed name notices)
- Property transfer documents, including recorded bill(s) of sale
- Classified advertisements
- Telephone directories
- City directories
- Accounting records, including financial statements
- Various state and federal tax returns (usually restricted to audit records)
- Internet research on business operations and contacts
- Web sites, specifically leasing and sales
- Advertisement fliers or mailers
- Other resources that can be helpful include access to governmental databases—Department of Motor Vehicles (DMV) or Department of Revenue records providing lists of manufactured home owners or lists of corporate taxpayers by jurisdiction.

The Sedgwick County appraiser's office uses many of the methods suggested in the IAAO standard. Some methods are not applicable.

Section 6.1 of the IAAO personal property standard addresses the statutory authority and regulatory compliance and enforcement. Comparing the standard with the Kansas statutory requirements property enforcement measures, and penalties are in place to require accurate and timely filing by the property owner. The appraiser's office has created queries that provide proxy audits of returns and a quality control using independent sources.

Valuation methods are based on statutorily defined methods. The default value is "market value" except where by statute an alternate value is defined. The PVD provides guidelines to counties for valuation of all personal property. The 2018 Compliance Status Report, page 8 indicates these personal property measures are complying:

Five (5) Residential Personal Property renditions - meet guide compliance guide requirements: Yes			6/13/2018	6/28/18 msr	YES
Five (5) Commercial Personal Property renditions - meet guide compliance guide requirements: Yes			6/13/2018	6/28/18 msr	YES
Five (5) Oil renditions - meet guide compliance guide requirements: Yes			6/13/2018	6/25/18 msr	YES
Five (5) Gas renditions - meet guide compliance guide requirements: N/A			6/13/2018	6/28/18 msr	N/A
Personal property mail date: 04/30/2018	Extension granted to: N/A	Proof of Mailing: Yes	6/4/2018	6/22/18 msr	YES
Oil &/or Gas mail date: 04/30/2018	Extension granted to: N/A	Proof of Mailing: Yes	6/4/2018	6/22/18 msr	YES
Real Property Certification: 05/30/2018      Personal property certification: 05/30/2018      Oil & Gas certification: 05/30/2018			6/4/2018	6/22/18 msr	YES

Reviewing the documents that provide statutory control on the valuation of personal property and the fact the PVD did approve that all classes met the compliance guide requirements, the methods, techniques, and processes used to complete the valuation of personal property meet the compliance expectations.

Meeting compliance directives and standards procedurally is not a statement confirming the processes and procedures are efficient or represent best practices. As stated in other chapters of the audit, when a process cannot be completed in a single source computer application, and requires manual data entry, specialized queries that can only be run on legacy software platforms, lacks internal processing controls. Completing the personal property roll requires the use of the Aumentum for all personal property except Oil and Gas. Oil and Gas valuation is completed in Microsoft Excel. The PVD requires county appraisers to use Orion cost and depreciation on mobile homes, then the results must be entered in the Aumentum system. Neither Orion, or Aumentum provide any quality control functions for personal property. Efficiency and effectiveness are not achievable when three systems are used (only Orion is required) that were never designed to work interactively with each other and likely never will. Change and reorganization for valuing personal property is needed.

**RECOMMENDATION #16:** During the on-site interview the exchange of methods between Orion, and Aumentum were demonstrated. The concern addressing that the two systems to work in

concert with each other has been addressed already as it pertains to land valuation, and multi-parcel economic units. The jurisdiction has also conveyed information that the Orion system has a Personal Property and Oil & Gas modules available. It is recommended these modules be purchased and implemented into the Orion CAMA system. Implementation of this recommendation does recognize that the Aumentum system may still be a preference for other departments. The Treasurer/collector uses it for billing of personal property. If required it is more efficient to export and import final numbers from one system to another than to manually enter the data as is now being done. As suggested with other recommendations for change, this conversion can be completed on a multi-year implementation plan, but the sooner the better.

Conclusion by Consultant on Personal Property Valuation: The laws, directives, and operating processes required to complete the valuation of personal property are complex. The staff in the appraiser's office responsible for carrying out the assignment of valuing personal property demonstrates in-depth knowledge and skills in meeting the compliance requirements. The discovery and listing process are labor intensive and time consuming. Lacking a cohesive personal property computer system is a bottleneck to an efficient system. While safety of a process is inherent in the concept of, "this is how we always do it". Technology is available that can streamline the processes involved with valuing and taxing personal property. The word "synergy" is often used to describe where two or more agents can produce a combined effect greater than the sum of their separate efforts. Having Orion, Aumentem, Excel, and control queries, as separate functioning parts is the opposite. The needed separate interactions to use each of the software platforms is a detriment to efficiency and effectiveness in completing the valuation of personal property. Add to this the amount of labor required to track and control the inputs and outputs of each system and the need for operational change is fully apparent.

The recommendation is not a new concept but one that has been revealed in several of the chapters. The term CAMA, "Computer Assisted," implies the computer is helpful and reduces the time and labor required to complete a task. When the human must assist the computer (enter data manually, write and apply specialized queries, etc.) to create a functioning solution, inefficiency is the result.

## Value Defense and Appeals

The statutory mandates directing the appeal process in the state of Kansas are K.S.A 29-1404, K.S.A 79-1448, and K.S.A. 79-1460 with additional references therein. Appeals must be filed within 30 days of the valuation notice. For real property the notice date is on or before March 1, and for personal property May 1. This begins the "informal hearing process". Guidance on the appeal process is also found in the PVD's Procedural Compliance Guide, 2019 page 76. The IAAO

standards on Tax Policy, Assessment Appeal, 2016 also provide guidance for evaluation in this chapter. There are two aspects of an assessment appeal: matters of valuation or fact, such as the amount of an appraised value, or assessment; and matters of law, such as interpretation of statutes. Administrative matters of taxation, e.g. payment under protest, or exemption from taxation are not specifically joined to valuation appeals. These matters will only be addressed in the audit as they pertain to an appeal on property valuation.

### **Questions:**

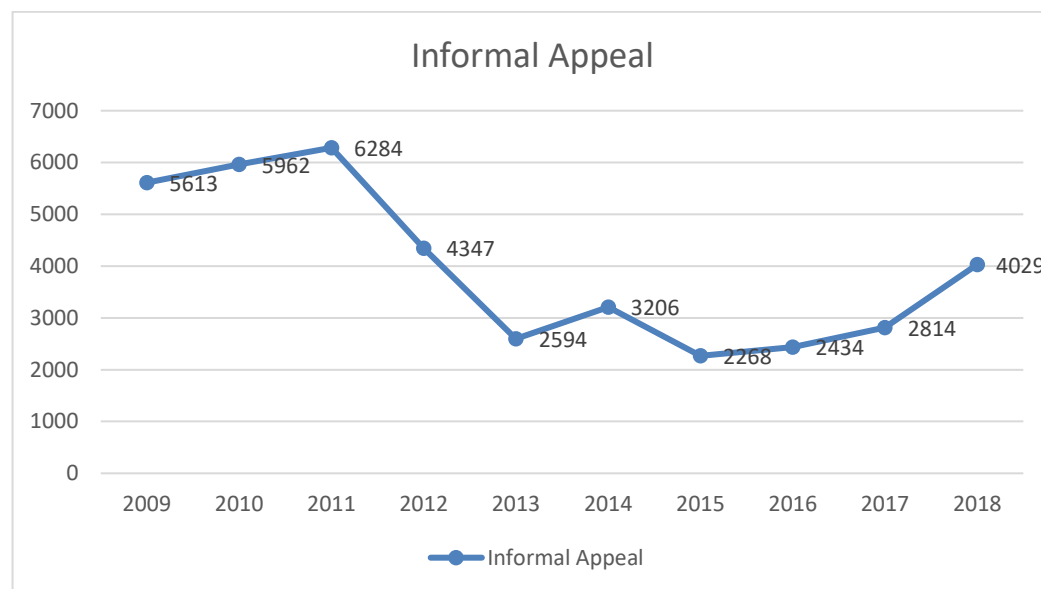
- 1. Has the jurisdiction evaluated the review of final values and appeal system under which it operates and its role in the system?**
  - **Do the assessment and tax calendars impose constraints on the time available for tasks crucial to developing defensible values or defending assessments, such as whether the time between the valuation date, deadlines for submitting income and expense information, the deadline for completing rolls and issuing notices, appeal deadlines, etc.? Is the calendar readily available to the public?**
  - **Are taxpayers required to state the grounds for their appeals and to back up their complaints with evidence?**
  - **Do the reasons for appeals suggest problems with assessments that have a systemic cause (that is, outdated values or valuation methods that do not meet professional standards)?**
  - **Do assessments have a presumption of correctness that must be overcome with evidence?**
  - **Are members of formal appeal bodies required to have relevant experience?**
  - **Are formal appeal bodies briefed on the current year's assessment program?**
  - **Are appeal bodies required to give a reason for their decisions?**
  - **Is there a common belief that the formal appeal process is biased or corrupt?**

Response by the Jurisdiction: The assessment and tax calendars are combined so the public and the various offices in the property tax system know statutory deadlines and when deliverables are due. Calendars are on the county website, PVD's website and in the offices of the Appraiser, County Clerk, Register of Deeds and Treasurer. However, the calendar dates mandated by the Kansas law do not allow enough time to appropriately complete our tasks, given our current staffing levels.

Taxpayers are not "required" to state grounds for appeal or provide evidence. The appeal form does provide space for the taxpayer to include their reason for the appeal. However, the Kansas Board of Tax Appeals will not dismiss a case or otherwise disregard an appeal if the taxpayer does not provide a reason or evidence with the appeal form. Appeals are not based on any

systemic causes. The burden of proof is on the county appraiser. Some property owners believe the system is biased but this line of thinking is not prevalent.

Response by the Consultant: The initial appeal process or “informal appeal” begins with the mailing of the “change in value notice.” This starts a 30-day clock to file the informal appeal. All appeal decisions are due by May 15. The graphic below provides a view of the number of cases for informal appeals;



Since a low of 2,268 informal appeals in 2015, appeals have been trending upward to 4,029 in 2018, a 77.65% increase for 2018 over 2015. While the increase in the number of appeals is gradual in the two years prior to 2018, the change is abrupt for 2018 with an additional 1,215 informal appeals over 2017. The additional 1,215 appeals in 2018 are required to be processed within the same time period as in 2017. The 2018 trend brings out a discussion of additional time, additional staff, or both to meet the mandate of ending hearings on or before May 15, and final decisions on or before May 20. There are 80 days between March 1 and May 20. Actual workdays number 57.

Efficiency and effectiveness are paramount to completing the process where the appraiser’s office generates an evidence packet to substantiate the value and provide this packet to the property owner on request. In addition, the appraiser may need to review and prepare rebuttal to any evidence submitted by the taxpayer. Sedgwick county informal hearings are scheduled for every 20 minutes on real property, and 30 minutes for agriculture. One variable not mentioned in a directive or standard is, application for an appeal and informal meeting for the property owner is often delayed until late into the thirty days. It is common for many appeals to arrive in the ten-day period prior to the deadline for filing. This of course shortens the processing time for the appraiser’s office.

**RECOMMENDATION #17:** In consideration of required processing time, and available processing time for an informal appeal, it is recommended that an automated evidence system be developed. Once a parcel number is entered into the system and flagged for an informal hearing an evidence packet is generated automatically. It would include all items required to support a recommended value on appeal; (it may support a different value than currently on the parcel). The hearing appraiser would review the packet for approval and distribution to the appellant. If the cost, and sales comparison approaches support a reduction, that can be sent as a stipulation of value. If accepted no hearing is required.

Recommendation #17 is conceptual in design. The county appraiser would need to work-out details with the Tyler Technologies to create a module in the Orion system that would generate a digital report of: Property Record, Cost approach, Adjusted Comps Sales, and Adjusted Equity Properties, and the MRA estimate.<sup>12</sup> Ideally it would also include maps, and the sketch. An acceptance parameter of +/- ten percent could then be used to decide the direction of the appeal recommendation. Those recommendations would include, stipulate to a lower value, no value change the appeal moves to the BOT, no change the appellant accepts the county evidence and withdraws.

- 2. Are taxpayers encouraged to discuss concerns with the jurisdiction informally before lodging a formal appeal?**
- 3. Does the jurisdiction have documented procedures for handling taxpayer inquiries and formal appeals?**
- 4. Does the jurisdiction track the status of each formal appeal to ensure that proper preparations are made for the hearing, that it is appropriately disposed of, and that records are properly updated?**

Response by the Jurisdiction: **Q #2 – Q#4:** The appraiser's office encourages property owners and/or their agents to visit us in-person, call or connect with our website to get appraisal information, check property characteristics and get information about the appeal process. We provide information on the types of documentation they may want to bring to an appeal meeting to help clarify or justify their request for a change in value or classification.

The Information & Assistance (I & A) Manual contains procedures for serving the public who have inquiries. The Appeal Coordinator also has written procedures for assisting property owners who are appealing. They also answer questions on date, time and location of the appeal and assist with rescheduling, etc.

<sup>12</sup> Nassau County NY has a sample example: <https://www.nassaucountyny.gov/4656/Understanding-Your-Prognose-Report>

Our office logs each appeal at every level into Orion (CAMA) system and the appeal is scheduled, tracked, and generates a real property result letter. There is no place in Aumentum Personal Property to formally log, schedule, track and generate result letters. Thus, an in-house database was created to log, schedule, track and generate result letters. Data is queried from the Aumentum tables to populate various information in the in-house Personal Property Appeal database.

Real property appeals are conducted in-person or via telephone. Personal Property appeals are conducted on the telephone.

Each property owner / agent gets a confirmation letter indicating the date, time and location of each appeal meeting. Quality control checks are performed on each appeal to ensure the value determined for each appeal is correctly entered into the system and matches the values on the Appraiser Appeal Information Sheet and the final value in the system and that the classification is correct. If a reduction in value is made that causes a refund to be generated, then the change order is QC'd and processed in Aumentum Tax to affect the tax roll. All the paperwork pertaining to an appeal (filing, confirmation letter, property owner and Appraiser Office documentation and the change order) are scanned into the OnBase scanning system. The OnBase scanning system has levels of security.

Response by the Consultant: Compliance for **Q#2, #3, and #4** is largely found in the responses from the jurisdiction. The appraiser's office takes the responsibility of working with property owners to resolve issues surrounding an appeal seriously. The communication with the appellant before and after appeal is designed to inform and educate how the appeal process works. The taxpayer assistance department is front line in answering questions and helping taxpayers complete their application for an informal appeal. The appraiser's office also provides written documentation on their website and have a detailed brochure explaining all the different levels and timelines involved in the appeal process.

Compliance with PVD falls into three categories';

- PVD will verify informal real property appeal records were held and notifications mailed prior to the statutory deadline.
- PVD will verify that the notification of results from the informal appeals include BOTA appeal information.
- PVD will verify all real property appeals are entered into the Orion system.

Internally, hearings are tracked in an external Microsoft database. All documentation associated with the appeal is scanned into the OnBase system for attachment to the specific record. Changes



on appeal that result in a refund must be also processed in Aumentum system, as this is where billing resides.

**RECOMMENDATION #18:** The administrative processing of an appeal sacrifices efficiency in the process which only satisfies the PVD requirement on reporting noticing deadlines, and that parcels under appeal are enter into the Orion system.

This recommendation is linked to #17. If an Orion record is flagged for appeal all associated documentation should be immediately available to view and transferred to required PVD reports. Development of a hearing schedule and tracking is in relative terms a simple database function. External documents/evidence, e.g. appraisals, income/expense reports, copy of the appellants appeal and comments would be the only items needing scanning and attachment with OnBase. Reduction of redundant tasks is the path to efficient and effective changes in operations.

**5. Does the jurisdiction take steps to present its case effectively?**

**6. When a formal appeal involves difficult appraisal issues and considerable value is at stake, can the jurisdiction obtain outside expert assistance?**

**7. Does the jurisdiction allow—or have a strategy for allowing—online appeal filings?**

Response by the Jurisdiction: **Q #5 – Q#7:** Yes ..... Property owners and their agents can file an appeal by emailing the office. Appeals are not conducted on-line.

Response by the Consultant: **Questions #5 thru #7:** At the on-site interview and during phone conferences questions #5 and #6 received multifaceted discussion. These two questions tend to steer away from the informal hearing process and into the formal “Board of Tax Appeals” (BOTA) hearing on appeal. At BOTA the rules of evidence are more specific. Two publications are useful for understanding how the appeal process works after the informal decision is made: A Guide to Property Valuations Appeal Process – Equalization Appeals<sup>13</sup> and A Guide to Property Valuations - Payment Under Protest.<sup>14</sup> Reference to Recommendation #17 and its implementation would go a long way toward an “on-demand” process for presenting the idea that evidence e.g. market data was used to estimate value. At the on-site interview responses also included appraiser complaints that informal appeals wasted time as no evidence is provided in support of the appeal from the taxpayer.

The burden of proof is on the appraiser’s office to produce evidence that meets the “preponderance of the evidence” standard. The Kansas Supreme Court in *Nauheim v. City of Topeka*, 309 Kan. 145, 432 P.3<sup>rd</sup> 647 (2019) opined regarding this burden of proof. The Court

<sup>13</sup> <https://www.ksrevenue.org/pdf/pvdappealeqnohop.pdf>

<sup>14</sup> <https://www.ksrevenue.org/pdf/PUPNotification.pdf>

stated that **preponderance of the evidence has been defined as “evidence which is of greater weight or more convincing than the evidence which is offered in opposition to it.”** Black’s Law Dictionary 1182 (6<sup>th</sup> ed. 1990) The Court went on to state that **“a preponderance of the evidence” means that evidence which shows a fact is more probably true than not true.**’ [Citations omitted.] citing *In re B.D. –Y.*, 286 Kan. 686, 691, 187 P.3<sup>rd</sup> 594 (2008).

Success by the appraiser’s office at the BOTA is then by definition a challenge. Preponderance of the evidence is somewhat subjective as is the “Appraisal Process.” On appeal, two opinions of value are opined. Each estimate is based on facts that are not always absolute, thus regarding the opined value, it is also important to express the weight given in “reconciliation of value” to those appraisal facts given most weight by the by the appraiser to arrive at the final value estimate opined. Preponderance of the evidence means evidence that is convincing, and can be measured as factually true and accurate, this is where the focus of the appraiser’s opinion should be centered. “More true than not true, and more convincing than the opposition’s evidence.”

**Question #6** asked about using outside expertise. If the idea that the evidence must be “more truthful and accurate” is the guide, then it makes sense that an expert having specific experience and expertise on specific property types provide assistance or complete an appraisal on appeal. When completing an evidence-based appraisal there are enormous amounts of data analyzed, weighed, mathematically processed, and reconciled. By USPAP standards the estimated value must be “credible.” Organized presentation of the appraisal process during an appeal hearing is critical to attaining a preponderance decision (best evidence) and upholding the burden of proof.

**RECOMMENDATION #19:** Preparation of an appraisal report and communicating the results in a manner that is meaningful and not misleading follows the logic of “begin with the end in mind.” Ultimately the appraised value is an “opinion.” What can get lost is that the opinion being expressed is based on a trained analyst using facts derived from market participants. The market facts are weighed against the prescribed definition of value, “Fair market value” to be exact. *“The riches of the world pales in comparison to the value of an honest opinion.” Harvey MacKay – Author.* USPAP’s Ethics Rule, **Conduct** requires: integrity, impartiality, objectivity, independent judgment and ethical conduct.

- Must not accept an assignment that includes the reporting of predetermined opinions and conclusions

All appraisals completed by the appraiser’s office are required to comply with USPAP. USPAP itself was created to: *“promote and maintain a high level of public trust in appraisal practice”* (see the Preamble). The public does not fully comprehend this concept or really care. This creates

obstacles to credibility, impartiality, and objectiveness for appraisers working in the ad-valorem appraisal discipline.

The following are ideas detrimental to the concepts of an honest opinion whether from the report or from the appraiser's testimony:

- An appraiser is paid to support the highest value, or lowest value specific to their client.
- The most current appraisal (submitted as evidence) estimate was created to match and support the value being appealed. (if so then integrity, impartiality, objectivity, independent judgment is not in play.) When defending the county's value before the Small Claims Division or the regular Board, the appraiser must begin *de novo* (starting from the beginning; anew). The appraisal itself should be de novo prior to the appeal hearing.
  - de novo (starting from the beginning; anew)
  - most formal appeal hearings use this concept
  - the appraisal should also be de novo prior to an appeal hearing

When the appraiser embraces and understands their ethical responsibilities to produce a credible appraisal new insight is gained, and there is the possibility a **newly developed opinion of value** is formed. From this the appraiser guides the future of the appeal. The new opinion may validate the old one, but the evidence is better, or the new opinion supports a stipulation offer to a lower value. Each outcome must meet the burden of proof standard placed on the appraiser. The next example provides insight into development of a "do novo" appraisal in concept:

Example: On appeal to the BOTA the appraiser should be supporting the most recent value estimate they opined. Let's say at the informal hearing the appealed value is \$150,000 set by the mass appraiser. The property owner wants \$110,000. The evidence packet supports \$140,000 using sales most comparable to the subject. The taxpayer at the informal hearing declines the new appraised value also and moves onto the BOTA with the appeal. At the BOTA hearing the appraiser is supporting \$140,000, as the most recent value opinion, not the \$150,000 currently on the roll as stated at the informal hearing.

All appraisals produce a range in value, after a deeper dive into analysis of the sales, the value opinion "anew" could be, say \$130,000. The point being not to try to support a value the market does not support like \$150,000. Since the taxpayer rejected the offer at \$140,000 during the informal, the value on appeal is still at \$150,000 but that is not the new value that the evidence supports. Trying to support a value of \$150,000 that is not supported by facts in the market

place violates both “**preponderance of the evidence**” and “**USPAP**” by reporting of predetermined opinions and conclusions.

**ACTION:** If and when an appeal moves forward to hearing the roll of the appraiser does not change, only their scope of work. As a witness the appraiser is only an advocate for their analysis, methods, techniques, and estimate of value. To be effective in the role as an expert witness they must spend time with the presenter of facts (usually an attorney) to prepare testimony and recognize weakness in their appraisal, (they all have some) and how to address them when exposed during cross-examination.

- Prepare an appraisal report in compliance with USPAP Standard 2, or Standard 6 based on the assignment. In preparation of the reports, focus on using market facts to form opinions within the appraisal process (highest and best use is a good example of an opinion required before the value opinion.)
- **Keep in mind the Scope of Work for a single property appraisal report will likely be different than a mass appraisal and report.**
- In preparation of an appraisal be sure to check the USPAP competency rule.
- Have appraisals been reviewed using USPAP Standard 3 by a qualified review appraiser.
- Meet with the presenter of facts (attorney if provided) to prepare testimony on the appraised value.

An appeal boils down to a conflict of opinions. The above discussion and recommendation are intended to illuminate some of the areas resulting in a conflict of opinion.

**Mass Appraisal VS. Single Property Appraisal:** Confusion does exist when appraised values for assessment are developed using mass appraisal methods under USPAP Standards, 5 and 6. On appeal to the BOTA, the appraisal evidence is prepared under Standards 1 and 2. It is important to keep in mind that mass appraisal results are applied to a single property. The appeal is a single property value estimate being challenged not the entire results of the mass appraisal.

Mass appraisal and single property appraisal follow the same prescribed “Appraisal Process,” they are only different in application stated by the scope of work. Recognized mass appraisal methods inherently include an “error term” for the contribution of each “variable” (Property Characteristic). The mass appraisal also includes an estimation error of the overall value results using Coefficient of Variation (COV) and Coefficient of Dispersion (COD). While the IAAO standard on ratio studies prescribes a COD of 10%-15% as acceptable for overall results of the mass appraisal (residential), property owners don’t adhere to the same standards of accuracy.

Preparation of an appraisal for appeal before the BOTA using single property methods provides for a further refined market analysis of transactional data for a single specific subject property. This refined analysis does not discard the use of the market data used in the mass appraisal it provides for narrowing comparisons parameters to transactions that are, most similar to a specific subject property. A full discussion on converting the mass appraisal results to a single property appraisal using the best comparables and calibration results from the mass appraisal can be found in the Appraisal Practice Boards "[Identifying Comparable Sales for Mass Appraisal](#)."<sup>15</sup> Completing a precision analysis will reveal if the error term from the mass appraisal applies directly to the selected subject. The end result will be a revised and new opinion of value, or a second level of detailed analysis that supports the appraiser's opinion using the mass appraisal model.

A second benefit when using a single property method and report at the BOTA is, results can be compared directly to any evidence the taxpayer/appellant submitted in support of their claim.

**8. Does a supervisory agency or review body have the power to review values and valuation methods on its initiative, or is the jurisdiction required to submit valuations to a regulatory body for approval before taxes can be levied?**

Response by the Jurisdiction: PVD has the authority to review any work performed by any County Appraiser's Office in Kansas. PVD usually does not review all values but through compliance procedures and queries understands what a county has done over the year to set and defend values.

Conclusion by Consultant on Value Defense and Appeal:

Methods for delivering solutions designed to improve efficiencies in the informal and formal appeal processes are presented in recommendation #17 and #18. The evaluation of current methods recognizes the appraiser's office follows the IAAO standard on Assessment Appeal, 2016. Compliance with PVD reporting requirements are also being met.

The number of appeals increased significantly in 2018, and when this happens additional pressures to complete all informal appeals on a timely basis is problematic. The analysis of appeal processes raised some questions:

- How effective is the preparation of data with a limited time-frame?
- Is the taxpayer/property owner getting their concerns addressed?

- Are appeals with small differences given the same attention as large differences?
- How many appeals are “kicked down the road” just to allow more time?

Creating more efficient evidence gathering for appealed properties will provide a better level of customer service, enhanced response to appraisers involved with the appeal process, and a reduced workload at the next appeal level if resolved at the informal level.

Not fully vetted in the analysis on appeal is the notion the appeal itself is based more on ability to pay, or lack of wanting to pay taxes than the actual value. This is often the hidden agenda of an appeal. In these cases the appraised value is not really at the front of the issues. Still an appeal has been filed. Payment under protest is a better suited venue when the tax amount is the dispute, not the appraised value.

The formal appeal is a product of displeasure with a decision coming from an informal appeal. A formal appeal cannot be filed unless the property has been subjected first at the informal appeal level. At the formal appeal level “preponderance of the evidence” is still the on-going burden of proof which the county must meet. Mass appraisal relies on statistical measures for appraisal compliance, but the burden of proof is on the county appraiser. Appeals moving to the BOTA are often supported using a single property report as evidence. The preponderance of the evidence is the measure accuracy, single property appraisal continues with the same specific data about the subject property as used in mass appraisal. What changes is the use of comparative data. With a single property appraisal, specific market transactions are confined to the transactions; cost, market, income that best represent the market environment of a specific subject property, or economic unit. When the scope of work changes from mass appraisal to a single property appraisal using limited number of specific market transactions, the estimated value opinion may change as a reflection of a small sample of market data specific to a single property. A subject property with a limited demand from local market forces requires the appraiser to explore transaction data on a national or even global market.

The single property appraisal and report must be detailed enough in documentation and recognition of scope of work changes that a new estimated value does represent a factual reflection of specific market conditions that were present but not singularly measured using mass appraisal techniques.

It is important to produce a documented and supported conclusion of appraised value for each appeal case, informal or formal. For the appraised value to be upheld by the BOTA the preponderance of the evidence must be obvious in the appraisal report, analysis, and conclusions. Credibility of the appraiser at hearing is a result of presentation skills as a witness, and the appraiser’s ability to convey competence of the appraisal process and subject properties participation in its market environment.

## Communications and Taxpayer Assistance

Questions in this chapter center around how the county appraiser's office provides for open communications with taxpayers and other stakeholders. There is a statutory notice requirement for changes in value that serves to protect the taxpayer's interest in how their property is valued. The appraiser's office is also the keeper and custodian of the property inventory for Sedgwick County. When consideration is given to time, and resources required to create the property inventory, it is recognized as a valuable resource. With website access available on a 24/7/365 basis to the property inventory, the data is available for viewing by those involved with commerce, attorney's, developers, taxing bodies, realtors, etc. Evaluation in this chapter covers these various levels of assistance and communications.

### Questions:

#### **1. Does the jurisdiction have an active public information and assistance program?**

Jurisdictions Response: The Sedgwick County Appraiser's Office has an Information & Assistance Division that disseminates and provides written and oral information. We also have a Speaker's Bureau that will speak at events.

#### **2. Does the jurisdiction employ appropriate communications channels in addressing its constituents' concerns and needs?**

Jurisdictions Response: The office uses email, the county website (Appraiser's webpage), online application for looking up values, sales and detailed property characteristics, Sedgwick County Mobile Application, newspaper, Appraiser's Office Speaker's Bureau and information communicated in written and oral format

#### **3. Can property records be accessed online by parcel identifier, situs address, owner, and geographically?**

Jurisdictions Response: Not by owner for security purposes. Not geographically.

#### **4. Does the jurisdiction have informational materials available for the public?**

Jurisdictions Response: Our office provides brochures regarding manufactured homes, watercraft, business personal property, printouts of sales and values in their neighborhood, real property cover letter, information on filing for appeals and exemptions, etc.

#### **5. Does the jurisdiction have contingency plans for responding to crises and emerging issues?**

**Response by the Jurisdictions:** At Sedgwick County, the Appraiser's Office is the Damage Assessment Officer. Our office has a station in the 911 emergency operations building in case of a disaster. We are also included in the county government's Continuity of Operation Plan (COOP). Our office works closely with PVD to keep abreast of issues at the state and federal levels which could affect us. We are members of the Kansas County Appraiser's Association as well.

**Response by the Consultant:** Responses by the appraiser's office were all answered in the affirmative. Guidance and evaluation of Communication and Taxpayer Assistance is drawn from the IAAO standard on Public Relations, 2011. Taxpayer assistance is a primary tool used to bring attention and focused level of communications regarding the duties and responsibilities of the county appraiser's office. **Question #1 and #2** describe the specific methods used to inform and educate the taxpaying public.

The answer to question #3 is a little confusing. There is open online access to property record data, geographic information system, sales reports are example tested on the website and GIS site. There are links to parcels from GIS, and to GIS from a parcel. This PIN: [30002845](#) generated a ten-page property record card.

**Question #4** addresses written material available. Brochures, reports, links to PVD and other official documents attached to property taxes are all available on the website. Personal property registration, agricultural land use value, appeals, mobile land records, valuation notices, and a tax calendar are also available.

**Question #5** covers how the appraiser's office is associated with crises and emergency issues. The IAAO includes this as a recommendation in section 3.3.1 "Crisis Plan."

**RECOMMENDATION #20:** At the on-site interview a discussion that addresses the questions in this chapter ensued. At the basic level the appraiser's office has all the boxes checked toward providing taxpayer assistance on an as needed basis. It can even be said they are proactive toward educating the taxpayer as any government office. The functions and work products completed as daily operations in the appraiser's office are hidden (not intentionally) from core constituencies. Implementing a proactive approach would be a step toward providing information not just when it's requested but as an exposure of the skills and knowledge housed in the appraiser's office. Below are some examples:

- The office promotes a speaker's panel, but what do they speak about?
  - Include a list of topics available
- Budget requests are made, or staff increases recommended. Why are these requests being made and for, what purpose?
- Monthly reports to the county board of commissioner are important.
  - A proactive outreach program keeps others informed on an on-going basis.



- Meeting and presentations with professional groups, realtors, attorneys, financial institutions, real estate appraisers, developers, civic organizations.
  - Related to the speaker's panel, but meeting with community leaders and educating them on the complexities of the property tax system, opens doors, and lines of communications.
  - Results are often seen in enhanced cooperation, with the identified groups.
    - The appeal process can result in stipulations of value (negotiated settlement) and yield the county actual construction costs, access to MLS, digital submission of plans, etc.

It is not well known the amount of data, research, education, cost per parcel, local vs. state rolls etc. that must happen to produce a tax bill. The fact the appraiser's office does not prepare or send the tax bill would likely be a surprise to many.

Proactive programs provide upfront knowledge and information so others can make informed decisions. Providing market studies to realtors may soften their position of access to the local MLS. Providing graphs of growth in permits, sales, new construction, helps support requests for budget increases, new technology, or additions to staff for specific departments. An outreach program provides the gateway to request new or additional resources long before the need arises.

#### Conclusion by Consultant of Communications and Taxpayer Assistance:

The appraiser's office meets all the basic levels of assistance required by law and most that are suggested in the IAAO Standard on Public Relations. There are many other opportunities beyond the current level of communicating primarily through the "Taxpayer Assistance" department. A more robust outreach program if planned, will provide an enhanced relationship with constituents.

The board of county commissioners controls the purse strings on budget requests including funding for staff in the county appraiser's office. Providing monthly reports (even if only in writing) verbally on activities and processes are useful when it's time for budget approval. Such reporting creates the opportunity to educate others on PVD mandates and the cost for fulfilling mandates.

Developers, property managers and realtors are the creator of market data and transactions used to estimate value, find and list property. When these groups better understand what the appraiser does with sales, plans, rents, etc. the more likely they are to provide access to data they control. Attorneys also represent developers and property managers on appeal. When the appraiser's office appears before these groups, opportunities to network are created that allow for a more cooperative rather than a confrontation environment during appeal.

The list and reasons go on. The idea of the recommendation is finding ways for creative transparency regarding the property tax system. Or as one author put it: “Taxation without Explanation.”<sup>16</sup>

## CONCLUDING STATEMENT BY CONSULTANT:

The preceding review of “Operations and Procedure” found no evidence substantiating any **non-compliance** based on the mandates reviewed in the Kansas statutes, or mandated directives by the Kansas Property Valuation Director. Adherence to the Uniform Standards of Professional Appraisal Practices (USPAP) is implied by Kansas law, and PVD directives. Also used in the evaluation were the IAAO standards on:

- Assessment Appeal
- Automated Valuation Models
- Contracting for Services
- Digital Cadastral Maps
- Mass Appraisal
- Oversight Agencies
- Personal Property
- Professional Development
- Property Tax Policy
- Public Relations
- Ratio Studies

The IAAO standards provided additional guidance on suggested best practices used to formulate many of the “RECOMMENDATIONS”.

Used as references mandated by the State of Kansas are the, State of Kansas Personal Property Guide, 2019 Procedural Compliance Guide, 2019 Revaluation Maintenance Specifications (RMS), and the 2018 Kansas Property Tax Law. These guides provided specifics regarding the application of laws and directives. The jurisdiction provided pages from the 2018 Sedgwick County Compliance Review, and 2018 Compliance Status Report, both of which are used to measure the statutory and directive compliance. Using these two documents the only deficiencies noted are for a COD of 22.5% on the commercial class, where 20% is the maximum allowed. Also omitted is, reporting analysis on a land acre model #R1024, Sq. Ft. model #R0130,

<sup>16</sup> Taxpayers’ Federation of Illinois, 1993 - R.D. Picur, R.A. Miranda

neighborhood models #8, #9, #16, and analysis for all commercial models were not submitted for confirmation in the Orion system according to the PVD.

In all, twenty (21) recommendations are included in the report (#21 to follow). The first twenty (20) recommendations concentrate on improving methods to gain efficiency and effectiveness of results. Kansas law mandates require tremendous amounts of labor to achieve quality results on a timely basis. The Orion CAMA system is paramount to assisting in achieving these mandated results. There is a theme however developed during the review of each of the processes. This theme encompassed using many analytical processes which must be completed outside of Orion. The Aumentum system used by the ROD's and Treasurer/collector guides parcel maintenance, personal property and tax billing. Orion has modules to complete all these processes, parcel maintenance, specifically multi-parcels, personal property, and the billing collection. With Orion being a mandated CAMA system for use in all of Kansas, Sedgwick County must reach-out to counties that have moved all processes into Orion as a model for doing the same in Sedgwick County. For commercial valuation, only the cost approach is currently being completed in Orion.

**RECOMMENDATION #21:** The county appraiser is requesting six additional staff for the 2020 fiscal year. Considering the numerous processes that require manual data entry, or re-entry of data, coupled with rigorous statutory timelines to complete specific processes; several experienced staff members are considering retirement within the next five years; it is recommended that six additional staff members be hired for the 2020 fiscal year.

This review of operations and procedures reveals a high level of commitment, knowledge and expertise linked directly to the staff in the appraiser's office. The required knowledge and expertise are not available in an instant. The skills required to produce a mass appraisal are uniquely different from those possessed by many private sector appraisers. Creation of economic units is itself a skill few possess, or fully understand. There are learning curves to Orion, including knowing how to make it work with external systems to create what appears to be a seamless result. **Recommendation #5** included a plan for succession to replace skills of experienced staff members that will be retiring in the next five years. If implemented many of the recommendations include learning new skills not currently in place. For these reasons and the many others provided in the previous 20 recommendations, the hiring of additional staff is supported.

## Addendum

Register of Deeds, screen from PIN all documents

### Building Permits, Electronic

Project Type	Permit Type	Permit No	Date Issued	Valuation	PIN	Scope of Work	Address	Permit Issued to	Owner Name
SINGLE FAMILY ALTERATION	BLDG PERMIT - GENERAL	152629	01/10/2019	\$9,000	1425376005	INTERIOR KITCHEN REMODEL, REMOVE NON-LOAD BEARING WALL, NEW CABS, C-TOPS, FLOORING	1910 OAKWOOD AVE	B J ARMSTRONG INC	FOGLE, BRIAN & CINDY
SINGLE FAMILY ALTERATION	BLDG PERMIT - GENERAL	152950	01/22/2019	\$65,000	1433477012	NEW KITCHEN CABS/APPLIANCES, SIDING, & NEW DETACHED 2 CAR GARAGE	1206 N CLINTON BLVD	KATTELMAN CONSTRUCTION & DESIGN INC	OCONNOR, STANLEY & MARY
SINGLE FAMILY ALTERATION	BLDG PERMIT - GENERAL	152852	01/16/2019	\$5,000	1434302009	REMODEL KITCHEN & MASTER BATHROOM	12 NORBLOOM AVE	BANKS REMODELING INC	CALVERT & METZLER MEMORIAL HOMES
SINGLE FAMILY ALTERATION	BLDG PERMIT - GENERAL	152891	01/17/2019	\$10,000	1529151002	FRAME, HANG, FINISH EXT WALLS;ADD BATH;ADD BEDROOM & CLOSET	3901 RAVE RD	DW SCOTT INTERIOR CONSTRUCTION	NEWMAN, CASSANDRA
SINGLE FAMILY	BLDG PERMIT - RESIDENTIAL	152474	01/02/2019	\$230,000	1530106002	NEW CONSTRUCTION - SINGLE FAMILY HOME	8 MACKENZIE CT	KEN VERKLER CONSTRUCTION	KEN VERKLER CONSTRUCTION
SINGLE FAMILY	BLDG PERMIT - RESIDENTIAL	152941	01/18/2019	\$350,000	1530109030	NEW CONSTRUCTION	4 BENT CT	TRUNK BAY CONSTRUCTION INC	ALAN BARDWELL
SINGLE FAMILY	BLDG PERMIT - RESIDENTIAL	152947	01/18/2019	\$350,000	1530109031	NEW CONSTRUCTION	2 BENT CT	TRUNK BAY CONSTRUCTION INC	ALAN BARDWELL
OFFICE BLDG ALTERATION	BLDG PERMIT - COMMERCIAL	152464	01/02/2019	\$10,720	1531351003	REMOVE/INSTALL CEILING, LIGHTS, REPLACE DOOR FRAME INSTALL HVAC DAMPERS	3024 E EMPIRE ST	CATALYST CONSTRUCTION INC	ADVOCATE BROMENN MEDICAL
HOSPITALS/INST ALTERATION	BLDG PERMIT - COMMERCIAL	152530	01/08/2019	\$198,530	2102176006	FINISH UPGRADES TO EXISTING TRANSITIONAL CARE UNIT	2200 E WASHINGTON ST	RIVER CITY CONSTRUCTION	OSF DESIGN GROUP

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	Select	Index	Date Filed	Instrument Date	Kind	GRANTORS	GRANTEES	Description (Not Warranted)	File Number	Book/Page	Ref	Amount	Images
1	<input type="checkbox"/>	OFF	08/19/2004 Instrument Date 08/06/2004	8/6/2004	MORTGAGE	RAUT, SHISHIR RAUT, SHWETA	NATIONAL CITY MORTGAGE CO	Pin Number: 15-31-226-016 SAPPHIRE LAKE Lot 67	2004-00028562			\$202,200.00	19.039965
2	<input type="checkbox"/>	OFF	06/07/2005 Instrument Date 05/23/2005	5/23/2005	RELEASE	NATIONAL CITY BANK OH	RAUT, SHISHIR RAUT, SHWETA	Pin Number: 15-31-226-016 SAPPHIRE LAKE Lot 67 1ST ADDITION	2005-00015923		2004-00028563		2.039965
3	<input type="checkbox"/>	OFF	12/13/2012 Instrument Date 11/20/2012	11/20/2012	MORTGAGE	RAUT, SHISHIR RAUT, SHWETA	PNC MORTGAGE	Pin Number: 14-31-226-016 SAPPHIRE LAKE Lot 67 Pin Number: 15-31-226-016	2012-00031283			\$172,500.00	21.039965
4	<input type="checkbox"/>	OFF	01/14/2013 Instrument Date 12/12/2012	12/12/2012	RELEASE	PNC BANK NATIONAL ASSOCIATION	RAUT, SHISHIR RAUT, SHWETA	Pin Number: 15-31-226-016 SAPPHIRE LAKE Lot 67	2013-00001526		2004-00028562		2.039965
5	<input type="checkbox"/>	OFF	10/20/2015 Instrument Date 10/16/2015	10/16/2015	RELEASE	PNC MORTGAGE	RAUT, SHISHIR RAUT, SHWETA	Pin Number: 15-31-226-016 SAPPHIRE LAKE Lot 67	2015-00019982		2012-00031283		2.039965
6	<input type="checkbox"/>	OFF	02/08/2019 Instrument Date 01/18/2019	1/18/2019	DEED	RAUT, SHISHIR RAUT, SHWETA	HYLAND, DAVID HYLAND, ROSELLA	Pin Number: 15-31-226-016 SAPPHIRE LAKE Lot 67 Address: 1311 NORMA DR BLOOMINGTON, ILLINOIS 61704	2019-00001893			\$240,000.00	2.039965
7	<input type="checkbox"/>	OFF	02/08/2019 Instrument Date 01/25/2019	1/25/2019	MORTGAGE	HYLAND, DAVID HYLAND, ROSELLA	ILLINOIS NATIONAL BANK	Pin Number: 15-31-226-016 SAPPHIRE LAKE Lot 67	2019-00001894			\$160,000.00	13.039965
	Select	Index	Date Filed	Instrument Date	Kind	GRANTORS	GRANTEES	Description (Not Warranted)	File Number	Book/Page	Ref	Amount	Images

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# Appendix A – Personnel Resumes

Michael W. Ireland, RES, CAE

816 S. Mercer St.

Bloomington, IL. 61701

Email- [mwireland@comcast.net](mailto:mwireland@comcast.net)

## PROFESSIONAL EXPERIENCE

### Assessor, City of Bloomington Township (Retired 12-31-2013):

I was appointed Assessor in August of 1980. I served eight full terms as an elected assessor. Prior to being the assessor, I supervised the appraisal process in the Bloomington office. The following details my ad valorem experience, and accomplishments:

- 01.01.2014 to present: Work part-time for the Bloomington Assessor as an analyst/model builder, and mentor to young staff professionals.
- Developed procedures and guidelines for completing the appraisal process including, data collection, and data analysis required to arrive at supported value estimates.
- Conducted sales ratio studies for performance analysis, and testing of the appraisal process.
- Provided supporting appraisals and detailed expert witness testimony before the local appeal board, the state Property Tax Appeal Board on behalf of McLean County.
- Illinois statutes required re-appraisal of the jurisdiction every four years. I have completed this requirement every four years starting in 1975. Beginning in 1999, semi-annual updates are completed after the quadrennial year.
- Provided the training and education of staff to assist in the process of, field review, model development, finalizing the tax roll, informal appeal processing, and formal appeal hearings, working with the public and explaining the individual impact of the re-appraisal. Under my supervision three staff members earned the CAE designation, and three also evolved into IAAO senior instructors.
- Designed and installed a complete computer assisted assessment system (CAAS) using existing staff and resources. The first system was deployed in Dbase III in 1985. In 1995, we migrated the data to MS Access and redesigned the interface for a Windows platform. Since 2014 I have worked with the

staff and a developer to update the system design and efficiency, this also includes a new web site interface.

- 2004, converted data collection from paper to digital using tablet PC's. In 2012 upgraded paperless process to Apple iPad technology using remote access to server. All task and processes are completed in a paperless environment from building permits, through the appeal process.
- Perform data analysis and develop property valuation models using Number Cruncher Statistical System (NCSS). Transfer valuation model algorithms to the MS Access system for deployment and simplified user application.
- 1988, designed and implemented searchable property information database. This was made available to real estate professionals via a dial-up bulletin board service. In 1998, moved this concept to the internet opening it to the public. The site address is; [www.wevaluebloomington.org](http://www.wevaluebloomington.org).
- Maintained standards for accuracy of assessment, and uniformity according to IAAO Standards and State Standards of assessment level within 5% of the legal level and a coefficient of dispersion (C.O.D.) less than 15% overall.
- Prepared an annual budget to be approved by the Town Board of Trustees. Part of the budget management process requires I procure employees, negotiate leases, purchasing equipment, and plan office layout.
- Assisted the township in planning, and designing a new office building for the assessor, and township supervisor. Construction was completed in 2003.
- Meet monthly with the Town Trustees to review office expenditures, inform them of progress on assessment cycle, and educate them regarding issues surrounding the property tax.
- Served as a management and technical member of the McLean County GIS Management Committee, for implementing a countywide Geographic Information System from 1998.
- 2014 – Present, mentor to staff, providing education, training, and skills enhancement. Also complete the model development, performance analysis, and advise on software design upgrades to the in-house CAMA system and web site.

#### Illinois Property Assessment Institute:

The Illinois Property Assessment Institute (IPAI) is a not-for-profit educational organization that provides basic education for assessment officials in the State of Illinois. I served as the Director of Education for the Illinois Property Assessment Institute from, 1983-1993, and Executive Director from,

1992-1993. State statutes recognize the IPAI as the designating and certifying authority for assessors. My experience and accomplishments while with the IPAI are as follows:

- Developed a yearly course curriculum to meet the demands of new and experienced property tax professionals. Annual course enrollment was 1,200 to 1,500 students.
- Hired qualified instructors to teach forty to forty-five different course offerings each year.
- Developed courses and exams covering various topics e.g. [Advanced Assessment Ratio Study, Mass Appraisal of Garden Apartments, and Introduction to Basic Model Building.
- Computerized the student record system to keep track of each student transcript and status of recertification.
- Implemented a financial system for bookkeeping and reporting of income and expenses.
- Planned and developed a multi-level advanced designation program for Illinois property tax professionals. (CIAO-I)

## **CONSULTING ACTIVITIES**

- Provided education and training for appraisal/assessment staffs using IAAO, and other education provider materials throughout the US and Canada over the past 35 years.
- Member of IAAO, technical review team for Anchorage, AK, in 1997. Provided 28 specific CAMA system recommendations for improvement of the system and process.
- Served as a member of a peer review committee in Illinois to study the implementation of assessment procedures as a pilot study for improving assessment performance. 1998.
- Provided a variety of consulting services on data collection, proper valuation methods, CAMA systems, valuation models, database design, digital sketching, and photography.
- Developed custom education programs for appraisal staffs including the CAMA modeling team for Cape Town SA, and assessment ratio analysis for the state of Utah. 2000-2004.
- Completed the property valuation modeling for Tygerberg South Africa in 2001.
- Provided education and training on data analysis, and modeling for the Republic of Mauritius. – 2010.
- Completed a review of procedures for the Decatur Township Assessor, and Town board with recommendations for improvement, staffing, and updating all systems to best practices. 2013



## **RELATED PROFESSIONAL ACTIVITIES**

- Member IAAO Education Committee 2018
- Professional Development Lifetime Achievement Award, IAAO 2015
- Member of IAAO Ad Hoc Infrastructure Review Committee 2013 – 2014
- Education Chair, Appraisal Institute, Heart of Illinois Chapter 2004 – 2005
- Senior Instructor for the International Association of Assessing Officers. 1986- present
- Served as vice-chair on the assessment / appeal committee, and member of multi-state review committee to recodify the Illinois Revenue Act of 1939. Bill passed spring of 1993.
- Chaired IAAO ad-hoc committee for developing Uniform Mass Appraisal Report.
- Chaired IAAO CAAS Council 1994 and 2000
- Member of special task force to revise Standard 6 of the Uniform Standards of Professional Appraisal Practice, Published by The Appraisal Foundation [1991 and 1995].
- Elected to serve on the IAAO Executive Board. [1988 - 90]
- Past Chapter President Society of Real Estate Appraisers, [1983 - 84]  
(currently Appraisal Institute)
- Performed independent appraisal assignments for lending institution, relocation companies, and various corporations, which included all types of properties.
- Developed adult education session for explaining the use of and how the property tax system works.
- Guest lectured at Illinois State University in the departments of political science, and finance and law.
- Member of IAAO Editorial Board since 1986. (IAAO dissolved) Member IAAO Subject Matter Expert (IAAO recently dissolved).
- Chaired the Education Committee for the International Association of Assessing Officers.  
[1989 - 91, 98]

## **PROFESSIONAL DESIGNATIONS, LICENSE**

- Certified Assessment Evaluator [C.A.E.] International Association of Assessing Officers. 1990
- Residential Evaluation Specialist [R.E.S.] International Association of Assessing Officers. 1977
- Senior Residential Appraiser [SRA, 1978-2004] Appraisal Institute, Resigned Membership
- Senior Real Property Appraiser [S.R.P.A., 1990-2004] Appraisal Institute, Resigned Membership
- Illinois Real Estate Sales license, No. 076-0233746. [Expired]
- Certified Illinois Assessing Officer, [CIAO] Illinois Property Assessment Institute. 1969
- Member of Illinois Assessors Association Board of Directors, Vice-President. 1985 - 1989
- State Certified General Appraiser, No. 553-001126 [Expired 09/30/15]

## TEACHING AND PRESENTATION EXPERIENCE

### Instructor Certification:

- Began presenting appraisal related materials in 1975 at the spring conference of the Illinois Property Assessment Institute.
- attended first IAAO Instructor Training Workshop. 1978
- completed my student instructor training assignment. 1983
- approved as a Senior Instructor for the IAAO. 1986 - Present

### Teaching Experience:

- Illinois Property Assessment Institute, IPAI
- International Association of Assessing Officers, IAAO
- Bloomington – Normal, adult education, Property Tax Forum
- Local civic organizations, Kiwanis, Exchange Club, loan companies, real estate companies, etc.
- Chicago Real Estate Company, appraisal licensing courses
- National Association of Independent Fee Appraisers, (NAIFA).
- Guest lectured at Illinois State University in the political science department, and Law and Real Estate.
- Taught courses in a majority of the contiguous states and Alaska.  
*My teaching experience includes some of the largest jurisdictions in the US, Chicago, Houston, and New York, Phoenix, and small rural areas in Louisiana, Mississippi, Wyoming, and Utah.*
- International experience includes Toronto ON, Victoria BC, Edmonton AB, Cape Town SA, and Republic of Mauritius.
- Developed custom materials and presentations as requested for jurisdictions conforming to specific regulations, laws, data requirements, etc.

The current IAAO course curriculum where I have specific expertise and approval to teach follows:

### Courses:

1. Course 101 — [Fundamentals of Real Property Appraisal](#)
2. Course 112 — [Income Approach to Valuation II](#)
3. Course 201 — [Appraisal of Land](#)
4. Course 300 — [Fundamentals of Mass Appraisal](#)
5. Course 310 — [Applications of Mass Appraisal Fundamentals](#)
6. Course 311 — [Residential Modeling Concepts](#)
7. Course 312 — [Commercial/Industrial Modeling Concepts](#)

8. Course 320 — [Multiple Regression Analysis](#)
9. Course 322 — [Application of Residential Modeling Concepts](#)
10. Course 331 — [Mass Appraisal Practices and Procedures](#)
11. Course 332 — [Modeling Concepts](#)
12. Course 400 — [Assessment Administration](#)

#### Workshops:

1. Workshop 155 – [Depreciation Analysis](#)
2. Workshop 157 – [Appraisal Uses of Excel Software](#)
3. Workshop 159 – [Market Analysis for Income Valuation](#)
4. Workshop 162 – [Marshall & Swift Cost Approach \(Residential\)](#)
5. Workshop 163 – [Marshall & Swift Cost Approach \(Commercial\)](#)
6. Workshop 171 – [IAAO Standards of Professional Practice & Ethics](#)
7. Workshop 352 – [Computer-Assisted Mass Appraisal Feedback](#)
8. Workshop 354 – [Multiple Regression Analysis for Real Property Valuation](#)
9. Workshop 450 – [Principles of Property Assessment](#)
10. Workshop 451 – [Planning an In-House Revaluation Program](#)
11. Workshop 452 – [Fundamentals of Assessment Ratio Studies](#)
12. Instructor ITW – [Instructor Training Workshop, IAAO](#)

## **EXPERIENCE DETAILED ON, AUTHORSHIP, COURSE MATERIALS, AND TECHNICAL PAPERS**

The following is a list of authorship contributions including textbooks, appraisal/assessment courses, and papers published or presented at conferences during my career.

#### Textbook Contributions:

- Co-author Visual Valuation, Chapter 11, Appraisal Institute, Chicago IL, M. Linne' 2010
- Authored, Chapter 11, Introduction to GIS/CAMA Integration, IAAO text on Assessment Administration, 2003.
- Contributing technical editor for Mass Appraisal of Real Property, R.J. Gloudemans, IAAO 1999
- Contributing author and global technical editor for, Property Appraisal and Assessment Administration, J.K. Eckert, PhD, IAAO, 1990.

#### Development of Course Materials:

- IAAO Course 334 – Application of Mass Appraisal to Non-Residential Properties 2017 contract *Review of course materials for application of best practices, adherence to appraisal standards, and consistency with IAAO standards of practice, and check accuracy of labs and solutions. Also develop a set of NCSS labs that replicate SPSS output.*

- IAAO course 333, Residential Model Building, NCSS interactive lab development. 2016  
*A new course to be offered in the spring of 2017, includes a hands-on experience using a statistical software package to develop valuation models. SPSS, or NCSS are the software selected by the education committee*
- IAAO course 332 Residential Modeling Concepts, course review instructor 2016  
*Provided IAAO instructors and staff with course corrections, suggested improvements in Excel labs, and timing of presentation for each section of materials.*
- Introduction To Regression And Spatial Analysis Used In Mass Appraisal, IPTI/IAAO 2014  
*This two day seminar focusing on an introduction to regression and spatial analysis. The focus will be on market analysis basics, review of linear regression, market models using non-linear regression and spatial analysis.*
- Introduction to AVM and Spatial Analysis, IAAO/URISA 2001-2013  
*This course was developed for use at the pre-conference seminar of Integration GIS and CAMA. Course is designed for assessment and GIS professionals who need to have a primer on CAMA and how it relates to GIS in the real world. A highlight of this course is the live hands-on data analysis and GIS data exploration using PC's. The material was co-developed with Pat O'Connor, ASA*
- Using NCSS for Market Analysis, and Modeling, MAAO 2008  
An in-depth four-day workshop using live data to teach students market analysis methods, and lead them through a series of labs developing cost and direct market model, and using Automated Comparable sales for appeals.
- IAAO, Mass Appraisal 300 series curriculum development team 2008  
The team completed a new curriculum outline for all 300 level courses to be rewritten in the next 3-5 year.
- Technical Review for IAAO Course 112, Yield Capitalization Methods 2007
- Technical Review for IAAO Course 101, Fundamentals of Real Property Appraisal 2006
- NCSS Basics for Sales Ratio Analysis, State of Utah 2006  
Introduction to using the NCSS software covering its basic functionality. Converting the state of Utah's ratio study from MS Excel to NCSS that is easily updated each year without reformatting.
- Preparing Data for Modeling, IAAO 2000.  
Preparing data for Modeling is a comprehensive look at property data stored in a computerized environment and how a data structure can impact model accuracy.  
7 continuing education credit hours
- Introduction to Using Number Cruncher Statistical System (NCSS) 2000.  
This course deals with the basic functionality of the software and how to get started using it for analysis in the assessment office.  
7 continuing education credit hours
- Co-authored the Applications of Residential Modeling, Course 321/322 IAAO 1999.  
This course deals with hands-on computer modeling and analysis using the NCSS and AEP software. Developed the Student Reference Manual, course labs, and exam for this weeklong course. 30 hours of continuing education.
- Development of Capitalization Rates IAAO 1999.  
This course deals with various methods of capitalization, and techniques. Emphasis is on using the property cap rate method with the defined technique.  
7 continuing education credit hours
- Introduction to Mass Appraisal Methods IAAO 1987.  
This course is a prep course for what is now IAAO Course 300. The workshop covered the basics of a CAMA system, how data is stored, and what model building is about. Students us a case study where a cost manual is analyzed and converted into a model formula that replicates the cost tables.  
15 Continuing Education Credit Hours
- Assessment Administration and Office Management IPAI 1986.  
This course deals with administration of various functions in the assessment office, data collection, sales analysis, dealing with personnel issues, implementing practices that conform to Illinois law. Materials cover communication and public relations using an interactive case study from a college management course.  
15 Continuing Education Credit Hours

- IAAO 300 Series Curriculum Team IAAO 1986 & 2008.  
Member of the IAAO 300 curriculum, team of specialist worked on converging all IAAO courses in the 300 series, (300,310,311,312,320,322) into a curriculum where each course built on and added to the previous course. This curriculum level covers the entire range of mass appraisal and modeling skills required to work in the modern assessment office today.
- Mass Appraisal of Garden Apartments IPAI 1985.  
This course deals with the use of statistical methods for analyzing data and developing basic market and income models to be applied to a case study property.  
15 Continuing Education Credit Hours
- Advanced Sales Ratio Analysis Illinois Property Assessment Institute 1982.  
This deals with various ways to use ratio analysis to improve property assessments in areas with under or over assessments, and high dispersion. Covered weighting ratios by property class for equalization purposes as described in the IAAO Ratio Standard. Basic introduction to simple regression.  
15 Continuing Education Credit Hours

#### Technical Papers and Standards:

- IAAO, Body of Knowledge development team, Subject Matter Expert, Knowledge Area #4, Valuation. 2015-2017
  - Appraisal Practice Board, Appraisal Foundation. Subject Matter Expert 2012.  
Assigned to specifically study and recommend on the issue of "Identifying Comparable Properties", my specific focus is on Mass Appraisal / AVM.
  - Subject Matter Expert for the IAAO, on all Mass Appraisal Course, 300 Series 2008 – 2013  
Respond to issues found in course content that is questioned by instructors, or IAAO education staff regarding mass appraisal methods, techniques, exam questions etc. for clarity on the issue with confirmation or corrections when deemed appropriate.
  - Automated Valuation Model Standard development committee. IAAO 2003, 2017  
*Specific authorship of Sections 4, Calibration Techniques and, Residential AVMs, Standard on Automated Valuation Models, AVMs, 2003. Consulted with the IAAO standards committee, and reviewed 2017 rewrite of AVM standard*
  - USPAP Task Force Appraisal Foundation 1990 & 1996  
*Member of task forced selected by the Appraisal Standards Board to rewrite Standard 6 of USPAP. I specifically authored, SR 6-8 on developing a written mass appraisal report.*
  - Authored and presented papers at the annual IAAO conference and the IAAO/URISA Conference on Integrating GIS and CAMA. A partial summary of papers are as follows;
1. Overview on developing a Body of Knowledge for the appraisal/assessment industry, 2016 IAAO Conference
  2. Run the Numbers/Modeling How-to with GIS Enhancements, 2012 GIS/CAMA
  3. Response surface analysis without a GIS, IPTI Conference, Chicago IL 2011
  4. Tabular VS. GeoStatistical Analysis, 2011 GIS/CAMA
  5. Practical Integrations of Valuation Modeling and Geographic Information Systems, GIS/CAMA 2010
  6. Market Variance, Why do similar properties have dissimilar prices, 2008 GIS/CAMA

7. Implementing CAMA/GIS, No IT, No CAMA/GIS No Problem, 2007, GIS/CAMA
8. What are AVM's Doing with GIS?, 2005 GIS/CAMA Conference.
9. A Peek Inside an AVM 2004, 2005, IAAO, and GIS/CAMA Conference.
10. Benefits for an AVM Standard 2003, IAAO Conference.
11. Location Analysis for Commercial Property, 2002 GIS/CAMA Conference, November-December 2002 v9 no. 6 Assessment Journal.
12. Simple Methods for Using Data for Information, 2000 International Property Tax Institute.
13. Developing an Assessment Professional, 2000 IAAO Conference.
14. The intent and meaning of Standard 6, of the Uniform Standards of Professional Appraisal Practice, March-April 1992 v. 14 no. 2 Assessment Digest
15. Transportability of a general-purpose residential market calibrated-cost model, June 1991 v10 no. 2 Property Tax Journal.

## **EDUCATION:**

I graduated from Bloomington High School in 1966. In 1968, I was offered a job in the Assessor's Office. I decided to use this opportunity as my educational nucleus using the experience and specialized training as a practical educational tool from which I would learn and grow intellectually and professionally.

- 1969, earned my Certified Illinois Assessing Officers designation
- 1969 to 1978, continued to take appraisal and assessment courses.
- 1978, completed the requirements for the Senior Residential Appraiser designation (SRA) from the Society of Real Estate Appraisers (now the Appraisal Institute).
- 1979, completed requirements for the Residential Evaluation Specialist designation (RES) from the International Association of Assessing Officers.
- 1986, completed the requirements for the Certified Assessment Evaluator designation (CAE) from the IAAO in 1986.
- 1989, completed the requirements for the Senior Real Property Appraiser designation (SRPA) from the SREA (now the Appraisal Institute).
- 2017, inducted into the Bloomington High School, Hall of Fame

Since 1978, I have accumulated in excess of 7,500 contact hours of course work pertaining to appraisal, assessment, professional practice, legal liabilities, administration and other related topics. Sponsoring Organization of class work are:

- American Institute of Real Estate Appraisers
- Appraisal Institute
- Society of Real Estate Appraisers (now Appraisal Institute)
- National Association of Independent Fee Appraisers, (NAIFA)
- McKissock School of Appraisal Education, [www.McKissock.com](http://www.McKissock.com)
- Bloomington - Normal Board of Realtors
- Bloomington - Normal Adult Education
- Environmental System Research Institute, ESRI®
- Illinois Department of Revenue
- Illinois Property Assessment Institute

- International Association of Assessing Officers
- International Property Tax Institute
- Lincoln Institute of Land Policy
- MapInfo Corporation

This large volume of intensive study course work along with the practical incorporation of the methods and techniques taught have given me a broad-based background from which to draw upon and use in implementing and administering many various appraisal/assessment duties and responsibilities. A complete course transcript available upon request.

## **TECHNICAL SKILLS**

- Proficient in the use of MSWord, MS Excel, MS PowerPoint, MS Access, NCSS12, Apex Sketching, ESRI ArcMap, AEP, and Gotomypc.com.
- I have developed valuation and income models using multiple regression, non-linear regression, feedback, summarized statistics, and automated comparable sales using Euclidean metric selection.
- I had responsibility for developing and maintaining the cadastral layer of the GIS for my jurisdiction.
- Administrated network servers, add, modify users and their network permissions, create file shares and maintaining data backup schedules, in-house and online.
- Setup Client PCs.
- Transfer user files and configuration to and from workstations
- Install hardware components, e.g. memory, hard drives, modems
- Software installation on host and client PCs
- Setup and install wireless network, e.g. routers, switches, filters
- Configure and purchase technology, e.g. PCs, servers, tablet PC, digital cameras, software upgrades.

## **COMMUNITY ACTIVITIES**

- Chair of Bloomington Zoning Board of Appeals. I have been a board member since 1978. Term ended in August 2016.
- Served on Citizens Advisory Council to school board and as vice-president [1984 - 86]
- YMCA volunteer, swim team parent board 1986 - 89, search committee for youth activity director, program committee
- I coached American Legion Baseball 1969 - 74. I coached girls and boys in the Prairie City Soccer league 1983 - 1999. I assisted with coaching in youth wrestling club from 1990-2004.
- Youth Football coach, 2014 – present

Larry J. Clark, CAE

PERSONAL INFORMATION

Address: 492 Garfield, Bonner Springs, Kansas 66012

Telephone: Home (913)422-7231 -- Office (816)701-8130 – Cell(913)403-6143

EDUCATION

College: Kansas State College of Pittsburg - Pittsburg, Kansas

Major: Social Science (Pre-Law)

Minor: Business Administration

Graduation Date: May, 1972 B.A.

Graduate Work:

Law School - Kansas University-Lawrence, Kansas-44 hours

M.B.A. Program - P.S.U.-Pittsburg, Kansas 27 hours

Appraisal Schools:

Property Valuation Division of Kansas Department of Revenue

23 Courses and Workshops                      1979-1996

International Association of Assessing Officers

21 Courses and Workshops                      1979-2003

American Institute of Farm Managers & Rural Appraisers

2 Courses



Appraisal Institute

5 Courses

**Courses/Workshops Taught**

Changing Environment of the County Appraiser in Kansas

Ratio Studies – NCRAAO

IAAO Course 300

IAAO Course 301

IAAO Course 302

IAAO Course 311

IAAO Course 312

IAAO Course 350

Commercial Property Association of Kansas Appraisal Seminar

IAAO Workshop 354(604)

IAAO Course 402

RMA Commercial Exam Workshop(Wrote and presented)

SPSS For the Appraiser Workshop(Wrote and presented)

IAAO Workshop 150 – Mathematics for Assessors

IAAO Workshop 152 – Narrative Report Writing

IAAO Workshop 157 – The Appraisal Uses of Excel Software

IAAO Workshop 161 – Marshall & Swift Residential One Day

IAAO Workshop 162 – Marshall & Swift Residential Manual

IAAO Workshop 163 – Marshall & Swift Commercial Manual

IAAO Forum 906 – Valuation of Billboards

IAAO Forum 914 – Using the HP 12C

IAAO Forum 960 – Marshall & Swift Residential Square Foot Costs

IAAO Forum 962 – Marshall & Swift Commercial Square Foot Costs

Final Value Review Workshop for the United Kingdom

Consulting Projects

Wyandotte County, Kansas – Ongoing help preparing annual statistical reports

Crawford County, Kansas – Periodic sales ratio reporting

Craig County, Colorado – SPSS training 2000 and 2002

Volusia County, Florida – SPSS training 2001

Eagle County, Colorado – SPSS training 2002

Clay County, Missouri – Cama conversion

TerraScan – Cheyenne, Wyoming Cama conversion training

IAAO – Bexar Central Appraisal District – peer review

IAAO – United Kingdom – development and presentation of a mass appraisal course 350

IAAO – United Kingdom – development and presentation of a Final Value Review Workshop

Arkansas Chapter of IAAO – Developed and taught a workshop on the use of SPSS in producing ratio studies

Reynolds Appraisal Company – Developed and taught a workshop on the use of SPSS in appraising

Assessment Coordination Division, State of Arkansas – Taught one day workshop on interpretation of SPSS output

Russian Society of Appraisers – Presented a one-day workshop on the U.S. property tax system in Moscow

Lincoln Institute of Land Policy, State Administration of Taxation of China – Presented a two-day workshop on IAAO standards at the Renmin University in Beijing, China

## PROFESSIONAL DESIGNATIONS

### **Certified Kansas Appraiser (CKA)**

June 8, 1982

awarded by the Institute of Certified Kansas Appraisers

### **Residential Evaluation Specialist (RES)**

October 6, 1982

awarded by the International Association of Assessing Officers

### **Certified Assessment Evaluator (CAE)**

March 15, 1984

awarded by the International Association of Assessing Officers

## MEMBERSHIP

Regular Member International Association of Assessing Officer

Professional Designation Advisor for Kansas - 1991 - 2005

Senior Instructor - Courses/Workshops 151, 152, 162, 163, 300, 310, 311, 312, 350,  
400, 402, 451, 452, 906, 914, 960, 962

State Representative - 1994 - 1999

Grader - 1994 - 2005

Professional Admissions Subcommittee - 1995 – 1997

Education Subcommittee – 2000-2003 (Chairman, 2000 & 2001, 2003)

Professional Development Committee – 2004, 2005

Professional Designations Subcommittee - 2007

Most Valuable Member - 1994

Bernard L. Barnard Award Winner – 1997, 2004

AVM Standards Committee Member – 2003

Presidential Award Winner – 2003

Instructor of the Year – 2005

Verne W. Pottorff Designee of the Year Award - 2008

Regular Member Kansas City Chapter of IAAO

Education Committee - 1990

Treasurer - 1991

Secretary – 1992, 2007

Vice President - 1993

President - 1994

Regular Member Kansas County Appraisers Association

Minerals Committee - 1981

Personal Property Committee - 1982, 1983

Constitutional Committee (Chairman) - 1982

Publications Committee - 1982

CKA Committee - 1982 (Chairman) 1983 (Chairman) 1984

Education Committee - 1983, 1984 (Chairman)

Appraisers Handbook Committee - 1982, 1983

Executive Board - 1984, 1989, 1990

Editor, Kansas County Appraisers Newsletter 1985 - 1991

Vice-President - 1990

President-Elect - 1991

Legislative Committee - 1991 - 1996

President - 1992

President's Award Recipient - 1985, 1991



PROFESSIONAL **CONSULTING SERVICES** OF IAAO, LLC

*A wholly owned subsidiary of IAAO*

## Executive Summary

### Business Processes and Valuation Practices

Sedgwick County – Operational Audit of the County Appraiser’s Office – 2019

## Introduction:

The Sedgwick County Appraiser's Office in conjunction with, Board of County Commissioners Sedgwick County, engaged the Professional Consulting Services of the International Association of Assessing Officers [PCSIAAO] to complete an audit of operations and procedures in the appraiser's office. A summary of results is provided as follows.

**PLAN AND SCOPE OF WORK STATEMENT:** The audit encompassed reviews of current operational practices, and procedures, using a questionnaire with questions relating to processes, procedures, and use of specific property appraisal tools. Analysis of strengths and weaknesses measured using the various technical standards of practice. With recommendations aimed at improving efficiencies, and economies in the appraiser's office, and with other related county offices.

**MANAGEMENT AND STAFFING:** The consultant personally interviewed department heads and staff members; review of job functions, production quantity and quality. These interviews included staff's adherence to industry standards of practice, specific knowledge, skills, and experience in their use were discovered. The discussions found in this section of the report covers major aspects of how staff members also adhere to statutory requirements, and directives from the PVD. There were approximately 220,000+ parcels in Sedgwick County at the time of the audit and there are currently approximately 225,000+ parcels. Succession planning is recommended due to the impending loss of a high-level intellectual knowledge for appraisal staff nearing retirement. A concluding recommendation supports hiring six additional staff members 2020 fiscal year.

**INFORMATION TECHNOLOGY:** How technology is used. Does it incorporate full functionality for all required tasks? The PVD mandates the use of the Orion, Computer Assisted Mass Appraisal [CAMA] system. While the Orion system provides for most functions required to complete the assessment cycle. The appraiser's office must rely on other legacy and external systems to complete all the required functions in the most efficient manner. Newer functionality has been added to the Orion system in effect in other states, which could alleviate use of some legacy system requirements. Implementation will take time for testing and training.

**MULTI-PARCEL PROCESSING:** A multi-parcel consists of two or more parcels (or lots) under a single ownership and use, that also create a single economic unit, and often transact as one property in the marketplace. The need to create economic units are most common among commercial and industrial properties. Creating and valuing economic units is not a method commonly covered in any appraisal courses thus requires the use of specialized knowledge and skills. Sedgwick county completes the process using a legacy computer system known as: EUS [Economic Unit System]. The EUS software via user input must combine the multiple parcels for the appraiser to value as a single unit and then split the value back into single units so each parcel presents a single value for preparation of notices to property owners, and the tax billing cycle. The entire process creates multiple bottlenecks within the tax cycle. At the appeal level, any single parcel can be a subject without regard to the entire economic unit. Recommendations call for deployment of Orion's version of economic unit valuation that is in place in other states. There is also a need for creating a GIS mapping layer that will display each economic unit for visual analysis. Since completion of the audit, I have been informed this process has been implemented but needs further refinement. Finally, the number of economic units can be reduced by

combining some of the multiple parcels into a single taxable unit. This process however is currently controlled by the county clerk's office, but all ROW offices will be involved in the solution.

**VALUATION PERFORMANCE -SALES RATIO STUDIES:** Sales Ratio studies are a statistical process used to measure appraisal performance across a wide spectrum of functions performed in the appraiser's office. In Kansas, the PVD controls the oversight of the county appraiser's office valuations using ratio statistics. Two primary statistics are the median, and coefficient of dispersion, [COD].

The PVD scores each county on their ability to comply with the ratio standard. Sedgwick County scored 91 points on substantial and statistical testing compliance which is comprised of the procedural and statutory compliance and statistical testing compliance in the most recent study available at the time of the audit. The COD on commercial/industrial is slightly above the PVD permitted level of 20%. Residential and commercial each were in compliance when using the confidence intervals. The overall statistics for residential class properties is remarkably good, with a median of 90.1%, and a COD of 10.6%.

ACCEPTABLE RANGES OF UNIFORMITY		
Type of Property – General	Type of property – Specific	COD Range**
Single-family residential (condominiums included)	Newer or homogeneous areas	5.0 to 10.0
Single-family residential	Older or more heterogeneous areas	5.0 to 15.0
Other types of residential	Rural, seasonal, 2-4 units, manufactured housing	5.0 to 20.0
Income-Producing – Non-Residential	Larger jurisdictions with active markets	5.0 to 15.0
Income-Producing – Non-Residential	Smaller jurisdiction with limited market activity	5.0 to 20.0
Vacant land		5.0 to 25.0
Other Real or personal property		Varies with local conditions

**VALUE DEFENSE AND APPEALS:** Covers the legal and functional processes required to address taxpayer appeals of their property tax appraisal. The appeal process is often confused with tax liability. Legally "tax appeals" are covered using a "payment under protest." Appealing one's appraised value, property classification, and equal treatment is reviewed in this section. Several levels of appeal exist for property owners. The appeal process is time-sensitive and begins with the date on the change in assessment notice.

At that point taxpayers have a thirty-day window to file an appeal. For the county appraiser the appeal process is a time-consuming process, demanding research, and preparations to prepare and document a defense of the appraised value. In a four-year period from 2015 to 2018 appeal cases nearly doubled, 2,268 to 4,029. The burden of proof is on the appraiser's office to produce evidence that meets the "preponderance of the evidence" standard. As the appeal process moves from "informal" in the county appraiser's office, to formal before the Board of Tax Appeals [BOTA], the time and effort to prepare also increases as do the participants. Hearings before the BOTA often include expert witness testimony. This testimony then requires cross examination by attorneys on both sides to examine the evidence and standards used to estimate the value.

**COMMUNICATIONS AND TAXPAYER ASSISTANCE:** There is a statutory notice requirement for changes in value that serves to protect the taxpayer's interest in how their property is valued. The appraiser's office is also the keeper and custodian of the property inventory for Sedgwick County. With website access available on a 24/7/365 basis to the property inventory, property data is available for viewing by those involved with commerce, attorney's developers, taxing bodies, realtors, etc. Recommendations include expanding the communications with more marketing of the speakers panel, providing more information addressing the "why's" for budget increases, and creating monthly reports for the BOCC as a way of increasing knowledge and understanding about the complexity of the property tax system in Kansas.

**CONCLUDING STATEMENT BY CONSULTANT:** The preceding summary of "Operations and Procedure" audit provided twenty-one recommendations to improve various processes to gain efficiencies and effectiveness. The county appraiser and staff are knowledgeable, skillful, and professional in completing their job functions using all resources available. Completion of the property tax cycle in the state of Kansas is demanding and stressful. The schedule for compliance, and the demands to follow prescribe standards of practice, and PVD directives are rigorous. As the number of parcels continues to increase, a persistence to leverage technology is also needed. Succession planning is a key for maintaining future success. Continuation of professional development using education and designations is another area recommended. No evidence was found substantiating non-compliance based on the mandates reviewed in the Kansas statutes, or mandated directives by the Kansas Property Valuation Director.



## 2022 Sedgwick County Budget

### [867] Appraiser's Office Additional Personnel Request

<b>Division:</b>	County Appraiser	<b>Contact Name:</b>	Mark Clark
<b>Department Priority:</b>	2	<b>Division Priority:</b>	2
<b>Primary Fund Center:</b>	75002-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

#### Summary

The Appraiser's Office is requesting three (3) additional permanent full-time positions in 2022. One of the three (3) positions is a Chief Deputy Appraiser Position listed under Decision Package one (1). The number of positions requested is not being increased from last year's request due to the fiscal impact COVID 19 has had on the county.

**Legal Reference:** Article 11, Section 1 of the Kansas Constitution and K.S.A. 79-503a (along with multiple

#### Legal Requirement:

There are multiple statutes that impact the operation of the Appraiser's Office. Article 1, Section 1 of the Kansas Constitution and K.S.A. 79-503a require the Appraiser's Office to value properties at fair market value and that those values should be uniform and fair.

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	75005-110		40,851
41300 - BENEFITS	110	75005-110		28,805
41100 - EARNINGS	110	75006-110		35,299
41300 - BENEFITS	110	75006-110		27,798
TOTAL			0	132,753

#### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Senior Residential Appraiser	GRADE126	1.00	40,851	28,805
Permanent FT - Hourly	Senior Personal Property	GRADE123	1.00	35,299	27,798
TOTAL			2.00	76,150	56,603

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The Sedgwick County Appraiser's Office lacks adequate personnel to maintain efficient control of appraisal processes and to insure effective quality control and sustainability in the main duties of discovering listing and

valuing properties. The Appraiser's Office has only been granted one additional employee since the Great Recession. Numbers of sales and building permits are approaching levels that are similar to 2006/2007.

This request will enable the Appraiser's Office to implement a strategic plan that will allow for rigorous quality assurance, increased production levels and a sustainability plan that will prepare the Appraiser's Office to sustain itself over the long term, perpetuating the ability to fulfill the office mission.

The request will also assist the office in achieving more uniform and fair valuations; thereby, satisfying constitution and statutory responsibilities.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

The Appraiser's Office needs additional staffing to fulfill PVD statutory requirements in a timely manner, with adequate quality control. Tasks such as onsite inspections and sales verification calls must be completed between the business hours of 8am and 5pm. Overtime is not a solution due to property owners becoming upset when being contacted prior to 8am or after 5pm. A pilot program using overtime and extended hours was attempted in the past by two previous county appraisers and was unsuccessful. Property owners did not appreciate being bothered outside of conventional business hours.

Over several years we've done workarounds in the office to squeeze as much efficiency out of staff as possible. We've consistently done more with less. We are at the point where this is no longer working.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Appraiser's Office is requesting enhanced funding in the base operating budget to cover additional personnel expenditures.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

The Appraiser's Office had an International Association of Assessing Officers (IAAO) audit of its operations and that report will be presented to the BOCC in April. Staffing needs and other technology needs were addressed in the audit. Tom Stolz has a copy of the audit.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

As the economy improves more stress is being experienced by the staff as they attempt to keep up with the increased volumes of work; thus, severely impacting the quality of data collection and entry of property characteristics and the generation of appraised values. It is challenging to work through PVD's list of processes which takes the office through the entire tax calendar. The volume of sales increases and building permits are more prevalent, the amount of work per employee has significantly increased as well. Sustainability is not being addressed because we do not have the resources to cross-train. Without changes to the manning table it becomes a daily grind whereby more errors are made and staff morale erodes.

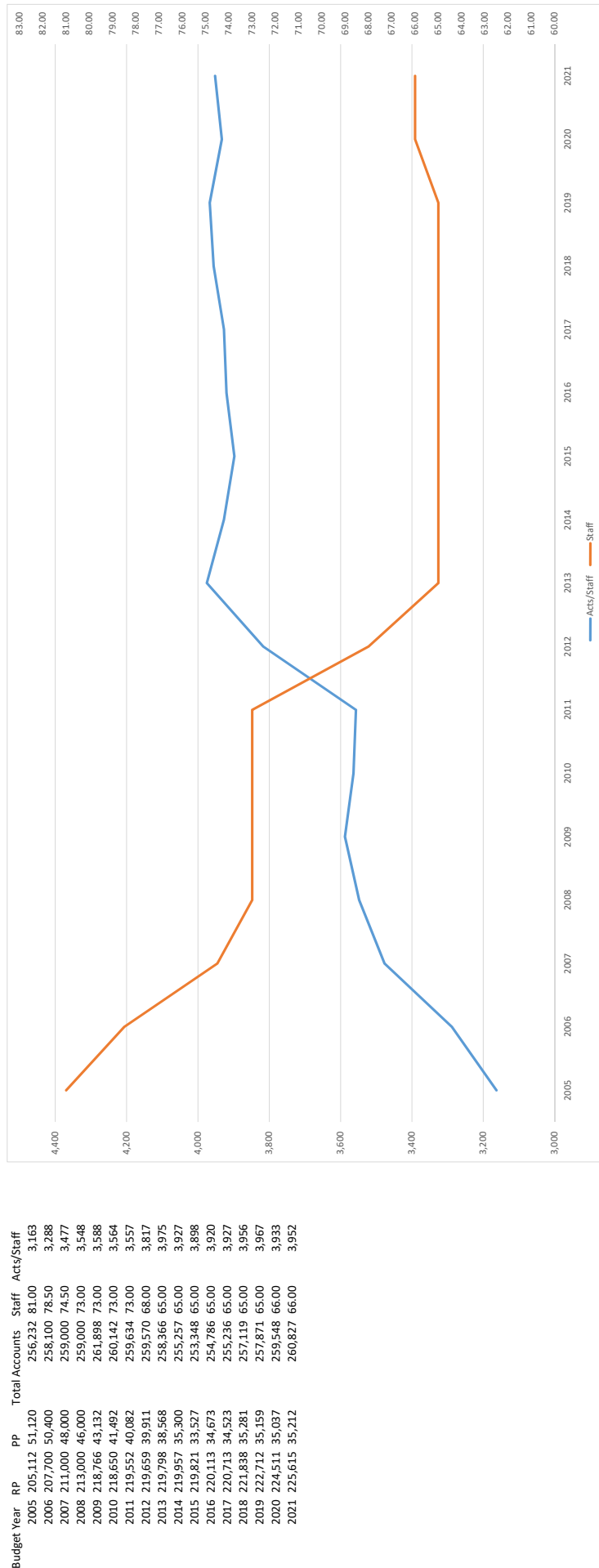
**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This is an important need. Without adequate staffing our office cannot carry out its mission or strategic plan as mandated by the Property Valuation Division (PVD). Our office is statute-driven and must follow the directives, memorandums, guidelines of PVD, Kansas law and the Uniform Standards of Professional Appraisal Practice (USPAP). The mass appraisal is conducted by the Sedgwick County Appraiser's Office for the benefit of Sedgwick County and all of the other taxing authorities so as to provide the valuations from which funding is ultimately driven to provide citizens with needed services. Lack of staffing makes it very difficult to carry out this mission in an efficient and effective manner. Sustainability is sacrificed in the name of just getting the job done. Eroding morale is not conducive for maintaining the three important components needed in daily appraisal work: quality, quantity and attendance.

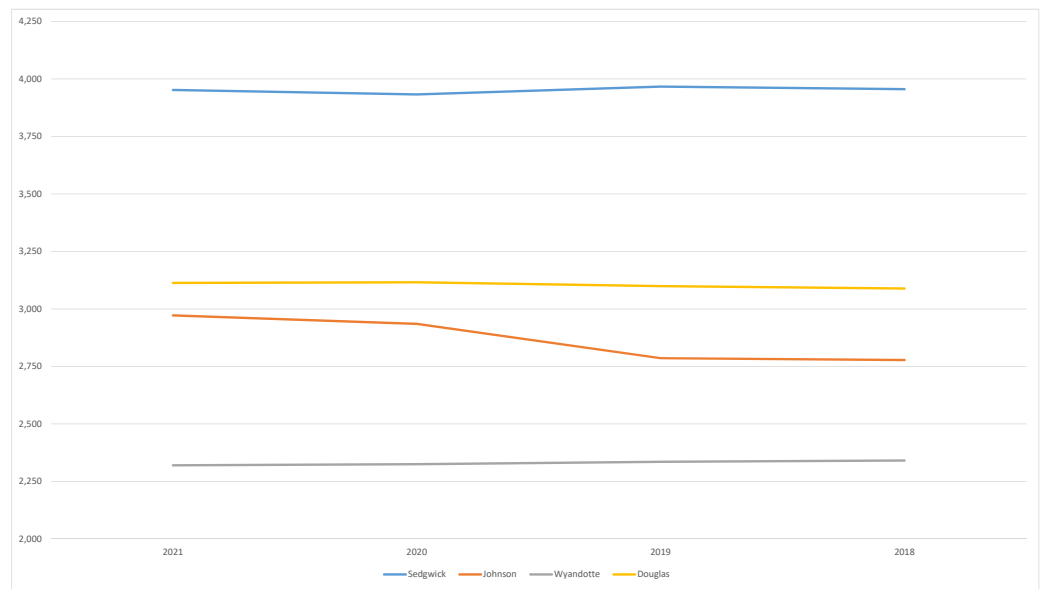
Parcel counts continue to grow. This makes it continually difficult to remain in statistical compliance with PVD. Employees are being tasked with more work and not enough time to complete it. This increases the chance of errors and places the Appraiser's Office at significant risk of not being able to satisfy statutes and PVD directives and guidelines.

**Please provide 3 years worth of data to support your request.**

Please reference audit mentioned above.



RP	2021	2020	2019	2018
Sedgwick	225,615	224,511	222,712	221,838
Johnson	226,317	225,647	223,704	221,598
Wyandotte	67,897	67,855	68,202	68,257
Douglas	41,114	40,980	40,861	40,579
PP	2021	2020	2019	2018
Sedgwick	35,212	35,037	35,159	35,281
Johnson	18,576	19,111	19,783	21,163
Wyandotte	7,511	7,705	7,700	7,820
Douglas	7,136	7,325	7,175	7,300
Staff	2021	2020	2019	2018
Sedgwick	66.0	66.0	65.0	65.0
Johnson	82.4	83.4	87.4	87.4
Wyandotte	32.5	32.5	32.5	32.5
Douglas	15.5	15.5	15.5	15.5
Wrk/Staff	2021	2020	2019	2018
Sedgwick	3,952	3,933	3,967	3,956
Johnson	2,972	2,935	2,786	2,778
Wyandotte	2,320	2,325	2,335	2,341
Douglas	3,113	3,116	3,099	3,089



## 2022 Sedgwick County Budget

### [850] Midterm Election Postage

<b>Division:</b>	Central Services	<b>Contact Name:</b>	Tania Cole
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	92016-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

The amount of postage used by the Election Commissioner's Office fluctuates significantly between even and odd years due to the midterm municipal/gubernatorial elections and presidential elections. The supporting document shows the fluctuation in postage costs for the Election Commissioner's Office from 2014 to 2021.

This decision package is only for routine election mailings for the midterm. The Election Office will be redistricting in 2022 which may result in a postcard being sent to every registered voter. That postage cost is being submitted through a separate decision package from the Election Office.

### Legal Reference:

### Legal Requirement:

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
45301 - Postage/Shipping	110	92016-110		100,000
TOTAL			0	100,000

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

During midterm and presidential election years, the Mailroom is tasked with coordinating the Election Office to ensure that all voters are adequately notified of polling location changes, opportunities for advanced voting, and ballots for those who have opted to vote by mail.

#### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

General County mail that exceeded the Mailroom budget would have to be paid for by divisions/departments in order to ensure sufficient funds were available for the statutorily required mailings of the Election Office. Divisions and departments do not currently receive funding for postage as all County mail is processed and paid for through the Mailroom.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

No formal study was conducted. Historical postage expenses for midterm elections were reviewed.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need. The primary objective of the Mailroom is the timely and efficient processing of outgoing County mail. This request is also a need in order to fulfill the duties and responsibilities of the Election Office.

**Please provide 3 years worth of data to support your request.**

Election Postage Costs

2018 - \$158,321

2019 - \$54,562

2020 - \$231,505

**Election Postage Costs**

2014	\$157,437
2015	\$59,605
2016	\$192,648
2017	\$74,659
2018	\$158,321
2019	\$54,562
2020	\$231,505



## 2022 Sedgwick County Budget

### [884] Abandoned Call Back Feature

<b>Division:</b>	Emergency Communications	<b>Contact Name:</b>	Elora Forshee
<b>Department Priority:</b>	1	<b>Division Priority:</b>	3
<b>Primary Fund Center:</b>	11003-210	<b>Fund:</b>	210
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	0

### Summary

There is a feature on our 911 phone system that allows for abandoned calls to be automatically called back, prompting the caller to press a button to be connected to emergency services. This feature would relieve the call takers of the burden of calling back abandoned calls which is problematic in our system.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42201 - TELEPHONE SERVICES	210	11003-210		80,000
TOTAL			0	80,000

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Emergency Communications strives to meet the national standard of answering 90% of emergency calls within 10 seconds but oftentimes falls short. Abandoned calls, and namely abandoned cell phone calls, are a large burden to the system. Call takers must call the number back and attempt to make contact. An automated service, completing the same function, would help eliminate that workload for emergency call takers, allowing them to focus on inbound emergency calls.

#### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

The community currently experiences the problem of wait times when they call 911. This would help to address those wait times and demonstrate that the County is doing all that it can, both with technology and personnel, to address the need of the community for a timely response to emergency situations.

#### Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

Through 911 reserve funds.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

There are no studies related to this technology.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a want, in that 911 staff can continue to manually call back abandoned cell phone calls, but a need in that our system needs to do something to manage the abandoned call situation in our system.

**Please provide 3 years worth of data to support your request.**

Emergency Communications had 58,836 abandoned 911 calls in 2020, 53,671 in 2019, and 39,665 in 2018.

## 2022 Sedgwick County Budget

### [883] ASAP to PSAP

<b>Division:</b>	Emergency Communications	<b>Contact Name:</b>	Elora Forshee
<b>Department Priority:</b>	2	<b>Division Priority:</b>	6
<b>Primary Fund Center:</b>	11003-210	<b>Fund:</b>	210
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

### Summary

The Automated Secure Alarm Protocol (ASAP) is designed to increase the efficiency and reliability of emergency electronic signals from alarm monitoring companies Public Safety Answering Points (PSAPs), or 911 centers. ASAP to PSAP sends alarm information through the Nlets system, creating efficiencies in the rapid transmission of information and ensures that complete and accurate information is translated.

**Legal Reference:** N/A  
**Legal Requirement:**  
N/A

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
46300 - PROFESSIONAL SERV	210	11003-210		10,500
TOTAL			0	10,500

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

This software solution allows us to use innovation and technology to create efficiencies in the delivery of emergency services. Emergency Communications strives to meet the national standard to answer 90% of emergency calls within 10 seconds. When staff members are tied up on the phone with alarm companies, they are not available to answer emergency calls. Having the alarm notifications come in electronically allows dispatchers and call takers to stay available to answer emergency calls and allows them to prioritize emergency situations, involving preservation of life, over less emergent alarm calls that involve preservation of property.

#### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

If unable to utilize ASAP to PSAP, Emergency Communications will continue to process alarm calls the same way it has for the past two decades, if not longer. That inability to embrace progress will continue to bog down the call takers, blocking emergency calls from being answered. There is no other solution that provides

this efficiency and removes this call volume from the current workload.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This is allowable out of 911 reserve funds.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

The Association of Public-Safety Communications Officials (APCO) has developed an ASAP to PSAP protocol. Their study can be found at [https://tma.us/wp-content/uploads/2020/06/21012-2014\\_ASAP\\_Final.pdf](https://tma.us/wp-content/uploads/2020/06/21012-2014_ASAP_Final.pdf).

Their findings are from PSAPs in Virginia, showing a reduction in call volume, elimination of miscommunication between alarm company operator and PSAP call taker, and a decrease in response times for alarm-related calls for service with an increase in law enforcement apprehensions made, fires more quickly extinguished, and lives saved.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This is a want in that Emergency Communications can process alarm calls without it but a need in that we need to find a way to eliminate some call volume in dispatch. This will help to do so, aiding us in increasing the answer time for emergency calls to meet the national standards and serve our community more efficiently.

**Please provide 3 years worth of data to support your request.**

Emergency Communications staff received approximately 22,500 alarm calls per year, not counting any additional call backs for updated information.

August 4<sup>th</sup>, 2020

Elora Forshee  
Director  
Sedgwick County Emergency Communications, KS  
714 N. Main  
Wichita, KS 67203

RE: DAYQ3893 - ASAP Consulting and Project Mgt Consulting Services  
Proposal for Sedgwick County, KS

Dear Elora,

CommSys has over 20 years experience in providing solutions and services for public safety software vendors in service and technology supply for state, regional and national CJIS interfaces. CommSys is the current technical consultant and operations contractor for The Monitoring Association (TMA) managing the "ASAP to the PSAP Service" ("ASAP Service"). The ASAP Service, as you would expect, uses the Automated Secure Alarm Protocol (ASAP) for information exchange between central stations and PSAPs.

The TMA operates the ASAP Service for the benefit of the connected alarm-monitoring central stations and the participating PSAPs. The TMA publishes technical information and coordinates with APCO and Nlets to help ensure the integrity of the technology and operation of the ASAP Service.

**TMA has certain paperwork requirements that must be fulfilled before the project can begin. This includes the submission of the agency's letter of intent that agrees to the ASAP Terms of Service, a PSAP ASAP Readiness questionnaire, and a PSAP Information form. If the agency has not completed this requirement, please have a representative go to [tma.us/ASAP](https://tma.us/ASAP) and fill out the contact form. A representative from the TMA will contact the agency.**

However, the TMA is not in a position to provide training nor implementation management services for PSAPs desiring to connect to the ASAP Service. Proper alarm handling procedures and training must be tailored to the unique aspects of the agency in question. That requires a PSAP practitioner's knowledge and experience, and not something that the TMA nor a CAD system provider can deliver at this time.

To address this issue, CommSys has enlisted the expert consulting help of Bill Hobgood. Bill is the "father" and the key subject matter expert of the ASAP

program from a public safety agency perspective. At the City of Richmond, VA, he executed the first pilots of ASAP and is responsible for managing the ANSI/APCO standard document. Bill's leadership in the technical development of both the ASAP protocol and the service has been key to its success. Furthermore, his experience on the PSAP side and working with central stations, has facilitated smooth, effective, and professional implementations for other agencies that have implemented ASAP.

You can see Bill interviewed for the TMA's video on ASAP: <http://www.youtube.com/watch?v=6K0g-VyXrxg>.

For the next few years, until more PSAP practitioners develop hands-on expertise in using the ASAP Service, the pool of persons with ASAP implementation experience is limited. Consequently, Bill is in the unique position of being the best person to provide knowledge and expertise to a PSAP interested in implementing an ASAP Service connection to their CAD.

I am proposing the Scope of Work listed below for consulting and project management services to assist you in implementing Tyler's connection to the ASAP Service. CommSys will utilize Bill Hobgood to provide these services.

CommSys offers the following consulting and project management services for ASAP implementations:

- Develop implementation plan for ASAP, based on agency requirements.
- Provide professional services to support the implementation.

CommSys will provide your agency with professional services for the following aspects of the project.

- Coordinate efforts with the agency's executive stakeholders, the agency's CAD provider, state message switch/control point officials, the TMA, and alarm monitoring companies: (broken out below)
  - Coordinate with the agency's CAD provider the installation of the CAD provider's interface application solution in both a Test environment and a Production environment as applicable. These may be done at separate times.
  - Coordinate with those alarm companies that are operating in production with the ASAP project and with agency officials through cutover to production activities.
- Work with Agency personnel to develop policy and procedures to support ASAP within the dispatch activities.

- Train Agency Personnel in supporting alarm company address rectification and correction efforts. Liaison with initial alarm companies for the initial address "Scrub"
- Tyler's ASAP Interface Testing and Verification (on premise at agency)
  - Establish a test plan and extend test cases as appropriate for the agency.
  - Execute testing to ensure that the end product conforms to the APCO/CSAA ANS 2.101.2-2014 standard.
  - Certify the installed product to be conformant with the APCO/TMA ANS 2.101.2-2014 upon successful completion of test plan.
- Oversee training of PSAP staff in learning CAD enhancements to accommodate the ASAP program.

The above scope of work for the Sedgwick County Emergency Communications, KS. project is estimated to "not to exceed" 70 hours of effort. The hourly rate is \$125 for a total price of \$8,750. Actual travel expenses incurred are additional, and independent of the consulting pricing. The "not to exceed" cost for travel will be \$1,500 for three nights with sufficient advanced notice.

#### **NOTES:**

1. The population is greater than 500,000. Based on our experiences, PSAPs supporting larger populations will generate large volumes of addresses from alarm companies in proportion to the population.
2. This will be Tyler's first ASAP implementation in the state of Kansas and the first ASAP implementation in Kansas by any CAD vendor. First time ASAP implementations in any state requires additional effort with regard to the connectivity to the state switch and testing.
3. Should the COVID -19 situation persist and prevent travel, the consultant will conduct all work remotely.

On-going coordination services with newly connected alarm companies with the ASAP program is offered at an additional cost.

Please note we will not schedule Bill's visit until we receive a Purchase Order or equivalent document from Sedgwick County Emergency Communications, KS. Currently, we are scheduling out 120 days.

Please let me know if you have any questions or need clarification. I can be reached at 937-287-0803 or at [mmcglone@commsys.com](mailto:mmcglone@commsys.com). We look forward to working with you.

Sincerely,

A handwritten signature in black ink that reads "Mike McGlone". The script is fluid and cursive, with the first name "Mike" and last name "McGlone" clearly legible.

Mike McGlone  
Market Development Manager



# **APCO/CSAA ANS 2.101.2-2014**

## **Alarm Monitoring Company to Public Safety Answering Point (PSAP) Computer-Aided Dispatch (CAD) Automated Secure Alarm Protocol (ASAP)**



**APCO/CSAA ANS  
2.101.2-2014**

Standard written by **The APCO/CSAA Alerts Working Team**  
Standard updated by **The APCO/CSAA ASAP Technical Committee**

Approved June 11, 2014 by  
**APCO International Standards Development Committee (SDC)**

Approved August 5, 2014 by  
**The American National Standards Institute (ANSI)**

**Abstract:** This standard will provide detailed technical data to software providers who support CAD Systems or alarm monitoring applications concerning the common data elements and structure that shall be utilized when electronically transmitting a new alarm event from an alarm monitoring company to a PSAP. The standards package includes process flow examples that are necessary during the handoff of new events, new event responses, and updates to working events between the alarm monitoring company and the PSAP.

**Keywords:** 9-1-1, alarm, alarm monitoring, alarm monitoring software, ASAP, automated secure alarm protocol, burglar alarm transfer, central station, central station alarm, computer-aided dispatch (CAD), data transfer, data sharing, direct alarms, electronic alarms, emergencies, emergency, emergency data, emergency response, external alarm interface, external alarm data, fire alarm transfer, interoperability, medical alarm transfer, NIEM, public safety answering point (PSAP), public safety communications, technology and Telecommunicator.

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*\*Informative material and not a part of this American National Standard (ANS)*

## **Foreword\***

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APCO ANS 3.101.1-2007 = Unique number identifying the standard

APCO ANS 3.101.1-2007 = The edition of the standard, which will increase after each revision

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## **Acknowledgements\***

### **APCO Standards Development Committee (SDC)**

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#### **Sherry Taylor, Co-Chair**

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APCO International



<b><i>Information Exchange Package Documentation (IEPD)</i></b>	
<i>Exchange Name</i>	<b>Automated Secure Alarm Protocol (ASAP) (Formerly the External Alarm Interface Exchange)</b>
<i>Version</i>	<b>3.3</b>
<i>Date</i>	Original: <b>09-09-2008</b> Revised: <b>12-11-2013</b>
<i>Sponsoring Project or Initiative</i>	<b>Public Safety Data Interoperability (PSDI) Project</b>
<i>Funding Source(s)</i>	<b>BJA</b>
<i>Effort Managed By</i>	<b>APCO International, IJIS Institute</b>
<i>Standards Used</i>	<b>NIEM 2.0</b>
<i>Description Statement</i>	<b>The purpose of this Automated Secure Alarm Protocol 3.3 documentation is to provide a standardized data exchange for the electronically transmitted alarm information between an Alarm Monitoring Company and a Public Safety Answering Point (PSAP).</b>

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\*Sections noted with an asterisk are offered for informational purposes only and not part of this American National Standard (ANS).

## Overview\*

### ***Purpose\****

The purpose of the APCO/CSAA ANS 2.101.-201x, also known as ASAP 3.3, documentation is to provide a standard data exchange for transmitting information using automation between an Alarm Monitoring Company and a Public Safety Answering Point (PSAP). There are three primary uses for this IEPD:

- Initial notification of an alarm event by an alarm monitoring company to a PSAP
- Update of status by the PSAP's Computer-Aided Dispatch (CAD) system to the alarm monitoring company
  - Alarm Notification Accepted, call-for-service created
  - Alarm Notification Rejected due to invalid alarm location address, invalid event type, alarm notification too old, or other reason(s)
- Bi-directional update of other events between an alarm monitoring company and a PSAP
  - Requests for cancellation by the alarm monitoring company
  - Updates concerning key-holder information by the alarm monitoring company
  - Notice by the PSAP that the primary response agency has been dispatched
  - Notice by the PSAP that the primary response agency has arrived on scene
  - Notice by the PSAP that the event has been closed (with a disposition if applicable)
  - Updates from the PSAP telecommunicator or field resource requesting additional information such as an estimated time of arrival for the key-holder

### ***Versioning\****

<u>Date</u>	<u>Version</u>	<u>APCO ANS</u>
September 15, 2006	2.0 (GJXDM 3.0.3)	N/A
September 9, 2008	3.0 (NIEM 2.0)	N/A
January 15, 2009	Update of this overview document per APCO ANS process – grammatical issues only – no version number change	APCO/CSAA ANS 2.101.1-2008
December 12, 2013	3.3	APCO/CSAA ANS 2.101.2-201x

### ***Change Log\****

#### **Change Log (upgrade from 2.0 to 3.0)\***

1. Mappings were changed from GJXDM to NIEM 2.0
2. Two elements were added based on lessons learned from implementing Alerts 2.0
  - a. Building Sensor Details Text: free text field used to indicate information specific to a building sensor if available
  - b. Source IP Address: used to verify and validate the source alarm monitoring company
3. The name of the IEPD was updated for clarity (from External Alert to External Alarm).

*\*Informative material and not a part of this American National Standard (ANS)*

#### **Change Log (upgrade from 3.0 to 3.1)\***

1. Changed target namespace from <http://www.apco.com/ExternalAlarm/3.0> to <http://www.apcointl.com/new/commcenter911/external-alarm.xsd>

#### **Change Log (upgrade from 3.1 to 3.2)\***

1. Expanded the list of possible alarm types

#### **Change Log (upgrade from 3.2 to 3.3)\***

1. Expanded the list of possible alarm types
2. The three primary uses were edited for clarity
3. Six elements were added based on new requirements
  - a. Alarm Confirmation URI: a Uniform Resource Locator (URL) that can be used to access additional information such as video that confirms a valid alarm event
  - b. Alarm Service Organization Name: the name of agency that services the alarm system and holds responsibility for their customers' alarm systems
  - c. Alarm Service Organization Identification: a unique identifier assigned to an alarm service company
  - d. Alarm Service Organization Contact Telephone Number: the phone number of the alarm service company
  - e. Map Horizontal Coordinate Text: geo-coordinate latitude of an alarm location expressed in decimal form
  - f. Map Vertical Coordinate Text: geo-coordinate longitude of an alarm location expressed in decimal form
  - g. Alarm Reject Reason Text: a six digit number corresponding to a uniform list of Reject messages. A 01 in the first two digits would be used to identify the set of codes reserved for the CSAA message broker. Other values would represent other elements. For instance a PSAP might be a 02.
  - h. Alarm Reject Source Name: source of the Reject message.
  - i. Alarm Accept Reason Text: a six digit number corresponding to a uniform list of Accept messages. The source of an Accept message is always the PSAP.

### ***Sponsor/Project\****

This effort to upgrade the Automated Secure Alarm Protocol (formerly External Alarm Exchange) IEPD was sponsored by the Public Safety Data Interoperability (PSDI) Program, funded by the Bureau of Justice Assistance (BJA) and co-managed by APCO and the IJIS Institute.

The overall Public Safety Data Interoperability (PSDI) Program is anticipated to encompass multiple projects, and is focused on advancing standards-based information sharing to support the emergency communications domains – police, fire, and EMS – and other relevant homeland security domains. The goal of this project is to improve the real time information sharing capabilities in the emergency response environment. This includes development of high value information exchanges (IEPDs) related to Local Communication Centers/PSAPs.

*\*Informative material and not a part of this American National Standard (ANS)*

The Project Committee is composed of 16 representatives from APCO, Law Enforcement, Fire Services, EMS, Industry, Emergency Management, Transportation, and BJA. At the time of this writing, the committee members are:

Status	Name	Agency/Company	Role / Representing
Member	Bill Hobgood	City of Richmond VA	Communications
Member	Barbara Thornburg	NENA Committee Resource Manager (NENA)	Communications
Member	Art Meacham	Caddo Parish Communications District LA	Communications
Member	Jim Slater	MA Executive Office of Public Safety	Law Enforcement
Member	Dave Mulholland	United States Park Police	Law Enforcement
Member	Charles Werner	International Assoc of Fire Chiefs (IAFC)	Fire Services
Member	Jim Smalley	National Fire Protection Association (NFPA)	Fire Services
Member	Kevin McGinnis	National Association of State EMS Officials (NASEMSO)	Emergency Medical Services
Member	MacNeil Cross	Chief (Ret), New York City FD	Emergency Medical Services
Member	Ernie Blair	Int'l Assoc of Emergency Managers (IAEM)	Emergency Management
Member	Jonathan Spanos, PhD	National Emergency Management Assoc. (NEMA)	Emergency Management
Member	Wayne Gisler	Harris County / Houston TranStar, Houston TX	Transportation
Member	Bill Kellett (Chair)	Microsoft	Industry
Member	David Finchum	BIO-key International	Industry
Member	Linda Hill	The Archer Group	Industry
Member	Alan Harker	Spillman Technologies	Industry
Backup	Calvin Harvey	Harris County Toll Road Authority (TX)	Transportation
Sponsor Representative	Chris Traver	BJA	Project Sponsor
APCO PM	Stephen J. Wisely	APCO	Project Support
APCO Support	Amanda Byrd	APCO	Project Support
IJIS PM	Scott Parker	IJIS Institute	Project Support

## ***Sponsor\****

This project is funded by the Bureau of Justice Assistance's Edward Byrne Memorial Discretionary Grants Program. BJA is a component of the Office of Justice Programs of the U.S. Department of Justice. The mission of the BJA is to provide leadership and services in grant administration and criminal justice policy development to support local, state, and tribal justice strategies to achieve safer communities. One of the BJA's goals is to improve the functioning of the criminal justice system. To achieve these goals, BJA programs emphasize enhanced coordination and cooperation of federal, state, and local efforts. (<http://www.ojp.usdoj.gov/BJA>)

## **Project Management**

The IJIS Institute is a non-profit corporation funded mostly through grants from DOJ's Office of Justice Programs, Bureau of Justice Assistance (BJA). The Institute assists "national scope" efforts related to information sharing in justice and public safety. The Institute comprises a membership of approximately 200 companies active in supplying information technology products and services to justice and public safety agencies. The IJIS Institute achieves its mission of advancing information sharing through the development and endorsement of standards, and by providing assistance to local, tribal, and state agencies. ([www.ijis.org](http://www.ijis.org))

The Association of Public Safety Officials (APCO) has a strong cadre of senior management executives, technical staff, and enthusiastic committee structure that is perfectly positioned to support the IJIS Institute and affiliated organizations to undertake and successfully complete the objectives of this project. APCO has a long history of providing leadership in a myriad of public safety projects and initiatives. Through the 78-plus-year history of APCO it has been at the forefront of projects dedicated to the safeguarding of our citizens and improving public safety communications. APCO's qualified staff champions projects with goals to standardize processes, procedures, and services. ([www.apcointl.org](http://www.apcointl.org))

## **Subcontractor**

The IJIS Institute issued a Request for Proposal (RFP) to its membership for the technical work for this effort. It was awarded to Waterhole Software Inc. Waterhole created all the technical artifacts contained in the IEPD and contributed significantly to this overview document.

([www.waterholesoftware.com](http://www.waterholesoftware.com))

## **Special Recognition**

Special recognition should be given to the following persons who put forth much time and energy on this effort:

- Bill Hobgood, City of Richmond VA & APCO International
- Aaron Gorrell, Waterhole Software
- Pam Petrow, Vector Security & Central Station Alarm Association
- Stephen Wisely, APCO International
- Scott Parker, City of Mesa AZ (*Former Sr. Project Manager, IJIS Institute*)
- Ed Bonifas, Alarm Detection Systems & Central Station Alarm Association
- Glenn Schroeder, Security Network of America
- Tony Mucci, ADT
- Robert Turner, CommSys Inc.
- Dale Brenner, Stahura-Brenner Group

## ***Background / History\****

APCO International established the CAD-to-CAD Interconnectivity Project, Project 36, in August 2000 to explore the interconnectivity between different CAD systems. In August 2004, APCO International encouraged the expansion and spin-off of Project 36 with the inclusion of voice and data exchange between PSAPs and third-party call center operators such as Central Station Alarm Association member companies. The APCO International Board of Officers assigned the expanded version of this data exchange development program between PSAPs and Central Station Alarm Association (CSAA) member companies to a new Third Party Call Center Group, which included the CSAA.

The Association of Public-Safety Communications Officials (APCO) International and the CSAA formerly announced on January 4, 2005 a partnership to join forces to develop an exchange that will be consistently used by Computer-Aided-Dispatch (CAD) providers and Central Station Alarm Companies for Public Safety Answering Points (PSAPs) to increase efficiency and decrease errors.

The first beta site selected for the initial test project to conduct tests between PSAPs and a Central Alarm Monitoring Station member company over the Internet was York County, Virginia, Department of Fire & Life Safety, Emergency Communications Division. Vector Security was selected as the CSAA member company to participate in the electronic alarm exchange. On October 22, 2004, the first data template was successfully completed following this collaboration. The XML standard was used for this initiative.

An Alerts Working Team was formed and met in Daytona Beach, Florida in February 2006 to begin the External Alert 2.0 Information Exchange Package Document (IEPD) development. This working team was formed by the IJIS Public Safety Technical Standards Committee (IPSTSC) to create external alerts and requests-for-service IEPDs using the GJXDM standard.

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Following a two year development effort which included extensive testing, the Alarm Interface Exchange 2.0 between York County & Vector Security went live on July 15, 2006. The initial exchange included only Burglary and Hold-Up alarms. The exchange was conducted via the Internet with all necessary security in place at Vector Security and York County. A web service was implemented by GE Security. In order to protect the CAD System from vulnerability and exposure to the Internet, a middleware application was created to allow a server sitting on York County's DMZ to be responsible for all traffic between the CAD System and the alarm company. The average turn-around time from the time that the alarm company operator transmitted the alarm to the PSAP until the final Accept or Reject was 45 seconds. It is the policy that each alarm monitoring company operator would initiate a call to the PSAP if no response was received within 45 seconds.

The City of Richmond's Police Division of Emergency Communications authorized a development partnership with York County since both localities were using the same CAD System. This partnership included APCO and the CSAA. APCO and the CSAA were anxious to collect as much data as possible surrounding the outcome of the alarm exchange interface and requested that the City of Richmond participate in the pilot. The alarm interface exchange went live between the City of Richmond and Vector Security on August 4, 2006 using the business process flow described above. The initial phase of the pilot was so successful that Fire and Medical alarms became part of the pilot on October 24, 2006.

On September 11, 2007, the City of Richmond implemented a new Intergraph CAD System to replace the CAD system that had been written in-house and utilized for 27 years. Intergraph was tasked to continue with the alarm interface exchange seamlessly. This endeavor was successful.

In the spring of 2007, discussions began with Nlets, the International Justice and Public Safety Network, APCO, the Virginia State Police, and Vector Security to study the feasibility of routing all alarm interface exchange transactions via a VPN arrangement between Vector Security and Nlets. Nlets has all of the necessary security in place and a private circuit to each state including the State of Virginia. All parties agreed to perform a proof of concept and the necessary security and Network Address Translation (NAT) rules were put into place. On November 27, 2007, all alarm interface exchange traffic between Vector Security and the two Virginia PSAPs began being routed through Nlets and the State of Virginia switch.

On February 18, 2008, the External Alert 2.0 schema was implemented at the City of Richmond bringing the pilot to another milestone in achieving conformance with the Global Justice (GJXDM) model. GE Security implemented an enhancement to streamline the delivery of alarm data to the PSAP.

Because of the secure transmission path via Nlets and the State of Virginia switch, vulnerability and exposure to the Internet is no longer an issue. The middleware continues to facilitate



traffic between the PSAPs and the alarm company, but no longer needs to reside on the DMZ. The new average turn-around time from the time that the alarm company operator transmitted the alarm to the PSAP until final the final Accept or Reject is 15 seconds or less.

After being in operation for two years, over 4,200 alarm exchanges had been transmitted between Vector Security and the two Virginia PSAPs. The benefit resulting from these 4,200 exchanges include:

1. 4,200 less telephone calls to the two PSAPs, eliminating the need for the alarm monitoring company operator to converse with the PSAP call-taker.
2. Elimination of miscommunication between the alarm company operator and the PSAP call-taker.
3. A decrease in response times to alarm-related calls-for-service with an increase in law enforcement apprehensions made, fires more quickly extinguished, and lives saved.

In 2011, Nlets recommended the development of a CSAA-managed Message Broker to operate the ASAP Message Broker web service. By the end of calendar year 2011, schema 3.3 was completed to facilitate additional data fields required for routing purposes through the Message Broker. Schema 3.3 was piloted by Vector Security and the City of Richmond VA in April 2012. Today, all ASAP participating organization must utilize schema 3.3 or greater due to the transport layer requirements.

As of December, 2013, the project had expanded to 9-1-1 PSAPs at the City of Houston TX, James City County VA, Tempe AZ, and Washington DC. At least nine alarm monitoring companies were actively participating and thirty alarm monitoring companies had signed a contract with the CSAA to begin their participation, including eight of the largest eleven alarm monitoring central stations. The number of ASAP-related transactions has accumulated into the hundreds of thousands.

The 2005 Alerts Working Team included the following participants:

Name	Agency/Company
Holly Barkwell-Holland	Fire Monitoring Technologies
Jerry Cowser	Vector Security
Pam Petrow	Vector Security
Bruce Weissmann	GE Security
Adam Eurich	Dice Corporation
Bill Cade	APCO/Office 911 Service
Martin Moody	APCO/Office 911 Service

Alan Harker	Spillman Technologies
Randy Syth	Sungard THE
Aaron Gorrell	Waterhole Software
Vivek Misra	URL Integration
Suzette McLeod	IJIS Institute
Neil Kurlander	Asynchronous Solutions
Heather Ruzbasan	IACP/LEITSC
Matt Snyder	IACP
Tom Steele	Delaware DHS
Alan Komenski	Bellevue, Washington
Stephen Wisely	Onondaga Co 911
Jim Cox	Port Orange Public Safety
David Wagner	

## Development and Implementation Pilot Phase Participants:

Name	Agency/Company	Role
D. Terry Hall	York County Emergency Communications	York County Champion
Chief Stephen P. Kopczynski	York County / Fire & Life Safety	York County Sponsor
Chief Andre Parker	Richmond Police Department	City of Richmond Executive Sponsor (2004)
Chief Rodney Monroe	Richmond Police Department	City of Richmond Executive Sponsor (2005 – 2008)
Capt. Linda D. Samuel	Richmond Police Department	City of Richmond Champion (2004 – 2007)
Capt. William C. Smith	Richmond Police Department	City of Richmond Champion (2008)
Bruce Weissmann	GE Security	Former GE Security Project Manager (2004 – 2006)
Rick Denos	GE Security	Engineering Manager (2007 – 2008)
Bill Hobgood	City of Richmond, DIT	Project Manager for the PSAPs / Author of the CAD Systems
Jim Garner	City of Richmond, DIT	Senior Systems Engineer / Author of the Middleware
Mark Buckland	City of Richmond, DIT	Systems Developer
John Holtz	City of Richmond, DIT	Systems Developer
Pam Petrow	Vector Security	Vice-President, Vector / CSAA Representative
Anita Ostrowski	Vector Security	Assistant Vice President Vector / Vector Liaison
Jerry Cowser	Vector Security	Network Engineer
Bill Cade	APCO	911 Technical Services Project Coordinator
Stephen J. Wisely	APCO	Technical Services Manager
Scott Parker	IJIS Institute	Project Manager
Chris Schuessler	Virginia State Police	Network Engineering Supervisor
Annette Shaffer	Virginia State Police	Network Engineer
John “JD” Dinbokowitz	Nlets	WAN Administrator
Russ Brodie	Nlets	Senior Project Manager / Nlets Integration
Frank Minice	Nlets	Operations Director
Bonnie Locke	Nlets	Director of Program Management
Nathan Hieger	GE Security	Systems Developer

Capt. Thomas Turner	Virginia State Police	CJIS Division Commander
Lt. Patrick "Pete" Fagan	Virginia State Police	CJIS Representative

# IEPD

## Standards and Codes Utilized

- External Alert 2.0 was used as the baseline set of requirements.
- No code lists were created as part of this development effort

## Logical Data Requirements Model

The logical domain model captures data requirements from a user perspective. It is meant to visually describe the data requirements of an IEPD. The model diagram is available in the Support Documentation folder (“Logical Model.jpg”).

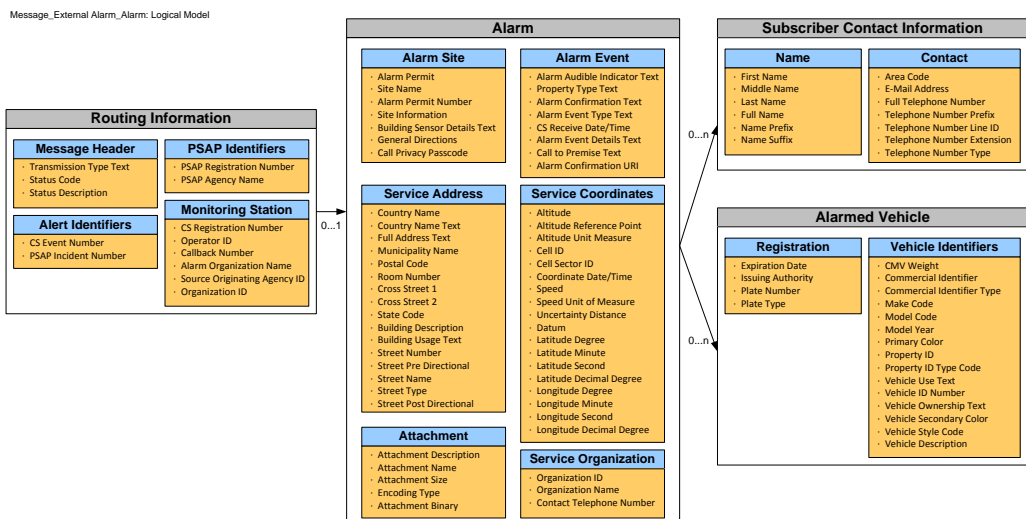


FIGURE 1 - LOGICAL DATA REQUIREMENTS MODEL

## Physical Data Requirements Model

The physical model organizes the information in the way that it will be implemented using a particular standard (NIEM 2.0). In essence, the physical model allows the implementer to not only communicate the physical structure of the IEPD, but also to plan for how they will map the data requirements to the proscribed standard. The diagram is available in the Supporting Documentation folder (“Physical Model.jpg”).



		of the IEPD are included. See the exchange information section below for detail on how each instance document corresponds to a particular scenario.
<b>Stylesheet</b>	/schema/xml/alarm_styleshe et.xsl	When used in conjunction with an instance document, a stylesheet represents the information in a way that is more meaningful to a subject matter expert.

## ***Methodology***

Version 3.3 of the Automated Secure Alarm Protocol exchange IEPD started by using the baseline requirements previously identified for the Alert 2.0 (External Alarm Interface) exchange. The following methodology was used in the development of Automated Secure Alarm Protocol exchange 3.3 IEPD:

1. Create initial logical data model based on Alert 2.0 requirements.
2. Meet with Subject Matter Experts (SMEs) to identify missing elements and clarify definitions of some elements.
3. Create physical model based on data requirements and specified standard
4. Map elements identified in physical model and distribute mappings to SMEs for feedback.
5. Create Schema Subset based on mappings.
6. Create Document/Extension schema based on mappings.
7. Create XML Instance document.
8. Create XSL Stylesheet.

## ***Timeline***

1. June 2008: Received feedback from implementing organization regarding their use of Alarm 2.0 elements.
2. July 10, 2008: Met with SMEs to review their spreadsheet describing how they would use Alert 2.0 data elements for transmit information. Identified two additional elements as indicated in the change log above.
3. July 18, 2008: Meeting with SMEs to review logical data requirements model.
4. July 22, 2008: Finalize data requirements for Alarm 3.0 IEPD
5. July 30, 2008: Mappings are distributed to the SME group and feedback is incorporated into the IEPD.
6. August 4, 2008: Initial IEPD completed – in review by SME Group
7. August 27, 2008: IEPD completed
8. August 8, 2009: Schema target namespace changed
9. December, 2011: Schema updated to accommodate the new Message Broker service.

## ***Implementation Recommendations***

1. Rules and procedures by which alarm monitoring companies may be required either by policy or local ordinance(s) to attempt contact with someone at the alarm site prior to the delivery of an

electronic alarm exchange to the PSAP will not change and the process is unaffected by this IEPD.

2. Implementation sites should consider including the following performance measures to focus project goals and to measure implementation success.
  - a. Number of telephone calls from alarm monitoring companies to the PSAP (Is there a reduction?)
  - b. Overall processing time for alarm-based calls-for-service (Is there a reduction?)
  - c. Number of errors in delivery and processing of alarm and calls-for-service by eliminating voice delivery and PSAP call taker CAD re-entry (Is the number decreased?)
  - d. Progress toward a standard for interfaces between alarm monitoring companies and PSAPs to reduce cross-agency and cross-provider data exchange development time and cost (Any measurable savings of time and cost?)
3. Alarms and requests-for-service will be transmitted to PSAPs per normal procedures even when a catastrophic event (e.g. hurricane) or mass alarming event (e.g. wind or electrical storm) makes the PSAP choose to not respond. This places the PSAPs in control of filtering requests and provides for historical information in their CAD or front-end processing engine.
4. Fusion Center and/or other Department of Homeland Security information needs will be met via the CAD and or PSAP systems and processes. These needs will likely not be met directly by creating exchanges between the alarm monitoring companies and these DHS systems.
5. The Alarm Interface Exchange includes three primary message types:
  - a. New Alarm event
  - b. PSAP's Response to a New Alarm event
  - c. Update messages initiated by either entity to the other that provide additional information about the alarm event

This IEPD does not include any other message type within the scope of this project. For example, alarm operators and PSAP members cannot send each other a message unless there is an active event. All messages that reference an active event must be formulated using the Update message type.
6. Alarm monitoring companies will not take ownership of indicating high-risk or target locations since no standard criteria of what constitutes a high risk or target property currently exists. It is believed that most PSAPs and CAD Systems will provide such functionality and ownership. Asking alarm monitoring companies to add this information could cause a conflict-of-interest and would likely create confusion.
7. Some PSAPs may phase in functionality associated with automated alarm monitoring company exchanges into their CAD or front-end interface. For instance, the PSAP may initially wish to review every exchange and require call-taker 'acceptance' before CAD downloading and then begin to support automatic acceptance for certain types of alarms over time as trust and comfort builds. Note: the process of call-taker acceptance was bypassed at both of the Virginia pilot sites and optimized to reduce response times to the maximum degree possible. The bypassing of the call-taker action during this pilot proved highly successful while meeting the requirements of both PSAPs.
8. NENA and US Postal Service standards will be utilized for addressing since these standards are typically utilized by PSAPs and CADs. References:
  - a. NENA Standard Data Formats for 9-1-1 Data Exchange & GIS Mapping NENA 02-010
  - b. US Postal Service Publication 28, Appendix C
9. General implementation guidelines and suggestions:



- a. Each participating alarm monitoring company should assign a liaison to coordinate implementation both internally and externally with the PSAP and the alarm monitoring software provider.
  - b. Each participating PSAP should assign a liaison to coordinate implementation both internally and externally with the alarm monitoring company and the PSAP's CAD system provider.
  - c. Response plans that dictate which emergency services will respond to an event and how many First Responders are business decisions of the PSAP and not within the scope of this IEPD.
  - d. Once an exchange has been developed end-to-end by the CAD provider and the alarm monitoring software provider and is ready for testing, it shall be required that the alarm monitoring company trigger an Address Validation request for each alarm address with the PSAP's jurisdiction. This will facilitate the identification of problem addresses that need to be massaged or reallocated to a different PSAP.
  - e. Alarm monitoring companies shall implement a procedure where the address for a new alarm subscriber's address is passed through the Address Validation process with the PSAP at the time that the alarm subscription is added to the alarm monitoring company's database.
  - f. Alarm monitoring companies shall implement a procedure to call the PSAP if an acknowledgement is not returned from the PSAP within "x" number of seconds. It is recommended that "x" equal 90 seconds or less.
  - g. Whenever possible, alarm monitoring companies should include the latitude and longitude of the alarm site address in their alarm customer database so that the geo-coordinates are included in the electronic exchange delivery. CAD providers should configure the CAD systems to validate an address based on the following order:
    - i. By street address if a street address is present
    - ii. By geo-coordinates if geo-coordinates are present, and if no street address is present or if the street address cannot be validated
    - iii. By intersection if two cross-streets are provided, and if no street address is present and no geo-coordinates are present. This should be a rare situation.
  - h. The PSAP and the alarm monitoring company will decide on the event types that will be transmitted. Alarm monitoring company alarm notifications must adhere to a standard list of event types that is provided in this IEPD.
  - i. The PSAP will work with the CAD system provider to decide how each data element sent by the alarm company will be mapped to the call-for-service event type.
  - j. The PSAP's CAD provider shall implement a feature to compare the date and timestamp in alarm notification message against the current UTC time. The CAD system shall return a rejection message to the alarm company indicating that the alarm is too old if the timestamp is older than "x" number of seconds, and not process the alarm as a call-for-service. It is recommended that "x" equal to 60 seconds or less.
10. A standardized list of rejection codes and definitions are included in this IEPD.
  11. Alarms triggered based on Radio Frequency Identifier (RFID) data elements will require additional definition and research. These type alarms are not considered within scope of this IEPD release.
  12. Data elements such as Patient Name or Incarcerated Person Name may be included in free-text notes section versus having a pre-defined field since RFID and Defibrillator Alarms are still evolving.

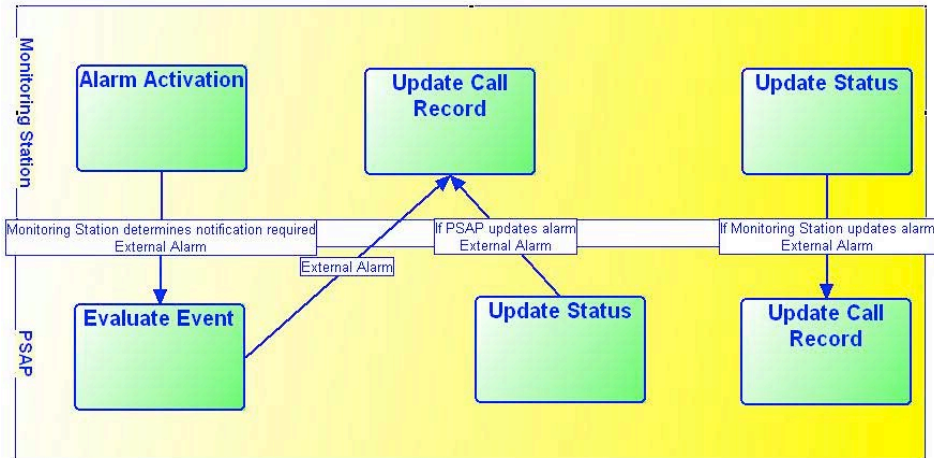
13. **(CRITICAL NOTE)** Once the initial new alarm record is sent by the Alarm Monitoring Company, all subsequent Update transmissions to the PSAP must utilize the element name <StatusDescriptionText>. Most PSAPs do NOT want certain fields updated automatically by an external source such as an update to the address. Automatic updates to an address could trigger a different response plan. Instead, this IEPD has provided a single thread for all Updates to be sent to the CAD system. It is expected that the CAD System will add the Update to the call-for-service as an additional Comment or Note that will be seen by the radio operator. It shall be the radio operator's responsibility to review each Comment sent as an Update message by the Alarm Monitoring Company and process the Update accordingly. Examples of an Update may include:
- a. A Request to Cancel the Event
  - b. An estimated time of arrival (ETA) for the key holder
  - c. An individual on the premises of the alarm site who has been contacted but does not know the proper pass code
  - d. A change to one or more data elements originally sent as a component within the new call event
  - e. Other items of importance
14. While Telematics data transmission is not a primary purpose of this exchange, the exchange does include basic vehicle descriptor data elements to support vehicle alarm notifications by alarm monitoring central stations.

## Supported Exchanges

### Exchange Model

The Exchange Model diagram is located in the Supporting Documentation folder (“Exchange Model.jpg”).

Use Case\_External Alert\_Process Model



**FIGURE 3 - EXTERNAL ALARM PROCESS MODEL**

## Case Scenario Samples

1	Exchange	Medical Alert info
	Examples of Triggering Events	<ul style="list-style-type: none"> <li>• Allergic Reaction</li> <li>• Breathing Problem</li> <li>• Burn</li> <li>• Chest Pain / Heart Problem</li> <li>• Choking</li> <li>• Diabetic Problem</li> <li>• Fall</li> <li>• Seizure</li> <li>• Other Life Threatening Problems</li> </ul>
	Sample Scenario(s)	<p>An elderly person living alone subscribes to an alarm monitoring service and wears a device that allows the individual to trigger a signal to the alarm company when experiencing a life-threatening medical problem. The individual begins to experience chest pains (or encounters any one of the triggering events listed above) and activates the device. The alarm monitoring company receives a notification signal that a Medical Alarm has been activated. The software application and the associated database utilized by the alarm monitoring company identifies the proper 9-1-1 PSAP responsible for the dispatch of First Responder personnel to the premises' address associated to the alarm. The alarm company operator initiates the electronic transmission of Medical Alert information to the correct 9-1-1 PSAP. Data transmitted to the 9-1-1 PSAP includes the alarm company's event number, address of the alarm subscriber, the type of alarm, detailed information about the premises, and detailed information about the individual that will assist First Responders in locating the premises and be familiar with the patient's history before their arrival. Upon receipt of this data, the 9-1-1 PSAP's Computer-Aided Dispatch (CAD) System validates the address within the PSAP's jurisdiction and creates a Call-for-Service. First Responders are immediately dispatched to the premises. Sensitive information about the individual typically will be sent to the First Responders' mobile data computer (MDC). The CAD System transmits an electronic acknowledgement to the alarm company that references the alarm company's event number and includes the PSAP's event number(s) and an indication that the Call-for-Service has been sent to the dispatch queue to be dispatched to Emergency First Responders. Additional information relating to the event may be originated by the alarm company or the PSAP and transmitted to the other entity electronically.</p>
	Sample Business Rule(s)	<ul style="list-style-type: none"> <li>• Depending on governing laws of the jurisdiction affected, the alarm company may attempt to reach someone at the premises before initiating the electronic exchange.</li> <li>• If an address cannot be validated and Latitude/Longitude coordinates are present in the data exchange, the CAD System will attempt to validate using geo-coordinates.</li> <li>• If the address and geo-coordinates (if present) cannot be validated, an electronic Rejection message will be returned by the PSAP to the alarm company. The alarm company operator is expected to take action according to alarm company procedures.</li> <li>• First Responders dispatched may include EMS plus a combination of Fire and/or Law Enforcement depending on local PSAP agency procedures,</li> <li>• Sensitive information about the individual typically may be sent to the First Responders' mobile data computer (MDC).</li> </ul>

2	Exchange	Fire Alarm info
	Examples of Triggering Events	<ul style="list-style-type: none"> <li>• Smoke / Heat Detector</li> <li>• Manual Pull Station</li> <li>• Sprinkler/Waterflow Detector</li> </ul>
	Sample Scenario(s)	<p>A fire begins inside a structure and is spotted by an individual. The individual pulls the manual pull station to summon the fire department and sound an alarm for others to evacuate. A signal is transmitted to the alarm company.</p> <p>A fire begins inside a structure and causes the sprinkler system to activate. A sprinkler/waterflow activation signal is transmitted to the alarm company.</p> <p>A fire begins inside a structure and is sensed by a smoke or heat detector. A signal is transmitted to the alarm company.</p> <p>An alarm monitoring service receives a signal that a Fire Alarm has been activated via one of the trigger examples above. The software application and the associated database utilized by the alarm monitoring company identifies the proper 9-1-1 PSAP responsible for the dispatch of First Responder personnel to the premises' address associated to the alarm. The alarm company operator initiates the electronic transmission of Fire Alarm information to the correct 9-1-1 PSAP. Data transmitted to the 9-1-1 PSAP includes the alarm company's event number, address of the alarm subscriber, the type of alarm including the triggering method, and detailed information about the premises including commercial versus residential, detailed directions, hazardous materials stored at the facility, etc, that will assist First Responders in locating the premises and be familiar with any dangers that could be presented to the First Responders upon their arrival. Upon receipt of this data, the 9-1-1 PSAP's Computer-Aided Dispatch (CAD) System validates the address within the PSAP's jurisdiction and creates a Call-for-Service. First Responders are immediately dispatched to the premises. The CAD System transmits an electronic acknowledgement to the alarm company that references the alarm company's event number and includes the PSAP's event number(s) and an indication that the Call-for-Service has been sent to the dispatch queue to be dispatched to Emergency First Responders. Additional information relating to the event may be originated by the alarm company or the PSAP and transmitted to the other entity electronically. A notification from CAD to Traffic web sites and Intelligent Transportation Systems could be sent when the amount of responding fire apparatus is significant and traffic in the area of the emergency could be affected.</p>
	Sample Business Rule(s)	<ul style="list-style-type: none"> <li>• Depending on governing laws of the jurisdiction affected, the alarm company may attempt to reach someone at the premises if the premises type is RESIDENTIAL before initiating the electronic exchange.</li> <li>• If an address cannot be validated and Latitude/Longitude coordinates are present in the data exchange, the CAD System will attempt to validate using geo-coordinates.</li> <li>• If the address and geo-coordinates (if present) cannot be validated, an electronic Rejection message will be returned by the PSAP to the alarm company. The alarm company operator is expected to take action according to alarm company procedures.</li> <li>• First Responders dispatched may include Fire plus a combination of EMS and/or Law Enforcement depending on local PSAP agency procedures, Law enforcement could be typically dispatched for traffic and crowd control purposes.</li> </ul>

3	Exchange	Gas Detector Alarm info
	Examples of Triggering Events	<ul style="list-style-type: none"> <li>Natural Gas Detector</li> <li>Carbon Monoxide Detector</li> </ul>
	Sample Scenario(s)	<p>A natural gas pipe breaks inside of a structure and triggers a natural gas detector alarm signal.</p> <p>The vent on a furnace becomes clogged, causes carbon monoxide to build up inside of a structure, and subsequently triggers a carbon monoxide alarm signal.</p> <p>An alarm monitoring service receives a signal that a Gas Detector Alarm has been activated via one of the trigger examples above. The software application and the associated database utilized by the alarm monitoring company indicates the proper 9-1-1_PSAP responsible for the dispatch of First Responder personnel to the premises address associated to the alarm. The alarm company operator initiates the electronic transmission of Gas Detector Alarm information to the correct 9-1-1_PSAP. Data transmitted to the 9-1-1_PSAP includes the alarm company's event number, address of the alarm subscriber, the type of alarm including the triggering method, and detailed information about the premises including commercial versus residential, detailed directions, hazardous materials stored at the facility, etc., that will assist First Responders in locating the premises and be familiar with any dangers that could be presented to the First Responders upon their arrival. Upon receipt of this data, the 9-1-1_PSAP's Computer-Aided Dispatch (CAD) System validates the address within the PSAP's jurisdiction and creates a Call-for-Service. First Responders are immediately dispatched to the premises. The CAD System transmits an electronic acknowledgement to the alarm company that references the alarm company's event number and includes the PSAP's event number(s) and an indication that the Call-for-Service has been sent to the dispatch queue to be dispatched to Emergency First Responders. Additional information relating to the event may be originated by the alarm company or the PSAP and transmitted to the other entity electronically. A notification from CAD to Traffic web sites and Intelligent Transportation Systems could be sent when the amount of responding fire apparatus is significant and traffic in the area of the emergency could be affected.</p>
	Sample Business Rule(s)	<ul style="list-style-type: none"> <li>Depending on governing laws of the jurisdiction affected, the alarm company may attempt to reach someone at the premises before initiating the electronic exchange.</li> <li>If an address cannot be validated and Latitude/Longitude coordinates are present in the data exchange, the CAD System will attempt to validate using geo-coordinates.</li> <li>If the address and geo-coordinates (if present) cannot be validated, an electronic Rejection message will be returned by the PSAP to the alarm company. The alarm company operator is expected to take action according to alarm company procedures.</li> <li>First Responders dispatched may include Fire plus a combination of EMS and/or Law Enforcement depending on local PSAP agency procedures, Law enforcement could be typically dispatched for traffic and crowd control purposes.</li> </ul>

4	Exchange	Burglar Alarm info
	Examples of Triggering Events	<ul style="list-style-type: none"> <li>• Burglar Alarm</li> <li>• Tamper Alarm (Someone tampering with equipment)</li> <li>• Restore Signal (Alarm Restored but no prior alarm received)</li> <li>• Phone Line Failure (Someone has possibly cut phone line)</li> <li>• Open / Close Signal (Someone disarming system without permission)</li> <li>• Reset / Cancel (Someone disarming system without permission)</li> </ul>
	Sample Scenario(s)	<p>A residence is broken into and the suspect's movement is detected by a motion detector.</p> <p>Someone is attempting to disable the premises alarm equipment.</p> <p>The alarm company receives an alarm restore message but no prior alarm was received.</p> <p>Someone attempts to cut the telephone line.</p> <p>Someone attempts to disarm the alarm system without the proper security code.</p> <p>An alarm monitoring service receives a signal that an alarm has been activated via one of the trigger examples above. The software application and the associated database utilized by the alarm monitoring company indicates the proper 9-1-1 PSAP responsible for the dispatch of Law Enforcement First Responder personnel to the premises address associated to the alarm. The alarm company operator initiates the electronic transmission of Burglar Alarm information to the correct 9-1-1 PSAP. Data transmitted to the 9-1-1 PSAP includes the alarm company's event number, address of the alarm subscriber, the type of alarm including the triggering method (motion detector, glass breakage, etc) and specific location of the triggering device (rear door, front hall, etc), and detailed information about the premises including commercial versus residential, detailed directions, hazardous materials stored at the facility, etc, that will assist Law Enforcement First Responders in locating the premises and be familiar with any dangers that could be presented to the First Responders upon their arrival. Upon receipt of this data, the 9-1-1 PSAP's Computer-Aided Dispatch (CAD) System validates the address within the PSAP's jurisdiction and creates a Call-for-Service. Law Enforcement First Responders are immediately dispatched to the premises. The CAD System transmits an electronic acknowledgement to the alarm company that references the alarm company's event number and includes the PSAP's event number(s) and an indication that the Call-for-Service has been sent to the dispatch queue to be dispatched to Law Enforcement First Responders. Additional information relating to the event may be originated by the alarm company or the PSAP and transmitted to the other entity electronically. Additional information may consist of a cancellation request from the alarm company, information about the key-holder from the alarm company, status changes by responding Law Enforcement officers, and situation found information as denoted by the Law Enforcement Officer(s) on scene.</p>
	Sample Business Rule(s)	<ul style="list-style-type: none"> <li>• Depending on governing laws of the jurisdiction affected, the alarm company may attempt to reach someone at the premises before initiating the electronic exchange.</li> <li>• If an address cannot be validated and Latitude/Longitude coordinates are present in the data exchange, the CAD System will attempt to validate using geo-coordinates.</li> <li>• If the address and geo-coordinates (if present) cannot be validated, an electronic Rejection message will be returned by the PSAP to the alarm company. The alarm company operator is expected to take action according to alarm company procedures.</li> </ul>

5	Exchange	Hold-up/Panic/Duress Alarm (Robbery in progress) info
	Examples of Triggering Events	<ul style="list-style-type: none"> <li>• Hold-up Alarm</li> <li>• Panic / Duress Alarm</li> </ul>
	Sample Scenario(s)	<p>A jewelry store is being robbed and a store employee manages to trigger a push button signaling device to initiate a Hold-up alarm.</p> <p>A home invasion occurs and the homeowner manages to trigger a signaling device to initiate a Panic / Duress alarm.</p> <p>An alarm monitoring service receives a signal that an alarm has been activated via one of the trigger examples above. The software application and the associated database utilized by the alarm monitoring company indicates the proper 9-1-1 PSAP responsible for the dispatch of Law Enforcement First Responder personnel to the premises address associated to the alarm. The alarm company operator initiates the electronic transmission of alarm information to the correct 9-1-1 PSAP. Data transmitted to the 9-1-1 PSAP includes the alarm company's event number, address of the alarm subscriber, the type of alarm, and detailed information about the premises including commercial versus residential, detailed directions, hazardous materials stored at the facility, etc, that will assist Law Enforcement First Responders in locating the premises and be familiar with any dangers that could be presented to the First Responders upon their arrival. Upon receipt of this data, the 9-1-1 PSAP's Computer-Aided Dispatch (CAD) System validates the address within the PSAP's jurisdiction and creates a Call-for-Service. Law Enforcement First Responders are immediately dispatched to the premises. The CAD System transmits an electronic acknowledgement to the alarm company that references the alarm company's event number and includes the PSAP's event number(s) and an indication that the Call-for-Service has been sent to the dispatch queue to be dispatched to Law Enforcement First Responders. Additional information relating to the event may be originated by the alarm company or the PSAP and transmitted to the other entity electronically. Additional information may consist of a cancellation request from the alarm company, additional details concerning the event from the alarm company, status changes by responding Law Enforcement officers, and situation found information as denoted by the Law Enforcement Officer(s) on scene.</p>
	Sample Business Rule(s)	<ul style="list-style-type: none"> <li>• Depending on governing laws of the jurisdiction affected, the alarm company may attempt to reach someone at the premises before initiating the electronic exchange.</li> <li>• If an address cannot be validated and Latitude/Longitude coordinates are present in the data exchange, the CAD System will attempt to validate using geo-coordinates.</li> <li>• If the address and geo-coordinates (if present) cannot be validated, an electronic Rejection message will be returned by the PSAP to the alarm company. The alarm company operator is expected to take action according to alarm company procedures.</li> <li>• PSAPs generally will treat an alarm notification as a "Hold-up" Alarm if the premises type is Commercial. Otherwise the event type is generally treated as a "Panic / Duress" alarm when the premises type is residential.</li> </ul>



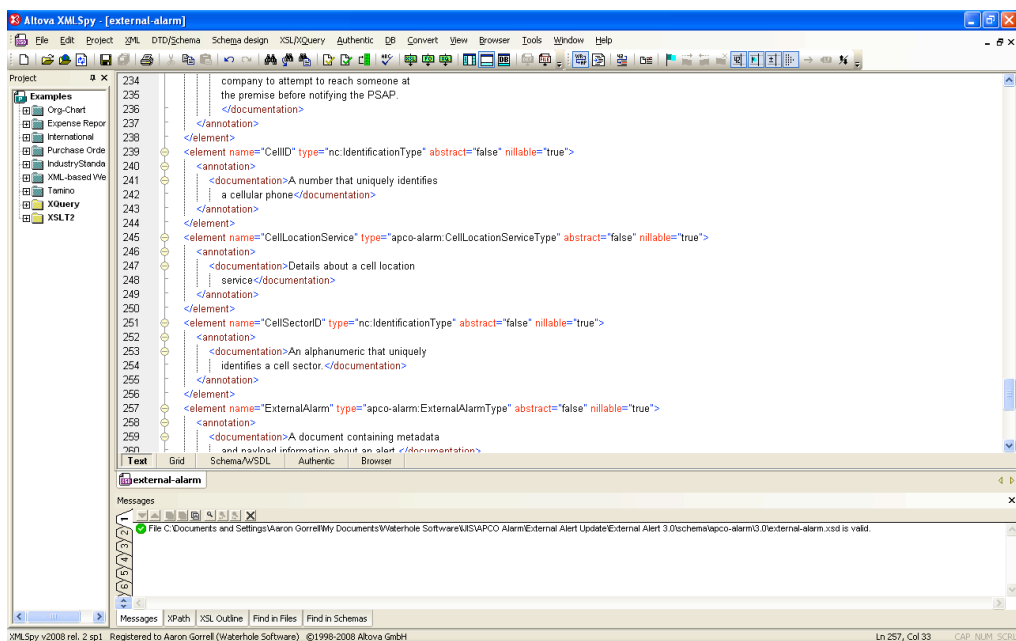
## Exchange Detail

ID	Exchange Description	Representative Instance
1	The Alarm Monitoring Company receives an alarm notification and may attempt to make contact with someone at the alarm site if required (depending on alarm type, local laws, business process rules, etc). If the Alarm Monitoring Company operator determines that the PSAP must be notified, the operator will initiate an Automated Secure Alarm Protocol exchange alarm notification message to the Public Safety Answering Point (PSAP). Upon receipt of the new alarm transaction, any applicable middleware or the CAD system itself (depending on the CAD provider's solution) will examine the alarm notification message to ensure that the message is not too old by comparing the date/timestamp using current UTC time, and ensure that the message is not truncated or mal-formed. If any of these conditions is true, a REJECT message is returned to the alarm monitoring central station, otherwise the CAD system will attempt to process the data as a call-for-service.	/schema/xml/scenario1_new_alarm.xml
1a	Alarm monitoring companies are required to validate each address for every alarm system monitored within a PSAP's jurisdiction initially when an alarm company and a PSAP agree to pass ASAP traffic for the first time. Alarm monitoring companies are also required to validate the address for a newly installed alarm system with the PSAP if the PSAP participates in the ASAP program. The message is transmitted as an Address Verification by the alarm central station. Upon receipt of the address verification request, the CAD system will validate the address and will return an ACCEPT message if the address was verified to be a valid address within the PSAP's jurisdiction or a REJECT message if the address cannot be verified to be a valid address within the PSAP's jurisdiction.	/schema/xml/scenario1a_address_verification_only_request.xml
2a		/schema/xml/scenario2a_accepted_address_verification_only.xml
2	Upon receipt of new alarm notification data by the PSAP, the PSAP's CAD system takes ownership of the data and is responsible for the attempt to process the new alarm data as a call-for-service. The CAD will attempt to validate the address provided and ensure that mandatory elements have been provided. If this process is successful and the criteria to generate a call-for-service has been met, the CAD will assemble a call-for-service record and then generate an "Accept" response to be passed back to the Alarm Monitoring Company. The operator who triggered the alarm exchange to the PSAP receives the "Accept" response from the PSAP within seconds of the original transmission and is aware that a call-for-service has been placed in the pending call queue for dispatch to Public Safety personnel. The middleware application or CAD system at the PSAP that sends this "Accept" message to the alarm service expects nothing in return.	/schema/xml/scenario2_accepted.xml
3	Upon receipt of new alarm data by the PSAP, the PSAP's CAD system takes ownership of the data and is responsible for the attempt to process the new alarm data as a call-for-service. The CAD will attempt to validate the address provided and ensure that mandatory elements have been provided. If this process is not successful and/or the criteria to generate a call-for-service has not been met, the CAD will generate a "Reject" response to be passed back to the Alarm Monitoring Company. CAD Systems may also be programmed to "Reject" all new alarm events when the PSAP is overwhelmed such as a hurricane situation and is refusing all alarm event requests. The operator who triggered the alarm exchange to the PSAP receives the "Reject" response from the PSAP within seconds of the original transmission and is aware that the requested call-for-service has been rejected by the PSAP and the reason why. The operator will invoke backup procedures, identify the reason for the rejection, and take appropriate action by calling the PSAP via telephone. The middleware application or CAD system at the PSAP that sends this "Reject" message to the alarm service expects nothing in return.	/schema/xml/scenario3_reject.xml
4	The CAD System may send an Update transaction to the Alarm Monitoring Company. Examples that can trigger an Update message at the PSAP level may optionally include any notes added by the radio operator or field personnel during the course of the event to ask a question of the alarm operator or provide information to the alarm operator about the event. The middleware application or CAD system at the PSAP that sends this "Update" message to the alarm service expects nothing in return.	/schema/xml/scenario4_update_from_psap.xml
5,	After the initial new alarm event has been triggered by the Alarm Monitoring Company and Accepted by the PSAP, the Alarm Monitoring Company may encounter additional information related to the event that must be shared with the PSAP. The Alarm Monitoring Company operator can send additional information to the PSAP in the form of an Update message. Examples of an Update may include: (1) a Request to Cancel the Event, (2) an estimated time of arrival (ETA) for the key holder, (3) an individual on the premises of the alarm site who has been contacted but does not know the proper pass code, (4) a change to one or more data elements originally sent as a component within the new call event, and (5) Other items of importance. Note: All Updates including changes to one or more data elements must utilize the element name <StatusDescriptionText> as demonstrated in the example scenario instance to hold the Updated information. Most PSAPs do NOT want certain fields updated automatically by an external source such as an update to the address. Automatic updates to an address could trigger a different response plan. Instead, this IEPD has provided a single thread for all Updates to be sent to the CAD system. It is expected that the CAD System will add the Update to the call-for-service as an additional	/schema/xml/scenario5_update_from_alarm.xml
6,		/schema/xml/scenario6_update_accepted_from_psap.xml
7		
		/schema/xml/scenario7_update_rejected_from_psap.xml

	<p>Comment or Note that will be seen by the radio operator. It shall be the radio operator's responsibility to review each Comment sent as an Update message by the Alarm Monitoring Company and process the Update accordingly. Upon receipt of the Update message from the Alarm Monitoring Company, the CAD System must assemble an Update Response message using the same format as the Update message but with an indicator in the Status field of "UPD Accept" or "UPD Reject" to indicate that the CAD has either Accepted or Rejected the Update. The middleware application or CAD system at the PSAP that sends this "Update Response" message to the alarm service expects nothing in return.</p>	
8a, 8b, 8c	<p>As various statuses change during the event at the PSAP level, the CAD System may send a CADUpdate transaction to the Alarm Monitoring Company. Examples that can trigger a CADUpdate message at the PSAP level may optionally include: (1) the Dispatch of the primary First Responder agency to the alarm site, (2) Arrival of the primary First Responder agency to the alarm site, and (3) Clearing of all primary agency First Responders from the alarm event including a disposition (if any). The middleware application or CAD system at the PSAP that sends this "CADUpdate" message to the alarm service expects nothing in return.</p>	<p>/schema/xml/scenario8(a) )_CADUpdate_from_psap (AgencyArrivedOnScene). xml</p> <p>/schema/xml/scenario8(b) )_CADUpdate_from_psa p(EventClosureWithDispo sition).xml</p> <p>/schema/xml/scenario8(c) )_CADUpdate_from_psap (EventClosureWithoutDis position).xml</p>
6	<p>For future implementation consideration, Building Sensor alerts sent via a CAP message can be accommodated with this IEPD.</p>	<p>/schema/xml/scenario1_ new_alarm.xml</p>

## ***XML Validation***

The image below is a screen print indicating that XML Spy 2008 was used to ensure that the IEPD met XML validation requirements.



**FIGURE 4 - VALIDATION SCREEN IMAGE**

## GLOSSARY

APCO .....	Association of Public Safety Communications Officials International
BJA .....	Bureau of Justice Assistance
CAD .....	Computer-Aided Dispatch
CMT.....	Component Mapping Spreadsheet
CSAA.....	Central Station Alarm Association
DMZ .....	a demilitarized zone (DMZ), based on military usage of the term but more appropriately known as a demarcation zone or perimeter network, is a physical or logical sub-network that contains and exposes an organization's external services to a larger, untrusted network, usually the Internet. The purpose of a DMZ is to add an additional layer of security to an organization's Local Area Network (LAN); an external attacker only has access to equipment in the DMZ, rather than the whole of the network
DOJ.....	Department Of Justice
EMS.....	Emergency Medical Services
ETA .....	Estimated Time of Arrival
GJXDM .....	Global Justice Xml Data Model
IEPD.....	Information Exchange Package Documentation
IJIS .....	IJIS Institute
MDC .....	Mobile Data Computer
NENA.....	National Emergency Number Association
NIEM .....	National Information Exchange Model
Nlets.....	International Justice and Public Safety Network
PSAP.....	Public Safety Answering Point
PSDI.....	Public Safety Data Interoperability project
RFID.....	Radio Frequency IDentification
SME .....	Subject Matter Expert
XML.....	eXtensible Markup Language
XSL.....	Extensible Stylesheet Language (a technical artifact within the IEPD)

**Alarm Monitoring Company to PSAP CAD  
Automated Secure Alarm Protocol (ASAP)**



**Notes**



Leaders in Public Safety Communications™

351 N. Williamson Blvd.

Daytona Beach, FL 32114 USA

## 2022 Sedgwick County Budget

### [855] Staff request: Logistics/Central Supply Manager

<b>Division:</b>	Emergency Management	<b>Contact Name:</b>	Julie Stimson
<b>Department Priority:</b>	1	<b>Division Priority:</b>	4
<b>Primary Fund Center:</b>	13001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

Request additional budget authority to fund permanent logistics chief/central supply manager in Emergency Management (grade 124, Administrative Technician). Duties to include inventory/asset control, logging of budgetary expenses, preparation of purchase order requests, tracking of grant funded equipment and supplies. This positions aligns the department organizational structure to follow the National Incident Management System (NIMS). Currently a temporary logistics chief position exists through COVID response funds; however, long-term logistical support is needed to maintain emergency preparedness for future pandemics and other all-hazards emergencies.

**Legal Reference:** K.A.R. 56-2-2 (a) (5) (A)

### Legal Requirement:

(5) sets forth the support to be provided to the agency, which, at a minimum shall include the following: (A) Jurisdiction-provided office space and clerical support sufficient to perform the required emergency preparedness functions

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	13001-110		37,055
41300 - BENEFITS	110	13001-110		28,117
TOTAL			0	65,172

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Administrative Technician	GRADE124	1.00	37,055	28,117
TOTAL			1.00	37,055	28,117

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

This request will allow the department to better manage equipment and supplies to include grant-funded equipment. Currently less than optimal services are being delivered to the community due to burdensome administrative and logistical demands within the department. The current temporary logistics chief is

supporting COVID response needs for the community, but other all-hazard preparedness equipment remains unaccounted for and unmaintained due to lack of staff.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Without logistical and administrative support, basic functions tied to daily activities are not handled in a timely manner. Logistical and administrative tasks will be distributed among current staff, taking time away from primary duties and responsibilities. A scenario of service at the current time is as follows: Due to lack of logistical support current inventory of disaster preparedness and response equipment and supplies are scattered in multiple locations with no accountability or tracking. Our community public outreach and volunteer programs are nearly non-existent due to lack of logistical and administrative support to get the programs active and maintained.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

It is recommended to use existing resources be used to fund this request.

**Other:**

N/A

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Without logistical and administrative support, basic functions tied to daily activities are not handled in a timely manner. Processing purchase and work orders, logging of budgetary expenses and tracking of grant-funded equipment and supplies is less than ideal and currently fall on the director and deputy director, taking time away from performing required tasks listed in K.A.R. 56-2. What progress has been made to organize current inventory also risks becoming disorganized without continued oversight.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

By distributing the administrative and logistical workload, emergency management staff can create an active public education/outreach program as assigned in K.A.R. 56-2-2 (4) (D). This proposal would allow forward progress to also re-establish disaster-response volunteer programs throughout the community.

**Please provide 3 years' worth of data to support your request.**

The current state of emergency management equipment and supplies is a result of several years without administrative/logistical support. During the COVID-19 pandemic, it was quickly identified there was an immediate need for strong logistical/administrative support that was not readily available within the emergency management department. Staff from other county departments were tasked to assist with managing the immediate PPE needs of the community. A temporary logistics chief was hired and temporary staff from a staffing agency were hired to fill in this gap.



**Budget Impact  
Annual**

<b>Position</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
<b>Requested</b>				
Logistics Chief	124	\$ 37,055	\$ 27,060	\$ <b>64,115</b>
<b>Cost</b>			\$	<b>64,115</b>

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2021 Compensation Plan

\* Planning information only

## 2022 Sedgwick County Budget

### [860] Logistics/Supply Management System (Fishbowl)

<b>Division:</b>	Emergency Management	<b>Contact Name:</b>	Julie Stimson
<b>Department Priority:</b>	2	<b>Division Priority:</b>	5
<b>Primary Fund Center:</b>	13001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

#### Summary

Request funds for renewed licensure for users of Fishbowl Software after contract expires in August 2022. This inventory software helps to currently manage COVID-19 response and post-COVID 19 inventory for the Emergency Management Department. Current funding was supported through CARES funds; however, long-term usability was identified during utilization. Current licensure expires August 2022. Request renewal for 5 user licenses at expense of \$499 per license (\$2500 total) in August 2022. See page 3 of Fishbowl Renewal attachment for 2nd year renewal pricing.

**Legal Reference:** K.S.A. 48-951 (c)

#### Legal Requirement:

Each political subdivision with jurisdiction over and responsible for emergency management shall identify and inventory the current services, equipment, supplies, personnel, and other resources related to planning, prevention, mitigation, and response and recovery activities.

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42001 - COTRACTUAL EXP ADJ	110	13001-110		2,500
TOTAL			0	2,500

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Request funds for renewed licensure for users of Fishbowl Software after contract expires in August 2022. This inventory software helps to currently manage COVID-19 response and post-COVID 19 inventory for the Emergency Management Department. Current funding was supported through CARES funds; however, long-term usability was identified during utilization. Current licensure expires August 2022. Request renewal for 5 user licenses at expense of \$499 per license (\$2500 total) in August 2022.

##### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

If unaddressed, inventory may not be tracked as accurately as individual excel spreadsheets is the alternative means to track equipment and supplies. Reports and trend analysis will be much more difficult to calculate,

resulting in potential shortfalls in emergency preparedness and response resources. Alternatives include evaluating other software products, which would result in time away to learn a new system. Scenario of the service requested was observed early in the pandemic when multiple excel spreadsheets were used to track hundreds of thousands of PPE items. The demand for tracking PPE requests and burn rates during the pandemic resulted in the search for a software solution, in which Fishbowl was selected.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing resources

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need. Continued use of current software will provide a seamless transition from disaster response to disaster preparedness once the current COVID-19 pandemic concludes. Emergency Management will expand utilization to include other all-hazards disaster preparedness and response supplies and equipment. This software also supports the organization and inventory control needed to renew disaster volunteer programs.

**Please provide 3 years' worth of data to support your request.**

N/A

**Fishbowl**

580 East Technology Ave.  
Suite C1100  
Orem, UT 84097  
Phone: 800-774-7085  
Fax: 801-932-1101

**Order Form**

Date Purchased

August 11, 2020

**235285****Bill To:**

Sedgwick County  
525 N MAIN ST STE 823  
WICHITA, KS 67203-3728

**Ship To:**

Sedgwick County  
525 N MAIN ST STE 823  
WICHITA, KS 67203-3728

Contact: Sedgwick County  
PO Number: 4300083422

Seller	Payment Terms	Carrier
spice	CIA	Email

Item #	Qty Ordered	Number / Description	Unit Price	Total Price
		<b>FISHBOWL SOFTWARE - USER LICENSE</b>		
1	5 User	FBWH - Fishbowl Warehouse Software User License One year Maintenance and Support: Includes all new software releases over the first year of purchase and unlimited technical support (phone, email, online chat).	\$ 1,619.00	\$ 8,095.00
		<b>PLUGIN(S)</b>		
2	1 ea	LilyPad Vortex Unlimited - eCommerce Unlimited User Portal	\$ 4,995.00	\$ 4,995.00
3	1 ea	FPNLPSIT - LilyPad Setup/Installation	\$ 895.00	\$ 895.00
		<b>SCANNING SOFTWARE AND HARDWARE</b>		
4	1 ea	Fishbowl Go - Powerful, easy-to-use mobile software application and scanning solution. Includes receiving, picking, packing, shipping, inventory transfers, sales orders and much more. Android and iOS certified.	\$ 3,495.00	\$ 3,495.00
5	1 ea	TC70X Scanner Kit with USB Charger - Kit Includes scanner, stylus (3pk), USB charge cable and power supply	\$ 1,849.00	\$ 1,849.00
6	1 ea	TC700K0MB22B0US - TC7X ANDROID, 2GB RAM/16GB FLASH, SE4750	\$ 0.00	\$ 0.00
7	1 ea	SG-TC7X-STYLUS-03 - Stylus for Capacitive Touch Panel	\$ 0.00	\$ 0.00

Item #	Qty Ordered	Number / Description	Unit Price	Total Price
8	1 ea	TC70 CBL-TC7X-USB1-01 - Snap-On USB/Charge Cable. For charging, PWR-BUA5V16W0WW, DC cable CBL-DC-383A1-01 and Country Specific sold separately	\$ 0.00	\$ 0.00
9	1 ea	PWR-BUA5V16W0WW - LVL VI AC/DC PWRS AC INPUT 100-240V .6A	\$ 0.00	\$ 0.00
10	1 ea	CBLC383A101 - DC CABLE FOR PWR-BUA5V16W0WW	\$ 0.00	\$ 0.00
11	1 ea	SYM-5016000182R - US AC LINE CORD 1.8M UNGROUNDED TWO WIRE	\$ 0.00	\$ 0.00
12	1 ea	Z1B5-EMH250-3000 - 3 YR SW SUPPORT, EM HARDWARE, 1-250,EA.	\$ 0.00	\$ 0.00
13	1 ea	Z1B5-EMH250-3000 - 3 YR SW SUPPORT, EM HARDWARE, 1-250,EA.	\$ 0.00	\$ 0.00
14	1 ea	TC70 Trigger Handle - Snap-on trigger handle	\$ 269.00	\$ 269.00
15	1 ea	ZD420 Direct Thermal and Thermal Transfer Printer Kit: USB, Wifi, BT - Includes printer, power components, Wax ribbon rolls and 2x1 labels	\$ 855.99	\$ 855.99
16	1 ea	ZD420 Direct Thermal & Thermal Transfer Printer: USB, Wifi, BT - ZD420, Standard EZPL, 300 dpi, US Cord, USB, USB Host, Modular Connectivity Slot, 802.11, BT USA/Canada. Ethernet kit available as upgrade.	\$ 0.00	\$ 0.00
17	1 ea	Wax Ribbon (rolls) - Wax Ribbon, 64mmx300m (2.52inx984ft), 2000; Custom, Notched, 25mm (1in) core, 24/box	\$ 0.00	\$ 0.00
18	1 ea	Direct Thermal 2x1 labels - ZPERF 2000D 2X1 5"OD 2340/LBLS 6/CS	\$ 0.00	\$ 0.00
19	1 ea	Thermal Transfer 2x1 Labels - Label, Paper, 2x1in (50.8x25.4mm); TT, Z-Perform 2000T, Value Coated, Permanent Adhesive, 1in (25.4mm) core, 2490/roll, 6/box	\$ 0.00	\$ 0.00
		<b>CLOUD SERVER OPTION</b>		
20	24 ea	Fishbowl Hosting - Monthly Charge - Fishbowl Hosting Recurring Monthly Charge Server Specs: 8GB RAM, 4 cores, 80GB Hard Drive	\$ 195.00	\$ 4,680.00
21	1 ea	Fishbowl Hosting One-time setup fee - Fishbowl Hosting Setup	\$ 365.00	\$ 365.00
		<b>TRAINING AND IMPLEMENTATION</b>		
22	1 ea	Satisfaction Guarantee 2 Day Virtual On-Site Training - Process interview, 2 days (8 hrs per day) software training, 4 Remote Implementation Hours	\$ 4,000.00	\$ 4,000.00

Item #	Qty Ordered	Number / Description	Unit Price	Total Price
		<b>2ND YEAR OF SUPPORT AND UPDATES</b>		
23	5 User	R-M&S1 - Fishbowl Warehouse Maintenance and Support 1 Year Contract Renewal	\$ 499.00	\$ 2,495.00
24		25% Discount-2nd Year Renewal - 2nd Year Early Renewal		-\$ 623.75
25	1 ea	Lilypad Renewal - Lilypad Renewal	\$ 1,200.00	\$ 1,200.00

**SubTotal:****Sales Tax:****TOTAL: \$ 32,570.24****Special Payment Information****Authorized Signature**

By signing below, you are confirming: (a) the Order Form and Sales Agreement # 235285, (b) the software License Addendum to the attached terms and conditions (including, if applicable, software license), (c) all subsequent purchases, and (d) you are an authorized representative of the Customer named above for purposes of signing this Order Form.

Customer Authorized Representative \_\_\_\_\_

Print Name and Title: kyle Fiedler \_\_\_\_\_

Date: \_\_\_\_\_

**Fishbowl Solutions, LLC (Fishbowl)**  
**ORDER FORM AND SALES AGREEMENT**  
**General Terms and Conditions**

**1. Payment and Returns**

1.1 Payment is due upon submission of the order and, unless otherwise indicated on the Order Form, must be made before products or services will be provided. Late payment is subject to interest at the lower of 1.5% per month or the maximum permitted by law from the date due until paid in full. Customer agrees to reimburse Fishbowl Solutions (Fishbowl) for any costs or expenses incurred by Fishbowl in connection with collecting payment from Customer, including reasonable attorneys' fees.

1.2 Customer shall be liable for payment of all taxes, however designated, levied or based on Customer's purchase, license, possession or use of the equipment, services, software or on this Agreement, including without limitation, state or local sales, use, value-added and personal property tax, but excluding any tax on the net income of Fishbowl.

1.3 Software - Customer shall have thirty (30) days from the date of purchase (as shown on the Order Form) to return the software, for any reason, for a refund of the fees paid by Customer (if any) using the following procedure only: (a) Customer must first contact Fishbowl at [rma@fishbowlinventory.com](mailto:rma@fishbowlinventory.com) to obtain a Return Merchant Authorization (RMA) number, (b) Customer must send to Fishbowl via email, a request for a return of the software with the provided RMA number in the subject line of the email. The email must be sent to [RMA@fishbowlinventory.com](mailto:RMA@fishbowlinventory.com) and must be received within thirty (30) days of the purchase date. (c) Customer must destroy and uninstall all versions of the software otherwise in the possession of Customer, and (d) and email request not received within the required thirty (30) day period, or without an RMA in the subject of the email is not eligible for a refund. Equipment - Customer shall have thirty (30) days from the date of purchase to return, for any reason, all equipment (subject to a 15% restocking fee) for a refund of the fees paid by Customer (if any) using the following procedure only: (a) Customer must first contact Fishbowl at [rma@fishbowlinventory.com](mailto:rma@fishbowlinventory.com) to obtain a Return Merchant Authorization (RMA) number, (b) Customer must return at Customer's expense all equipment within such thirty (30) day period to Fishbowl with the RMA number clearly visible on the shipping label of the package used to return the Equipment, (c) Equipment must be returned in all its original packaging, and in like-new condition. Equipment not returned within the required thirty (30) day period or with a valid RMA number clearly visible on the return package during such period, and equipment not returned with its original packaging and in like-new condition, is not eligible for a refund, and will be refused and/or returned to Customer without refund. Returns not in complete compliance with this limited return policy are not eligible for refunds and will be deemed accepted by Customer for all purposes. All purchases of services provided by Fishbowl are non-refundable after the service has been provided or thirty (30) days have passed from the date of purchase. Requests for refund of services not yet provided must be received within thirty (30) days of date of purchase. These services include but are not limited to: on-site training, implementation, in-house training, remote training, data migration, plugins, and custom services of any type. Should Customer elect to purchase using any third party financing, Customer will need to provide Fishbowl proof from the third party financing company that all money owing under the financing agreement has been satisfied before Fishbowl will return any money owed. Once Fishbowl has been provided with said proof, Fishbowl will then release the funds owed according to the terms of the Order Form.

1.4 For on-site training and implementation provided by Fishbowl personnel, all normal and reasonable travel expenses will be included in the cost of the on-site training. These expenses include airfare, lodging, and rental car expenses. Food and other incidental travel expenses incurred by Fishbowl personnel are also included in the training fees unless otherwise specified in the Order Form. Should Customer elect to cancel or alter the travel arrangements for on-site training or implementation once travel arrangements have been purchased by Fishbowl, Customer will pay Fishbowl \$1000.00 to cover any costs associated with cancelling or altering such travel arrangements. Should Customer elect to cancel or alter the scheduled date of the on-site training prior to travel arrangements being purchased by Fishbowl, Customer will pay Fishbowl \$500.00 to cover any costs associated with cancelling or altering the scheduled date of training. If Customer requires specific times and dates of travel or

## 2022 Sedgwick County Budget

### [893] EMS Paramedic and EMT Education Program

<b>Division:</b>	Emergency Medical Services	<b>Contact Name:</b>	John Gallagher MD
<b>Department Priority:</b>	1	<b>Division Priority:</b>	2
<b>Primary Fund Center:</b>	12017-203	<b>Fund:</b>	203
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	3

### Summary

This request is a new program to allow employees to attend Emergency Medical Technician (EMT) or Paramedic School while remaining full-time employees. The proposal will pay fees, tuition, and allow the employee to receive full-time pay while attending school. The total request includes both EMT Education Program and a Paramedic Education Program including backfill costs.

**Legal Reference:** No federal or state mandate

**Legal Requirement:**

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41101 - Salaries and Wages	203	12017-203		185,502
TOTAL			0	185,502

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

In contrast to law enforcement and fire departments, EMS historically requires employees to obtain EMT and Paramedic Certifications prior to employment. This is a significant barrier to entry that has hindered recruitment and retention efforts.

#### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Recruitment and retention will continue to be difficulty. Enrollment in local paramedic programs has decreased 50.0 percent in the last year which emphasizes the importance attracting top quality candidates.

#### Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

Existing sources.



**Other:**

**Please provide information regarding any type of study done to support your current request.**

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**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

The quantity of available paramedics has declined nationally due to the low salary combined with job risks that have been further identified in the current pandemic. The staffing shortage has been identified with ongoing discussions with County Leadership.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

It is considered a need maintain the level of quality pre-hospital care for years to come.

**Please provide 3 years' worth of data to support your request.**

See attachment of separations by year.

SCEMS EMT Education Program					
6 weeks EMT Program					
			Hours	\$ Per Hour	Total
On-Duty Salary			0	\$ 13.30	\$0
Salary Reimbursement (class time)	3 payperiods x 7 shifts	x 12hrs per shift	252	\$ 13.30	\$3,351
Benefits	3 payperiods x 7 shifts	x 12hrs per shift	252	\$ 13.25	\$3,339
Backfill cost with PT EMT's			252	\$ 13.30	\$3,352
Tuition and Fees*					\$1,318
Total Program Cost Per Employee					\$11,360
Less Current Personnel Budget Authority Per Employee -6 weeks (Reference "Budget Impact" page)					(\$6,689)
Additional Personnel Budget Authority needed for Program Implementation per participant					\$4,671
Participants					6
Total Annual Program Cost					\$68,160
Less Existing Personnel Budget Authority (18 months)					(\$40,136)

SCEMS EMT To Paramedic Education Program				
18 month Paramedic Program				
		Program	\$	Program
		Hours	Per Hour	Total
On-Duty Salary*	39 payperiods x 4.3 avg shifts per payperiod x 12hr/shift	2028	\$ 13.30	\$26,970
Salary Reimbursement (class time)*	39 payperiods x 2.7 avg shifts per payperiod x 12hr/shift	1248	\$ 13.30	\$16,597
Benefits		3276	\$ 14.20	\$46,519
Backfill cost with PT EMT's		1248	\$ 13.30	\$16,597
Tuition and Fees**				\$9,653
Total Annual Program Cost Per Employee				\$116,337
Less Existing Personnel Budget Authority Per Employee (18month program)				(\$90,091)
Additional Budget Impact from Program Implementation Per Employee				\$26,246
Participants (3 classes per year with 2 participants per class)				6
Total Program Cost				\$698,021
Less Existing Personnel Budget Authority				(\$540,543)
Additional Budget Impact from Program Implementation (18 month program)				\$157,478

\* Average shift is used acknowledging that each segment of the program has varying time requirements (didactic, in-hospital, field internship)

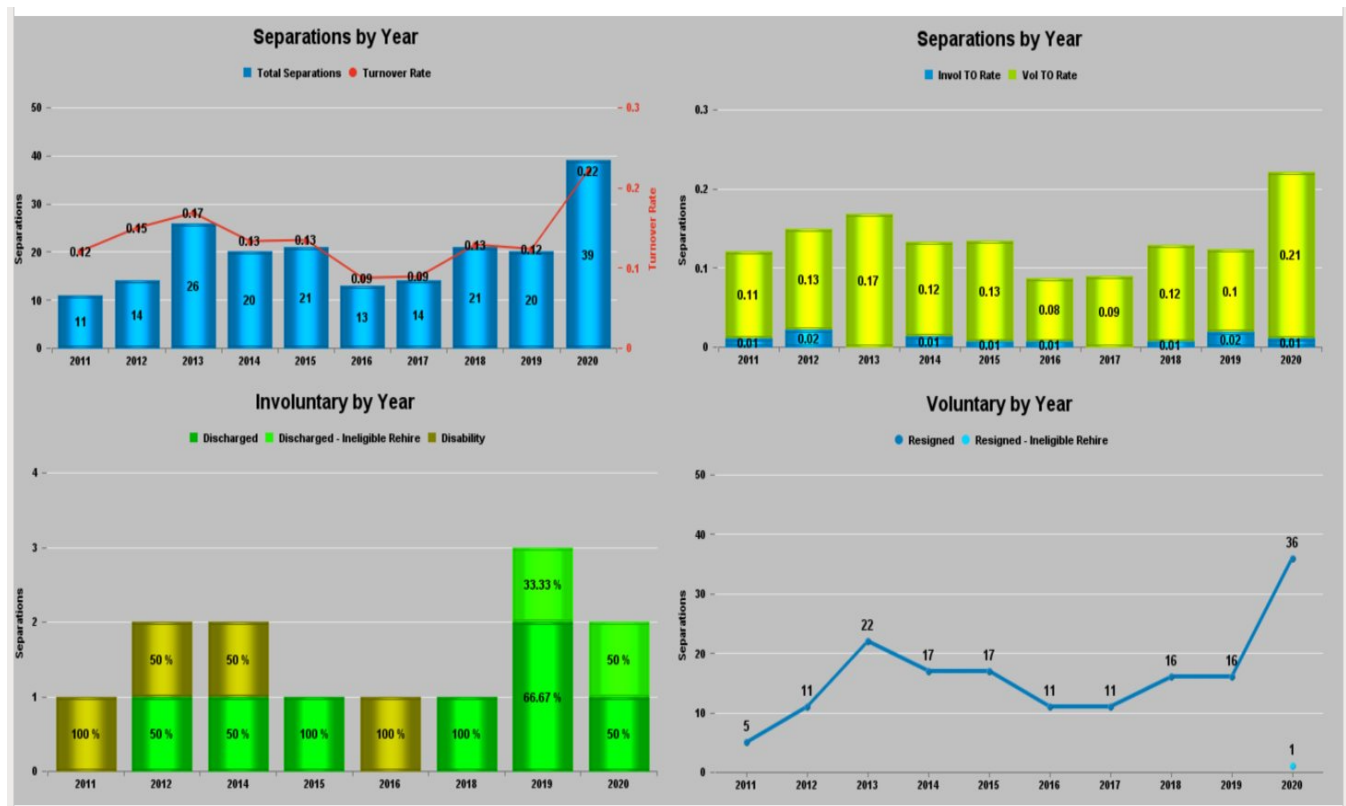
\*\* Hutchinson Community College 2020

SCEMS EMT To Paramedic Education Program				
12 month Paramedic Program				
		Annual	\$	Annual
		Hours	Per Hour	Total
On-Duty Salary*	26 payperiods x 3 shifts per payperiod x 12hr/shift	936	\$ 13.30	\$12,448
Salary Reimbursement (class time)*	26 payperiods x 4 shifts per payperiod x 12hr/shift	1248	\$ 13.30	\$16,597
Benefits		2184	\$ 14.20	\$31,013
Backfill cost with PT EMT's	26 payperiods x 4 shifts per payperiod x 12hr/shift	1248	\$ 13.30	\$16,597
Tuition and Fees**				\$9,653
Total Annual Program Cost Per Employee				\$86,308
Less Existing Personnel Budget Authority Per Employee (12 month program)				(\$60,060)
Additional Budget Impact from Program Implementation Per Employee				\$26,248
Participants (3 classes per year with 2 participants per class)				6
Total Annual Program Cost				\$517,848
Less Existing Personnel Budget Authority				(\$360,360)
Additional Budget Impact from Program Implementation (12 month program)				\$157,488

\* Average shift is used acknowledging that each segment of the program has varying time requirements (didactic, in-hospital, field internship)

\*\* Hutchinson Community College 2020

## Sedgwick County EMS 2020



## 2022 Sedgwick County Budget

### [872] Training Mannequin

<b>Division:</b>	Emergency Medical Services	<b>Contact Name:</b>	John Gallagher MD
<b>Department Priority:</b>	2	<b>Division Priority:</b>	8
<b>Primary Fund Center:</b>	12001-203	<b>Fund:</b>	203
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

Adult and Pediatric simulation training mannequins to support initial and continuing education of emergency responders within Sedgwick County. Quality simulation mannequins are essential to achieving education goals and maintaining proficiency. In addition, EMS certification requires "hands-on" training as part of maintain Board of EMS Certifications

**Legal Reference:** K.A.R. 109 10-5-1 Continuing Education Plan

### Legal Requirement:

Kansas Board of EMS 109-5-1d Continuing education.

Each applicant for certification renewal as a paramedic shall meet one of the following requirements: ..... (1) Passed the board-approved paramedic cognitive assessment; and (2) either passed a board-approved psychomotor skills assessment or received validation of the applicant's psychomotor skills by a medical director affiliated with an ambulance service or a sponsoring organization.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
47104 - Operating Equipment >	203	12001-203		213,654
TOTAL			0	213,654

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The EMS restructure includes a robust training department with the Simulation Center at its core. Continuing education is the key to maintaining the highest quality patient care. Supporting the Simulation Center is vital to the success of EMS.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

If unaddressed, attempts will be made to repair existing equipment with increasing cost to benefit ratio. When

If unaddressed, attempts will be made to repair existing equipment with increasing cost to benefit ratio. When they can no longer be repaired, our high-end facility will be forced to revert to low-end training. The simulation center is running at an increasing rate as the training program develops, but this increase in training puts additional strain on the mannequins. The simulation mannequins are part of the consumables of the sim center, and "using them up" is a positive marker that we are training staff and getting our value out of our training materials. We are researching obtaining funding via grants or federal legislation. The intent is to include this request in a set aside program to limit budget impacts.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing sources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is currently a want but may become a need if current equipment reaches end-of-life. This request supports Employee Care goals of the Strategic Plan by providing educational opportunities through the department and partner agencies for full certification. "Promote a culture that prepares and empowers the workforce to provide quality care and ensure customer satisfaction."

**Please provide 3 years' worth of data to support your request.**

N/A



# Proforma Invoice

14700 SW 136th Street  
Miami FL 33196  
T: 305-971-3790 | F: 305-252-0755

**Proforma No.:** 71175  
**Date:** 10/16/20  
**Page:** 1 of 4

**Quoted To:**

Sedgwick County  
525 N Main St Suite 823  
Wichita KS 67203-3703  
USA

**Ship To:**

Sedgwick County  
200 W Murdock St  
Wichita KS 67203-3830  
USA

**Contact:**

Andrea Maurer  
316-660-7982  
andrea.maurer@sedgwick.gov

**Customer ID:** C109074  
**Reference Number:**  
**Shipping Method:** UPS Ground

Qty.	Item	Description	Unit Price	Amount
1	S3201.PK.M	<p>HAL® medium skin tone adult advanced multipurpose simulator. Includes Simulated Learning Experiences™ 10 scenario package, Simulated Learning Experiences™ facilitator's guide, Microsoft® Tablet PC preloaded with UNI® control software, UNI software license, UNI Automatic Mode license, Gaumard Vitals™ bedside patient monitor, (1) Gaumard Vitals patient license, RF communications module, accessories kit, battery charger, soft roller case, user manual, 1-year standard warranty</p> <p>Options available at time of purchase: Care In Motion™ Go integrated video-assisted debriefing system , snap-compatible ECG/EKG sites</p> <p>Accessories available for purchase: Care in Motion™ Mobile standalone video-assisted debriefing system, Gaumard Vitals mobile patient monitor, modified defibrillation cables, NewroSim™</p>	\$ 48,995.00	\$ 48,995.00
1	GC.G5.A	Gaumard Cares Gold 5 Year service plan for adult simulator. Gaumard Cares service with Cost of Ownership Assurance includes the following at NO CHARGE for the duration of the plan: • Training at Gaumard Training Centers • Webinar Training • Telephone and email Support • Software Updates • Loaner Service (Including Shipping) • All Preventative	\$ 25,995.00	\$ 25,995.00

Prices and taxes are subject to change without notice.

To gather information about the products quote we invite you to visit our website: <http://www.gaumard.com>

If you should have any questions, please feel free to contact your sales representative David Sommerkamp at [davids@gaumard.com](mailto:davids@gaumard.com)



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## Contact:

Andrea Maurer  
316-660-7982  
andrea.maurer@sedgwick.gov

Qty.	Item	Description	Unit Price	Amount
		Maintenance • All Repairs Gaumard Cares Gold 5 Year service plan for adult simulator		
1	S2225.PK.M	Advanced Pediatric HAL® medium skin tone five year old simulator. Includes: Pediatric HAL®, Tablet PC preloaded with UNI®, Pediatric Simulation Learning Experiences™ Guidebook, preprogrammed SLE library, RF module, battery charger, replacement chest tube and tension pneumo sites, defibrillation site adapters, filling kits, additional accessories, hard rolling transport case, user manual	\$ 47,995.00	\$ 47,995.00
1	30080154B	Bedside Virtual Monitor accessory	\$ 2,095.00	\$ 2,095.00
1	GC.G5.AP	Gaumard Cares Gold 5 Year service plan for advanced pediatric simulator. Gaumard Cares service with Cost of Ownership Assurance includes the following at NO CHARGE for the duration of the plan: • Training at Gaumard Training Centers • Webinar Training • Telephone and email Support • Software Updates • Loaner Service (Including Shipping) • All Preventative Maintenance • All Repairs Gaumard Cares Gold 5 Year service plan for Advanced Pediatric HAL	\$ 25,995.00	\$ 25,995.00
1	S2220.PK.M	Super Tory® medium skin tone advanced neonatal simulator  * Turn-Key Solution Package: · 12" Touchscreen Windows® Tablet PC preloaded with UNI® Simulator Control Software · UNI® License · 9 Scenarios · Automatic Mode License · Tablet PC Bump Case · RF Module · Battery Charger · (3) Scalp IV Inserts	\$ 39,950.00	\$ 39,950.00

Prices and taxes are subject to change without notice.

To gather information about the products quote we invite you to visit our website: <http://www.gaumard.com>

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andrea.maurer@sedgwick.gov

Qty.	Item	Description	Unit Price	Amount
		<ul style="list-style-type: none"> <li>· (1) Post Detachment Navel</li> <li>· (2) Umbilical Cords</li> <li>· (4) Pneumothorax Inserts · Male Genitalia</li> <li>· (4) O/I Bone Inserts</li> <li>· CO2 Adapter</li> <li>· A/P Defibrillation Adapter</li> <li>· Artificial Blood Concentrate</li> <li>· Mineral Oil</li> <li>· Diaper</li> <li>· (2) Baby Head Caps</li> <li>· Receiving Blanket</li> <li>· (2) Scalp/IO/ Umbilical Drainage Adapters</li> <li>· 5cc Syringe</li> <li>· (1) Umbilical Cord Filling Tip</li> <li>· (1) Urethral Filling Adapter</li> <li>· (1) IV Drainage Adapter</li> <li>· (2) Medical Tape</li> <li>· (2) Blood Pressure Tube Adapter</li> <li>· (1) Lower Left Arm</li> <li>· (1) Lower Right Arm</li> <li>· (4) Adapters for Non-Snap ECG Electrodes</li> <li>· Transport Roller Case</li> <li>· User Manual</li> <li>· 1 Year Limited Warranty</li> </ul>		
1	S2220.201	Virtual Monitor Software License accessory for Super Tory™ advanced forty week neonatal simulator. CD with activation code. Only for customers that already own .001, .002 or S57x	\$ 995.00	\$ 995.00
1	GC.G5.T	Gaumard Cares Gold 5 Year service plan for Super Tory simulator. Gaumard Cares service with Cost of Ownership Assurance includes the following at NO CHARGE for the duration of the plan: • Training at Gaumard Training Centers • Webinar Training •	\$ 16,990.00	\$ 16,990.00

Prices and taxes are subject to change without notice.

To gather information about the products quote we invite you to visit our website: <http://www.gaumard.com>

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**Contact:**

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316-660-7982  
andrea.maurer@sedgwick.gov

Qty.	Item	Description	Unit Price	Amount
		Telephone and email Support • Software Updates • Loaner Service (Including Shipping) • All Preventative Maintenance • All Repairs Gaumard Cares Gold 5 Year service plan for Super Tory simulator		
1	INST2	Two day Training service and Installation for multiple simulators. Region specific	\$ 3,500.00	\$ 3,500.00
			<b>Subtotal</b>	\$ 212,510.00
			<b>Freight &amp; Insurance</b>	1,144.00
			<b>Tax</b>	0.00
			<b>Total US\$</b>	\$ 213,654.00

Estimated shipping date: Approximately 6 to 8 weeks after receipt of order.  
Shipment Via: UPS Ground

Gaumard Scientific is the sole source for this tetherless simulator(s).

Prices and taxes are subject to change without notice.

To gather information about the products quote we invite you to visit our website: <http://www.gaumard.com>

If you should have any questions, please feel free to contact your sales representative David Sommerkamp at [davids@gaumard.com](mailto:davids@gaumard.com)

## 2022 Sedgwick County Budget

### [869] One Full-Time FTE for Logistics Support

**Division:** Emergency Medical Services **Contact Name:** John Gallagher MD  
**Department Priority:** 3 **Division Priority:** 9  
**Primary Fund Center:** 12017-203 **Fund:** 203  
**Funding Frequency:** Recurring **Request Status:** Submitted  
**Reason:** Budget Enhancement **Attachments:** 1  
Process

#### Summary

Request for staffing table increase of one full-time FTE Grade 118 for support of the logistics department in EMS. Following the 2019/2020 EMS reorganization, the logistics branch has increased its management of hardware and software systems as well as post and equipment maintenance. This has occurred in the presence of annual increasing call volume. A higher level of reliability, knowledge and dedication that is expected from a full-time employee will allow the department to achieve the new task load.

**Legal Reference:** No federal or state mandate

**Legal Requirement:**

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	203	12017-203		29,045
41300 - BENEFITS	203	12017-203		31,016
<b>TOTAL</b>			0	60,061

#### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	SCEMS EMT	GRADE118	1.00	29,045	31,016
<b>TOTAL</b>			1.00	29,045	31,016

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The importance of a strong logistics team was highlighted during the pandemic response. The current staff has a full work-load during normal operations maintaining equipment, buildings and procuring/managing/distributing supplies.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the**

**current time.**

If unaddressed, will attempt to achieve department goals with existing personnel and outsource tasks at higher cost to maintain facilities. Part-time employees have been utilized with limited success due to turnover and the increasing knowledge and specialized training required to effectively maintain/troubleshoot equipment

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing sources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

see call volume attachment which is a good metric for the increase in supply usage.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

The department will continue to prioritize tasks to maintain operational readiness and defer or outsource maintenance tasks generally at higher cost.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Logistics is the backbone of maintaining operational readiness and having adequate well-trained staff is key to mission success. This directly supports the Strategic Plan of EMS.

This request is a "need" due to increased work demands placed on the logistics department related to increased call volume and shift in duties following the EMS restructuring which is utilizing logistics personnel for more technical support of existing technology. Currently the work is not outsourced, and we believe outsourcing is not a good option due to the varied nature of the work and the technical knowledge needed with regards to the equipment software and hardware management. The only potential for outsourcing is ongoing post maintenance has been delayed in many instances and could be outsourcing at higher cost if not addressed. The logistics branch has supplemented it's workload with part-time personnel with limited effectiveness due to increasing complexity and training requirements. 1991 is the last time a FT FTE was added to the EMS logistics branch.

**Please provide 3 years' worth of data to support your request.**

see call volume attachment which is a good metric for the increase in supply usage.

**Budget Impact**  
**March 24, 2020**

Requested				
Position	Grade	Salary	Benefits	Total
SCEMS EMT	118	\$ 27,662	\$ 28,938	\$ 56,600
Cost				\$ 56,600

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2020 Compensation Plan

\* Planning information only

## 2022 Sedgwick County Budget

### [894] Hospital Agreement for Ambulance Transfers

<b>Division:</b>	Emergency Medical Services	<b>Contact Name:</b>	John Gallagher MD
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	12002-203	<b>Fund:</b>	203
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	4

#### Summary

Agreement between Sedgwick County and local hospitals to provide ambulance transfers utilizing the model of providing equivalent rates to all hospital partners at an "at-cost" level with the goal of supporting local health care systems without placing tax burden on Sedgwick County citizens.

The at-cost rate is \$478.15 per transport which is still dramatically lower than comparable systems. The "summary tab" in the attachment displays the change for each hospital as well as total change.

**Legal Reference:** No federal or state mandate

**Legal Requirement:**

#### Revenue Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
34000 - Charges for Service	203	12002-203		797,195
TOTAL			0	797,195

#### Question Responses

##### Please provide a summary of your revenue proposal.

Sedgwick County as a government-operated EMS service believes that this service should be delivered at cost and should not generate a profit margin nor require subsidy by the taxpayers. However, there has been drift over the years that has resulted in hospitals paying rates that are below cost and as a result are consuming tax dollars.

Furthermore, it has been discovered that the community has also experienced a degree of drift between the rates that each hospital was paying for services. Unfortunately, a significant disparity had developed, and this goes against County values of equality towards community businesses. The revised fee structure resolves this disparity and ensures that all community partners are treated fairly. Several facilities will discover that the new rates are actually lower than what they have historically paid.

**Discuss the last time this revenue was adjusted, statutory implications, and if an advisory committee needs to review. Please include current fee schedule.**

4714-11 Ascension Via Christi Contract Dec 6th, 2017

4221-11 Wesley Contract Feb 17, 2016

**Discuss how the projected revenue increase was estimated, citing actual numbers when possible.**

An independent audit was conducted by an external financial service consulting firm that calculated expenses per transport. The results of the audit can be found in the attachment "Pivot Table" tab cell A71. Revenue estimates are based on 2019 transport data.

**Other**

Attached is a rate comparison spreadsheet of services of similar size. Direct comparisons are difficult due to the variation in funding models and the fact that many private ambulance services consider their rates proprietary. However, even despite these comparison barriers, it is evident that most services have higher rates than our current proposal.

Total Budget Impact (All Hospitals Included)*							
	Responses	Current rate		Proposed		Change from	% Change From
Break-even rate for all transports (14% of expenses)		Rate	Revenue	Rate	Revenue	Current	Current
	6,342	\$352.45	\$2,235,249.55	\$478.15	\$3,032,444.51	\$797,194.96	26.3%
Wesley							
	Responses	Current rate		Proposed		Change from	% Change From
Break-even rate for all transports (14% of expenses)		Rate	Revenue	Rate	Revenue	Current	Current
	4,873	\$328.35	\$1,600,049.55	\$478.15	\$2,330,038.17	\$729,988.62	31.3%
Ascension							
	Responses	Current rate		Proposed		Change from	% Change From
Break-even rate for all transports (14% of expenses)		Rate	Revenue	Rate	Revenue	Current	Current
	933	\$398.29	\$371,600.00	\$478.15	\$446,116.48	\$74,516.48	16.7%
Non-Contracted Hospitals (KMC, KMC-Webb, Rock Regional, VA)							
	Responses	Current rate		Proposed		Change from	% Change From
Break-even rate for all transports (14% of expenses)		Rate	Revenue	Rate	Revenue	Current	Current
	536	\$491.79	\$263,600.00	\$478.15	\$256,289.85	(\$7,310.15)	-2.9%

\*2019 Response Data





**AGREEMENT FOR AMBULANCE AND MEDICAL TRANSPORTATION SERVICES**  
**by and between**  
**SEDGWICK COUNTY, KANSAS**  
**and**  
**WESLEY MEDICAL CENTER, LLC**

This Agreement is entered into this 17<sup>th</sup> day of February, 2016, retroactive to January 1, 2016 ("Effective Date"), by and between Sedgwick County, Kansas ("County") and Wesley Medical Center, LLC d/b/a Wesley Medical Center and Wesley Medical Center, LLC d/b/a Wesley Woodlawn Hospital and ER ("Wesley Medical Center"), a limited liability company licensed to do business in Kansas.

WITNESSETH:

**WHEREAS**, Wesley Medical Center owns and/or operates Wesley Medical Center Main Campus, Wesley Woodlawn, Wesley West Free Standing Emergency Department, and Wesley Derby Free Standing Emergency Department (individually "Facility" and collectively "Facilities"); and

**WHEREAS**, Wesley Medical Center desires to obtain health care transportation services for the transfer of equipment, supplies, and patients to and from its Facilities and/or the Free Standing Emergency Departments ("FSED") of such Facilities; and

**WHEREAS**, County, through its Emergency Medical Service ("SCEMS") desires to provide such services and has the necessary equipment, training, expertise, professional certifications and licenses to do so.

**NOW, THEREFORE**, in consideration of the mutual covenants, conditions and promises contained herein, the parties hereto agree as follows:

**ARTICLE I**  
**RESPONSIBILITIES OF SCEMS**

- 1.1 **Provision of Services.** SCEMS agrees to provide Wesley Medical Center with ambulance transport services pursuant to the terms and conditions set forth in this Agreement and as defined in Appendix A ("Services"). SCEMS shall provide sufficient ambulances to service the needs of Wesley Medical Center on a 24-hour-per-day, 365/366 days-per-year basis. SCEMS agrees to perform the Services in accordance with industry standards.
- 1.2 **Timeliness of Services.** SCEMS shall provide all Services on a timely basis, determined as follows:
  - a) Ambulance transportation requests scheduled eight (8) or more hours in advance will arrive within fifteen (15) minutes of the pre-arranged pick-up time.

- b) Emergent ambulance transportation requests will arrive within thirty (30) minutes of the service request.
- c) Non-emergent ambulance transportation requests that are not pre-scheduled will arrive within ninety (90) minutes of the service request.

SCEMS shall transport all patients received from Facilities as expeditiously as possible to the designated location.

**1.3.1 Response Time/Compliance Measures.** SCEMS's response times shall be reviewed on a monthly basis to determine compliance with the standards set forth in this Agreement. Response times will be calculated from the time the call is received by SCEMS's Communication Center to the time of arrival at the designated on-scene location. SCEMS's crews are responsible for accurately reporting on-scene arrival times immediately upon arrival at the scene of the request for service to their dispatcher who will enter it into the CAD record. It is SCEMS's responsibility to capture and report response times on each call and provide Wesley Medical Center with the arrival time for each requested transfer. If SCEMS is called off the transport for any reason, SCEMS and/or the Communication Center dispatcher will immediately notify the requesting Facility so the timing of the response ticket can be closed.

**1.3.2 Measures of Overall Compliance.** Calendar quarters shall constitute reporting periods, and the response time standards set forth in this Agreement shall be met in not less than ninety percent (90%) of SCEMS's aggregate responses to Wesley Medical Center.

On occasion, special circumstances may cause a change in Services, as outlined in Appendix C. Response time calculations for determination of compliance shall be as follows:

- a) If an assignment is upgraded prior to arrival of the ambulance on the scene, the time shall be measured from the time of the upgrade.
- b) If an assignment is downgraded prior to arrival of the ambulance on the scene, the time shall be measured against the revised request.
- c) If a request for an emergency response is canceled, SCEMS's response time shall be calculated to the moment of the cancellation or to the moment of arrival of SCEMS's unit at the scene, whichever occurs first. Reasons for the cancellation will be tracked by Wesley Medical Center and reported monthly in an effort to reduce cancellations.

If the aggregate response time on all priorities falls below ninety percent (90%) for any quarter, SCEMS will be subject to response time penalties payable to Wesley Medical Center. The penalty assessment schedule shall be \$500.00 (Five Hundred Dollars) for every 1.9 percentage points below 90%. Therefore, 88.0% - 89.9% = \$500.00 assessment; 86.0% - 87.9% = \$1,000.00 assessment, with a maximum monthly assessment of \$1,500.00.

Notwithstanding the foregoing, the response time penalties shall only apply when Wesley Medical Center is the responsible party for payment of the transport and SCEMS has provided at least 225 transports in the applicable quarter.

- 1.4 **Disaster Services.** In the event of a major disaster, SCEMS shall, subject to SCEMS's equipment and manpower availability, utilize its resources to provide Wesley Medical Center support and transportation.
- 1.5 **Compliance.** SCEMS shall perform all Services under this Agreement in accordance with any and all regulatory and accreditation standards applicable to Wesley Medical Center and the Service, including all applicable federal, state, and local laws, rules, regulations and policies.
- 1.6 **Insurance.** County is self-funded for Comprehensive General Liability, Workers Compensation, and Automobile insurance. County adheres to the provisions of the Kansas Tort Claims Act (K.S.A. 75-6101 *et seq.*), which limits liability for municipal entities to \$500,000.00. Proof of County's insurance is attached hereto and incorporated herein as Appendix D.
- 1.7 **Availability and Documentation.** SCEMS shall, for a period of six (6) years after this Agreement terminates, make available, upon the written request of the Secretary of Health and Human Services or the Comptroller General, or their representatives, this Agreement, and such books, documents and records as may be necessary to verify the nature and extent of the costs of the services rendered hereunder. Furthermore, the parties agree that if any of the work provided for under this Agreement, with a value of Ten Thousand Dollars (\$10,000.00) or more in any twelve month period, shall be performed by a subcontractor, they shall require the subcontractor to sign a similar agreement to make its books and records available for such a six (6) year period of time.
- 1.8 **Equipment Records.** SCEMS shall document the receipt of any Wesley Medical Center-owned equipment necessary for the convenient transfer of patients, assume custody for the equipment during the transfer, and return the equipment to the appropriate Wesley Medical Center department as soon as practicable after the transfer.
- 1.9 **Patient Valuables.** SCEMS shall document the receipt of patient valuables, assure custody for the valuables upon receipt, and deliver the valuables to a responsible party at the receiving Facility.
- 1.10 **Patient's Right for Ambulance Service.** SCEMS does not discriminate in the provision of covered medical services hereunder, whether on the basis of a person's age, gender, marital status, sexual orientation, race, color, religion, ancestry, national origin, disability, handicap, health status, or other unlawful basis including, without limitation, the filing by a person of any complaint, grievance or legal action against Wesley Medical Center, SCEMS, or payor. SCEMS is not required to provide services to a person who refuses to cooperate with SCEMS's efforts to provide services or if SCEMS has other good cause for refusing to provide services. In addition, SCEMS shall abide by the requirements of 41 CFR 60-1.4(a) which prohibits discrimination on the basis of race, color, religion, gender, and national

origin. SCEMS shall also abide by the requirements of 41 CFR 60-300.5(a) and 41 CFR 60-741.5(a) which prohibit discrimination as to and against qualified protected veterans and qualified individuals on the basis of disability, and requires affirmative action by covered contractors to employ and advance in employment qualified protected veterans and qualified individuals with disabilities.

## ARTICLE II RESPONSIBILITIES OF WESLEY MEDICAL CENTER

- 2.1.1 **Primary Provider.** Wesley Medical Center agrees that SCEMS shall be designated by Wesley Medical Center as its primary provider of ground basic and advanced life support services for Wesley Medical Center's patients requiring such services, 24-hours-per-day, 7-days per week, pursuant to the terms of this Agreement. Said services consist of a response by SCEMS to Wesley Medical Center or other patient location, treatment and other pre-transport activities, including the rendering of emergency medical service at the Facility or other patient location, appropriate care and treatment during transport, and one-way transportation to the patient's designated destination. As used in this paragraph, "primary provider" shall mean that SCEMS shall be the first ground ambulance provider contacted by Wesley Medical Center for all emergency and non-emergency medical transportation services for Wesley Medical Center's patients who require such services.
- 2.1.2 **Exceptions to Primary Provider Provision.** Notwithstanding the provisions of Section 2.1.1, Wesley Medical Center may utilize the services of another ambulance provider in the following situations:
- a) A Wesley Medical Center patient requests the services of another ambulance provider for wheelchair van transportation.
  - b) The parties otherwise mutually agree.
- 2.1.3 **Availability.** Wesley Medical Center expressly understands and acknowledges that SCEMS may be unavailable at times due to high demand, emergencies or other unforeseen circumstances. SCEMS will notify Wesley Medical Center when requests for Services under this Agreement cannot be honored in order to allow Wesley Medical Center to obtain the services of another provider. Wesley Medical Center understands that, in those instances where SCEMS is unavailable, SCEMS has no responsibility to arrange or pay for the charges of a substitute provider or to pay Wesley Medical Center the difference, if any, between the contracted rate and the charges of any such substitute provider.
- 2.2 **Documentation and Timeliness of Payment.** Wesley Medical Center shall provide physician certificates of medical necessity and/or other medical necessity documentation at the time as required by Medicare. Wesley Medical Center shall otherwise cooperate with SCEMS in obtaining physician certificates of medical necessity and/or other medical necessity documentation for all ambulance transportation of its patients to the extent permitted by applicable laws.

Wesley Medical Center shall be responsible for payment for FSED to parent facility transports and other transports for which Wesley Medical Center is financially responsible by law, including those set forth in Chapter 10, Section 10.3.3 of the Medicare Benefit Policy Manual, CMS Publication 100-2. Wesley Medical Center shall reimburse thirty (30) days from the date of invoice, according to the rate payment schedule set forth in Appendix B hereto.

- 2.3 **Availability of Records.** Until the expiration of six (6) years after providing services pursuant to this Agreement, Wesley Medical Center shall retain and make available to the Secretary of Health and Human Services, the Comptroller General, or their duly authorized representatives upon written request, records necessary to verify the nature, extent, and cost of services rendered hereunder. No attorney-client, accountant-client, or other legal privilege will be deemed to have been waived by Wesley Medical Center by virtue of this Agreement.
- 2.4 **Insurance.** Wesley Medical Center shall maintain, at all applicable times, comprehensive general liability and professional liability in amounts equal to at least \$1,000,000.00 per occurrence and \$3,000,000.00 in the aggregate. Wesley Medical Center shall furnish SCEMS with satisfactory evidence of such insurance prior to execution of this Agreement.
- 2.5 **Facility Information.** Wesley Medical Center will make available to SCEMS its policies, procedures, billing protocol, and activities relevant to this Agreement including any and all future updates to said policies, procedures, billing protocols and activities relevant to this Agreement.
- 2.6 **Advance Notice.** Wesley Medical Center shall use its best efforts to provide SCEMS with twenty-four (24) hours advance notice of non-emergency transport requests.
- 2.7 **Non-Emergency Transport.** At the time of scheduling a non-emergency transport, Wesley Medical Center shall provide SCEMS all necessary information about the patient to enable SCEMS to properly bill the appropriate payor. Such information shall include the patient's insurance status and, if the patient is a Medicare beneficiary:
- a) Whether or not the patient is in a "Medicare Part A" stay at the time Services are provided;
  - b) Whether the Services relate to the patient's plan of care, if applicable; and
  - c) Whether the patient is an inpatient or outpatient at the point of origin and destination at the time of the transport.
- 2.8 **Third-Party Billing.** When required or permitted by law, SCEMS will bill the patient, the patient's financially responsible party, or any available insurance or third party payment source for Services provided under this Agreement. This includes transports that SCEMS is authorized to bill under Medicare Part B and Medicaid and that are covered under the applicable coverage criteria of those programs.

- 2.9.1 **Billing to Wesley Medical Center.** Where Wesley Medical Center is required by law or where Wesley Medical Center has agreed to be responsible for payment, as described in Appendix A, SCEMS will bill Wesley Medical Center directly for Services rendered to patients of Wesley Medical Center. For these transports, Wesley Medical Center agrees to pay SCEMS according to the fee schedule set forth in Appendix B. This includes, among other types of transports for which Wesley Medical Center is responsible for providing, transports that SCEMS cannot bill directly to Medicare Part B or Medicaid.
- 2.9.2 **Payment in Full.** SCEMS shall not bill any patient, financially responsible party, insurer, or third party payor for any transports that are the responsibility of Wesley Medical Center. Wesley Medical Center agrees to indemnify, defend, and hold harmless SCEMS for any liability resulting from its submission of any such bills when it was the result of information supplied by Wesley Medical Center. When charges are properly billed for transports, SCEMS shall accept the fee schedule amounts outlined in the Appendices to this Agreement as payment in full.
- 2.9.3 **Prompt Payment.** Wesley Medical Center agrees to remit payment to SCEMS for all transports for which it is responsible to pay under the law and under this Agreement within thirty (30) days of the date of SCEMS's bill. Wesley Medical Center agrees that payment to SCEMS is not contingent upon any payments that Wesley Medical Center may collect from other sources. Wesley Medical Center agrees to be responsible for the payment to SCEMS of its costs for collection of accounts past thirty (30) days.
- 2.10 **Provision of Information.** Wesley Medical Center shall, prior to the time that Services are provided, furnish to SCEMS the information necessary for SCEMS's proper billing of the Services provided. This includes, but is not limited to a face sheet and a properly completed physician certification statement (PCS) when such documentation is required to support SCEMS's claim for payment. PCS forms shall be obtained by Wesley Medical Center on all non-emergency ambulance transports of Medicare beneficiaries and comply with the most current rules of the Centers for Medicare and Medicaid Services (CMS). Wesley Medical Center shall utilize PCS forms approved by SCEMS for this purpose. SCEMS reserves the right to bill Wesley Medical Center directly for Services in the event Wesley Medical Center does not provide face sheets and PCS forms to SCEMS as provided herein.
- 2.11 **Classification of Transport.** In the event of a dispute regarding the classification of any particular transport as a Medicare Part A or Part B transport, Wesley Medical Center agrees to provide SCEMS, within five (5) days of SCEMS's request, any information within its possession or control, including but not limited to the resident's plan of care, to facilitate proper billing for the transport. Wesley Medical Center shall use its best efforts to obtain information not in its possession or control which may be material to SCEMS's determination as to proper billing under this Agreement.
- 2.12 **Medicare Records.** Wesley Medical Center represents and warrants that it shall, within thirty (30) days of receiving any requests from CMS or its authorized contractor, make available any and all such records requested by CMS or its contractor for the purposes of determining whether any ambulance transports arising hereunder qualify for payment under

Medicare Part B. Wesley Medical Center shall be responsible to pay SCEMS for any transports denied by the carrier as a result of Wesley Medical Center's failure to supply such information as requested by CMS and/or the carrier within the time specified herein or as a result of claims denied or recouped by the carrier based on Wesley Medical Center's documentation.

### ARTICLE III MUTUAL RESPONSIBILITIES

- 3.1 **Documentation and Billing; Rate Adjustments.** SCEMS shall bill Medicare, Medicaid, third-party payers and/or the patients for payment of its full general public rates and charges for transports for which Wesley Medical Center is not responsible for payment.

For all FSED to main Facility campus transports and other transports for which Wesley Medical Center is responsible for payment under CMS rules and this Agreement, SCEMS shall invoice Wesley Medical Center on a monthly basis. Each invoice shall reflect the total amount due for the previous month's Services based upon the rate schedule attached as Appendix B. Invoices will also delineate the type of service provided, points of pick-up and discharge, date and time service was requested, pick-up time, distance of transport, added charges, if any, and name of Wesley Medical Center's authorization or reference number for each transport personnel requesting transport.

The parties agree to meet every six (6) months to review the number of patient transports. Either party has the right to request renegotiation of pricing or service levels. Pricing or service adjustments during the term of this Agreement must be agreed upon in writing by both parties.

The parties solely intend the fees paid to SCEMS or the compensation arrangement set forth herein to compensate SCEMS for the provision of Services, and not influence SCEMS with regard to any referrals of patients to Wesley Medical Center or any other affiliate of Wesley Medical Center. As such, the parties acknowledge that the compensation paid to SCEMS hereunder would be the same whether or not any such referrals are made. The parties further intend that the compensation paid hereunder shall be fair market value for the Services rendered based on arm's length bargaining and the value of similar services in the community. In the event any court or administrative agency of competent jurisdiction determines this Agreement violates any statutes or that the compensation hereunder exceeds reasonable compensation, then the parties hereto agree to take such actions as necessary to amend this Agreement to comply with the applicable statutes or regulations, as provided herein.

- 3.2 **Third-Party Billing Information.** Both parties agree to use their best efforts to assist each other in obtaining patient and/or third party billing information and will cooperate with the other party in providing this information, to the extent permitted by applicable law.
- 3.3 **Qualifications to Participate in Federal and State Healthcare Programs.** Each party represents and warrants that it: (1) is not currently excluded, debarred, or otherwise ineligible

to participate in the Federal health care programs as defined in 42 U.S.C. 1320a-7b(f) (the "Federal health care programs"); (2) has not been convicted of a criminal offense related to the provision of health care items or services but have not yet been excluded, debarred, or otherwise declared ineligible to participate in the Federal health care programs; and (3) is not under investigation or otherwise aware of any circumstances that may result in it being excluded from participation in the Federal health care programs. This shall be an ongoing representation and warranty during the term of the Agreement. Each party shall immediately notify the other party of any change in the status of the representation and warranty set forth in this Section. Any breach of this Section shall give either party the right to terminate the Agreement immediately for cause.

- 3.4 **Certifications and Licenses.** Each party shall maintain all certifications and licenses as required by all applicable state and federal laws. Each party will be certified to participate in the Medicare and Medicaid programs upon the effective date of this Agreement.
- 3.5 **Compliance with Applicable Lawsuit Rules and Regulations.** Each party agrees to perform its obligations under this Agreement in full compliance with all Federal, State and local laws, rules, and regulations applicable to the Agreement.
- 3.6 **Confidentiality Requirements.** To the extent applicable to this Agreement, the parties agree to comply with the federal Health Information Technology for Economic and Clinical Health Act of 2009 (the "HITECH Act"), the Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996, as codified at 42 USC 1320d through d-8 ("HIPAA") and any current and future regulations promulgated under either the HITECH Act or HIPAA, including without limitation the federal privacy standards contained in 45 C.F.R. Parts 160 and 164 (the "Federal Privacy Standards"), and the federal security standards contained in 45 C.F.R. Parts 160, 162 and 164 (the "Federal Security Standards"), all as may be amended from time to time, and all collectively referred to herein as "Confidentiality Requirements". The parties agree to enter into any further agreements as necessary to facilitate compliance with the Confidentiality Requirements.
- 3.7 **Audits.** During the term of this Agreement and pursuant to any record retention law or regulation the parties are subject to, either party or its duly authorized representative may audit the other party's records which may include, but is not limited to, a review of party's collection efforts, promptness of recording and remitting payments, administrative accounting functions, compliance with Medicare and Medicaid program requirements, insurance billings, financial data, compliance with this Agreement or any applicable law, and other customary audit functions related to the Services provided hereunder upon reasonable notice and subject to applicable law.
- 3.8 **Force Majeure.** Either party shall be excused for failures and delays in performance of its respective obligations under this Agreement due to any cause beyond its control and without fault, including, without limitation, any act of God, war, riot or insurrection, law or regulation, strike, flood, fire, terrorism, explosion, or inability due to any of the aforementioned causes to obtain labor, materials, roadways, or facilities. In addition to the above, SCEMS shall be excused for failures and delays in performance of its obligations



under this Agreement due to adverse weather condition, natural physical barriers, such as mountains, hills, or washes, traffic conditions, natural disasters, and/or other limitations of access to the person requiring services. Such conditions may impede, or affect or block SCEMS's efforts to provide services and/or ability to utilize some or all of its equipment. Nevertheless, each party shall use its best efforts to avoid or remove such causes and to continue performance whenever such causes are removed, and shall notify the other party of the problem.

- 3.9 **Publicity and Intellectual Property.** Neither party shall use and/or disclose any intellectual property, trademarks, service marks, visual product representations, trade names, logos, or other commercial or product designations of the other, or disclose such without the other party's prior written consent. Neither party shall identify or make reference to the other party in any communication, advertising, or other promotional modality, regardless of its form, without prior written consent from the other party. The representations are subject to the requirements of the Kansas Open Records Act, as detailed in Section 5.17 of this Agreement.
- 3.10 **Confidentiality.** Each party agrees that if it has received trade secrets or confidential and proprietary information in the negotiation and execution of this Agreement, as designated by the other party, it will not disclose any information so designated to any other person, organization or entity during the term of this Agreement or for a period of five (5) years thereafter. This provision shall survive termination of this Agreement.

#### ARTICLE IV TERM AND TERMINATION

- 4.1 **Term and Termination.** This Agreement shall be for a term of two (2) years commencing on the Effective Date written in the initial paragraph of this Agreement.

Either party may terminate this Agreement upon breach by the other party which is not cured within ten (10) calendar days following receipt of notice thereof. Furthermore, either party may terminate this Agreement at any time without cause upon ninety (90) days' written notice which shall specify the effective date of the termination. The provisions of this Agreement, which by their nature must survive termination to be effective (such as, but without limitation, obligations to pay money and obligations to submit reports) shall be deemed to remain in effect after termination of this Agreement.

- 4.2 **Immediate Termination.** Either party may immediately terminate this Agreement, without any advance notice of such termination, upon any one of the following occurrences:
- a) If Wesley Medical Center fails to pay SCEMS for the Services required to be performed hereunder or otherwise meet its obligations hereunder.
  - b) If either party fails to maintain its required licenses, permits or certifications or is excluded from the Medicare or Medicaid programs.

- c) If either party fails to keep in force the insurance policies required to be maintained under this Agreement.
- d) Upon either party's general assignment for the benefit of creditors or petition for relief in bankruptcy or under similar laws for the protections of debtors, or upon the initiation of such proceedings against either party if the same are not dismissed within forty-five (45) days of service.
- e) If any of the representations of either party as set forth in this Agreement are false or misleading in any material respect.
- f) Upon one or more of Wesley Medical Center's Facility's loss of certification as a Medicare provider

- 4.3 **Termination for Change of Laws.** If any legislation, regulation or government policy is passed or adopted, or if these laws, regulations or policies are interrupted in a manner that would materially affect either party's business or the implementation of this Agreement as written, the party shall provide notice of such law, regulation or policy to the other party and the parties agree to negotiate in good faith within thirty (30) days to modify the terms of this Agreement to comply with the applicable law, regulation or policy. If the parties cannot agree upon the necessary modification, either party may terminate this Agreement on thirty (30) days' advance written notice without consequence.

## ARTICLE V OTHER PROVISIONS

- 5.1 **Ownership of Information.** Except as otherwise specifically agreed, SCEMS agrees that it acquires no title or right to information disclosed by Wesley Medical Center to SCEMS under this Agreement.
- 5.2 **Indemnification.** To the fullest extent of the law, Wesley Medical Center shall defend, indemnify and hold harmless County and its elected and appointed officials, officers, managers, members, employees and agents, from any and all claims brought by any third-party person or entity whatsoever, arising from any act, error, or omission of Wesley Medical Center in connection with Wesley Medical Center's performance of this Agreement or any other agreements between Wesley Medical Center and the County entered into by reason of this Agreement. Wesley Medical Center shall defend, indemnify and hold harmless County and its elected and appointed officials, officers, managers, members, employees and agents, with respect to any third-party claim arising, or alleged to have arisen from negligence, and/or willful, wanton or reckless acts or omissions of Wesley Medical Center, its subcontractors, agents, servants, officers, or employees and any and all losses or liabilities resulting from any such claims, including, but not limited to, damage awards, costs, and reasonable attorney's fees. This indemnification shall not be affected by other portions of this Agreement relating to insurance requirements. Wesley Medical Center agrees that it will procure and keep in force at all times and at its own expense insurance in accordance with these specifications.

- 5.3 **No Requirements for Referrals.** The parties expressly agree that nothing contained in this Agreement shall require either party to refer any patients to, or order any goods or services from the other party. Neither party will knowingly or intentionally conduct itself in a manner as to violate the prohibition against fraud and abuse in connection with the Medicare and Medicaid programs (42 U.S.C. § 1320a- 7b).
- 5.4 **Relationship of Parties.** It is agreed that the legal relationship between SCEMS and Wesley Medical Center is of a contractual nature. Both parties assert and believe that SCEMS is acting as an independent contractor in providing the services and performing the duties required by this Agreement.
- 5.5 **Governing Law.** This Agreement shall be interpreted under and governed by the laws of the State of Kansas. The parties agree that any dispute or cause of action that arises in connection with this Agreement will be brought before a court of competent jurisdiction in Sedgwick County, Kansas.
- 5.6 **Binding Effect.** This Agreement shall be binding upon and shall inure to the benefit of the parties hereto, their respective successors, assigns or other legal representatives.
- 5.7 **Assignment.** Neither this Agreement nor any rights or obligations created by it shall be assigned or otherwise transferred by either party without the prior written consent of the other. Any attempted assignment without such consent shall be null and void.
- 5.8 **Severability.** In the event that any provision of this Agreement is held to be unenforceable, the remaining provisions shall continue in full force and effect.
- 5.9 **Incorporation of Documents.** Appendix A (Description of Services), Appendix B (Wesley Medical Center Financial Responsibility), Appendix C (Fee Schedule), and Appendix D (County Self-Insurance) are attached hereto and made a part hereof as if fully set forth herein.
- 5.10 **Notification.** Notifications required pursuant to this Agreement shall be made in writing and mailed to the addresses shown below. Such notification shall be deemed complete upon mailing.

**SCEMS:**

Sedgwick County EMS  
Attn: EMS Director  
1015 Stillwell  
Wichita, Kansas 67213

and

Sedgwick County Counselor's Office  
Attn: Contract Notification  
Sedgwick County Courthouse  
525 N. Main, Suite 359

Wichita, KS 67203-3790

**Wesley Medical Center:**

Wesley Medical Center  
Attn: CEO  
550 North Hillside  
Wichita, Kansas 67214


- 5.11 **Entire Agreement.** This Agreement and the documents incorporated herein contain all the terms and conditions agreed upon by both parties. No other understandings, oral or otherwise, regarding the subject matter of this Agreement shall be deemed to exist or to bind any of the parties hereto. Any agreement not contained herein shall not be binding on either party, nor shall it be of any force or effect.
- 5.12 **No Waiver.** No waiver of a breach of any provision of this Agreement will be construed to be a waiver of this Agreement, whether of a similar or different nature, and no delay in acting with regard to a breach shall be construed as a waiver of that breach.
- 5.13 **Authority to Contract.** Both parties assure that they possess legal authority to contract these services; that resolution, motion or similar action has been duly adopted or passed as an official act of both SCEMS and Wesley Medical Center's governing bodies, authorizing the signing of this Agreement, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of both SCEMS and Wesley Medical Center to act in connection with the application and to provide such additional information as may be required.
- 5.14 **Amendments.** Neither this Agreement nor any rights or obligations created by it shall be amended by either party without the prior written consent of the other. Any attempted amendment without such consent shall be null and void.
- 5.15 **Exclusion of Certain Damages.** Notwithstanding any provision in this Agreement to the contrary, in no event shall SCEMS or any of its respective directors, officers, members, shareholders, employees, agents, or subcontractors be liable for lost profits, special, consequential, incidental, or punitive damages, regardless of the basis of the claim, whether in contract, tort, strict liability, or other legal or equitable theory.
- 5.16 **Notification of Actual or Potential Violation of Law.** If either party becomes aware of any actual or potential violations by the other party, whether intentional or inadvertent, of any applicable state or federal statutes or regulations, it shall promptly notify the other party.
- 5.17 **Protection of Patient Information.** The parties, each of which are "covered entities," shall carry out their obligations under this Agreement in compliance with the privacy and security regulations of the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), to protect the privacy and security of any personally identifiable, protected health information ("PHI") that is collected, processed or learned as a result of the Services provided pursuant to this Agreement. Both parties acknowledge that their relationship to patients receiving services hereunder is a "direct treatment relationship" as that term is

defined in the Privacy Regulations and that this contractual relationship does not constitute a "business associate" agreement pursuant to the Privacy Rule. The parties also understand that it is permissible under HIPAA to freely exchange PHI for purposes of treatment, payment, or health care operations, including information to determine medical necessity. Both parties agree to a free exchange of PHI for purposes of treatment, payment, or health care operations, and Wesley Medical Center will provide all documents requested by SCEMS so that it may properly bill for covered transports.

- 5.18 **Information/Confidentiality.** As a governmental entity, the County's contracts are generally public records. Accordingly, no provision of this Agreement shall restrict County's ability to produce this Agreement in response to a lawful request or from otherwise complying with the Kansas Open Records Act (K.S.A. 45-215 *et seq.*).
- 5.19 **Waiver and Consent.** The failure of either party at any time to require performance by the other party of any provision hereof shall not affect in any way the rights to require such performance of any other provision hereof, nor shall the waiver by either party of a breach of any provision hereof be taken or held to be a waiver of the provision itself. If the consent of either party is necessary pursuant to the terms of this Agreement, such consent shall not be unreasonably withheld.
- 5.20 **Regulatory Changes.** The parties recognize that this Agreement is at all times subject to applicable state, local, and federal laws and shall be construed accordingly. The parties further recognize that this Agreement may become subject to or be affected by amendments in such laws and regulations or to new legislation or regulations. Any provisions of law that invalidate, or are otherwise inconsistent with, the material terms and conditions of this Agreement, or that would cause one or both of the parties hereto to be in violation of law, shall be deemed to have superseded the terms of this Agreement and, in such event, the parties agree to utilize their best efforts to modify the terms and conditions of this Agreement to be consistent with the requirements of such law(s) in order to effectuate the purposes and intent of this Agreement. In the event that any such laws or regulations affecting this Agreement are enacted, amended or promulgated, either party may propose to the other a written amendment to this Agreement to be consistent with the provisions of such laws or regulations. In the event that the parties do not agree on such written amendments within thirty (30) days of receipt of the proposed written amendments, then either party may terminate this Agreement without further notice, without consequence, unless this Agreement would expire earlier by its terms.
- 5.21 **Non-Discrimination.** All services provided under this Agreement shall be provided without regard to the race, color, creed, sex, age, disability status, payor source or national origin of the resident requiring such services. SCEMS agrees to comply with all applicable laws prohibiting discrimination in the provision of services hereunder.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the day and year first above written.

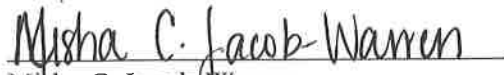
SEDGWICK COUNTY, KANSAS:

  
JAMES M. HOWELL, Chairman  
Commissioner, Fifth District

WESLEY MEDICAL CENTER:



APPROVED AS TO FORM ONLY:

  
Misha C. Jacob Warren  
Assistant County Counselor

ATTESTED TO:

  
Kelly B. Arnold  
County Clerk



## APPENDIX A HOSPITAL FINANCIAL RESPONSIBILITY

Wesley Medical Center shall be directly responsible for the payment of those services rendered as outlined below, at the rates set forth in Appendix B:

1. **Inpatient Transports:** Medical transportation services provided to all Medicare or Medicaid inpatients or inpatients where Wesley Medical Center has legal or contractual obligations with a third party payor to assume all related costs (including ambulance transports) for care on a per diem basis and/or where SCEMS is precluded by law from billing insurance for such transport. Inpatients are described as patients who may be transported between Facilities within a twenty four (24) hour period. Any patient transport that occurs between the admission and discharge dates of a Medicare inpatient stay is billable to Wesley Medical Center.
2. **Outpatient Transports:** To determine if Medicare Part B or Wesley Medical Center is the appropriate payor, Medicare applies a three part test, which consists of the following elements:
  - a) If the facilities have different provider numbers, the transport is billable to Medicare Part B (provided all other coverage criteria are met). If they are the same, then it is necessary to move on to the second criterion.
  - b) Whether or not the campuses of the two facilities are the same. "Campus" means the physical area immediately adjacent to the provider's main buildings, other areas and structures that are not strictly contiguous to the main buildings, but are located within 250 yards of the main buildings, and any of the other areas determined on an individual case basis by the CMS regional office to be part of the provider's campus. Where the two facilities sharing the same provider number are located on the same campus, the transport is billable by SCEMS to Wesley Medical Center and not to Medicare Part B. If different, move to the third criterion.
  - c) If the facilities have the same provider number and are located on different campuses, then it is necessary to determine if the patient has inpatient status at both the origin and destination facilities. If so, then Wesley Medical Center, and not Medicare Part B, is responsible for payment to SCEMS. If there is any other combination of inpatient/outpatient status, then the transport may be billable by SCEMS to Medicare Part B (if all other coverage requirements are met).

## APPENDIX B FEE SCHEDULE

### Ambulance Transport:

Free Standing Emergency Department or Facility to Facility	Distance	Rate
Wesley West ER to Wesley Main Campus	11.7 miles	\$330
Wesley Derby ER to Wesley Main Campus	11.4 miles	\$325
Wesley Woodlawn Hospital and ER to Wesley Main Campus	4.5 miles	\$270
Wesley Main Campus to Wesley Woodlawn Hospital and ER	4.5 miles	\$270
Wesley West ER to Wesley Woodlawn Hospital and ER	14.6 miles	\$355
Wesley Derby ER to Wesley Woodlawn Hospital and ER	11.6 miles	\$330

The rates for Ambulance Transports reflect a “blended” rate based on SCEMS’s analysis of charges and payments for calendar year (CY) 2014. The analysis concluded that approximately 55% of the patients transferred from the free-standing sites to the parent facility required only basic life support services. The remaining 45% of patients transferred met the criteria for advanced life support services. This “blended” rate accounts for both populations and will be a fixed rate for each transport.

### Wichita-Metro Area

#### Medicare Ground Ambulance Base Rates CY2016

Base HCPC	Description	Base Fee Amount (Urban)	Base Mileage Rate (Urban – 1 mile)
A0426	ALS1 – Non-Emergent Ambulance Service	\$251.84	\$7.24
A0428	BLS1 – Non-Emergent Ambulance Service	\$209.87	\$7.24

Note: All Base Rate Charges for ambulance transports shall be in accordance with the most current definitions of each level of service as set forth by CMS. The rates set forth herein shall increase annually by the same percentage as the Ambulance Inflation Factor (AIF), published annually by CMS. The charges outlined above are the same amounts charged to Medicare and Medicaid but reflect a discount off amounts charged to other payers. The amount of this discount will be appropriately reflected on invoices prepared by SCEMS in accordance with 42 CFR 1001.952(h).



## APPENDIX C DESCRIPTION OF SERVICES

1. SCEMS shall provide health care transportation services for the transfer of equipment, supplies, and patients. SCEMS shall not transport multiple patients in one ambulance except in the case of a disaster.
2. SCEMS shall complete and submit to Wesley Medical Center transport volume, response time compliance, and exception reports within two (2) weeks of the month ending to Wesley Medical Center.
3. Individual responses may be accepted from response time standards if factors outside SCEMS's control may have caused a late response. The following good cause exceptions shall be exempt from the standards. Good cause may include, but is not limited to, the following:
  - a) Incorrect or inaccurate information received by SCEMS from Wesley Medical Center;
  - b) Unavoidable delays caused by road construction;
  - c) Unavoidable delays caused by trains;
  - d) Severe weather events or situations which impair visibility or create significant unsafe driving conditions;
  - e) Multi-casualty disaster – defined as a single incident response requiring multiple resources;
  - f) Any other exceptions as may be approved by Wesley Medical Center.

**AGREEMENT FOR AMBULANCE AND MEDICAL TRANSPORTATION SERVICES  
by and between**

**SEDGWICK COUNTY, KANSAS  
and  
VIA CHRISTI HOSPITALS WICHITA, INC.  
and  
VIA CHRISTI HOSPITAL WICHITA ST. TERESA, INC.**

This Agreement is entered into this 14<sup>th</sup> day of December 2017, by and between Sedgwick County, Kansas ("County"), and Via Christi Hospitals Wichita, Inc. and Via Christi Hospital Wichita St. Teresa, Inc. ("Hospitals"), non-profit corporations licensed to do business in Kansas.

**WITNESSETH:**

**WHEREAS**, Hospitals own and operate campuses at St. Francis campus, 929 N. St. Francis, Wichita, KS; St. Joseph campus, 3600 E Harry, Wichita, KS; Good Shepherd/Behavioral Health, 8901 E. Orme, Wichita, KS; and St. Teresa, 14800 Saint Teresa Street, Wichita, KS; and

**WHEREAS**, Hospitals desire to obtain health care transportation services for the transfer of equipment, supplies, and patients to and from Hospitals and/or other healthcare facilities as directed when Hospitals' transportation service is unavailable or compromised; and

**WHEREAS**, County, through its Emergency Medical Service ("SCEMS") desires to provide such services and has the necessary equipment, training, expertise, professional certifications and licenses to do so.

**NOW, THEREFORE**, in consideration of the mutual covenants, conditions and promises contained herein, the parties hereto agree as follows:

**ARTICLE I  
RESPONSIBILITIES OF SCEMS**

- 1.1 **Provision of Services.** SCEMS agrees to provide Hospitals with ambulance transport services pursuant to the terms and conditions set forth in this Agreement and as defined in Appendix A ("Services"). SCEMS shall provide sufficient ambulances to service the needs of Hospitals on a 24-hour-per-day, 365/366 days-per-year basis. SCEMS agrees to perform the services in accordance with industry standards.
- 1.2 **Timeliness of Services.** SCEMS shall provide all services on a timely basis, determined as follows:

- a) Emergent ambulance transportation requests will arrive within thirty (30) minutes of the service request.
- b) Non-emergent ambulance transportation requests will arrive within ninety (90) minutes of the service request.

SCEMS shall transport all patients received from Hospitals as expeditiously as possible to the designated location.

- 1.3 **Response Time/Compliance Measures.** SCEMS's response times shall be reviewed on a quarterly basis to determine compliance with the standards set forth in this Agreement. Response times will be calculated from the time the call is received by SCEMS's Communication Center to the time of arrival at the designated on-scene location. SCEMS's crews are responsible for accurately reporting on-scene arrival times immediately upon arrival at the scene of the request for service to their dispatcher who will enter it into the CAD record. It is SCEMS's responsibility to capture and report response times on each call and provide Hospitals with the arrival time for each requested transfer. If SCEMS is called off the transport for any reason, SCEMS and/or the Communication Center dispatcher will immediately notify the requesting Hospital so the timing of the response ticket can be closed.

- 1.4 **Measures of Overall Compliance.** Calendar quarters shall constitute reporting periods, and the response time standards set forth in this Agreement shall be met in not less than ninety percent (90%) of SCEMS's aggregate responses to Hospitals.

On occasion, special circumstances may cause a change in services, as outlined in Appendix C. Response time calculations for determination of compliance shall be as follows:

- a) If an assignment is upgraded prior to arrival of the ambulance on the scene, the time shall be measured from the time of the upgrade.
- b) If an assignment is downgraded prior to arrival of the ambulance on the scene, the time shall be measured against the revised request.
- c) If a request for an emergency response is canceled, SCEMS's response time shall be calculated to the moment of the cancellation or to the moment of arrival of SCEMS's unit at the scene, whichever occurs first. Reasons for the cancellation will be tracked by Hospitals and reported monthly in an effort to reduce cancellations.

- 1.5 **Disaster Services.** In the event of a major disaster, SCEMS shall, subject to SCEMS's equipment and manpower availability, utilize its resources to provide Hospitals support and transportation.

- 1.6 **Compliance.** SCEMS shall perform all services under this Agreement in accordance with any and all regulatory and accreditation standards applicable to Hospitals and the service, including all applicable federal, state, and local laws, rules, regulations and policies.
- 1.7 **Insurance.** County is self-funded for Comprehensive General Liability, Workers Compensation, and Automobile insurance. County adheres to the provisions of the Kansas Tort Claims Act (K.S.A. 75-6101 *et seq.*), which limits liability for municipal entities to \$500,000.00.
- 1.8 **Availability and Documentation.** SCEMS shall, for a period of six (6) years after this Agreement terminates, make available, upon the written request of the Secretary of Health and Human Services or the Comptroller General, or their representatives, this Agreement, and such books, documents and records as may be necessary to verify the nature and extent of the costs of the services rendered hereunder. Furthermore, the parties agree that if any of the work provided for under this Agreement, with a value of Ten Thousand Dollars (\$10,000.00) or more in any twelve month period, shall be performed by a subcontractor, they shall require the subcontractor to sign a similar agreement to make its books and records available for such a six (6) year period of time.
- 1.9 **Equipment Records.** SCEMS shall document the receipt of any hospital-owned equipment necessary for the convenient transfer of patients, assume custody for the equipment during the transfer, and return the equipment to the appropriate hospital department as soon as practicable after the transfer.
- 1.10 **Patient Valuables.** SCEMS shall document the receipt of patient valuables, assure custody for the valuables upon receipt, and deliver the valuables to a responsible party at receiving Hospitals.
- 1.11 **Patient's Right for Ambulance Service.** SCEMS does not discriminate in the provision of covered medical services hereunder, whether on the basis of a person's age, gender, marital status, sexual orientation, race, color, religion, ancestry, national origin, disability, handicap, health status, or other unlawful basis including, without limitation, the filing by a person of any complaint, grievance or legal action against Via Christi, SCEMS, or payor. SCEMS is not required to provide services to a person who refuses to cooperate with SCEMS's efforts to provide services or if SCEMS has other good cause for refusing to provide services. In addition, SCEMS shall abide by the requirements of 41 CFR 60-1.4(a) which prohibits discrimination on the basis of race, color, religion, gender, and national origin. SCEMS shall also abide by the requirements of 41 CFR 60-300.5(a) and 41 C.F.R. 60-741.5(a) which prohibit discrimination as to and against qualified protected veterans and qualified individuals on the basis of disability, and requires affirmative action by covered contractors to employ and advance in employment qualified protected veterans and qualified individuals with disabilities.

## ARTICLE II RESPONSIBILITIES OF HOSPITALS

- 2.1 **Preferred Medical Transportation Provider.** Hospitals agree that if their transportation services are unavailable or compromised, Hospitals agree that SCEMS is its preferred provider of ground basic and advanced ground life support services for Hospitals' patients requiring such services, 24-hours-per-day, 7-days per week, pursuant to the terms of this Agreement. Said services consist of a response by SCEMS to Hospitals or other patient location, treatment and other pre-transport activities, including the rendering of emergency medical service at the Hospitals or other patient location, appropriate care and treatment during transport, and one-way transportation to the patient's designated destination. As used in this paragraph, "preferred provider" shall mean that SCEMS shall be the first ground ambulance provider contacted by Via Christi for all emergency and non-emergency medical transportation services for Via Christi's patients who require such services.
- 2.2 **Exceptions to Preferred Transport Provider Provision.** Notwithstanding the provisions of Section 2.1, Hospitals may utilize the services of another ambulance provider in the following situations:
- a) A Hospitals patient requests the services of another ambulance provider for wheelchair van or convalescent transportation.
  - b) The destination of Hospitals' patient is outside Sedgwick County.
  - c) The parties otherwise mutually agree.
- 2.3 **Availability.** Hospitals expressly understand and acknowledge that SCEMS may be unavailable at times due to high demand, emergencies or other unforeseen circumstances. SCEMS will notify Hospitals when requests services under this Agreement cannot be honored in order to allow Hospitals to obtain the services of another provider. Hospitals understands that, in those instances where SCEMS is unavailable, SCEMS has no responsibility to arrange or pay for the charges of a substitute provider or to pay Hospitals the difference, if any, between the contracted rate and the charges of any such substitute provider.
- 2.4 **Documentation and Timeliness of Payment.** Hospitals shall provide physician certificates of medical necessity and/or other medical necessity documentation at the time as required by Medicare. Hospitals shall otherwise cooperate with SCEMS in obtaining physician certificates of medical necessity and/or other medical necessity documentation for all ambulance transportation of its patients to the extent permitted by applicable laws.

Hospitals shall be responsible for payment for facilities to parent facility transports and other transports for which Hospitals is financially responsible by law, including those set forth in Chapter 10, Section 10.3.3 of the Medicare Benefit Policy Manual, CMS Publication 100-2. Hospitals shall pay forty-five (45) days from the date of invoice, according to the rate payment schedule set forth in Appendix B hereto.

- 2.5 **Availability of Records.** Until the expiration of six (6) years after providing services pursuant to this Agreement, Hospitals shall retain and make available to the Secretary of Health and Human Services, the Comptroller General, or their duly authorized representatives upon written request, records necessary to verify the nature, extent, and cost of services rendered hereunder. No attorney-client, accountant-client, or other legal privilege will be deemed to have been waived by Hospitals by virtue of this Agreement.
- 2.6 **Insurance.** Hospitals shall maintain, at all applicable times, comprehensive general liability and professional liability in amounts equal to at least \$1,000,000.00 per occurrence and \$3,000,000.00 in the aggregate. Hospitals shall furnish SCEMS with satisfactory evidence of such insurance prior to execution of this Agreement.
- 2.7 **Facility Information.** Hospitals shall provide SCEMS with its policies, procedures, billing protocol, and activities relevant to this Agreement prior to execution of this Agreement. Hospitals shall update SCEMS with any material amendments that it makes. Hospitals shall provide SCEMS notice of such changes at least thirty (30) days before their effective date.
- 2.8 **Non-Emergency Transport.** At the time of scheduling a non-emergency transport, Hospitals shall provide SCEMS all necessary information about the patient to enable SCEMS to properly bill the appropriate payor. Such information shall include the patient's insurance status and, if the patient is a Medicare beneficiary:
  - a) Whether or not the patient is in a "Medicare Part A" stay at the time services are provided;
  - b) Whether the services relate to the patient's plan of care, if applicable; and
  - c) Whether the patient is an inpatient or outpatient at the point of origin and destination at the time of the transport.
- 2.9 **Third-Party Billing.** When required or permitted by law, SCEMS will bill the patient, the patient's financially responsible party, or any available insurance or third party payment source for services provided under this Agreement. This includes transports that SCEMS is authorized to bill under Medicare Part B and Medicaid and that are covered under the applicable coverage criteria of those programs.
- 2.10 **Billing to Hospitals.** Where Hospitals are required by law or where Hospitals have agreed to be responsible for payment, as described in Appendix A, SCEMS will bill

Hospitals directly for services rendered to patients of Hospitals. For these transports, Hospitals agree to pay SCEMS according to the fee schedule set forth in Appendix B. This includes, among other types of transports for which Hospitals are responsible for providing, transports that SCEMS cannot bill directly to Medicare Part B or Medicaid.

- 2.11 **Payment in Full.** SCEMS shall not bill any patient, financially responsible party, insurer, or third party payor for any transports that are the responsibility of Hospitals. Hospitals agree to indemnify, defend, and hold harmless SCEMS for any liability resulting from its submission of any such bills when it was the result of information supplied by Hospitals. When charges are properly billed for transports, SCEMS shall accept the fee schedule amounts outlined in the Appendices to this Agreement as payment in full.
- 2.12 **Prompt Payment.** Hospitals agrees to remit payment to SCEMS for all transports for which it is responsible to pay under the law and under this Agreement within forty-five to sixty (45-60) days of the date of SCEMS's bill. Hospitals agree that payment to SCEMS is not contingent upon any payments that Hospitals may collect from other sources. Hospitals agree to be responsible for the payment to SCEMS of its costs for collection of accounts past ninety (90) days.
- 2.13 **Provision of Information.** Hospitals shall, prior to the time that services are provided, furnish to SCEMS the information necessary for SCEMS's proper billing of the services provided. This includes, but is not limited to a face sheet and a properly completed physician certification statement (PCS) when such documentation is required to support SCEMS's claim for payment. PCS forms shall be obtained by Hospitals on all non-emergency ambulance transports of Medicare beneficiaries and comply with the most current rules of the Centers for Medicare and Medicaid Services (CMS). Hospitals shall utilize PCS forms approved by SCEMS for this purpose.
- 2.14 **Classification of Transport.** In the event of a dispute regarding the classification of any particular transport as a Medicare Part A or Part B transport, Hospitals agree to provide SCEMS, within five (5) days of SCEMS's request, any information within its possession or control, including but not limited to the resident's plan of care, to facilitate proper billing for the transport. Hospitals shall use its reasonable efforts to obtain information not in its possession or control which may be material to SCEMS's determination as to proper billing under this Agreement.
- 2.15 **Medicare Records.** Hospitals represents and warrants that it shall, within thirty (30) days of receiving any requests from CMS or its authorized contractor, make available any and all such records requested by CMS or its contractor for the purposes of determining whether any ambulance transports arising hereunder qualify for payment under Medicare Part B. Hospitals shall be responsible to pay SCEMS for any transports denied by the carrier as a result of Hospitals' failure to supply such information as requested by CMS and/or the carrier within the time specified herein or as a result of claims denied or recouped by the carrier based on Hospitals' documentation.

### ARTICLE III MUTUAL RESPONSIBILITIES

- 3.1 **Documentation and Billing; Rate Adjustments.** SCEMS shall bill Medicare, Medicaid, third-party payers and/or the patients for payment of its full general public rates and charges for transports for which Hospital is not responsible for payment.

For all Hospitals to main Hospitals campus transports and other transports for which Hospitals is responsible for payment under CMS rules and this Agreement, SCEMS shall invoice Hospitals on a monthly basis. Each invoice shall reflect the total amount due for the previous month's services based upon the rate schedule attached as Appendix B. Invoices will also delineate the type of service provided, points of pick-up and discharge, date and time service was requested, pick-up time, distance of transport, added charges, if any, and name of Hospitals' authorization or reference number for each transport personnel requesting transport.

The parties agree to meet every six (6) months to review the number of patient transports. Either party has the right to request renegotiation of pricing or service levels. Pricing or service adjustments during the term of this Agreement must be agreed upon in writing by both parties.

The parties solely intend the fees paid to SCEMS or the compensation arrangement set forth herein to compensate SCEMS for the provision of Services, and not influence SCEMS with regard to any referrals of patients to Via Christi or any other affiliate of Via Christi. As such, the parties acknowledge that the compensation paid to SCEMS hereunder would be the same whether or not any such referrals are made. The parties further intend that the compensation paid hereunder shall be fair market value for the Services rendered based on arm's length bargaining and the value of similar services in the community. In the event any court or administrative agency of competent jurisdiction determines this Agreement violates any statutes or that the compensation hereunder exceeds reasonable compensation, then the parties hereto agree to take such actions as necessary to amend this Agreement to comply with the applicable statutes or regulations, as provided herein.

- 3.2 **Third-Party Billing Information.** Both parties agree to use their best efforts to assist each other in obtaining patient and/or third party billing information and will cooperate with the other party in providing this information, to the extent permitted by applicable law.
- 3.3 **Qualifications to Participate in Federal and State Healthcare Programs.** Each party represents and warrants that it: (1) is not currently excluded, debarred, or otherwise ineligible to participate in the Federal health care programs as defined in 42 U.S.C. 1320a-7b(f) (the "Federal health care programs"); (2) has not been convicted of a



criminal offense related to the provision of health care items or services but have not yet been excluded, debarred, or otherwise declared ineligible to participate in the Federal health care programs; and (3) is not under investigation or otherwise aware of any circumstances that may result in it being excluded from participation in the Federal health care programs. This shall be an ongoing representation and warranty during the term of the Agreement. Each party shall immediately notify the other party of any change in the status of the representation and warranty set forth in this section. Any breach of this section shall give either party the right to terminate the Agreement immediately for cause.

- 3.4 **Certifications and Licenses.** Each party shall maintain all certifications and licenses as required by all applicable state and federal laws. Each party will be certified to participate in the Medicare and Medicaid programs upon the effective date of this Agreement.
- 3.5 **Compliance with Applicable Law Rules and Regulations.** Each party agrees to perform its obligations under this Agreement in full compliance with all Federal, State and local laws, rules, and regulations applicable to the Agreement.
- 3.6 **Confidentiality Requirements.** To the extent applicable to this Agreement, the parties agree to comply with the federal Health Information Technology for Economic and Clinical Health Act of 2009 (the "HITECH Act"), the Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996, as codified at 42 USC 1320d through d-8 ("HIPAA") and any current and future regulations promulgated under either the HITECH Act or HIPAA, including without limitation the federal privacy standards contained in 45 C.F.R. Parts 160 and 164 (the "Federal Privacy Standards"), and the federal security standards contained in 45 C.F.R. Parts 160, 162 and 164 (the "Federal Security Standards"), all as may be amended from time to time, and all collectively referred to herein as "Confidentiality Requirements". The parties agree to enter into any further agreements as necessary to facilitate compliance with the Confidentiality Requirements.
- 3.7 **Audits.** During the term of this Agreement and pursuant to any records retention law or regulation the parties are subject to, either party or its duly authorized representative may audit the other party's records which may include, but is not limited to, a review of party's collection efforts, promptness of recording and remitting payments, administrative accounting functions, compliance with Medicare and Medicaid program requirements, insurance billings, financial data, compliance with this Agreement or any applicable law, and other customary audit functions related to the services provided hereunder upon reasonable notice and subject to applicable law.
- 3.8 **Force Majeure.** Either party shall be excused for failures and delays in performance of its respective obligations under this Agreement due to any cause beyond its control and without fault, including, without limitation, any act of God, war, riot or insurrection, law or regulation, strike, flood, fire, terrorism, explosion, or inability due to any of the aforementioned causes to obtain labor, materials, roadways, or facilities. In addition to the above, SCEMS shall be excused for failures and delays in performance of its

obligations under this Agreement due to adverse weather condition, natural physical barriers, such as mountains, hills, or washes, traffic conditions, natural disasters, and/or other limitations of access to the person requiring services. Such conditions may impede, or affect or block SCEMS's efforts to provide services and/or ability to utilize some or all of its equipment. Nevertheless, each party shall use its best efforts to avoid or remove such causes and to continue performance whenever such causes are removed, and shall notify the other party of the problem.

- 3.9 **Publicity and Intellectual Property.** Neither party shall use and/or disclose any intellectual property, trademarks, service marks, visual product representations, trade names, logos, or other commercial or product designations of the other, or disclose such without the other party's prior written consent. Neither party shall identify or make reference to the other party in any communication, advertising, or other promotional modality, regardless of its form, without prior written consent from the other party. The representations are subject to the requirements of the Kansas Open Records Act, as detailed in Section 5.18 of this Agreement.

#### **ARTICLE IV TERM AND TERMINATION**

- 4.1 **Term and Termination.** This Agreement shall be for a term of two (2) years commencing on the date written in the initial paragraph of this Agreement.

Either party may terminate this Agreement upon breach by the other party which is not cured within ten (10) calendar days following receipt of notice thereof. Furthermore, either party may terminate this Agreement at any time without cause upon ninety (90) days written notice which shall specify the effective date of the termination. The provisions of this Agreement, which by their nature must survive termination to be effective (such as, but without limitation, obligations to pay money and obligations to submit reports) shall be deemed to remain in effect after termination of this Agreement.

- 4.2 **Immediate Termination.** Either party may immediately terminate this Agreement, without any advance notice of such termination, upon any one of the following occurrences:

- a) If Hospitals fails to pay SCEMS for the services required to be performed hereunder or otherwise meet its obligations hereunder.
- b) If either party fails to maintain its required licenses, permits or certifications or is excluded from the Medicare or Medicaid programs.
- c) If either party fails to keep in force the insurance policies required to be maintained under this Agreement.

- d) Upon either party's general assignment for the benefit of creditors or petition for relief in bankruptcy or under similar laws for the protections of debtors, or upon the initiation of such proceedings against either party if the same are not dismissed within forty-five (45) days of service.
- e) If any of the representations of either party as set forth in this Agreement are false or misleading in any material respect.
- f) Upon one or more of Hospitals loss of certification as a Medicare provider.

- 4.3 **Termination for Change of Laws.** If any legislation, regulation or government policy is passed or adopted, or if these laws, regulations or policies are interrupted in a manner that would materially affect either party's business or the implementation of this Agreement as written, the party shall provide notice of such law, regulation or policy to the other party and the parties agree to negotiate in good faith within thirty (30) days to modify the terms of this Agreement to comply with the applicable law, regulation or policy. If the parties cannot agree upon the necessary modification, either party may terminate this Agreement on thirty (30) days advance written notice without consequence.

## ARTICLE V OTHER PROVISIONS

- 5.1 **Ownership of Information.** Except as otherwise specifically agreed, SCEMS agrees that it acquires no title or right to information disclosed by Hospitals to SCEMS under this Agreement.
- 5.2 **Indemnification.** To the fullest extent of the law, Hospitals shall defend, indemnify and hold harmless County and its elected and appointed officials, officers, managers, members, employees and agents, from any and all claims brought by any third-party person or entity whatsoever, arising from any act, error, or omission of Hospitals in connection with Hospitals' performance of this Agreement or any other agreements between Hospitals and the County entered into by reason of this Agreement. Hospitals shall defend, indemnify and hold harmless County and its elected and appointed officials, officers, managers, members, employees and agents, with respect to any third-party claim arising, or alleged to have arisen from negligence, and/or willful, wanton or reckless acts or omissions of Hospitals, its subcontractors, agents, servants, officers, or employees and any and all losses or liabilities resulting from any such claims, including, but not limited to, damage awards, costs, and reasonable attorney's fees. This indemnification shall not be affected by other portions of this Agreement relating to insurance requirements. Hospitals agree that it will procure and keep in force at all times and at its own expense insurance in accordance with these specifications.

To the fullest extent of the law, County shall defend, indemnify and hold harmless Hospitals and its elected and appointed officials, officers, managers, members, employees and agents, from any and all claims brought by any third-party person or entity

whatsoever, arising from any act, error, or omission of County in connection with County's performance of this Agreement or any other agreements between Hospitals and the County entered into by reason of this Agreement. County shall defend, indemnify and hold harmless Hospital and its elected and appointed officials, officers, managers, members, employees and agents, with respect to any third-party claim arising, or alleged to have arisen from negligence, and/or willful, wanton or reckless acts or omissions of County, its subcontractors, agents, servants, officers, or employees and any and all losses or liabilities resulting from any such claims, including, but not limited to, damage awards, costs, and reasonable attorney's fees. This indemnification shall not be affected by other portions of this Agreement relating to insurance requirements. County agree that it will procure and keep in force at all times and at its own expense insurance in accordance with these specifications.

- 5.3 **No Requirements for Referrals.** The parties expressly agree that nothing contained in this Agreement shall require either party to refer any patients to, or order any goods or services from the other party. Neither party will knowingly or intentionally conduct itself in a manner as to violate the prohibition against fraud and abuse in connection with the Medicare and Medicaid programs (42 U.S.C. § 1320a- 7b).
- 5.4 **Relationship of Parties.** It is agreed that the legal relationship between SCEMS and Hospitals is of a contractual nature. Both parties assert and believe that SCEMS is acting as an independent contractor in providing the services and performing the duties required by this Agreement.
- 5.5 **Governing Law.** This Agreement shall be interpreted under and governed by the laws of the State of Kansas. The parties agree that any dispute or cause of action that arises in connection with this Agreement will be brought before a court of competent jurisdiction in Sedgwick County, Kansas.
- 5.6 **Binding Effect.** This Agreement shall be binding upon and shall inure to the benefit of the parties hereto, their respective successors, assigns or other legal representatives.
- 5.7 **Assignment.** Neither this Agreement nor any rights or obligations created by it shall be assigned or otherwise transferred by either party without the prior written consent of the other. Any attempted assignment without such consent shall be null and void.
- 5.8 **Severability.** In the event that any provision of this Agreement is held to be unenforceable, the remaining provisions shall continue in full force and effect.
- 5.9 **Incorporation of Documents.** Appendix A (Hospital Financial Responsibility), Appendix B (Fee Schedule) and Appendix C (Description of Services are attached hereto and made a part hereof as if fully set forth herein.

- 5.10 **Notification.** Notifications required pursuant to this Agreement shall be made in writing and mailed to the addresses shown below. Such notification shall be deemed complete upon mailing.

**SCEMS:**

Sedgwick County EMS  
Attn: EMS Director  
1015 Stillwell  
Wichita, Kansas 67213

and

Sedgwick County Counselor's Office  
Attn: Contract Notification  
Sedgwick County Courthouse  
525 N. Main, Suite 359  
Wichita, Kansas 67203-3790

**Via Christi Hospitals Wichita, Inc.:**

Via Christi Hospitals Wichita, Inc.  
Attn: President  
929 N St. Francis  
Wichita, Kansas 67214

and

**Via Christi Hospital Wichita, St. Teresa, Inc.:**

Via Christi Hospital Wichita St. Teresa, Inc.  
Attn: President  
14800 Saint Teresa Street  
Wichita, Kansas 67235

- 5.11 **Entire Agreement.** This Agreement and the documents incorporated herein contain all the terms and conditions agreed upon by both parties. No other understandings, oral or otherwise, regarding the subject matter of this Agreement shall be deemed to exist or to bind any of the parties hereto. Any agreement not contained herein shall not be binding on either party, nor shall it be of any force or effect.
- 5.12 **No Waiver.** No waiver of a breach of any provision of this Agreement will be construed to be a waiver of this Agreement, whether of a similar or different nature, and no delay in acting with regard to a breach shall be construed as a waiver of that breach.

- 5.13 **Authority to Contract.** Both parties assure that they possess legal authority to contract these services; that resolution, motion or similar action has been duly adopted or passed as an official act of both SCEMS and Hospitals' governing bodies, authorizing the signing of this Agreement, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of both SCEMS and Hospitals to act in connection with the application and to provide such additional information as may be required.
- 5.14 **Amendments.** Neither this Agreement nor any rights or obligations created by it shall be amended by either party without the prior written consent of the other. Any attempted amendment without such consent shall be null and void.
- 5.15 **Exclusion of Certain Damages.** Notwithstanding any provision in this Agreement to the contrary, in no event shall SCEMS or any of its respective directors, officers, members, shareholders, employees, agents, or subcontractors be liable for lost profits, special, consequential, incidental, or punitive damages, regardless of the basis of the claim, whether in contract, tort, strict liability, or other legal or equitable theory.
- 5.16 **Notification of Actual or Potential Violation of Law.** If either party becomes aware of any actual or potential violations by the other party, whether intentional or inadvertent, of any applicable state or federal statutes or regulations, it shall promptly notify the other party.
- 5.17 **Protection of Patient Information.** The parties, each of which are "covered entities," shall carry out their obligations under this Agreement in compliance with the privacy and security regulations of the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), to protect the privacy and security of any personally identifiable, protected health information ("PHI") that is collected, processed or learned as a result of the services provided pursuant to this Agreement. Both parties acknowledge that their relationship to patients receiving services hereunder is a "direct treatment relationship" as that term is defined in the Privacy Regulations and that this contractual relationship does not constitute a "business associate" agreement pursuant to the Privacy Rule. The parties also understand that it is permissible under HIPAA to freely exchange PHI for purposes of treatment, payment, or health care operations, including information to determine medical necessity. Both parties agree to a free exchange of PHI for purposes of treatment, payment, or health care operations, and Hospitals will provide all documents requested by SCEMS so that it may properly bill for covered transports.
- 5.18 **Information/Confidentiality.** As a governmental entity, the County's contracts are generally public records. Accordingly, no provision of this Agreement shall restrict County's ability to produce this Agreement in response to a lawful request or from otherwise complying with the Kansas Open Records Act (K.S.A. 45-215 *et seq.*).
- 5.19 **Waiver and Consent.** The failure of either party at any time to require performance by the other party of any provision hereof shall not affect in any way the rights to require

such performance of any other provision hereof, nor shall the waiver by either party of a breach of any provision hereof be taken or held to be a waiver of the provision itself. If the consent of either party is necessary pursuant to the terms of this Agreement, such consent shall not be unreasonably withheld.

- 5.20 **Regulatory Changes.** The parties recognize that this Agreement is at all times subject to applicable state, local, and federal laws and shall be construed accordingly. The parties further recognize that this Agreement may become subject to or be affected by amendments in such laws and regulations or to new legislation or regulations. Any provisions of law that invalidate, or are otherwise inconsistent with, the material terms and conditions of this Agreement, or that would cause one or both of the parties hereto to be in violation of law, shall be deemed to have superseded the terms of this Agreement and, in such event, the parties agree to utilize their best efforts to modify the terms and conditions of this Agreement to be consistent with the requirements of such law(s) in order to effectuate the purposes and intent of this Agreement. In the event that any such laws or regulations affecting this Agreement are enacted, amended or promulgated, either party may propose to the other a written amendment to this Agreement to be consistent with the provisions of such laws or regulations. In the event that the parties do not agree on such written amendments within thirty (30) days of receipt of the proposed written amendments, then either party may terminate this Agreement without further notice, without consequence, unless this Agreement would expire earlier by its terms.
- 5.21 **Non-Discrimination.** All services provided under this Agreement shall be provided without regard to the race, color, creed, sex, age, disability status, payor source or national origin of the resident requiring such services. SCEMS agrees to comply with all applicable laws prohibiting discrimination in the provision of services hereunder.


[remainder of this page intentionally left blank]

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the day and year first above written.


**SEDGWICK COUNTY, KANSAS:**

**VIA CHRISTI HOSPITALS WICHITA, INC.:**


  
\_\_\_\_\_  
DAVID M. UNRUH, Chairman  
Commissioner, First District

  
\_\_\_\_\_  
SHERRY HAUSMANN  
Regional Hospital President Wichita


APPROVED AS TO FORM:

  
\_\_\_\_\_  
William F. Deer  
Assistant County Counselor

APPROVED AS TO FORM:


  
\_\_\_\_\_  
Matthew C. Hesse  
Senior Counsel

ATTESTED TO:

  
\_\_\_\_\_  
Kelly B. Arnold  
County Clerk



**VIA CHRISTI HOSPITAL WICHITA ST.  
TERESA, INC.:**

  
\_\_\_\_\_  
Claudio Ferraro  
Hospital President St. Teresa



## APPENDIX A HOSPITAL FINANCIAL RESPONSIBILITY

Hospitals shall be directly responsible for the payment of those services rendered as outlined below, at the rates set forth in Appendix B:

1. **Inpatient Transports:** Medical transportation services provided to all Medicare or Medicaid inpatients or inpatients where Hospitals has legal or contractual obligations with a third party payor to assume all related costs (including ambulance transports) for care on a per diem basis and/or where SCEMS is precluded by law from billing insurance for such transport. Inpatients are described as patients who may be transported between Facilities within a twenty four (24) hour period. Any patient transport that occurs between the admission and discharge dates of a Medicare inpatient stay is billable to Hospitals.
2. **Outpatient Transports:** To determine if Medicare Part B or Hospitals is the appropriate payor, Medicare applies a three part test, which consists of the following elements:
  - a) If the facilities have different provider numbers, the transport is billable to Medicare Part B (provided all other coverage criteria are met). If they are the same, then it is necessary to move on to the second criterion.
  - b) Whether or not the campuses of the two facilities are the same. "Campus" means the physical area immediately adjacent to the provider's main buildings, other areas and structures that are not strictly contiguous to the main buildings, but are located within 250 yards of the main buildings, and any of the other areas determined on an individual case basis by the CMS regional office to be part of the provider's campus. Where the two facilities sharing the same provider number are located on the same campus, the transport is billable by SCEMS to Hospitals and not to Medicare Part B. If different, move to the third criterion.
  - c) If the facilities have the same provider number and are located on different campuses, then it is necessary to determine if the patient has inpatient status at both the origin and destination facilities. If so, then Hospitals, and not Medicare Part B, is responsible for payment to SCEMS. If there is any other combination of inpatient/outpatient status, then the transport may be billable by SCEMS to Medicare Part B (if all other coverage requirements are met).

## APPENDIX B FEE SCHEDULE

### Ambulance Transport:

Campus/facility to facility	Level of Service	Rate
All Hospitals to Hospitals facilities	ALS E & NE	\$450.00
All Hospitals to Hospitals facilities	BLS E & NE	\$325.00

The rate for Ambulance Transports reflects a “blended” rate based on SCEMS’s analysis of charges and payments for calendar year (CY) 2016, analysis of transport origins and destinations, and transport volume. The analysis concluded that approximately 58% of the patients transferred from Hospitals’ facilities required Advanced Life Support services and the remaining 42% required Basic Life Support services.

### Wichita-Metro Area - Medicare Ground Ambulance Base Rates:

All Base Rate Charges for ambulance transports shall be in accordance with the most current definitions of each level of service as set forth by CMS. The rates set forth herein shall increase annually by the same percentage as the Ambulance Inflation Factor (AIF), published annually by CMS. The amount of this discount will be appropriately reflected on invoices prepared by SCEMS in accordance with 42 C.F.R. 1001.952(h).

**APPENDIX C**  
**DESCRIPTION OF SERVICES**

1. SCEMS shall provide health care transportation services for the transfer of equipment, supplies, and patients.
2. SCEMS shall complete and submit to Hospitals transport volume, response time compliance, and exception reports by the 15<sup>th</sup> of the month.
3. Individual responses may be accepted from response time standards if factors outside SCEMS's control may have caused a late response. The following good cause exceptions shall be exempt from the standards. Good cause may include, but is not limited to, the following:
  - a) Incorrect or inaccurate information received by SCEMS from Hospitals;
  - b) Unavoidable delays caused by road construction;
  - c) Unavoidable delays caused by trains;
  - d) Severe weather events or situations which impair visibility or create significant unsafe driving conditions;
  - e) Multi-casualty disaster – defined as a single incident response requiring multiple resources;
  - f) Any other exceptions as may be approved by Hospitals.

Name	Location	Call Volume	Population	Service Type	Intrafacility Transfers	Intrafacility Fee	BLS-Nonemergent	BLS-Emergent	ALSI	ALSI	SCT/Critical Care	Mileage	Transport-ALS	Transport-BLS	Non-resident	Deceased	Add'l Itemized chgs
Austin-Travis County EMS	Austin, TX	119,223	1,270,000	City	Yes-limited to critical	No	\$ 941.00	\$ 941.00	\$ 1,011.00	\$ 1,076.00	\$ 715.00	\$ 13.50	\$ 75.00	\$ 25.00	N/A	N/A	NO
Emergency Medical Services Authority-EMSA	Tulsa & Oklahoma City, OK	N/A	1,100,000	City "Public Trust"	YES	N/A	\$ 1,300.00	\$ 1,300.00	\$ 1,300.00	\$ 1,300.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Indianapolis EMS	Indianapolis, IN (Marion County)	124,000	903,393	Hospital based	No	N/A	N/A	N/A	N/A	N/A	N/A	\$ 45.00	N/A	N/A	N/A	N/A	N/A
MED-ACT Johnson County	Olathe, KS	40,000	560,000	3rd service(County)	Yes-limited to critical	No	\$ 339.07	\$ 638.53	\$ 758.25	\$ 1,097.48	\$ 1,297.03	\$ 13.72	N/A	N/A	N/A	N/A	N/A
San Antonio Fire/EMS	San Antonio, TX	130,000	1,581,730	Fire Based (City)	No	N/A	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00	N/A	\$ 12.00	\$ 100.00	\$ 100.00	\$ 100.00	\$ 70.00	Yes
Wake County EMS	Raleigh, NC	109,000	1,110,000	3rd service(County)	Yes	No	\$ 540.06	\$ 540.06	\$ 641.33	\$ 928.23	N/A	\$ 11.43	\$ 150.00	\$ 200.00	N/A	N/A	N/A
<b>Sedgwick County EMS</b>																	
911 Response	Wichita, KS	65,708	516,042	3rd service(County)	Yes	N/A	350	750	800	850	N/A	15	N/A	N/A	N/A	N/A	N/A
Ascension (Current Contract)	Wichita, KS					398.29											
Wesley (Current Contract)	Wichita, KS					328.35											
Non-contracted Hospitals (Current)	Wichita, KS					491.79											
Proposal (Break-Even Model)	Wichita, KS					478.15											

Note: contractual rates represent weighted average charges base on 2019 transport totals.

## Decision Packages - 2022 Sedgwick County Budget

### [808] Training Officer

<b>Division:</b>	Fire District 1	<b>Contact Name:</b>	Douglas Williams
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	14007-240	<b>Fund:</b>	240
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	

### Summary

To continue with our functional consolidation efforts with WFD, we are requesting the addition of 1 FTE, to staff a training officer position for the department. This position will coordinate recruit training, department wide fire and emergency training, as well as coordinate and liaison with the Wichita Fire Department and other area fire partners to develop intra-agency training. This position will work out of WFD's Regional Training Center. COVID 19 has highlighted the importance of developing local training with our regional partners.

**Legal Reference:** Chapter 48, Article 9 and Chapter 65 of the Kansas Statutes Annotated.

### Legal Requirement:

Chapter 48, Article 9 of the Kansas Statutes Annotated. Members are required to maintain training certifications in technical rescue (Kansas Fire Service Working Group Charter), hazardous materials (Kansas Hazard Mitigation Team Charter), wild land firefighting (Sedgwick County Wildland Fire Task Force agreement), and emergency medical technicians (Transportable Physician Orders for Patient Preference Kansas Statutes Annotated Chapter 65).

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	240	14007-240		73,369
41300 - BENEFITS	240	14007-240		45,815
<b>TOTAL</b>			0	119,184

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Training Captain	GRADE138	1.00	73,369	45,815
<b>TOTAL</b>			1.00	73,369	45,815

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

As we have discovered, in functional consolidation, consistency in fire and emergency training is non-existent across shifts/departments and the development of new training protocols is imperative. We are currently taking a Captain FTE out of a fire station, assigning them to the Regional Training Center, and causing other

members mandatory. This temporary position is the single point of contact in training with our emergency partners in WFD, Derby and other area fire departments. COVID has also highlighted the importance of self-reliance in training and recertification's, with cancelled training events, classes, and seminars for the last 12 months, we have had to call upon our own members to provide mandated local and State training to maintain certifications. The Fire Training Officer (FTO) has additional benefits to SCFD by redistributing some of the responsibilities of the Medical Training Officer (MTO). Balancing the responsibilities will allow the MTO much needed time to perform critical functions such as medical training development and delivery. The FTO works directly with the WFD training division which gives us an ongoing dialogue that allows for improvement in response planning, aid agreement evaluation, dispatch guidelines, etc. The daily interaction provides the opportunity for immediate feedback and conversations that may never happen if SCFD does not maintain the FTO. The relationships that have been built have brought our organizations closer together and improved service to our customers.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

The Fire District responds to the full spectrum of emergency calls for help, often times with other departments, such as Wichita and Derby Fire. Not only are our crews expected to be proficient, but they are expected to perform to standards our neighboring fire departments practice and vice-versa. Over the last 18 months, we have discovered a number of issues with a lack of standardization, including; vent/enter/search, mayday, water supply, search and rescue, and ventilation. We spent most of 2020 coordinating training efforts with a temporary training officer, in these areas with great success, and have added several others to the list to address in 2021 and beyond. Without a position to coordinate these efforts, we would continue to flounder from shift to shift and battalion to battalion internally and externally. This leads to inconsistencies at emergency alarms, often resulting in worse outcomes (for example higher dollar loss in fires, or more injuries to civilians and firefighter and poor coordination with strained relationships).

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing resources. While we have a number of new revenue streams identified for 2021 (new casino, new Amazon facility, new plans review agreement with the City of Derby and new process to recover inspection and plans review efforts from MABCD), we intend to use existing budget authority.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

A study completed by Division Chief Cole Huth (Clay Fire Territory) showed that fire departments similar to his all have at least one dedicated training officer. Clay Fire has 130 personnel and protects approximately 70,000 residents. These numbers are very similar to SCFD 1. The research project included career departments who either are accredited or are in the process to become accredited. The average number of personnel in these departments was 89, and the average number of stations was 4.5. The research indicates that departments similar in size to SCFD are very likely to have a training officer with a majority having a training division with two or more staff. Having a training division will allow the department the opportunity to develop programs for professional development. Gomez-Mejia et al. (2012) states that, "Training enhances present performance levels, whereas development pays off in terms of more capable and flexible human resources in the long run." (p. 258). Currently we are unable to develop programs to prepare our personnel to fill roles that the Fire District will need as senior staff retire.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

We have experimented with the alternative of taking personnel out of the fire stations to staff this position, however that causes other members to be mandatories and hurts morale. We have also tried to have members from each shift to lead the training efforts, however there is not consistency from shift to shift. Liaison with other departments also suffered due to this model due to inconsistencies from shift to shift and battalion to battalion. In addition, having a presence at the Regional Training Center gives us early access and input on regional and local training initiatives and has bolstered our cooperative relationship with functional consolidation in training emergency response. The Fire Training Officer has additional benefits to SCFD by redistributing some of the responsibilities of the Medical Training Officer. Balancing the responsibilities will allow the MTO much needed time to perform critical functions such as medical training development and delivery. The FTO works directly with the WFD training division which gives us an ongoing dialogue that allows for improvement in response planning, aid agreement evaluation, dispatch guidelines, etc. The daily interaction provides the opportunity for immediate feedback and conversations that may never happen if SCFD does not maintain the FTO. The relationships that have been built have brought our organizations closer together and improved service to our customers.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need.

Consolidation: Identify opportunities for consolidation that improve service delivery for the public.

Recruitment: Develop a recruitment plan to enhance employee candidates.

Retention: Provide training, career path opportunities and job stability to retain employees.

First Responder Care: Increase support for first responders' physical and mental health.

**Please provide 3 years' worth of data to support your request.**

The SCFD Fire Training Officer position has improved the quality, frequency, and consistency of training for SCFD operations personnel. In 2020 SCFD conducted three department-wide drill cycles involving live fire conditions. In total SCFD crews completed approximately 150 live burns, and search, evolutions. Joint training with WFD was completed at the RTC utilizing the burn boxes with WFD and SCFD training officers. The first drill was the "bread and butter" drill with SCFD crews operating with WFD truck companies. The second drill was a basement fire scenario and rural water supply scenario. This drill cycle had both SCFD and WFD crews operating together on fire attack lines. SCFD was also able to complete our own drill cycle at an acquired structure near Goddard. This was also a basement fire scenario with crews searching the fire floor. Lessons learned from this drill led to the development of a weather-related training policy. Having a training officer at each of these training evolutions allows SCFD to identify patterns across shifts and stations. Another benefit is the ability to promote consistency in training and response. With the acquired structure SCFD was able to gain efficiency in first arriving units by establishing standards for seat assignments on a residential structure fire. Working with WFD at the RTC also exposed some areas of opportunity in training. For example, SCFD and WFD did not have the same expectations for firefighters calling a MAYDAY on scene. Our departments respond together thousands of times each year, so mirrored operational policies and practices will be mutually beneficial. Currently a team is working to establish a common policy for MAYDAY with WFD and DFR.

**References**

Huth, Cole (2018). Building an Effective Training Division Staffing Model Within the Clay Fire Territory. National Fire Academy Executive Fire Officer Program.

Gomez-Mejia, R., Balkin, D., & Cardy, R. (2012). Managing Human Resources. Upper Saddle River, NJ: Pearson.

## 2022 Sedgwick County Budget

### [841] Chief Pathology Assistant

<b>Division:</b>	RFSC	<b>Contact Name:</b>	Shelly Steadman, PhD
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	15006-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

### Summary

This request is to re-establish the Chief Pathology Assistant position at the RFSC.

Budget cuts in 2009 resulted in the elimination of the Chief Pathology Assistant position, reducing the number of qualified autopsy technicians from 4 FTEs to 3 FTEs. In 2020, the RFSC experienced a significant increase in the number of deaths reported (25%) and the number of Coroner cases requiring post-mortem examination (18%). The increase in the number of autopsies requires more staffing in the autopsy suite. The increase in number of autopsies, combined with the previous cut-back in technical staff, has resulted in increased overtime and extended timelines for death certificate completion. Re-introduction of the Chief Pathology Assistant position will expedite post-mortem examinations and alleviate the Chief Medical Investigator from this role, allowing for expedited evaluations of unclaimed bodies and the potential for back-up coverage in Medical Investigations that is necessary to address the 24% increase in scenes attended by Investigators in 2020.

**Legal Reference:** Not Applicable.

### Legal Requirement:

The KDHE Office of Vital Statistics is currently reviewing statutes related to timely medicolegal death investigations. While the RFSC currently aims to meet industry standards by virtue of accreditation standards, when these criteria are adopted legislatively, the RFSC will need to address the inability to clear 90% of cases within 90 days.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	15006-110		40,851
41300 - BENEFITS	110	15006-110		28,805
<b>TOTAL</b>			0	69,656

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Salary	Chief Pathology Assistant	GRADE126	1.00	40,851	28,805
<b>TOTAL</b>			1.00	40,851	28,805

### Question Responses



**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

Accreditation by the National Association of Medical Examiners (NAME) dictates industry standards. RFSC is not completing 90% of cases in 90 days, and the metric is one reason RFSC's NAME accreditation has been reclassified to provisional. Many autopsy cases are not completed within 90 days, delaying the ability of families to deal with a decedent's estate and collect insurance, as well as stalling the adjudication of cases in the criminal justice system.

When the Chief Pathology Assistant position was eliminated, supervision of the staff was assigned to the Chief Medical Investigator. This person does not work in, or office near, the morgue, and is called upon to work 24 hour shifts for death scene response, making routine oversight of daily morgue operations impossible. Technicians should be managed by and trained by a qualified supervisor and that has not been possible since the Chief Pathology Assistant position was eliminated.

Insufficient technician staffing lengthens the time pathologists spend in the morgue and autopsy suite. Due to an increase in reported deaths and coroner's cases, combined with a shortage of assistants, pathologists are required to spend additional hours eviscerating decedents; thus, records review, dictation, and report completion are delayed. This extends the turn-around time for completion of autopsy reports and filing of death certificates.

Re-instating the Chief Pathology Assistant position will alleviate inefficiencies that currently exist in autopsy services and morgue workflow. It will also allow the Chief Medical Investigator more time to address RFSC increases in unclaimed remains and issues related to long-term body storage.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Significant workflow issues and increased PPE (personal protective equipment) usage occur when autopsy technicians are needed to release bodies while autopsies are ongoing. Interruptions are also conducive to errors. To address interruptions in the middle of an examination, funeral home pick-up times were reduced to limit the interference a release can have with an autopsy. However, this caused significant customer dissatisfaction with the local funeral homes and subsequently the families of the deceased.

The increase in cases has also put a strain on the Pathology budget for PPE and autopsy supplies, especially under pandemic circumstances where both are in high demand and in limited supply. In order to meet the demand, funding is shifted from other sections of the RFSC as there is not the option to delay autopsy cases. This only shifts the lack of resources to other functional areas of the facility, thus creating a different set of issues.

NAME accreditation standards outline the number of cases pathologists should complete annually and the RFSC is at the brink of requiring a fourth physician. However, if the amount of time physicians spend in the morgue can be reduced, it will allow them more time to dictate and complete cases. Adding a Chief Pathology Assistant will reduce the need for physicians to train staff technicians, will offset the need to hire a fourth physician in 2022, and is a far more cost-effective solution for addressing the immediate need for morgue staffing.

Technician shortages have been addressed by paying overtime or utilizing comp time, but coverage is insufficient and ultimately results in pathologists spending time in the autopsy suite performing tasks that could be completed by technical staff. Regardless of creative scheduling efforts, RFSC cannot provide sufficient technical staff for cases autopsied on Saturdays with the existing number of FTEs. Also, vacation and sick leave

is extremely difficult to accommodate.

Having physicians performing duties that could be carried out by technicians is not cost efficient. It is also not cost efficient for physicians to provide training to staff technicians in lieu of a technical supervisor. Every hour a physician spends in the morgue is an hour that could be better spent on dictation, lab interpretation, and records review required for completion of autopsy reports and finalization of death certificates.

Delays in autopsy reports and citizen complaints to elected officials demonstrate the current scenario.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

RFSC does generate revenue by providing autopsy services to surrounding counties. The fee sheet has been reviewed and a revenue package will be submitted with recommended revisions. The revisions include the addition of new services and associated fees, removal of services no longer within the scope of RFSC accreditation, and an approximate 15% increase in fees overall. The increase is estimated to generate an additional \$97,000 throughout 2022.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

In 2020, the RFSC had a 25% increase in the number of deaths reported and an 18% increase in the number of coroner's cases. Due to these increases and a shortage of assistants, pathologists are required to wait for technicians to release bodies to complete autopsies, or otherwise spend additional hours eviscerating decedents; thus, records review, dictation, and report completion are delayed. This is especially true on Saturdays, and the RFSC does not have adequate staffing to provide two technicians to assist the pathologist on weekend duty.

This extends the turn-around time for completion of autopsy reports and the filing of death certificates. Many autopsy cases are not completed within 90 days, delaying the ability of families to deal with a decedent's estate, as well as stalling the adjudication of cases in the criminal justice system.

The RFSC frequently receives complaints from citizens about these delays. Families are currently waiting 4-6 months for completed death certificates; during this time, life insurance policies are pending and family members may not be able to maintain standard cost of living.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This is a need in terms of safety, work quality, and efficiency.

The mission statement, as outlined in the strategic plan, states, "The Forensic Science Center strives to provide the highest quality medicolegal and advanced forensic laboratory services to Sedgwick County. Death Investigation and Forensic Autopsy services are conducted in a compassionate and objective manner to achieve accurate certification of cause and manner of death. The Forensic Laboratory services provide

unbiased and accurate analytical testing to support the resolution of criminal cases. As an independent agency operating under the Division of Public Safety, the Forensic Science Center collaborates with public health and criminal justice stakeholders to reduce crime and prevent deaths."

Real time evaluation of the cause and manner of death is essential to death prevention, and timely determination of cause/manner of death is required to meet accreditation standards and anticipated statutory requirements.

**Please provide 3 years worth of data to support your request.**

Reported deaths and coroner cases increased significantly in 2020. Metrics for the first quarter of 2021 indicate that 2020 was unlikely to be an anomaly and the trends are expected to continue.

**Reported Deaths**

2016	3,457
2017	3,302
2018	3,386
2019	3,345
2020	4,171

**Coroner Cases**

2016	880
2017	890
2018	939
2019	894
2020	1,057

<b>Working Title:</b>	Pathology Assistant Supervisor	<b>Work Location:</b>	1109 N Minneapolis St
<b>Position Number:</b>	TBD	<b>Expected Hours of Work:</b>	M- F 8-5
<b>Classification:</b>	Pathology Assistant Supervisor; Grade 126	<b>Supervisor: Yes / No</b>	Yes
<b>Reports to (position):</b>	Director of Forensic Science Center	<b>Number of staff supervised:</b>	3
<b>Date Revised:</b>	<b>3/17/2021</b>		
<b>Job Summary (Major objectives of this position. Why does the job exist?)</b>			
Supervises Pathology Assistants; conducts interviews and recommends hires; plans, schedules and assigns work to staff; establishes policies and procedures; instructs and trains in correct methods; checks and approves work; reviews and evaluates employee. Manages morgue operations and oversees evidence collection. Prepares billing and maintains statistical data.			
<b>Primary Job Functions (List three job categories with specific tasks listed)</b>			
Supervision of Forensic Pathology Assistants and morgue operations <ul style="list-style-type: none"> <li>• Ensure adequate technical support to pathologists and ensure efficient morgue operations</li> <li>• Complete monthly staff scheduling and provide to Chief Medical Examiner 7 days prior to oncoming month</li> <li>• Provide adequate oversight and training of pathology assistants</li> <li>• Provide timely and adequate documentation of employees' performance in order to perform staff evaluations</li> <li>• Ensure provision of appropriate supplies and equipment</li> </ul> Oversee proper management of cases and evidence collected at autopsy <ul style="list-style-type: none"> <li>• Ensure proper transfer, release or disposal by coordinating with ancillary agencies and case pathologist and facilitate consultation services on complex cases</li> <li>• Submit monthly disposal summary within 3 days of the new month</li> <li>• Coordinate and ship autopsy material to consultants within 7 days of request by case pathologist</li> </ul> Prepares billing for referral cases and maintains statistical data <ul style="list-style-type: none"> <li>• Compile and verify billing accuracy of documentation for referred postmortem procedures</li> <li>• Track and prepare statistics for the Pathology Division for review by the Management Team</li> </ul>			
<b>Secondary Job Functions (list no more than five)</b>			
<ul style="list-style-type: none"> <li>• Maintain schedule for equipment maintenance</li> <li>• Participate in mass disaster/emergency preparedness training</li> </ul>			
<b>Competencies (Select five from Core Competency list and specify Behavioral Indicators specific to position)</b>			
Leadership	Definition: Communicates a vision and inspires motivation; engages with others (direct-reports and peers) in team process to solve problems; works to find a win/win resolution of differences; is aware of how management style impacts staff productivity and development; modifies leadership style to meet situational requirements; helps team stay focused on major goals while managing within a context of multiple directives.		

Behavioral Indicators: <ul style="list-style-type: none"> <li>Aligns the direction, products, services, and performance of a business line with the rest of the organization.</li> <li>Enables co-workers to grow and succeed through feedback, instruction, and encouragement.</li> <li>Promotes organizational mission and goals, and shows the way to achieve them.</li> <li>Follows fiscal guidelines, regulations, principles, and standards when committing fiscal resources or processing financial transactions.</li> <li>Uses knowledge of the organizational and political climate to solve problems and accomplish goals.</li> <li>Coordinates ideas and resources to achieve goals.</li> <li>Manages staff in ways that improve their ability to succeed on the job.</li> <li>Sees the big, long-range picture.</li> <li>Creates a positive work environment where all staff are motivated to do their best.</li> <li>Conveys confidence in a group's ability to prevail over challenges to reach its goals.</li> <li>Links mission, vision, values, goals, and strategies to everyday work.</li> <li>Sees the potential in others and takes opportunities to apply and develop that potential.</li> <li>Takes calculated risks to improve performance, try a fresh approach, or reach a challenging goal.</li> <li>Sets clear, meaningful, challenging, and attainable group goals and expectations that are aligned with those of the organization.</li> <li>Suggests and asks for others' ideas to improve quality, efficiency, and effectiveness.</li> </ul>	
Stress Management/ Tolerance	Definition: Maintains effective performance under pressure; handling stress in a manner that is acceptable to others and to the organization.
Behavioral Indicators: <ul style="list-style-type: none"> <li>Handles high workloads, competing demands, vague assignments, interruptions, and distractions with poise and ease.</li> <li>Remains steady or thrives under pressure, using it to fuel productivity and efficiency.</li> <li>Stays calm and maintains focus in turbulent, threatening, or emergency situations. Makes rational decisions and continues to perform effectively.</li> <li>Provides direction in crisis situations. Defuses potentially violent people or situations, calming others and removing them from harm.</li> <li>Stays focused on work tasks and productively uses time and energy when under stress.</li> <li>Presents a positive disposition and maintains constructive interpersonal relationships when under stress.</li> <li>Develops appropriate strategies as needed to alter conditions that create stress and to sustain physical and mental health.</li> </ul>	
Customer Focus/Client Orientation	Definition: Makes customers/clients and their needs a primary focus of one's actions; makes a conscious effort to include diversity of input in all decisions; shows interest in and understanding of the needs and expectations of internal and external customers (including direct reports); acts with customers in mind and strives for continuous improvement in products and services. Gains customer trust and respect; meets or exceeds customer expectations.
Behavioral Indicators: <ul style="list-style-type: none"> <li>Follows through on customer commitments despite time pressures or obstacles.</li> <li>Recognizes when work processes and/or outcomes are negatively impacting the customer; assumes ownership of the issue and takes appropriate steps to eliminate problems.</li> <li>Develops relationships with customers that are marked by attention and customer satisfaction.</li> <li>Addresses disgruntled customer problems by remaining calm and professional; personally follows through to resolve issue(s).</li> </ul>	

<ul style="list-style-type: none"> <li>• Responds promptly to customer requests; is easy to reach and work with during work hours; willingly works with customers to meet their needs.</li> <li>• Seeks out customer input to better understand their needs; develops ideas for how to meet those needs.</li> <li>• Listens for and responds to customer requests or problems in a timely manner.</li> <li>• Demonstrates a solid understanding of customer needs by consistently meeting their expectations.</li> <li>• Meets customer needs by acting professionally and applying a good working knowledge of the services and information being provided.</li> <li>• Asks questions to identify customer's needs or expectations.</li> <li>• Considers the impact on the external customer when taking action, setting policies or carrying out one's own job tasks.</li> <li>• Looks for external trends that are likely to shape the wants and needs of customers in the near future.</li> <li>• Involves stakeholders in the decision-making or problem-solving process as early as possible.</li> <li>• Looks for creative approaches to providing or improving services that may increase efficiency and decrease cost.</li> <li>• Works to remove barriers that get in the way of giving customers top notch service.</li> <li>• Asks questions of customers to assess satisfaction with service being provided.</li> <li>• Refers customer to appropriate department or employee to solve specific problems.</li> <li>• When referring customers to different departments, follows up to make sure that the customer has been taken care of.</li> <li>• Seeks ways to continuously improve external and internal customer satisfaction with product or service quality and on-time delivery.</li> </ul>	
Decision Making/ Problem Solving	Breaks down problems into components and recognizes interrelationships. Makes timely sound, well-informed, objective and appropriate decisions. Compares data, information, and input from a variety of sources to draw conclusions. Takes action that is consistent with available facts, constraints, and probable consequences.
Behavioral Indicators: <ul style="list-style-type: none"> <li>• Analyzes problems effectively and makes appropriate decisions without missing deadlines or causing delays in service.</li> <li>• Is able to cope with uncertainty and an incomplete set of facts to develop a feasible and effective solution.</li> <li>• Uses established standards/methods to solve common problems; responds to recurring problems by investigating the underlying causes and taking steps to eliminate them.</li> <li>• Independently analyzes issues and problems and expresses his/her opinion to others.</li> <li>• Accurately predicts the outcomes of a variety of alternatives to problems.</li> <li>• Tries different approaches when initial efforts to solve problems fail; anticipates possible problems and develops alternatives.</li> </ul>	
Detail-Oriented	Ensures information is complete and accurate; follows up with others to ensure that agreements and commitments have been fulfilled. Follows process steps as outlined in standard operating procedures. Reviews materials to ensure they are accurate, clear, and concise. Performs follow-up to ensure quality of work product and/or actions are completed.
Behavioral Indicators: <ul style="list-style-type: none"> <li>• Provides accurate, consistent numbers on all paperwork.</li> <li>• Provides information on a timely basis and in a usable form to others who need to act on it.</li> <li>• Maintains a checklist, schedule, calendar, etc., to ensure that small details are not overlooked.</li> <li>• Double-checks the accuracy of information and work product.</li> <li>• Carefully monitors the details and quality of own and others' work.</li> </ul>	

<ul style="list-style-type: none"> <li>Expresses concern that things be done right, thoroughly, or precisely.</li> <li>Follows policies, procedures, and safety and security measures in using various equipment.</li> <li>Completes all reports and documents according to procedures and standards.</li> <li>Maintains properly equipped work area.</li> <li>Takes necessary actions to produce work that requires little or no checking.</li> </ul>
<b>Supervisory Responsibilities (Provide title of employee managed and the number of employees)</b>
Forensic Pathology Assistant (3)
<b>Minimum Qualifications as defined by classification</b>
<b>Educational Requirements:</b> Four-year college degree in medical/biological, anthropological, or criminal justice field.
<b>Years of Experience:</b> Three years' experience with supervision of subordinates and death investigation or any equivalent combination of training and experience which provides the required knowledge, skills, and abilities.
<b>License, certifications, etc...</b> American Board of Medicolegal Death Investigation (ABMDI) Certified, Valid State of Kansas Driver's License.
<b>Preferred Qualifications</b>
<b>Educational Requirements:</b> Master's Degree
<b>Years of Experience:</b> Five to seven years' experience with supervision of subordinates and death investigation
<b>License, certifications, etc...</b>
<b>Physical Requirements &amp; Working Conditions (must be directly tied to Essential Functions)</b>
<b>Physical Activity of position</b>
<ul style="list-style-type: none"> <li>Stooping. Bending body downward and forward by bending spine at the waist. This factor is important if it occurs to a considerable degree and requires full motion of the lower extremities and back muscles.</li> <li>Reaching. Extending hand(s) and arm(s) in any direction</li> <li>Pushing. Using upper extremities to press against something with steady force in order to thrust forward, downward or outward.</li> <li>Pulling. Using upper extremities to exert force in order to draw, haul or tug objects in a sustained motion.</li> <li>Lifting. Raising objects from a lower to a higher position or moving objects horizontally from position-to-position. This factor is important if it occurs to a considerable degree and requires substantial use of upper extremities and back muscles.</li> <li>Talking. Expressing or exchanging ideas by means of the spoken word. Those activities in which they must convey detailed or important spoken instructions to other workers accurately, loudly, or quickly.</li> <li>Hearing. Perceiving the nature of sounds at normal speaking levels with or without correction. Ability to receive detailed information through oral communication, and to make the discriminations in sound.</li> <li>Feeling. Perceiving attributes of objects, such as size, shape, temperature or texture by touching with skin, particularly that of fingertips.</li> </ul>
<b>Physical Requirements of Position</b>
<ul style="list-style-type: none"> <li>Medium work. Exerting up to 50 pounds of force occasionally, and/or up to 30 pounds of force frequently, and/or up to 10 pounds of force constantly to move objects.</li> </ul>
<b>Visual Acuity Requirements</b>
<ul style="list-style-type: none"> <li>The worker is required to have close visual acuity to perform an activity such as: preparing and analyzing data and figures; transcribing; viewing a computer terminal; extensive reading; visual inspection involving</li> </ul>

small defects, small parts, and/or operation of machines (including inspection); using measurement devices; and/or assembly or fabrication parts at distances close to the eyes.	
<b>Work Environment / Conditions Employee will be subject to</b>	
<ul style="list-style-type: none"> <li>The employee is subject to a variety of hazards and unsafe environments such as poorly lit roadways and unsafe buildings. Includes a variety of physical conditions such as exposure to extreme temperatures or exposure to chemicals and biohazardous materials.</li> </ul>	
Please note this job description is not designed to cover or contain a comprehensive listing of activities, duties or responsibilities that are required of the employee for this job. Duties, responsibilities and activities may change at any time with or without notice.	
<b>Signatures</b>	
<b>Supervisor:</b>	<b>Date:</b>
Employee signature below constitutes employee's understanding of the requirements, primary functions and duties of the position.	
<b>Employee:</b>	<b>Date:</b>



**Budget Impact  
Annual**

Position	Grade	Salary	Benefits	Total
<b>Requested</b>				
Pathology Assistant Supervisor	126	\$ 40,582	\$ 27,870	\$ 68,452
<b>Cost</b>		<b>\$ 40,582</b>	<b>\$ 27,870</b>	<b>\$ 68,452</b>

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2021 Compensation Plan

\* Planning information only

## 2022 Sedgwick County Budget

### [840] Fee Schedule Adjustment

<b>Division:</b>	RFSC	<b>Contact Name:</b>	Shelly Steadman, PhD
<b>Department Priority:</b>	1	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	15006-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	3

### Summary

This is a request to update the RFSC fee sheet that is used to bill for services. The last time a fee increase was approved for the RFSC's forensic services was 2018. There have been substantial increases in the cost of operating supplies and personnel for the RFSC, particularly the Pathology and Toxicology services. The scope of services provided has changed substantially since the line items were evaluated, many of the services listed are outdated or are no longer relevant/offered, and a line item should be added stating the cost associated with releasing cremains.

The revenue package recommendation includes a modified list of services offered and to raise most of the current fees by approximately 15% to cover cost increases. Some of the fees will increase at a higher percentage to adequately cover costs where greater shortfalls have been noted.

**Legal Reference:** Not Applicable

### Legal Requirement:

Per KSA 65-2412, coroners are required to investigate the cause of death under certain circumstances. The RFSC is the only provider of autopsy services in the region and houses the only post-mortem toxicology laboratory in the State of Kansas. Providing regional service contributes to the overall health and safety of South Central Kansas, and the facility name implies the vision and intent to provide forensic services to agencies beyond the county line.

### Revenue Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
34422 - FORENSIC PATHOLOGY S	110	15006-110		77,981
34423 - FORENSIC LAB SERVICE	110	15006-110		62
34508 - MISC CHARGES FOR SER	110	15006-110		11,950
34423 - FORENSIC LAB SERVICE	110	15004-110		26
34423 - FORENSIC LAB SERVICE	110	15004-110		7,336
TOTAL			0	97,355

### Question Responses

**Please provide a summary of your revenue proposal.**

The Forensic Science Center provides forensic services to multiple surrounding judicial districts, including Barber, Butler, Cowley, Elk, Greenwood, Harper, Harvey, Kingman, McPherson, Pratt, Reno, and Sumner.

Approximately 25% of Pathology and Toxicology cases are out of county each year. In order for Sedgwick County and the Regional Forensic Science Center to continue to provide this service, measures must be made to ensure that the cost of doing this business is not falling to the Sedgwick County taxpayers and that the entire cost of doing business is recovered. Several of the laboratories have faced increased costs for operating supplies, personnel, and equipment/instrumentation maintenance.

A fee should be established for releasing cremains in indigent cases and several factors should be considered. Currently, allowing families to reimburse the County at contract cost does not allow the County to recover actual expenses and provides a discount service. It creates the perception that the County provides cremation services upon request and directs business away from local funeral homes. Under that perception, the County will not continue to receive reasonable bids or pricing for the required indigent dispositions. Our actual cost in facilitating indigent cremations should include transportation fees, body storage, cremation permits, and other administrative fees.

Current actual fees charged to the public for direct cremation were obtained from three sources to include All Faiths Mortuary - \$1,500, Downing and Lahey Mortuary - \$3,300, and Hillside Mortuary - \$2,700.

All services were reviewed. Recently implemented tests were added; those no longer under the scope of accreditation were removed, and costs were increased at an approximate rate of 15% (rounded to the nearest dollar or five dollar value).

**Discuss the last time this revenue was adjusted, statutory implications, and if an advisory committee needs to review. Please include current fee schedule.**

The 2015 fee sheet was adjusted during 2017 for implementation in 2018. The existing fee schedule was implemented in 2018, and has been evaluated in 2021 for implementation in 2022.

A fee for release of indigent case cremains has not been published on the fee sheet in the past. This puts the County in a position that could be viewed as subjective when reimbursement costs are established.

The RFSC Advisory Board has been dormant since 2019.

**Discuss how the projected revenue increase was estimated, citing actual numbers when possible.**

Projected revenue was determined using 2020 revenue data for Forensic Pathology Services and Forensic Lab Services for both Autopsy and Toxicology and calculating a 15% increase for 2022. For autopsy, a 15% increase from 2020 (\$599,953) is approximately \$193,484 in additional revenue for a projected total of \$793,438. For toxicology, a 15% increase from 2020 (\$49,081) is \$15,829 in additional revenue for a projected total of \$64,910.

Generating revenue is not the intent of establishing a fee for release of cremains. RFSC simply wishes to recover all costs involved with final dispositions, prevent abuse of the contractual agreement, overcome the public perception that the County provides cremation services at a cut rate, and to promote the use of local/private providers for the service.

## Fee Schedule Revenue Impacts

The Center is recommending a 15% increase to the fee schedule / billing sheet to be implemented in 2022. The total increase is the difference between the actual 2020 revenue and estimated 2022 revenue.

			2020 Revenue	2021	2022 est.	2023 est.	Total Increase
Forensic Pathology Services	Autopsy	15006-110	\$ 519,874.00	\$ 519,874.00	\$ 597,855.10	\$ 597,855.10	\$ 77,981.10
Forensic Lab Services	Autopsy	15006-110	\$ 410.00	\$ 410.00	\$ 471.50	\$ 471.50	\$ 61.50
Misc. Charges for Services	Autopsy	15006-110	\$ 79,669.00	\$ 79,669.00	\$ 91,619.35	\$ 91,619.35	\$ 11,950.35
			\$ 599,953.00	\$ 599,953.00	\$ 689,945.95	\$ 689,945.95	\$ 89,992.95
						\$ -	
Forensic Pathology Services	Toxicology	15004-110	\$ 175.00	\$ 175.00	\$ 201.25	\$ 201.25	\$ 26.25
Forensic Lab Services	Toxicology	15004-110	\$ 48,906.00	\$ 48,906.00	\$ 56,241.90	\$ 56,241.90	\$ 7,335.90
			\$ 49,081.00	\$ 49,081.00	\$ 56,443.15	\$ 56,443.15	\$ 7,362.15
							\$ 97,355.10



# REGIONAL FORENSIC SCIENCE CENTER

Administration Division

1109 N. Minneapolis  
Wichita, KS 67214-3129

316 660-4800  
(Fax) 316 383-4535

## BILLING STATEMENT

January 1, 2022

Billing Agency: \_\_\_\_\_

Email Address: \_\_\_\_\_

Billing Address: \_\_\_\_\_

Phone Number: ( ) \_\_\_\_\_ District #: \_\_\_\_\_ County: \_\_\_\_\_ Services

Authorized By: \_\_\_\_\_ Date of Authorization: \_\_\_\_\_

Decedent Name: \_\_\_\_\_ Evidence/Tox #: \_\_\_\_\_

RFSC Case #: \_\_\_\_\_ Agency Case #: \_\_\_\_\_

Please place this form in the mailbox of: \_\_\_\_\_ after testing is complete.

### PATHOLOGY

PA01	_____ Morgue Fee (Autopsy/External)	550.00
PA04	_____ Body Pouch	30.00
PA06	_____ Personal Protection Kit	40.00
PA08	_____ Technician Support	75.00/Hr
PA10	_____ Professional Services - Autopsy	1,920.00
PA11	_____ Partial Autopsy	650.00
PA12	_____ Dictated External	220.00
PA14	_____ Cremation Permits	50.00
PA15	_____ Misc. Pathologic Services	Inquire
PA16	_____ Special Procedures (Decomposed)	220.00
PA20	_____ Suspected Homicide Spec Handling	460.00
PA50	_____ Body Storage [Day 2+]	65.00/day
PA101	_____ Investigation Tier I	40.00
PA102	_____ Investigation Tier II	75.00
PA103	_____ Investigation Tier III	115.00
PA104	_____ Oversized Body Pouch	50.00
PA105	_____ Digital X-Ray Fee	12.00
PA107	_____ Digital Dental Fee	6.00
PA108	_____ Digital X-Rays (4 bite wings)	75.00
PA108	_____ Dental comparison by pathologist	130.00
PA110	_____ Release of unclaimed remains	1500.00

### BIOLOGY

BL01	_____ Evidence (Screening) Examination (per item)	100.00
BL02	_____ Biological Stain/Fluid Screen	55.00
BL03	_____ Rape Kit Screen	250.00
BL04b	_____ STR DNA Analysis (Globalfiler - 1 Std & 1 Unk)	1,000.00
BL04c	_____ STR DNA Identification via Sibship (Globalfiler - 1 Sib & 1 Unk)	1,250.00
BL05	_____ Additional Unknowns [STR]	500/ea

#### FOR ACCOUNTS RECEIVABLE USE ONLY:

Customer Account Number: \_\_\_\_\_

Invoice Number: \_\_\_\_\_

Invoice Amount: \_\_\_\_\_

## Billing Statement - Pg. 2

### CRIMINALISTICS

CR01	_____	Drug Identification - Visual ID Lit Ref	15.00
CR02	_____	Drug Identification - Chem. Anal.	63.00
CR03	_____	Open Container - Chem. Anal.	23.00
CR05	_____	Mushroom/Peyote Chem. Anal.	85.00
CR06	_____	Controlled Substance - Quant/Salt Analysis	30.00
CR07	_____	Drug Identification - Marijuana/Hemp Differentiation	30.00
CR12	_____	Fire Debris - Chemical Analysis	40.00
CR27	_____	Fired Bullet/Casing Evaluation	55.00
CR28	_____	Firearm Function Test	55.00
CR29	_____	Firearm Microscopic Comparison	30.00/ex
CR30	_____	Previous Casework Comparison	55.00/ex
CR33	_____	Serial Number Examination	145.00

### TOXICOLOGY

TX01	_____	Comprehensive Screen	225.00
TX02	_____	GC Bases (Screen)	85.00
TX03	_____	GC Acids/Neutrals (Screen)	85.00
TX04	_____	Drug Abuse Panel - Urine	85.00
TX05	_____	Drug Abuse Panel - Blood	85.00
TX06	_____	Alcohol Analysis [Primary]	55.00
TX06a	_____	Alcohol Analysis [Confirmation]	35.00
TX06b	_____	Methanol Confirmation	18.00
TX11	_____	Carbon Monoxide - Spectro	50.00
TX11a	_____	CO Confirmation - Microdiffusion	55.00
TX16	_____	Heavy Metal Screen	40.00
TX19	_____	Inhalant GC/MS Confirmation	55.00
TX21	_____	Tissue Set-Up	50.00
TX21a	_____	Decomposed Specimen	50.00
TX23	_____	Cyanide Screen [colorimetric]	40.00
TX24	_____	Salicylic acid [ASA] Color Screen	12.00
TX25	_____	Acetaminophen[APAP] Color Screen	12.00
TX27	_____	Immunoassay - Analyte Specific	40.00
TX80	_____	ELISA Panel (Expanded)	75.00
TX500	_____	Reference Lab Test	Inquire
TX510	_____	Paraphernalia [per item]	55.00

### MISCELLANEOUS

MS01	_____	Technical Staff Charge	40.00/Hr.*
MS02	_____	Scientific Staff Charge	70.00/Hr.*
MS03	_____	Professional (MD/PhD) Staff Charge	175.00/Hr.*
MS04	_____	File Retrieval Charge	30.00
MS04a	_____	Specimen Preparation-Send Out	55.00
MS05	_____	Copy Charge	0.30/Page
MS06	_____	Mileage	**
		(RFSC Case # _____)	
MS10	_____	Paternity Send Out	55.00
MS11	_____	Tissue/Block retrieval fee	30.00
MS12	_____	Pathologist tissue verification fee	55.00

\*Criminal Cases  
\*\*Current Federal Rate

## 2022 Sedgwick County Budget

### [812] Corrections - Administrative Assistant, Grade 120

<b>Division:</b>	Department of Corrections	<b>Contact Name:</b>	Glenda Martens, Director
<b>Department Priority:</b>	1	<b>Division Priority:</b>	7
<b>Primary Fund Center:</b>	33028-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

#### Summary

The Department of Corrections (DOC) requests a budget enhancement to change position #20011226 from a temporary full-time position to a permanent full-time position in 2022. In exchange, we have identified a part-time position (#20002980) that can be deleted from the DOC staffing table.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	33028-110		30,482
41300 - BENEFITS	110	33028-110		26,925
TOTAL			0	57,407

#### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Administrative Assistant	GRADE120	1.00	30,482	26,925
TOTAL			1.00	30,482	26,925

#### KPI Impact

Performance Indicator	Previous Year KPI	Current Year Target	Projected If Addressed	Projected If Not Addressed
Overall Recidivism	9	9	9	9

#### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

One of the primary job duties of this position is to oversee the new DOC records management system,

eCorrections. The support functions related to developing this new system have been very time consuming and challenging to accomplish as a part-time position. This position is also responsible for writing the system training manuals and training staff how to use the system. When the position became full-time, we were able to cross-train on administrative support duties such as front desk coverage, purchasing, training support, auditing gift cards, etc.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

If the request is not approved, it will delay critical progression of the new records management system and hinder the staff training component. It has also been helpful to have this position full-time in order to cover support staff absences at the various DOC programs/facilities.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

We request general fund resources in 33028-110 for this position.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Position #20011226 was created as a temporary full time position on 10/30/20 to assist with the new e-Corrections records management system. The position is set to expire 4/6/21. Corrections intends to apply for an extension for the remainder of 2021.

The current staff in this position has a high degree of eCorrections knowledge which is key in the collaboration between the DOC, IT and the contracted vendor. She has a specific knowledge set that no one else in the DOC has related to this specific area. Finding a replacement or additional assistance could push this project back when it desperately needs to continue moving forward.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Corrections considers this request necessary for the continuity of support related to eCorrections, as well as providing assistance with various administrative functions related to purchasing and personnel.

**Please provide 3 years worth of data to support your request.**

N/A



This position supports the development of eCorrections system which is being customized by Journal Technology Inc. (JTI). The Department estimates that 65% of the employee's time is spent on eCorrections. Specifically:

- Meet with programs to map every part of their operation related to eCorrections
- Enter program information for JTI
- Answer questions from JTI
- Test eCorrections components as they are built
- Enter feedback related to JTI components as they are built
- Build and test searches for existing JTI components
- Troubleshoot eCorrections errors
- Write instructional manuals for each program
- Train staff

Every 1 hour meeting with programs translates to about 2 hours of work entering "tickets" for JTI to translate our work in to "eCorrections" requirements.

**Budget Impact****Annual****4.2.21**

<b>Position</b>	<b>Classification</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
<b>Minimum</b>					
20011226	Administrative Assistant	120	\$ 30,492	\$ 26,240	\$ 56,732
<b>Cost</b>					<b>\$ 56,732</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2021 Compensation Plan**

**\* Planning information only**

## 2022 Sedgwick County Budget

### [818] Contract Pilot Fees

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Pollock
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	17012-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	0

### Summary

The Sheriff's Office is making use of a contract pilot to operate our aircraft as pilot in command and complete the training of our new pilots. These pilots are assigned to our Extradition & Warrant section and are responsible for bringing wanted persons back to Sedgwick County to stand for the charges filed against them. Due to the length of training for our new pilots and the potential acquisition of a new aircraft we will need to maintain the services of a contract pilot until training is completed. Our insurance provider is requiring a minimum of 1000 hours of flight time until our pilots can become command pilots.

**Legal Reference:** Article 27, Uniform Criminal Extradition Act, KSA 22-2722, KSA 22-2723

### Legal Requirement:

The Sheriff is charged with managing all warrants issued by the 18th Judicial District and these duties would include bring wanted persons back from other locations within the United States.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42398 - Other Professional Services	110	17012-110		88,100
TOTAL			0	88,100

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Currently we have one pilot that has completed training but still does not have enough flight hours to be qualified as "Pilot in command". Our second pilot will have training completed by the end March 2021. We will be required to pay an experienced pilot to be our "Pilot in command" until our current pilots have gained the needed flight time. Without this funding we will be limited in our ability to return wanted individuals arrested throughout the country and return them to Sedgwick County.

#### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Individuals wanted for crimes committed in Sedgwick county may not be returned to Sedgwick county to answer for those crimes.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This funding will come from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

A study has not been completed to support this request. This request is being made to pay for a contract pilot because of the limited experience of our current employee pilots. Staff reviewed the number of trips or services conducted for the past three years and they averaged 81 trips a year. Additionally we had several overnight trips resulting in logging and pier diem costs. We are currently charged \$650 for flights in our current aircraft and could anticipate those cost reaching \$1000 for fees depending on aircraft selected.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

The department has provided training for two pilots to become the Sheriff Office pilots but they have not met minimum standards for total hours of flight time yet. Currently they are not able to fly the current aircraft and meet all of the requirements.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This is a need for the Sheriff's Office, without this funding it will be difficult to continue our current aircraft program. The contract pilot is currently our only option to continue flying.

Strategic Plan, Goal 1: Training, 1.1.5 Specialty training

The contract pilot is an experienced pilot and flies as pilot in command. This allows the two employee pilots to received training and build flight hours. Without the contract pilot it will be very difficult to receive the training and flight hours needed to allow the new pilots be qualified as pilot in command in the future.

**Please provide 3 years' worth of data to support your request.**

Over the past two years we have been paying a contract pilot to be the pilot in command as our personnel have been completing their training to become certified pilots. During this time we have paid out \$145,114.99 for an yearly average of \$72,557.50.

## 2022 Sedgwick County Budget

### [832] Tier Staffing for Clerical in Sheriff Records

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Pollock
<b>Department Priority:</b>	2	<b>Division Priority:</b>	2
<b>Primary Fund Center:</b>	17020-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	4

#### Summary

The Sheriff's Office is seeking funds to provide a compensation adjustment for our clerical/civilian positions. Historically we have been unable to hire or retain personnel in these lower paid positions. Several of the positions involve shift work and even with shift pay added, we can not attract the desired applicants to fill these open positions. The Sheriff's Office desires to address all clerical/civilian positions within the agency, but would apply a systematic approach addressing the most critical positions first and then address others in later phases. The Records Section performs a critical role in our daily operations but has been understaffed for years. The Records Section is currently authorized 17 full time staff positions who process reports, warrants, PFA/PFS, citations, traffic accidents, and several other administrative functions of the Sheriff's Office. For the past decade we have not fully staffed this section despite all recruiting efforts.

Several of the positions within the section are classified as Office Specialists which is our entry level position and has been difficult to fill. Staff has been working on examining the duties associated with Records and the job description for Office Specialists and found the duties and responsibilities do not reflect the daily descriptions of those performed by the Records Section. Based on the lower pay and poor job description, staff has rewritten these to reflect what tasks are performed and structured staffing within the Records section to allow for growth and retention.

**Legal Reference:** 2019 KIBRS Handbook

#### Legal Requirement:

The reporting of crime data in Kansas is mandated in the three state statutes K.S.A 21-2501a, K.S.A. 21-2504 and K.S.A. 22-2307.

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41101 - Salaries and Wages	110	17020-110		43,521
TOTAL			0	43,521

#### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

One of the goals within the Sheriff's Office strategic plan is to cultivate a quality workforce. Our strategies within this goal are aimed at recruiting, retention and staffing positions. Addressing the shortage within

Records will add to the overall success of achieving this goal.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

If funding is not received we may continue to see high job turnover and struggle filling open positions.

During the initial pay study conducted by the Sheriff's Office in 2017-2018 we had proposed including all staff within the pay structure currently in place for uniformed personnel. Management staff at the time declined our proposal to fund this request.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing resources

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

With low staffing, services within the Records section are backlogged and staff is constantly adjusting tasks based on needs, legal requirements and risk factors. The Records Clerk position is highly demanding and often overwhelms new employees, often leading to poor retention of the new employees. We believe the proposed restructuring will improve staffing, create more job stability and resolve many of the issues which lead to employee burnout and turnover.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Part of our proposed solution is to create growth within the Records Section by developing a structure to support it. We are proposing the development of job descriptions and pay ranges for a Records Technician I, Technician II and Records Supervisor. The updated job descriptions detail the qualifications for each of the Records positions, consistent with their duties and as such increased pay. The updated job descriptions are attached.

The second part involves focused recruitment directed at these newly developed job descriptions to attract personnel who would desire a career path in the clerical field within the Sheriff's Office without having to vacate the Records section.

One of the goals within the Sheriff's Office strategic plan is to cultivate a quality workforce. Our strategies within this goal are aimed at recruiting, retention and staffing positions. Addressing the shortage within Records will add to the overall success of achieving this goal. This request would be considered a want for the Sheriff's Office.

**Please provide 3 years' worth of data to support your request.**

N/A

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000832	Office Specialist	117	\$ 38,480	\$ 14,304	\$ 52,784
<b>Requested</b>					
20000832	Records Clerk	121	\$ 40,404	\$ 14,679	\$ 55,083
<b>Difference</b>			<b>\$ 1,924</b>	<b>\$ 375</b>	<b>\$ 2,299</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**



**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000830	Office Specialist	117	\$ 26,336	\$ 24,877	\$ 51,213
<b>Requested</b>					
20000830	Records Clerk	120	\$ 30,482	\$ 25,684	\$ 56,166
<b>Difference</b>			<b>\$ 4,146</b>	<b>\$ 807</b>	<b>\$ 4,953</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000836	Office Specialist	117	\$ 38,977	\$ 27,339	\$ 66,316
<b>Requested</b>					
20000836	Records Clerk	120	\$ 40,926	\$ 27,719	\$ 68,645
<b>Difference</b>			<b>\$ 1,949</b>	<b>\$ 380</b>	<b>\$ 2,329</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000841	Office Specialist	117	\$ 35,924	\$ 26,744	\$ 62,668
<b>Requested</b>					
20000841	Records Clerk	121	\$ 37,720	\$ 27,094	\$ 64,814
<b>Difference</b>			<b>\$ 1,796</b>	<b>\$ 350</b>	<b>\$ 2,146</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000833	Office Specialist	117	\$ 28,883	\$ 12,435	\$ 41,318
<b>Requested</b>					
20000833	Records Clerk	120	\$ 30,482	\$ 12,746	\$ 43,228
<b>Difference</b>			<b>\$ 1,599</b>	<b>\$ 311</b>	<b>\$ 1,910</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000837	Office Specialist	117	\$ 26,336	\$ 24,877	\$ 51,213
<b>Requested</b>					
20000837	Records Clerk	120	\$ 30,482	\$ 25,684	\$ 56,166
<b>Difference</b>			<b>\$ 4,146</b>	<b>\$ 807</b>	<b>\$ 4,953</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000829	Office Specialist	117	\$ 26,336	\$ 24,877	\$ 51,213
<b>Requested</b>					
20000829	Records Clerk	120	\$ 30,482	\$ 25,684	\$ 56,166
<b>Difference</b>			<b>\$ 4,146</b>	<b>\$ 807</b>	<b>\$ 4,953</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000834	Office Specialist	117	\$ 26,336	\$ 11,939	\$ 38,275
<b>Requested</b>					
20000834	Records Clerk	120	\$ 30,482	\$ 12,746	\$ 43,228
<b>Difference</b>			<b>\$ 4,146</b>	<b>\$ 807</b>	<b>\$ 4,953</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000838	Office Specialist	117	\$ 28,157	\$ 25,232	\$ 53,389
<b>Requested</b>					
20000838	Records Clerk	120	\$ 30,482	\$ 25,684	\$ 56,166
<b>Difference</b>			<b>\$ 2,325</b>	<b>\$ 452</b>	<b>\$ 2,777</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**



**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000839	Office Specialist	117	\$ 29,863	\$ 12,626	\$ 42,489
<b>Requested</b>					
20000839	Records Clerk	120	\$ 30,482	\$ 12,746	\$ 43,228
<b>Difference</b>			<b>\$ 619</b>	<b>\$ 120</b>	<b>\$ 739</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000840	Office Specialist	117	\$ 28,157	\$ 19,103	\$ 47,260
<b>Requested</b>					
20000840	Records Clerk	120	\$ 30,482	\$ 19,556	\$ 50,038
<b>Difference</b>			<b>\$ 2,325</b>	<b>\$ 453</b>	<b>\$ 2,778</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20010281	Office Specialist	117	\$ 26,336	\$ 24,877	\$ 51,213
<b>Requested</b>					
20010281	Records Clerk	120	\$ 30,482	\$ 25,684	\$ 56,166
<b>Difference</b>			<b>\$ 4,146</b>	<b>\$ 807</b>	<b>\$ 4,953</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

**Budget Impact**  
**Annual**  
**10.9.20**

Position	Classification	Grade	Salary	Benefits	Total
<b>Minimum</b>					
20000880	Office Specialist	117	\$ 28,157	\$ 19,103	\$ 47,260
<b>Requested</b>					
20000880	Records Clerk	120	\$ 30,482	\$ 19,556	\$ 50,038
<b>Difference</b>			<b>\$ 2,325</b>	<b>\$ 453</b>	<b>\$ 2,778</b>

**This budget impact is informational only and does not constitute an actual departmental impact.**

**Based on 2020 Compensation Plan**

**\* Planning information only**

## Showalter Arie, Lorien E.

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**From:** Allen, Keith  
**Sent:** Wednesday, February 03, 2021 8:58 AM  
**To:** Pollock, Gregory  
**Subject:** FW: Budget Impact  
**Attachments:** Office Specialist (20000832) 10.9.20.pdf; Office Specialist (20000841) 10.9.20.pdf; Office Specialist (20000829) 10.9.20.pdf; Office Specialist (20000830) 10.9.20.pdf; Office Specialist (20000833) 10.9.20.pdf; Office Specialist (20000834) 10.9.20.pdf; Office Specialist (20000836) 10.9.20.pdf; Office Specialist (20000837) 10.9.20.pdf; Office Specialist (20000838) 10.9.20.pdf; Office Specialist (20000839) 10.9.20.pdf; Office Specialist (20000840) 10.9.20.pdf; Office Specialist (20000880) 10.9.20.pdf; Office Specialist (20010281) 10.9.20.pdf

**Keith Allen | Captain, Support Division | Sedgwick County Sheriff's Office**  
p: (316) 660-3798 | f: (316) 660-3783 | [keith.allen@sedgwick.gov](mailto:keith.allen@sedgwick.gov)  
525 N. Main | Wichita, KS 67203 | [www.sedgwickcounty.org](http://www.sedgwickcounty.org)

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**From:** Showalter Arie, Lorien E.  
**Sent:** Friday, October 9, 2020 1:28 PM  
**To:** Allen, Keith  
**Subject:** RE: Budget Impact

Hello,

Attached are the budget impacts for these positions, there are three positions (20000836, 20000832, 20000841) that would be above the new minimum so those are figured with the 5% increase with the others going to the new grade minimum. The total impact is \$42,521.

Please let me know if you need anything else.

Thanks!  
Lorien

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**From:** Allen, Keith  
**Sent:** Friday, October 09, 2020 10:02 AM  
**To:** Showalter Arie, Lorien E.  
**Subject:** Budget Impact

Pers. Number	Last Name	First Name	Middle Name	Position	Employee - Pay Scale Level (Key)	Cost Center	Supervisor First Name	Supervisor Last Name
#	#	#	#	20010281	#/#/#/#/#	17007-110	#	#
13213	ARNOLD	LYDIA	ELAINE	20000880	10/GN/GN/1/GRADE117/#	17007-110	EUGENIA	NEAL
1675	WINT	KELLI	C.	20000841	10/GN/GN/1/GRADE117/#	17007-110	MEGAN	KLINE
13187	ROBERSON	ALISA	ANN	20000840	10/GN/GN/1/GRADE117/#	17007-110	#	#
10477	MARQUEZ-SANCHEZ	TERESA	#	20000839	10/GN/GN/1/GRADE117/#	17007-110	MEGAN	KLINE
13781	GAYLOR	PRISCILLA	ANNE	20000838	10/GN/GN/1/GRADE117/#	17007-110	#	#
#	#	#	#	20000837	#/#/#/#/#	17007-110	EUGENIA	NEAL
10848	KILIAN	ABBY	L	20000836	10/GN/GN/1/GRADE117/#	17007-110	EUGENIA	NEAL
14431	MARSTON	ELIZABETH	LEANNE	20000834	10/GN/GN/1/GRADE117/#	17007-110	KEVIN	BERRY
9281	KNOP	KATHRYN	C	20000833	10/GN/GN/1/GRADE117/#	17007-110	MEGAN	KLINE
2587	CHAPPELL	PRISKA	V.	20000832	10/GN/GN/1/GRADE117/#	17007-110	MEGAN	KLINE
#	#	#	#	20000830	#/#/#/#/#	17007-110	MEGAN	KLINE
#	#	#	#	20000829	#/#/#/#/#	17007-110	RACHAEL	MEDRANO

Hey Lorien,

Here are the positions. The two highlighted ones would be the 121's. Thank you so much!

Keith

**Keith Allen | Captain, Support Division | Sedgwick County Sheriff's Office**

p: (316) 660-3798 | f: (316) 660-3783 | [keith.allen@sedgwick.gov](mailto:keith.allen@sedgwick.gov)

525 N. Main | Wichita, KS 67203 | [www.sedgwickcounty.org](http://www.sedgwickcounty.org)



# Sedgwick County Government

## Wichita, Kansas

Date: 11/15/2018

### Position: Sheriff Records Technician I

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#### Position Summary:

Performs a wide variety of technical and/or specialized office functions and administrative work in support of the Sheriff's Office. Responsible for sensitive and specialized information involving the exercise of some independence in the conduct of standard duties. Provides clerical support for one or more administrative, professional or technical employees. Performs duties as a technical clerk or typist; or independent work involving significant procedure and sequence. Provides criminal information, reports and documents by telephone and/or in person and maintains related records that are unique to the law enforcement environment. Process criminal case paperwork to include data entry in the FBI National Crime Information Computer (NCIC) network, warrants, and Protection from Abuse/Stalking orders.

#### Qualifications:

High school diploma or equivalent including or supplemented by courses in secretarial and general bookkeeping subjects.

Two years experience in varied clerical and secretarial work or any equivalent combination of training and experience, which provides the required knowledge, skills, abilities and competencies.

No record of criminal conviction, diversion, or expungement of any felony or crime of dishonesty, or the equivalent under the uniform code of military justice.

Obtain NCIC certification within 6 months of employment and maintain bi-annual testing/certifications.

#### Major Job Responsibilities:

- ▮ Types, files, and composes letters, memoranda, legal documents, reports, forms, patient charts, requisitions, and invoices working from rough drafts, dictating machines, verbal instructions or established procedures.
- ▮ Prepares, maintains, processes and distributes various reports, records, taxes, legal documents, mortgage foreclosures, and other documents pertinent to the Sheriff's Office smooth operation; ensures same is in compliance with departmental policies and procedures and is accurate and complete.
- ▮ Answers, screens, and routes department telephone calls to appropriate destination; greets and replies in person, by telephone, or by correspondence to inquiries from visitors and callers; supplies general information on departmental policies and procedures and/or legal requirements; refers more difficult inquiries to an appropriate official.
- ▮ Compiles, copies, and completes data for administrative and public reports, bulletins, questionnaires and other documents; makes varied arithmetical computations on material assembled.
- ▮ Receives payments from the general public regarding the department's services; posts payments and verifies receipts.
- ▮ Records and maintains various statistical data regarding the department's services, activities, and operations.
- ▮ Performs clerical functions and may have other duties unique to the department, agency, or office that are not of a clerical nature.
- ▮ Orders, verifies receipt, and maintains office equipment and supplies; places supply orders and initiates service calls on copiers, personal computers, printers, telephones, etc.
- ▮ Receives, sorts, stamps, and distributes departmental mail.
- ▮ Assists other departmental clerical staff in performing their duties when required.
- ▮ Process and validate Protection from Abuse/Stalking orders. File and maintain the orders so they can be served by field personnel.

## Position: Sheriff Records Technician I

Verifies individual cases submitted by Sheriff's Office personnel to ensure compliance with necessary state and federal standards as applicable.

- ▮ Process, verify and enter warrants into the appropriate records systems so they can be served by field personnel.
- ▮ Data entry of evidence in the appropriate software so the evidence can be stored and tracked
- ▮ Construct case jackets for every case generated throughout the entire department. These case jackets are filed, maintained, recalled for use in court and stored in the records section.
- ▮ Creates and edits daily "Interwatch" report and distributes to all Sheriff's Office personnel as required.
- ▮ Complete driver's record check when appropriate, process and enter each traffic citation written by every deputy within the department.
- ▮ Perform records checks and background research when requested from field personnel, to include geographic information, vehicle information, and business/governmental agency information. All of this information is found in numerous databases and computer programs that each clerk must be proficient in searching and understanding the information contained within.
- ▮ Type Dictaphone reports from all field personnel
- ▮ Provide fingerprint information when field personnel are trying to identify suspects.
- ▮ Maintain the Daily Criminal Bulletin.
- ▮ Process insurance requests by researching the appropriate case jacket, redacting information as required by law, copy the file, and prepare the documents to be provided and paid for by the requestor.
- ▮ Prepare and send notification letters regarding all vehicles impounded by field personnel.
- ▮ Complete case desk reports over the phone with citizens and complete related forms.
- ▮ Routinely validate NCIC entries to include all missing persons, stolen property and weapons. This information is regularly audited by the federal government to ensure accuracy.
- ▮ Perform records checks as requested by other law enforcement agencies throughout the country.
- ▮ Release appropriate information to the media upon request.
- ▮ Bi-Annual NCIC certification.
- ▮ Bi-Annual Security Awareness training.
- ▮ Performs other related duties as required.

## Knowledge, Skills, Abilities and Competencies:

- ▮ Knowledge of Business English, spelling, punctuation, and arithmetic.
- ▮ Knowledge of modern office practices, procedures and equipment.
- ▮ Skill in the use of a personal computer and related software.
- ▮ Ability to understand the policies, procedures, and services of the department or agency.
- ▮ Ability to keep moderately complex records, to assemble and organize data, and to prepare reports from such records.
- ▮ Ability to make computations and tabulations with speed and accuracy.
- ▮ Ability to learn and utilize specialized language and terms.
- ▮ Ability to deal with other employees, clients, taxpayers, and other members of the public tactfully and courteously.



## Position: Sheriff Records Technician I

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- ∪ Ability to perform all essential job functions within policies, procedures, rules & regulations.
- ∪ Have no history or subsequent conduct that renders the employee unusable as a witness.
- ∪ Ability to work within the parameters of the Core Values and Mission of the agency.

### Physical Requirements and Equipment Operated:

- ∪ Ability to lift various objects, ranging from paper files weighing several pounds, to a package weighing up to 40 pounds.
- ∪ movement would be typing, using a computer and answering telephones.
- ∪ Ability to sit or stand for long periods of time.
- ∪ Must be able to move effectively in varied settings throughout the office space that may include stairs while performing other listed job duties.
- ∪ Employees are required to perform the same repetitive movement as much as 30-45 minutes out of each hour and some on a more intermittent basis. Staff performs their duties at their assigned work areas roughly 7½ to a full 8 hours at a time. Examples of repetitive
- ∪ Operate photocopier, PC, multi-line phone, printers, fax machine.

### Environmental Factors & Working Conditions:

- ∪ Work performed inside a climate controlled office.
- ∪ Work with potentially hostile customers (or members of the public).
- ∪ Work in a fast paced environment that may include meeting deadlines, changing priorities, etc.
- ∪ Ability to communicate with and respond to persons who may become emotionally upset.
- ∪ Must be able to work one of three shifts. The records section is staffed 24 hours a day, 365 days a year. This is the only clerical section that must be operational at all times to support the field personnel.

This classification should not be interpreted as all-inclusive. It is intended to identify the major responsibilities and requirements of this job. The incumbents may be requested to perform job-related responsibilities and tasks other than those stated in this specification.



# Sedgwick County Government

## Wichita, Kansas

Date: 11/15/2018

### Position: Sheriff Records Technician II

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#### Position Summary:

Performs a wide variety of technical and/or specialized office functions and administrative work in support of the Sheriff's Office. Responsible for sensitive and specialized information involving the exercise of some independence in the conduct of standard duties. Provides clerical support for one or more administrative, professional or technical employees. Performs duties as a technical clerk or typist; or independent work involving significant procedure and sequence. Provides criminal information, reports and documents by telephone and/or in person and maintains related records that are unique to the law enforcement environment. Process criminal case paperwork to include data entry in the FBI National Crime Information Computer (NCIC) network, warrants, and Protection from Abuse/Stalking orders. May serve as lead worker to other clerical employees.

#### Major Job Responsibilities:

- ▮ Types, files, and composes letters, memoranda, legal documents, reports, forms, patient charts, requisitions, and invoices working from rough drafts, dictating machines, verbal instructions or established procedures.
- ▮ Prepares, maintains, processes and distributes various reports, records, taxes, legal documents, mortgage foreclosures, and other documents pertinent to the Sheriff's Office smooth operation; ensures same is in compliance with departmental policies and procedures and is accurate and complete.
- ▮ Answers, screens, and routes department telephone calls to appropriate destination; greets and replies in person, by telephone, or by correspondence to inquiries from visitors and callers; supplies general information on departmental policies and procedures and/or legal requirements; refers more difficult inquiries to an appropriate official.
- ▮ Compiles, copies, and completes data for administrative and public reports, bulletins, questionnaires and other documents; makes

#### Qualifications:

High school diploma or equivalent including or supplemented by courses in secretarial and general bookkeeping subjects.

Two years experience in varied clerical and secretarial work or any equivalent combination of training and experience, which provides the required knowledge, skills, abilities and competencies.

No record of criminal conviction, diversion, or expungement of any felony or crime of dishonesty, or the equivalent under the uniform code of military justice.

Obtain NCIC certification within 6 months of employment and maintain bi-annual testing/certifications.

varied arithmetical computations on material assembled.

- ▮ Prepares varied worksheets and spreadsheets; performs complex calculations of interest rates and taxes.
- ▮ Assists in a variety of departmental operational, personnel, budget, payroll activities and controls.
- ▮ Receives payments from the general public regarding the department's services; posts payments and verifies receipts.
- ▮ Records and maintains various statistical data regarding the department's services, activities, and operations.
- ▮ Performs clerical functions and may have other duties unique to the department, agency, or office that are not of a clerical nature.
- ▮ Orders, verifies receipt, and maintains office equipment and supplies; places supply orders and initiates service calls on copiers, personal computers, printers, telephones, etc.

## Position: Sheriff Records Technician II

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- ∪ Receives, sorts, stamps, and distributes departmental mail.
- ∪ Assists other departmental clerical staff in performing their duties when required.
- ∪ Process and validate Protection from Abuse/Stalking orders. File and maintain the orders so they can be served by field personnel.
- ∪ Verifies individual cases submitted by Sheriff's Office personnel to ensure compliance with necessary state and federal standards as applicable.
- ∪ Process, verify and enter warrants into the appropriate records systems so they can be served by field personnel.
- ∪ Data entry of evidence in the appropriate software so the evidence can be stored and tracked.
- ∪ Construct case jackets for every case generated throughout the entire department. These case jackets are filed, maintained, recalled for use in court and stored in the records section.
- ∪ Creates and edits daily "Interwatch" report and distributes to all Sheriff's Office personnel as required.
- ∪ Develop the Intelligence Hub which is the departmental communication utilized for intelligence led policing.
- ∪ Complete driver's record check when appropriate, process and enter each traffic citation written by every deputy within the department.
- ∪ Perform records checks and background research when requested from field personnel, to include geographic information, vehicle information, and business/governmental agency information. All of this information is found in numerous databases and computer programs that each clerk must be proficient in searching and understanding the information contained within.
- ∪ Type Dictaphone reports from all field personnel.
- ∪ Type taped interviews that pertain to criminal investigations.
- ∪ Type search warrants for major cases.
- ∪ Ability to use a two-way radio for communications of pertinent information to deputies in the field. This includes knowledge of appropriate 10 codes and other related codes.
- ∪ Ability to quickly develop knowledge of State, and local laws and ordinances relevant to assist deputies with completion of reports.
- ∪ Provide fingerprint information when field personnel are trying to identify suspects.
- ∪ Maintain the Daily Criminal Bulletin.
- ∪ Process insurance requests by researching the appropriate case jacket, redacting information as required by law, copy the file, and prepare the documents to be provided and paid for by the requestor.
- ∪ Prepare and send notification letters regarding all vehicles impounded by field personnel.
- ∪ Complete case desk reports over the phone with citizens and complete related forms.
- ∪ Advanced knowledge of KIBRS (Kansas Incident Based Reporting System), to include extensive coding of reports.
- ∪ Routinely validate NCIC entries to include all missing persons, stolen property and weapons. This information is regularly audited by the federal government to ensure accuracy.
- ∪ Perform records checks as requested by other law enforcement agencies throughout the country.
- ∪ Release appropriate information to the media upon request.
- ∪ Provides direct assistance to immediate supervisor, assist in training new clerical staff.
- ∪ Advanced knowledge of CAD (computer aided dispatch) to research cases numbers, call history, calls for service for the Sheriff's Office as well as other agencies within Sedgwick County.
- ∪ Ability to use critical thinking and advanced problem solving techniques.
- ∪ Ability to create mug lineups by utilizing Mug View.
- ∪ Ability to serve on agency committees and clerical oral boards.

## Position: Sheriff Records Technician II

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- ∪ Bi-annual NCIC certification.
- ∪ Bi-annual Security Awareness Training.
- ∪ Serves as a Mug View administrator for agency.
- ∪ Performs other related duties as required.

### Knowledge, Skills, Abilities and Competencies:

- ∪ Knowledge of Business English, spelling, punctuation, and arithmetic.
- ∪ Knowledge of modern office practices, procedures and equipment.
- ∪ Skill in the use of a personal computer and related software.
- ∪ Ability to understand the policies, procedures, and services of the department or agency.
- ∪ Ability to keep complex records, to assemble and organize data, and to prepare reports from such records.
- ∪ Ability to make computations and tabulations with speed and accuracy.
- ∪ Ability to learn and utilize specialized language and terms.
- ∪ Ability to accept and respond to a steady volume of requests for information and/or service, both in person and over the phone.
- ∪ Ability to deal with other employees, clients, taxpayers, and other members of the public tactfully and courteously.
- ∪ Ability to perform all essential job functions within policies, procedures, rules & regulations.
- ∪ Ability to work within the parameters of the Core Values and Mission of the agency.
- ∪ Ability to develop and maintain effective working relationships with associates, employees of other departments, representatives of other organizations, and the public.
- ∪ Ability to complete complex research of criminal records relating to person, location and/or property.
- ∪ Ability to communicate clearly and effectively, both orally and in writing.
- ∪ Have no history or subsequent conduct that renders the employee unusable as a witness.

### Physical Requirements and Equipment Operated:

- ∪ Ability to lift various objects, ranging from paper files weighing several pounds, to a package weighing up to 40 pounds.
- ∪ Ability to sit or stand for long periods of time.
- ∪ Employees are required to perform the same repetitive movement as much as 30-45 minutes out of each hour and some on a more intermittent basis. Staff performs their duties at their assigned work areas roughly 7½ to a full 8 hours at a time. Examples of repetitive movement would be typing, using a computer and answering telephones.
- ∪ Must be able to move effectively in varied settings throughout the office space that may include stairs while performing other listed job duties.
- ∪ Operate photocopier, PC, multi-line phone, printers, fax machine.

### Environmental Factors & Working Conditions:

- ∪ Work performed inside a climate controlled office.

## Position: Sheriff Records Technician II

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- ∪ Work with potentially hostile customers (or members of the public).
- ∪ Work in a fast paced environment that may include meeting deadlines, changing priorities, etc.
- ∪ Ability to communicate with and respond to persons who may become emotionally upset.
- ∪ Must be able to work one of three shifts. The records section is staffed 24 hours a day, 365 days a year. This is the only clerical section that must be operational at all times to support the field personnel.

This classification should not be interpreted as all-inclusive. It is intended to identify the major responsibilities and requirements of this job. The incumbents may be requested to perform job-related responsibilities and tasks other than those stated in this specification.



# Sedgwick County Government

## Wichita, Kansas

Date: 11/15/2018

### Position: Sheriff Records Supervisor

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#### Position Summary:

Performs a wide variety of technical and/or specialized office functions and administrative work in support of the Sheriff's Office. Responsible for sensitive and specialized information involving the exercise of some independence in the conduct of standard duties. Provides clerical support for one or more administrative, professional or technical employees. Performs duties as a technical clerk or typist; or independent work involving significant procedure and sequence. Provides criminal information, reports and documents by telephone and/or in person and maintains related records that are unique to the law enforcement environment. Process criminal case paperwork to include data entry in the FBI National Crime Information Computer (NCIC) network, warrants, and Protection from Abuse/Stalking orders. May serve as lead worker to other clerical employees.

#### Qualifications:

High school diploma or equivalent including or supplemented by courses in secretarial and general bookkeeping subjects.

Two years experience in varied clerical and secretarial work or any equivalent combination of training and experience, which provides the required knowledge, skills, abilities and competencies.

No record of criminal conviction, diversion, or expungement of any felony or crime of dishonesty, or the equivalent under the uniform code of military justice.

Obtain NCIC certification within 6 months of employment and maintain bi-annual testing/certifications.

#### Major Job Responsibilities:

- ▮ Types, files, and composes letters, memoranda, legal documents, reports, forms, patient charts, requisitions, and invoices working from rough drafts, dictating machines, verbal instructions or established procedures.
- ▮ Prepares, maintains, processes and distributes various reports, records, taxes, legal documents, mortgage foreclosures, and other documents pertinent to the Sheriff's Office smooth operation; ensures same is in compliance with departmental policies and procedures and is accurate and complete.
- ▮ Answers, screens, and routes department telephone calls to appropriate destination; greets and replies in person, by telephone, or by correspondence to inquiries from visitors and callers; supplies general information on departmental policies and procedures and/or legal requirements; refers more difficult inquiries to an appropriate official.
- ▮ Compiles, copies, and completes data for administrative and public reports, bulletins, questionnaires and other documents; makes varied arithmetical computations on material assembled.
- ▮ Prepares varied worksheets and spreadsheets; performs complex calculations of interest rates and taxes.
- ▮ Assists in a variety of departmental operational, personnel, budget, payroll activities and controls.
- ▮ Receives payments from the general public regarding the department's services; posts payments and verifies receipts.
- ▮ Records and maintains various statistical data regarding the department's services, activities, and operations.
- ▮ Performs clerical functions and may have other duties unique to the department, agency, or office that are not of a clerical nature.
- ▮ Orders, verifies receipt, and maintains office equipment and supplies; places supply orders and initiates service calls on copiers, personal computers, printers, telephones, etc.

## Position: Sheriff Records Supervisor

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- ∪ Receives, sorts, stamps, and distributes departmental mail.
- ∪ Assists other departmental clerical staff in performing their duties when required.
- ∪ Process and validate Protection from Abuse/Stalking orders. File and maintain the orders so they can be served by field personnel.
- ∪ Verifies individual cases submitted by Sheriff's Office personnel to ensure compliance with necessary state and federal standards as applicable.
- ∪ Process, verify and enter warrants into the appropriate records systems so they can be served by field personnel.
- ∪ Data entry of evidence in the appropriate software so the evidence can be stored and tracked.
- ∪ Construct case jackets for every case generated throughout the entire department. These case jackets are filed, maintained, recalled for use in court and stored in the records section.
- ∪ Creates and edits daily "Interwatch" report and distributes to all Sheriff's Office personnel as required.
- ∪ Develop the Intelligence Hub which is the departmental communication utilized for intelligence led policing.
- ∪ Complete driver's record check when appropriate, process and enter each traffic citation written by every deputy within the department.
- ∪ Perform records checks and background research when requested from field personnel, to include geographic information, vehicle information, and business/governmental agency information. All of this information is found in numerous databases and computer programs that each clerk must be proficient in searching and understanding the information contained within.
- ∪ Type Dictaphone reports from all field personnel.
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- ∪ Type search warrants for major cases.
- ∪ Ability to use a two-way radio for communications of pertinent information to deputies in the field. This includes knowledge of appropriate 10 codes and other related codes.
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- ∪ Provide fingerprint information when field personnel are trying to identify suspects.
- ∪ Maintain the Daily Criminal Bulletin.
- ∪ Process insurance requests by researching the appropriate case jacket, redacting information as required by law, copy the file, and prepare the documents to be provided and paid for by the requestor.
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- ∪ Routinely validate NCIC entries to include all missing persons, stolen property and weapons. This information is regularly audited by the federal government to ensure accuracy.
- ∪ Perform records checks as requested by other law enforcement agencies throughout the country.
- ∪ Release appropriate information to the media upon request.
- ∪ Provides direct assistance to immediate supervisor, assist in training new clerical staff.
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- ∪ Ability to use critical thinking and advanced problem solving techniques.
- ∪ Ability to create mug lineups by utilizing Mug View.
- ∪ Ability to serve on agency committees and clerical oral boards.

## Position: Sheriff Records Supervisor

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- ∪ Bi-annual NCIC certification.
- ∪ Bi-annual Security Awareness Training.
- ∪ Serves as a Mug View administrator for agency.
- ∪ Performs other related duties as required.
- ∪ Supervise Records Technicians
- ∪ Trains Records Technicians
- ∪ Submits case documents to appropriate State authority.

### Knowledge, Skills, Abilities and Competencies:

- ∪ Knowledge of Business English, spelling, punctuation, and arithmetic.
- ∪ Knowledge of modern office practices, procedures and equipment.
- ∪ Skill in the use of a personal computer and related software.
- ∪ Ability to understand the policies, procedures, and services of the department or agency.
- ∪ Ability to keep complex records, to assemble and organize data, and to prepare reports from such records.
- ∪ Ability to make computations and tabulations with speed and accuracy.
- ∪ Ability to learn and utilize specialized language and terms.
- ∪ Ability to accept and respond to a steady volume of requests for information and/or service, both in person and over the phone.
- ∪ Ability to deal with other employees, clients, taxpayers, and other members of the public tactfully and courteously.
- ∪ Ability to perform all essential job functions within policies, procedures, rules & regulations.
- ∪ Ability to work within the parameters of the Core Values and Mission of the agency.
- ∪ Ability to develop and maintain effective working relationships with associates, employees of other departments, representatives of other organizations, and the public.
- ∪ Ability to complete complex research of criminal records relating to person, location and/or property.
- ∪ Ability to communicate clearly and effectively, both orally and in writing.
- ∪ Have no history or subsequent conduct that renders the employee unusable as a witness.

### Physical Requirements and Equipment Operated:

- ∪ Ability to lift various objects, ranging from paper files weighing several pounds, to a package weighing up to 40 pounds.
- ∪ Ability to sit or stand for long periods of time.
- ∪ Employees are required to perform the same repetitive movement as much as 30-45 minutes out of each hour and some on a more intermittent basis. Staff performs their duties at their assigned work areas roughly 7½ to a full 8 hours at a time. Examples of repetitive movement would be typing, using a computer and answering telephones.
- ∪ Must be able to move effectively in varied settings throughout the office space that may include stairs while performing other listed job duties.
- ∪ Operate photocopier, PC, multi-line phone, printers, fax machine.

### Environmental Factors & Working Conditions:



## Position: Sheriff Records Supervisor

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- ∪ Work performed inside a climate controlled office.
- ∪ Work with potentially hostile customers (or members of the public).
- ∪ Work in a fast paced environment that may include meeting deadlines, changing priorities, etc.
- ∪ Ability to communicate with and respond to persons who may become emotionally upset.
- ∪ Must be able to work one of three shifts. The records section is staffed 24 hours a day, 365 days a year. This is the only clerical section that must be operational at all times to support the field personnel.

This classification should not be interpreted as all-inclusive. It is intended to identify the major responsibilities and requirements of this job. The incumbents may be requested to perform job-related responsibilities and tasks other than those stated in this specification.

## 2022 Sedgwick County Budget

### [831] Cordico Wellness Support Mobile Device App

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Pollock
<b>Department Priority:</b>	3	<b>Division Priority:</b>	3
<b>Primary Fund Center:</b>	17001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

### Summary

Cordico is the world leader in wellness technology for high-stress professions, providing trusted, confidential, 24/7 proactive and preventative wellness support specially developed for law enforcement, firefighters, dispatchers, medical professionals, and others serving in the most demanding and critical roles. The cost of the Cordico App provides wellness tools for employees of the Sheriff's Office, The Office of the District Attorney, Sedgwick County 911 Communications, and the Sedgwick County Forensic Science Center plus all of their spouses. Using grant funds the Sheriff's Office funded the first year of the app and is seeking funding for the second year of the app.

**Legal Reference:** None

**Legal Requirement:**

None

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42000 - Contractual Services	110	17001-110		35,000
TOTAL			0	35,000

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Goals of our Wellness Support App include supporting agencies and employees in carrying out their missions effectively, safely, and ethically by providing specialized services including assessment, consulting, therapeutic programs, and customized training to meet departmental needs. Due to the job demands of public safety type roles, employees face many unique stressors and job demands and the app provides resources to employees if/when the need arises.

#### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

In high-stress positions like public safety, there is reluctance by employees to discuss mental health or stress related issues and employees find it difficult to ask others for help. The Cordico Wellness Support App gives employees anytime access to resources and tools that can help them determine what might be bothering

them. As stress continues to build on a person, it can lead to many unhealthy habits and possibly mental health issues. Relieving the stress is paramount for an employee's overall health and their success.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This request will be from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

In 2019, Blue Help, an organization dedicated to collecting data on law enforcement suicide, recorded 228 suicides. This number does not account for the thousands who have suicidal ideations, anxiety, depression, burnout, compassion fatigue, or post-traumatic stress as a result of the accumulation of the job. Many times, it's not just one critical incident or traumatic event, but a series of events, whether it be at work or at home, that contribute so someone experiencing any of the above. Herein lies the need for peer support. According to a study done in 2018 by the National Fraternal Order of Police (FOP) and NBC New York, nearly 8,000 active and retired sworn officers were surveyed to gauge the levels of critical stress officers experienced. Critical stress is defined as "a strong emotional reaction that overwhelms usually effective coping abilities". 79% reported experiencing critical stress at some point in their career and 73% of respondents viewed peer support as one of the most helpful treatments.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Not a personnel related request

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

The Wellness Support app combines all of the resources an employee may ever need all in one convenient location and also gives access to the employees spouse. The app is a need for the agency so that the employees are better equipped to deal with life stressors. This request supports our strategic plan, specifically, our goal to Cultivate a Quality Workforce.

**Please provide 3 years' worth of data to support your request.**

N/A

4403-12

## CORDICO INC. CORDICOSHIELD SERVICES AGREEMENT

This CordicoShield Services Agreement ("Agreement") is by and between CORDICO INC (a Delaware Corporation) headquartered at 2377 Gold Meadow Way, Suite 100, Gold River, CA 95670 ("Cordico"), and the Sedgwick County Sheriff's Office located within the State of Kansas ("Subscriber"). This Agreement is effective as of the date of the last signature ("Effective Date"), subject to the Terms and Conditions attached hereto, and accepted by Cordico which are still in effect.

1. **Software as a Service (SaaS).** Cordico provides its customers a service as a SaaS model where the software is a mechanism to deliver our service. Cordico will provide the service as long as the subscriber is in good standing.

**1.1. Software.** Cordico will develop a customized mobile wellness app branded for the Sedgwick County Sheriff's Office. Cordico will own the app and the underlying technology, and will provide the customized mobile wellness app to Sedgwick County Sheriff's Office representatives within 60 days of the final execution of this Agreement, provided that the Sedgwick County Sheriff's Office provides Cordico with the necessary image files, contact information, and additional input necessary to complete the app in a timely manner. The apps shall contain a variety of content and features, including, but not limited to, the following:

- 1.1.1. Sedgwick County Sheriff's Office-Customized iPhone App
- 1.1.2. Sedgwick County Sheriff's Office-Customized Android App
- 1.1.3. Confidential Access
- 1.1.4. Private Access
- 1.1.5. Alcohol Abuse
- 1.1.6. Anger Management
- 1.1.7. Anxiety, Worry, and Panic
- 1.1.8. Behavioral Health Tools
- 1.1.9. Brain Health and Cognitive Strength
- 1.1.10. Chaplain Support (as applicable)
- 1.1.11. Compassion Fatigue
- 1.1.12. Critical Incidents
- 1.1.13. Depression
- 1.1.14. Emotional Health
- 1.1.15. Family Support
- 1.1.16. Financial Fitness
- 1.1.17. Grief and Loss
- 1.1.18. Healthy Habits
- 1.1.19. Injury Prevention

- 1.1.20. Internet Crimes Against Children (ICAC) Coping and Resiliency Strategies
- 1.1.21. Local Resources (as applicable)
- 1.1.22. Marriage Guidance
- 1.1.23. Mental Toughness
- 1.1.24. Mindfulness
- 1.1.25. Moral Injury
- 1.1.26. New Hire: Keys to Wellness
- 1.1.27. Nutrition
- 1.1.28. Parenting Tips
- 1.1.29. Peak Performance
- 1.1.30. Peer Support (as applicable)
- 1.1.31. Physical Fitness
- 1.1.32. Posttraumatic Stress
- 1.1.33. Psychological First Aid
- 1.1.34. Push Notifications (optional)
- 1.1.35. Relationship Success
- 1.1.36. Resilience Development
- 1.1.37. Retirement: Getting Prepared
- 1.1.38. Self-Care Checklists
- 1.1.39. Sleep Optimization
- 1.1.40. Stress Management
- 1.1.41. Stress Response
- 1.1.42. Substance Abuse
- 1.1.43. Suicide Prevention
- 1.1.44. Supporting Children Who Fear for Your Safety
- 1.1.45. Therapist Finder with Geo-Location (as applicable)
- 1.1.46. Trauma
- 1.1.47. Wellness Self-Assessment Tools
- 1.1.48. Wellness + Technology Updates
- 1.1.49. Wellness Videos

**1.1.50. Work-Life Balance**

**1.2. Service.** The services that Cordico offers are described as follows:

**1.2.1. Hosting.** Cordico will host the backend that delivers the content that is accessed in the app.

**1.2.2. Admin Portal.** Cordico will host the web admin portal that allows the subscriber to control the content on the app as well as send out push notifications.

**1.2.3. Technical Upgrades.** As needed, Cordico will upgrade the app so that it meets the technical requirements for the iOS and Android Operating Systems.

**1.2.4. Feature and Content Upgrades.** Cordico will automatically update the app with new content and features as they are developed.

**1.2.5. Support.** Cordico will provide support as follows:

- (a) If a new Apple Developer Account is required for the organization, Cordico will provide guidance and cover any fees required to obtain such an account.
- (b) End User Support. Cordico will provide email and phone support for the subscriber's end users as they request changes to the app content.
- (c) Technical Support. Cordico will provide email and phone support for the subscriber's end users for any technical issues.
- (d) Training. Cordico will provide training through email, phone, or via web conferencing as needed.
- (e) Account Manager. Cordico will assign an account manager to the subscriber that will be a point of contact for all their support needs.

**1.2.6. Deployment.** Cordico will help subscriber deploy the CordicoShield solution as follows:

- (a) **Installation Documents.** Cordico will create a customized installation document that provides step-by-step instructions detailing how to install the iPhone and Android apps.
- (b) **Training Presentation.** Cordico will develop a customized training presentation that will allow the subscriber to train their end users on how to install and use their app.
- (c) **Posters.** Cordico will develop a customized poster that will help promote the app and provide instruction on how to install the app.

**2. Compensation and Billing.** Subscriber shall pay Cordico \$35,000, invoiced when development of app begins, for the services outlined in Section 1 and for remaining first year of subscription, followed by an annual subscription fee of \$35,000 per year, invoiced on an annual basis, beginning one year from the date of the initial invoice. The annual subscription fee is contingent on the Agreement being renewed. Fees will be billed via invoice with payment due within thirty (30) days of receipt. The annual subscription fee covers all costs related to the app including build, design, licensing, maintenance, and ongoing updates. Any costs related to therapist vetting, counseling or therapy services, critical incident debriefings, or other professional services are not included. Any therapist vetting, counseling or therapy services, critical incident debriefings, or other professional services shall be covered by a separate agreement.

**3. Intellectual Property.** All content contained in Services deliverables, including but not limited to all object and source code, all data created, developed or reduced to practice, and all content underlying such Services that is not specifically provided by Subscriber (collectively "Cordico Content") is the proprietary intellectual property of Cordico and/or its suppliers or licensors. Subject to this Agreement and any other applicable agreement between Cordico and Subscriber,

Subscriber is granted a non-exclusive and limited right to access and use the Services in accordance with this Agreement. In the event this Agreement is terminated or Subscriber ceases to be an active Cordico customer, Subscriber shall lose access to any hosted Services (e.g. online or app-based services) and to all Cordico Content, and shall discontinue all use of Cordico Content for any purpose at the time of termination. Unless explicitly stated herein, nothing in this Agreement shall be construed as conferring any other rights or license to Cordico's confidential information, confidential materials, trade secrets or intellectual property rights, whether by estoppel, implication or otherwise. Cordico Services are protected to the maximum extent permitted by trademark, copyright, and patent laws. Subscriber may not decompile or disassemble, reverse engineer or otherwise attempt to discover any source code contained in the Cordico Services. Cordico shall not use except for fulfilling the purposes of this Agreement, sell, or distribute, any content or personal information provided or uploaded by Subscriber or any of its members. Except by request of Subscriber or implementation of a new Agreement, all such content and personal information shall be destroyed upon termination of this Agreement.

4. **Term.** The Term of this Agreement shall commence on the date this Agreement is signed by both parties and continue for one year, with four (4) options for one (1) year renewals by written consent of the parties.
5. **Independent Contractor.** The parties acknowledge and agree that Cordico is an independent contractor and that the relationship between Cordico and Subscriber is not that of employee and employer.
6. **No Warranty; Limited Liability.** Cordico makes no warranty of any kind with respect to the services or software provided by it under this Agreement. In no event shall Cordico, or any of its officers, agents, members, managers, or employees, be liable to Subscriber for any indirect, special, incidental, or consequential damages (including without limitation lost profits and attorney's fees and costs of suit) of any kind. This section shall not limit implied warranties of merchantability and fitness for the listed purposes of the app and subscription.
7. **Integration.** This Agreement constitutes the entire agreement between the parties concerning the subject matter of this Agreement, and it supersedes all prior agreements, understandings, negotiations, and proposals (whether written or oral) concerning the subject matter of this Agreement.
8. **Amendment.** This Agreement may not be amended except in a writing signed by both parties.
9. **Severability.** If any section of this Agreement is held to be invalid, the remaining sections of this Agreement will not be affected.
10. **Applicable Law.** This Agreement shall be governed by and construed in accordance with the laws of the State of Kansas.
11. **Disputes; Choice of Forum.** In the event of any dispute between the parties to this Agreement, the parties shall attempt in good faith to mediate and resolve the dispute without legal action. In the event the dispute cannot be resolved by mediation, any proceedings to enforce the terms of this Agreement or arising out of or related to the subject matter of this Agreement shall be commenced solely in a court of competent jurisdiction in Sedgwick County, Kansas.
12. **Attorneys' Fees and Costs.** The prevailing party in any suit or action to enforce the terms of this Agreement or arising from the subject matter of this Agreement shall recover its attorneys' fees and costs of suit.
13. **Counterparts.** This Agreement may be executed in two (2) or more counterparts, each of which shall be deemed an original but all of which together shall constitute one and the same Agreement.
14. **Software License.** The Sedgwick County Sheriff's Office Wellness App will be available for use to all Sedgwick County Sheriff's Office personnel and additional specified individuals, as designated by the Sedgwick County Sheriff's Office, as long as this agreement is in good standing. Specified individuals include, but are not limited to, members of the Sedgwick County District Attorney's Office, Emergency Communications, and the Regional Forensic Science Center. The Sedgwick County Sheriff's Office Wellness App may not be shared or redistributed in any other manner, without express written permission from Cordico, and the Sedgwick County Sheriff's Office Wellness App may not be decompiled, copied, reverse-engineered, or reconstructed in any manner whatsoever, without express written permission from Cordico. No license to any intellectual property is provided or implied by this Agreement. Cordico retains permission to download, modify, improve, utilize and install updates to the Sedgwick County Sheriff's Office Wellness App.

- 15. Termination for Convenience.** Subscriber shall have the right to terminate this Agreement upon thirty (30) day's written notice. Upon receipt of such termination notice from County, Contractor shall not incur any new obligations and shall cancel as many outstanding obligations as reasonably possible. In such event, County's maximum liability shall be limited to payment for services rendered. In no event shall any fees, including annual subscription fees, be prorated or refunded. Any Termination for Convenience occurring following a renewal or request for additional services shall require full payment of all fees applicable to such renewal period or for such services.
- 16. Termination for Cause.** In the event of any breach of the terms or conditions of this Agreement by Contractor, or in the event of any proceedings by or against Contractor in bankruptcy or insolvency or for appointment of receiver or trustee or any general assignment for the benefit of creditors, County may, in addition to any other remedy provided it by law or in equity or other right reserved to it elsewhere in this Agreement, without any liability to Contractor on account thereof, by written notice, terminate immediately all or any part of this Agreement, procure the goods, equipment and/or services provided for herein elsewhere, on such terms and under such conditions as are reasonable in the sole discretion of County.

<b>CORDICO INC. Billing Information:</b>	<b>Subscriber Billing Information:</b>
Contact Name: Kevin Dacy	Contact Name: Wendy Hummell
Email: info@cordico.com	Email: <del>Wendy.Hummel@sedgwick.gov</del> <i>Amended KWS 10/26/20</i> Wendy.Hummel@sedgwick.gov
Address: 2377 Gold Meadow Way Suite 100 Gold River, CA 95670	Address: 141 W. Elm Wichita, KS 67203
Phone/Fax: (844) 267-3426	Phone: (316) 660-3900
CORDICO INC. FEIN Tax ID: 82-4323038	Fax:



IN WITNESS WHEREOF, Cordico and Subscriber have caused this Agreement to be entered into by their duly authorized representatives as of the Effective Date.

**AUTHORIZED SIGNATORY FOR CORDICO INC.:**

SIGNATURE: \_\_\_\_\_

David Black, Ph.D.  
President  
CORDICO INC.

10/23/2020  
DATE

**AUTHORIZED SIGNATORY FOR SUBSCRIBER:**

SIGNATURE: \_\_\_\_\_

Printed Name: Thomas J. Stolz

Title: Counter Manager

Organization: Sedgwick County

10/30/20  
DATE

**APPROVED TO FORM:**

\_\_\_\_\_

Kirk W. Sponsel  
Assistant County Counselor

**ATTESTED TO:**

\_\_\_\_\_

Kelly B. Arnold  
County Clerk





# Customized, Confidential, Mobile Wellness Applications



Law enforcement has never been more challenging. Nationwide, officers overwhelmingly report job-related stress has affected their mental health—yet 90% of officers say cultural stigma creates a barrier to getting help for emotional or behavioral issues. Left unaddressed, stress can lead to destructive behaviors and poor decision-making, including excessive use of force.

Cordico's wellness solutions address these challenges, providing officers and their family members with on-demand access to relevant, trusted and effective wellness resources.

Our CordicoShield law enforcement wellness app offers a complete range of self-assessments as well as continuously updated videos and guides on more than 60 behavioral health topics—all designed specifically for first responders. And it's backed with 5-star customer service covering design, implementation and ongoing support.

## When you deploy CordicoShield in your agency, you will:



Connect your personnel to confidential assessments and counseling resources



Strengthen your wellness culture & empower your peer support team



Help officers cope with the effects of critical events & chronic exposure



Improve officer decision-making, empathy & resiliency, which in turn enhances police/community relations



Support department retirees & family members (included with agency subscription)

## Trusted, Tailored Behavioral Health Support

Cordico's wellness tools and self-assessments are designed to keep your personnel healthy and effective at work. Created by our experienced clinical and scientific staff, these resources are built for both prevention and treatment.

### Wellness Tools

CordicoShield includes videos, articles and guides on more than 60 topics. From trouble sleeping to dealing with tough calls to work/life balance, these resources are created specifically for law enforcement officers.

- Alcohol and Substance Abuse
- Burnout and Compassion Fatigue
- COVID-19
- Dr. Gilmartin's Emotional Survival
- Family Support
- Financial Fitness
- ICAC Coping and Resiliency
- Mindfulness
- Parenting Tips
- Posttraumatic Stress
- Psychological First Aid
- Suicide Prevention

### Anonymous Self-Assessments

Often, officers suspect they are battling a mental health issue but are unsure where to start. CordicoShield self-assessments are completely confidential and deliver highly specific results aimed at providing instant feedback and next-step guidance.

- Adult ADHD
- Adverse Childhood Experiences
- Alcohol Abuse
- Cordico Anger Scale
- Compassion Fatigue
- Depression
- Posttraumatic Stress
- Resilience
- Cordico Sleep Test
- Social Isolation
- Stress
- Well-Being

### Available Features

- Customized with your agency's badge, images, engagement incentives & more
- Confidential access & utilization
- Apple iOS & Android compatible
- One-touch calling to peer support & chaplains
- Teletherapy portal with HIPAA encryption
- Therapist finder
- Wellness push notifications

## Serving First Responders Since 2002



*"Cordico is connecting officers to innovative mental and behavioral health tools. Cordico's wellness app helps me take care of my officers. It will save lives."*

Police Chief Neil H. Gang  
Pinole (CA) Police Department  
Chair, California Police Chiefs  
Association Wellness Committee



*"If you do one thing for your agency this year, get this app. It will show that employee wellness is a priority, you truly care, and you want to make the best tools and resources accessible to your officers 24/7."*

Kimberly A. Miller, Ph.D.  
Chair, National Sheriffs' Association,  
Psychological Services Committee  
Police Psychologist, Consultant, Coach & Trainer

## 2022 Sedgwick County Budget

### [827] Background Investigator Deputy

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Pollock
<b>Department Priority:</b>	4	<b>Division Priority:</b>	4
<b>Primary Fund Center:</b>	17020-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

### Summary

The Sedgwick County Sheriff's Office, Pre-Employment Section currently has two deputies and one Sergeant assigned to the Background Section staffing table. The primary duties of these deputies are to complete background investigations for all new applicants for any employment with the Sheriff's Office. Over the past three years background investigators have completed 492 backgrounds for potential employees. The number of backgrounds conducted is increasing despite finding qualified applicants for our open positions. We have seen an increase of 35% more backgrounds being conducted to hire the personnel we have. This screening process is essential to our hiring process and helps us find qualified applicants. We tasked other areas of the agency to complete these backgrounds using as many as 11 additional personnel to help with the backlog of backgrounds.

**Legal Reference:** Policy and statute driven

**Legal Requirement:**

Policy and statute driven

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	17020-110		45,008
41300 - BENEFITS	110	17020-110		35,904
45101 - Office Supplies	110	17020-110		100
45111 - Computer Equipment	110	17020-110		1,400
42501 - SEMINAR/TRN REG FEES	110	17020-110		1,000
42701 - Fleet Management Charges	110	17010-110		614
47103 - Vehicular Equipment	110	17020-110		21,194
45102 - Operating Supplies	110	17020-110		5,451
<b>TOTAL</b>			0	110,671

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Background Investigator	GRADE127	1.00	45,008	35,904
<b>TOTAL</b>			1.00	45,008	35,904

## Question Responses

### **How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

Increasing the staffing table from 2 to 3 background investigators in Pre-Employment will help to complete thorough background investigations and improve the number of backgrounds completed. Also the addition of another investigator will help to reduce the request or the utilization of deputies from other divisions.

### **Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Ultimately if another background investigator is not added to the Pre-Employment section, background files will be delayed in completion and the potential for background files to back log will rise. Also without adding another investigator the continued use or farming background files to deputies in other divisions will continue. This request is a need and will allow the Sheriff's Office to further our Mission: In partnership with the citizens of Sedgwick County, we will provide effective public service to all, holding everyone accountable in an impartial, ethical and professional manner. This necessity also meets the mission of Sedgwick County: to provide quality public service to our community.

### **Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing Resources

#### **Other:**

The requested position will require extensive job related travel to verify background history on any Sheriff's Office applicant. Verification will entail personal visits with applicant friends , associates, direct and indirect family, employers, personal references and others as identified. In addition, this position will also assist with recruiting efforts and attend local and regional recruiting events as needed. Due to the significant amount of expected travel associated with this position (12000 -15000 miles annually) an agency provided vehicle is also requested.

### **Please provide information regarding any type of study done to support your current request.**

No study completed

### **For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Increase in open positions within detention facility have increased the background investigations needing completed resulting in a 35% increase in backgrounds. If the background investigator position is not added, background files will be delayed in there completion ultimately causing a back log of applicant files. In addition, without the added investigator deputy, the agency will have to continue to pull from other divisions that could impact day-to-day operations within that division.

### **Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

An additional background investigator for the agency is a need. With the current rise of open positions, more backgrounds will need to be completed than ever before. The request for the additional background investigator is part of the agency's strategic plan regarding increasing the size of the training staff specifically a

background investigator.

**Please provide 3 years' worth of data to support your request.**

In 2019, open detention positions began to rise towards the end of the year and increased dramatically in 2020. So far in 2021, the trend is continuing as it did in 2020 with employees leaving the agency and more background investigations needed to fulfill open positions.

		MENS	Road Recruit Class	Total (low)
ITEM ISSUED	QUANTITY	ITEM NUMBER	PRICE	
<b>UNIFORMS</b>				
Blue Uniform Shirt L/S	4	SH874 BLU	\$37.74	\$150.96
Blue Uniform Shirt S/S	4	SH855 BLU	\$32.44	\$129.76
Blue Uniform Pants	4	ZU224 FBL	\$62.23 (44 to 50[waist] \$67.88)( 52-56[waist] \$73.52)	\$248.92
5.11 Polo SS	2	SW724 DKNV	\$30.75 (3X and larger \$35.29)	\$61.50
5.11 Tactical Pants	2	TR506 COY	\$42.49 (46 to 54[waist] \$50.99)	\$84.98
Trouser Belt	1	LR899 BKPL SIL	\$17.58	\$17.58
Duty Belt	1	LP133 HG SIL	\$64.59	\$64.59
Turtleneck	1	UN025 DKNV	\$21.40 + \$3.50 (Embroidery) \$24.90	\$21.40
5.11 Jacket	1	JA2473	\$199.74	\$199.74
Gloves	1	GL065	\$33.87	\$33.87
5.11 Boots (waterproof)	1	FT1775BLK	\$116.09	\$116.09
Necktie	1	UA521	\$4.66	\$4.66
Nametag (last name)	1	NT033 SIL SIL CB	\$5.07	\$5.07
Campaign Hat	1	HW258	\$110.08	\$110.08
Traffic Vest	1	HS370	\$17.43	\$17.43
Riot Helmet	1	TE023	\$118.14	\$118.14
AVON Gas Mask	1	TP360	\$428.00	\$428.00
Point Blank Body Armor	1	BP445 NAV	\$658.00	\$658.00
Threat Plate	1	BP634	\$87.00	\$87.00
Rain Coat	1	RW213	\$106.38 + \$5.55 + 6.02 Total \$106.38	\$106.38
			\$5.55(Reflective lettering on the lime green side) + \$6.02 (Reflective lettering on the black side)	
PT Shorts	1	SQ420	\$16.56	\$16.56
PT Sweats	1	ZQ421	\$28.99 (2X and larger \$29.99)	\$28.99
PT T-Shirt	1	TS1116	\$6.79 + \$6.00 (Name Screen Print) Total \$12.79	\$12.79
PT Sweatshirt	1	SQ419	\$17.99 (2X and larger \$18.99) + \$6.00 (Name Screen Print)	\$23.99
<b>GEAR</b>				
Acorn Hat Band	1	HW261 SIL	\$7.62	\$7.62
ASP Baton	1	BA035	\$96.46	\$96.46
ASP Scabbard	1	BA004 BLK CL	\$34.79	\$34.79
Avon Gas Mask Filters	1	IC090	\$59.34	\$59.34
Ball Cap	1	HA709	\$11.25	\$11.25
Watch Cap	1	HW301	\$5.79	\$5.79
Duty Holster	1	LP791 S(R/L)H BLK 832	\$115.85	\$115.85
Off Duty Holster	1	LP610 STX (R/L)H 832	\$57.30	\$57.30
Taser Holster	1	LR305 (R/L)	\$42.49	\$42.49
Citation Holder	1	CP093	\$18.00	\$18.00
Mag Pouch	1	LP127 CL NKL 83	\$34.49	\$34.49
Clip On Badge Holder	1	ZF042W 03	\$7.60	\$7.60
Belt Keepers	1	LP137 CL NKL	\$19.50	\$19.50
Collar Stars	2	JW1130	\$5.09	\$10.18
Credential Case	1	BD405	\$13.26	\$13.26
Flashlight	1	FL652 AD	\$129.00	\$129.00
Flashlight Holder	1	LP632W CL	\$22.07	\$22.07
Glove Case	1	LP203 CL VEL	\$16.58	\$16.58
Gun Light	1	FH308 BLK	\$129.19	\$129.19
Handcuff Case	2	ZC224 CL NKL	\$28.57	\$57.14
Handcuff Key	1	RS732 BLK	\$6.99	\$6.99
Handcuffs	2	RS001	\$27.10	\$54.20
Hat Raincover**	1	HW263	\$5.93	\$5.93
Key Holder	1	ZE662 CL SIL	\$8.87	\$8.87
Mace	1	SD132	\$12.95	\$12.95
Mace Holder	1	LP131 CL NKL	\$28.23	\$28.23
Radio Holder	1	NY273	\$33.44	\$33.44
Hat Badge	1	BC1694 RH	\$67.00	\$67.00
Badge	1	BC1169 RH	(\$85.00 + \$5.00 [Safety Catch]) \$90.00	\$90.00
<b>WEAPONS</b>				
Glock 17	1		\$409.00 + \$15.00 (Freight) Total \$424.00	\$424.00
9mm Ammunition	52		Current price 36.2 cents per bullet	\$18.72
X26 Taser	1		\$1,008.00	\$1,008.00
X26 CARTRIDGES/ 25'XP FIELD USE (44203)	2		\$29.30	\$58.60
<b>TOTAL COST</b>				<b>\$5,451.31</b>

## 2022 Budget Process Staffing Table Change Request Form

Create New Position   Yes      Change Existing Position   No

Personnel Area (Department): Sheriff's Office \_\_\_\_\_

Personnel Sub Area (Division): Support Division \_\_\_\_\_

Supervisor: Sergeant Tim Hallacy \_\_\_\_\_ Grant: Yes \_\_\_\_\_ No ☒ X \_\_\_\_\_

**Current Position Information:**

Position Title: \_\_\_\_\_ N/A \_\_\_\_\_

Pay Scale Group: \_\_\_\_\_ N/A \_\_\_\_\_

**Proposed Position Information:**

Position Title: ☐ Sheriff  
Deputy \_\_\_\_\_

Pay Scale Group: ☐ Range 127 \_\_\_\_\_

-----  
**Provide a current job description for this position.**

Patrols County areas, enforcing law and protecting life and property, operating radar, securing compliance with traffic regulations, and performing investigations at the scene of a crime or traffic accident, and performing related follow-up duties. Assists District Court Judges by protecting prisoners while in court, when out of the confines of the jail, and investigation and apprehension of persons charged by warrant or subpoena, as well as the service of civil process.

**Minimum Educational requirements of the position?**

High School Diploma or equivalent.

**Position Funding:**

Cost Center/Internal Order	%
17020-110	100




**Answer the following questions if requesting a change to an existing position**

**How long has the position existed in your department?**

N/A

**Have the job duties of the position changed? If so, how have they changed?**

N/A

**How long have the changes been in place?**

N/A

**Do you have other employees in your department performing similar job duties? If so, what positions are those employees currently occupying?**

N/A

**If this position change request were approved, how would it benefit your department?  
The County?**

N/A

## 2022 Sedgwick County Budget

### [838] Glock RMR Firearm Replacement

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Captain Keith Allen
<b>Department Priority:</b>	5	<b>Division Priority:</b>	5
<b>Primary Fund Center:</b>	17020-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	2

### Summary

In 2022, the Sheriff's Office's current handguns will be 12 years old and in need of replacement. This proposal is to trade our existing Glock Gen 4 Handguns for new Gen 5 Handguns and upgrade the sites on the firearm to a Ruggedized Miniature Red Dot sighting system (RMR). A red dot sighting system will provide the citizens of Sedgwick County with a safer Deputy. Deputies equipped and trained with RMR's will have the ability to maintain focus on a threat during an encounter. Traditional weapons systems force the user to shift their focus from threat to the front sight making the intended target blurry. Studies show red dot sighting systems greatly improve the accuracy of shots fired during an officer involved shooting, increasing the safety for deputies and the citizens of Sedgwick County.

**Legal Reference:** KSA 74-5607

### Legal Requirement:

Commissioned Deputies are armed with firearms and must maintain proficiency with the weapon system per KCPOST standards.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
47000 - Equipment	110	17020-110		192,685
TOTAL			0	192,685

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Sedgwick County Sheriff's Deputies are currently carrying aging firearms which need replaced. Commissioned Deputies carry the Glock 17 Gen 4. The Sheriff's Office has the ability to trade in our current firearms for credit with our firearms vendor and would apply the credit towards the cost of the newer Glock 17 Gen 5 handguns. The Sheriff's Office requests an upgrade to our firearm's sites to the Ruggedized Miniature Red Dot sighting system (RMR). This upgrade to the firearm allows the deputies to maintain a clear visual picture of an individual when a firearm is drawn on a suspect. Also, the RMR system has shown to dramatically increase accuracy during officer involved shootings, which increases both the deputy's safety and the safety of the general public.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the**

**current time.**

If this request is not approved, the Sheriff's Office will have to continue to utilize the older firearm system until a funding source can be identified for the weapon system replacement. If not addressed, we will likely see increased firearm failures with our aging Glock Gen 4 pistols. The current firearm sites require focus on the front firing site for accurate fire, which causes the target to blur. The gains benefited by the RMR, increased accuracy and clear site picture, would not be gained.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

The funding will be from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

See attached documents.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

The Sheriff's Office always prioritizes the safety of our citizens and the safety of our deputies. The replacement of the older Glock Gen 4 is a need, as a failing weapon system would create serious safety concerns for the deputies and the public. The improved site system would also increase both the safety of both deputies and the public.

**Please provide 3 years worth of data to support your request.**

N/A

## **Glock RMR Transition proposal**

The Sheriff's Office current handguns are 12 years old and in need of replacement. This proposal is to trade our existing Glock Gen 4 Handguns for new Gen 5 Handguns and upgrading to a Ruggedized Miniature Red Dot sighting system (RMR). A red dot sighting system will provide the citizens of Sedgwick County with a safer Deputy. Deputies equipped and trained with RMR's will have the ability to maintain focus on a threat during an encounter. Traditional weapons systems force the user to shift their focus from threat to the front sight making the intended target blurry. The lethality of a situation can change in an instant, by maintaining focus on the threat; RMR users are able to make better-informed decisions. A suspect may drop a weapon or turn to run in the time it takes to shift focus from threat to front site. RMR optics can help mitigate this time lapse by maintaining a singular focal plane.

Red dot optics are considered the norm on a rifle system, all department SWAT rifles are outfitted with red dot optics. WPD does not put a rifle on the street without a red dot. SWAT operators from WPD have already transitioned to red dot optics, RMR's for their duty handguns. The transition to a threat focused system for sighting is necessary now, for the safety of our Deputies. The liability incurred from use of force incidents may be greatly reduced by not taking a shot because the Deputy had focus on the threat and not the front site. Nighttime and low light operations the red dot optic is far superior to iron sights for threat or non-threat identification.

In March 2019, the National Law Enforcement Firearms Instructors Association (NLEFIA) launched a national survey for officer-involved shootings (OIS) involving pistol-mounted red dot sights (RDS). Of the agencies who reported dating back to 2017, there have been 75 rounds fired with only 39 hits, which is a 52% hit ratio. This is higher than the national average (typically well below 40% depending on the source). FBI statistics for OIS maintain between 20 and 40% hit ratios over the last 20 years. However, one incident had a high miss count – 23 rounds fired and only 3 hits from 11-15 yards away. Without this incident, the hit ratio jumps to 69%. There was also another incident that involved one shot/one hit from over 25 yards, which could be a testament to the red dot sight and its accuracy potential at distance. Obviously the officer applied proper shooting fundamentals to get the hit, but the red dot sight likely made the sight picture easier to acquire.

Red dot optics do not fix poor fundamentals. Deputies and recruits will still have to demonstrate proper fundamentals to succeed. RMR's will take away one of the largest hurdles in firearms training, which is watching the target. There is only a small sample size of OIS shooting to evaluate. Sage Dynamics conducted a test using simunitions, 24 shooters worked thru 4 scenarios the result showed rounds fired with a red dot were 3 times more likely to be in a critical hit area.

## Glock RMR Transition proposal

This proposal utilizes December 2020 pricing for all listed upgrade items.

### Per Deputy Cost:

Gen 5 MOS Glock Handgun	429.00
Suppressor Sights GL429	40.05
Trijicon RMR type II 3.25 MOA	499.75
CHPWS V4 Optic mounting plate	52.46
Safariland Duty Holster	114.75
Training Ammo 500 rnds (current contract price)	<u>84.50</u>
	1220.51
Glock Trade allowance for Currant Gen 4	<u>-317.50</u>
Per Deputy Cost W/Trade	903.01

### Per inventory, gun Cost:

Gen 5 MOS Glock Handgun	429.00
Suppressor Sights GL429	40.05
Trijicon RMR type II 3.25 MOA	499.75
CHPWS V4 Optic mounting plate	<u>52.46</u>
	1021.26
Glock Trade allowance for Currant Gen 4	<u>-317.50</u>
Per Inventory Gun W/Trade	703.76

Deputy transition	190 Staff X 903.01=	171,571.90
Stores and training guns	30 guns X 703.76=	<u>21,112.80</u>
December 2020 Total		192,684.70
* 5% inflation over 2 years		<u>9634.24</u>
Total Cost of RMR Department upgrade		<b>203,318.94</b>

\* Ammunition has historically shown a 4% per year increase



## **Miniaturized Red Dot Systems for Duty Handgun Use**

**Third Edition, 2019**

**Aaron Cowan**

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## Foreword

This document marks the culmination over 5 years of research, testing, field use and evaluation of miniaturized red dot sight (MRDS) for duty purposes. The original hypothesis was; that a MRDS is not only more efficient than traditional iron sights for the duty handgun, but that the MRDS would provide distinct advantages not possible with proper iron sight use.

Specifically, MRDS would allow a shorter learning period to proper accuracy for mandated firearms training and qualification, and allow officers to maintain proficiency easier due to the less complex optical methods used to properly aim with the MRDS.

Additionally, the MRDS allows the officer to maintain a constant focus on the target, which can significantly improve threat awareness, help mitigate mistake of fact shootings and aid in more precise round placement over traditional iron sights.

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## **Intent**

The critical nature of accuracy is a well-studied and often criticized aspect of law enforcement. The general standards for officer accuracy have traditionally been driven by policy, mandated qualifications that provide official records of an individual's ability to meet an administrative standard.

This administrative standard, while important, only speaks to a criterion for record and may not accurately measure an officer's accurate skill during a use of force situation.

The core purpose of an officer's accuracy is to defend life. Society has trusted our officers with the ability to use force and they are expected to be good at it. It falls on a department to give their training cadre, range instructors and individual officers all the tools they need to meet and exceed this trust.

To meet this mandate, departments must be prepared to embrace new technology, properly vetted, and evaluate its necessity for their officers. If a new methodology or technology can improve officer effectiveness and aid in reducing mistake-of-fact use of force, then it is imperative that it be made available to officers.

This document was created to give administrators, range masters and officers the information they need to make an informed decision on the testing and implementation of MRDS equipped duty handguns.

## Summary

This document lays out the understanding and advantages for adoption of miniaturized red dot optics for law enforcement duty handguns. Establishing that human psychophysiology is not best served with traditional iron sight method of aiming, the red dot is a superior method of aiming due to the correct nature of use in which the officer can remain threat focused instead of having to complete multiple focal point changes before force can be used.

Furthermore, the adoption of red dot optics can go far to preventing mistake of fact shootings under the same advantage; the officer maintains a constant focus on the threat, proving focused information on the threat up to and throughout a use of force. In this method, an officer will better be able to detect any change in the threats actions or inactions that may be missed with traditional iron sight use, therefore giving a distinct advantage in this area as well.

Specific studies on red dot use in live fire and force on force, showing clear advantages in accuracy and consistency are presented, with in-depth analysis of conditions that allow the red dot optic to succeed so well over traditional sighting systems.

Law enforcement liability, and how the red dot optic can greatly aid a department in reducing potential liability in officer involved shootings is explored, pointing to how red dots can better address existing Supreme Court decisions that drive training policies.

Also advantageous under reduced lighting conditions, the red dot is shown to excel over traditional iron sight methods, aiding an officer to provide more accuracy despite conditions that usually reduce officer accuracy.

Misunderstandings with red dot reliability are addressed and expelled or mitigated with information on training for the potential failures that do exist.

This white paper is not exhaustive; however, it addresses every foreseen aspect of red dot adoption or permission for law enforcement duty handguns known at this time. It is clearly shown that the advantages of red dot optics greatly outweigh the negatives and though a relatively innovative technology when compared to traditional iron sights, the red dot can and will greatly reduce the low averages of law enforcement accuracy in uses of force.

## **Technology**

Early in 2013, Sage Dynamics began multiple studies and evaluations regarding Miniaturized Red Dot Sights (MRDS) for handguns. The red dot optic has already been established as a preferred and advantageous method of aiming for rifles in the military, law enforcement and self-defense world, however the technology as applied to handguns in 2013 was relatively new on a wide scale and viewed with justified caution.

The technology behind the MRDS is not unlike that found in rifle specific red dot optics; a light emitting diode projects through collimating optics to give the shooter a red dot point of aim. The technology used in red dots for small arms goes back as far as the late Vietnam War for functional use in military operations<sup>1</sup>, and over the decades since its introduction has become the preferred method of deliberate aiming, especially in close quarter shooting. With continual improvements in materials and circuitry, red dot sights such as those made by Aimpoint and Trijicon (among others) have incredible battery life and robust durability.

The *miniaturized* red dot optic is newer, relatively speaking, however the established lineage of using a red dot optic on a handgun has a long history of its own. First used in competition shooting in the late 1970's<sup>2</sup> and early 1980's with optics from Aimpoint and later C More systems, red dots on handguns saw increasing popularity in IPSC and USPSA. As with many things, the technology being used in competitions began to drift into self-defense shooting, though it was not until pistol optics became truly miniaturized that they could be added to a handgun without need for complicated holsters or extensive modification to handguns.

Currently there are dozens of MRDS options on the market and their quality varies greatly from brand to brand. This paper specifically sites the use of the Trijicon Ruggedized Miniature Reflex. Since its brand introduction in 2007, the RMR has established itself as the most consistently reliable MRDS available. During the research period, multiple options were explored for reliability and technological advantage and each time the Trijicon RMR remained the best choice.

In 2017 Trijicon introduced the Type 2 RMR, offering further reliability improvements with pistol use specifically in mind. Reliability will be addressed in depth later on.

Specific features discussed hereafter, unless noted otherwise, address those offered by the RMR MRDS.

### **Construction and Features**

MRDS point of aim (POA) projected dots are delivered in three methods, each with its own advantages and disadvantages. These POA come in multiple sizes and varied physical colors. Optic bodies vary

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<sup>1</sup> The Raid, Benjamin F. Schemmer, Avon Books (1986)

<sup>2</sup> Jerry Barnhart used an Aimpoint Electronic in IPSC competition, circa 1970s. A History of Pistol Mounted Red Dots, Guns and Ammo Online, Patrick Sweeny (2016)

slightly between LED and adjustable LED models (the inclusion of adjustment buttons in the latter) and in dual illumination with a light collecting panel present on the top of the optic.

#### Operating System:

- **Battery powered LED**  
The battery powered LED is a non-user adjustable LED that automatically adjusts to ambient lighting conditions via a photoreceptor. This method of operation is the earliest technology for the MRDS. Red is the common POA color.
- **Battery Powered Adjustable LED**  
The battery powered adjustable LED allows the user to manually adjust brightness, or set in an *auto* mode where LED brightness will be adjusted by a photoreceptor just like the non-adjustable LED. Red is the common POA color.
- **Dual Illumination**  
Dual illumination uses tritium and fiber optics to project a point of aim; under day light or photopic artificial light, fiber optics is the primary source of POA. In low light, the POA is projected via channeled tritium. Amber and green are the offered POA colors.

#### Reticle:

- **Minute of Angle (MOA) dot**  
By far the most prevalent reticle option, MRDS dots are projected in 1 MOA, 3.25 MOA and 6.5 MOA in size for both LED and Adjustable LED models. MOA dot sizes for Dual Illumination are 7 MOA, 9 MOA and 13 MOA.
- **Triangle or Delta**  
The triangle point of aim is an equilateral triangle in 12.9 MOA

#### Power Source:

- **Battery**  
Both LED and Adjustable LED are powered by 2032 Lithium / Manganese Dioxide “Coin” batteries producing 3 volts. The 2032 battery is very common and offered from multiple battery companies.
- **Dual illumination**  
Fiber optics and Tritium work in concert to project the reticle; this eliminates the need for a battery.

#### Housing Materials:

- Forged Aluminum

The RMR body is comprised of forged aluminum with a unique “owl ear” body designed to mitigate and redirect shock away from the glass if dropped. The Dual Illumination RMR bodies house the light collection filter directly above the glass.

#### Lens Material:

- Tempered glass

Lens glass is both tempered and coated to prevent reflection.

#### Adjustment:

- Recessed slot screw MOA

Elevation and windage are slot screw adjustable, 1 click per 1 MOA for 150 MOA of total travel

## Equipment Implementation

The RMR's relative small size allows for addition to common duty guns, either through attachment to third party mounts or by adding a milled slot for the RMR body to sit deeper in the frame. The short length of the RMR allows the retention of iron sights as a backup sighting system if the optic fails.

Cost advantages of using a third-party mount such as the ALG Six Second Mount, Raven Concealment Baylor or Dueck Defense RBU vary, though they allow a department to mount an MRDS without the need for permanent modification. Duty gear must also be addressed, specifically holsters.

### External Mounts



The ALG Six Second Mount has the advantage of allowing the optic to not recoil with the slide, however use precludes the option for back up irons and limits duty holster options. The Six Second mount is also specific to Glock.

The Raven Concealment Balor attaches via the rear sight dovetail, securing the MRDS to the body of the Balor. Back up irons are built into the Balor, though sight radius is severely reduced and iron sight choices limited. Duty holster options are limited.



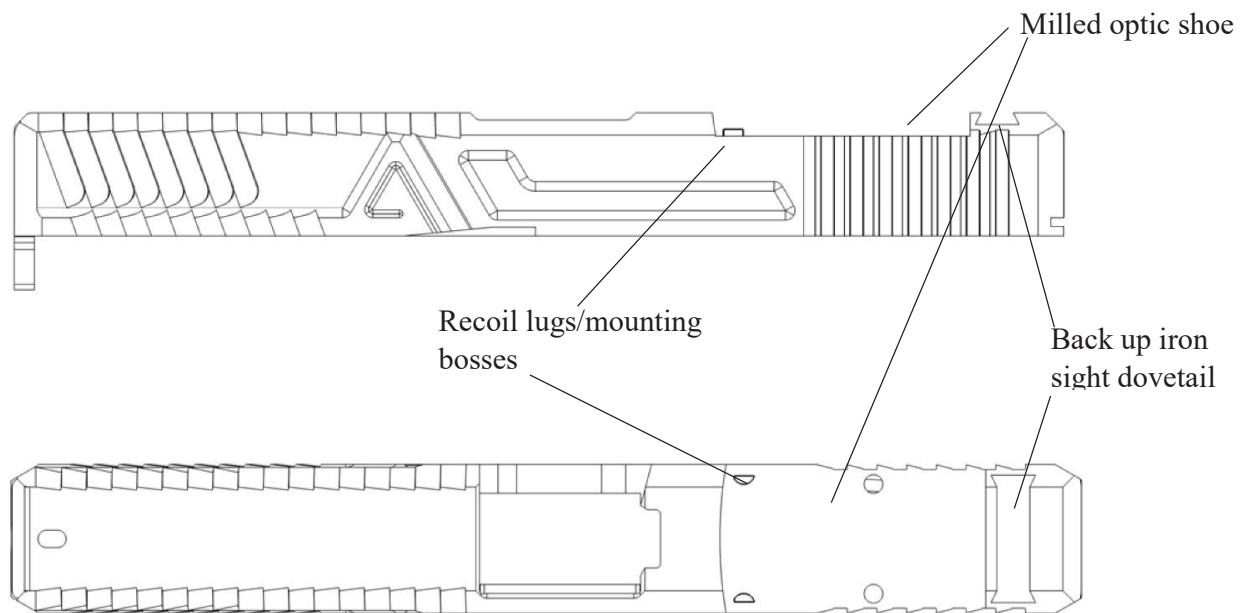
Dueck Defense's RBU is similar in application to the Raven Concealment Balor; attachment is made via the rear sight dovetail and back up iron sights are included in the mount body. Duty holster options are limited.

Other mount choices besides these are available, however external mounts can be problematic in many ways. For LE purposes, the loss of holster options that provide adequate retention levels may eliminate an external mount as an option. External mounts may also reduce back up sight radius, or prevent them from being used at all.

For the purposes of testing an evaluation at the department level, an external mount is a sound choice, however a purpose milled gun is recommended so that all areas of adaptability, such as holsters, can be considered and evaluated concurrently.

### Milled Slide

The best option for duty employment of an MRDS is a milled slide. Slide material is machined via a CNC in order to provide a recessed mounting shoe for the optic body. This option places the optic closer to the traditional height profile officers are used to with iron sights, and allows the use of back up irons; however back up irons must be of suppressor height to clear the optic body. In this configuration, the officer can use either the MRDS reticle or traditional sight alignment/picture to aim based on situation and needs.



Milling requires a department to provide a third-party shop with duty gun slides, or purchase completed slides from third party machine shops. Due to the growing popularity of MRDS handguns in the market, there are numerous aftermarket options for quality slide work, many have already provided MRDS milling work for LE agencies.

Milled slides also allow duty guns to be used with purpose designed holsters for MRDS handguns from established duty holster makers such as Safariland.

Overall, the single largest advantage of a milled slide is simplicity of additional needed accessories, and a purpose-machined mounting shoe that provides optic-to-slide mounting without additional interface, parts or materials needed. This adds greater stability over external mounts, relatively speaking.

### OEM Milled Slides

Some current LE favored manufacturers offer MRDS ready options. OEM Optics Ready handguns are varied in design and adaptability. Every popular LE handgun manufacturer currently offers a proprietary version of an OEM optics platform. The advantage to an OEM system is total warranty support from the manufacturer, however many OEM systems are conservative in their design and may not account for the rigors of LE MRDS use.



Glock Modular Optic System is a factory available variant offered on popular duty models such as the 19, 17 and others. The MOS can mount multiple MRDS makes with changeable boss plates. Due to the boss plate, the optic sits higher on the frame, which may require the use of taller back up iron sights than a direct-to-slide mounting depending on optic choice.

Smith and Wesson M&P CORE is an optics-ready model that, like the Glock MOS, support multiple MRDS options. Also like the MOS, the optic body will sit higher on the frame which make require the use of taller back up sights depending on optic choice.







Sig Sauer P320 X Carry line is a manufacturer offered optics-ready handgun. Various after market adapter options allow mounting of many MRDS optics.

The FN 509 Tactical offers perhaps the best designed and supported OEM optics platform currently offered. Mounting surfaces allow for the optic to be mounted direct to the slide surface, whereas the recoil lugs are changeable to support different model optics.



## Modular Milled

A modular milled slide is an after-market option that presents the same advantages of an OEM optics platform, often with a more aggressive approach to optics mounting. Modular milled slides are not married to one specific optic as with a milled footprint, and often provide a greater degree of durability and footprint over current OEM offerings. Two Modular Milled options are recommended:

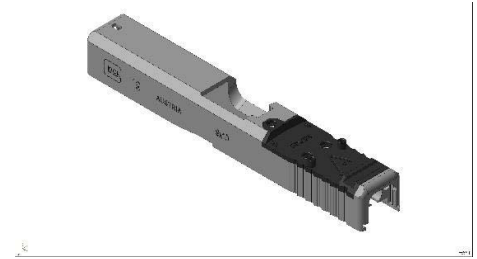
### Unity Tactical ATOM



The Atom is a significant value, even if only used for initial MRDS testing and evaluation in that additional mounting plates allows a department to work though optics under consideration without incurred cost of multiple milled slides. The ATOM also offers quicker support for future optic mounting or department changes in preferred optic.

## Agency Arms AOS

The Agency Arms Agency Optics System offers a modular platform that can accept all current optics. The AOS mounts from a steel plate and can be purchased in irons-forward or irons-rear configuration. The AOS can also be incorporated into existing Glock MOS models by Agency. For warranty purposes, Agency Arms will honor warranty service and replacement on AOS slides to the same level as Glock.



## Duty Holsters

Safariland remains the most common duty holster in use by law enforcement today; reliable in its robust weapon retention and intuitive firearm release mechanisms. Safariland offers multiple models of duty holsters for MRDS equipped handguns. Safariland currently offers over a dozen configurations for MRDS handguns in popular duty models.



The 6354 DO model is an ALS release holster, specific to RMR profile optics

The 6362 RDS is an ALS/SLS release holster with optional ALS shroud and an MRDS shield bale.





The 6392 RDS is an ALS only release holster with an optional shroud and MRDS shield bale.

Because holster options for MRDS handguns exist, and those options are provided with similar or the same retention mechanisms that many departments already use, retraining an officer for their duty holster is not an issue if the department chooses to pursue a system that allows the use of holsters such as Safariland RDS models. This is further reason on duty weapon selection that the milled slide is strongly suggested to minimize potential complication with new equipment or forcing a department to source holster options from an unknown quality manufacturer.

During the four-year evaluation period, multiple holsters were tested or observed during courses. Safariland's 6354 DO presented the most reliable and least prone to failure, snagging or complications than other holsters. Safariland's new RDS line of holsters presents with the same quality, however has only been in use for less than six months at the time of this paper so an in-depth opinion wouldn't be prudent.

## **Optic Care**

By adding an optic to the duty handgun, the department and individual officer must accept additional maintenance and care concerns. The MRDS that a department considers should allow for the easiest methods of preventative maintenance at the officer level, and servicing at the armorers or range master level. General care for the optic lens can be performed with a simple micro fiber cloth or q-tip, and lens coating with Rain-X or an anti-fog additive is advised. Even though fogging is not an extreme concern, in some regions its more possible and can easily be prevented with proper lens coating.

Battery life varies from optic to optic. The preferred optic for this paper, the Trijicon RMR, has a battery life of 2-5 years depending on use. It is advisable to replace batteries annually, as the incurred battery cost is minimal and the prevention of battery failure is greatly increased. It is recommended that battery replacement occur during annual qualification.

## **Optic Durability**

Like any piece of duty gear, an MRDS must be able to handle the rigors of law enforcement duty; from the environmental to the incidental, the optic must be as durable as possible to minimize the chances for failure. Historically, law enforcement has been hesitant to adopt new technologies or new ways of thinking regarding training methodologies around those same technologies. In 2017, it is still common to see officers issued patrol rifles without optics, and sometimes without weapon mounted lights, slings or additional ammunition besides what is carried in the firearm. The amount of quality (and often peer reviewed) information regarding reliability and importance of patrol rifle optics or weapon lights is vast and constantly updated with additional information, or refined training methodologies. Much of this training and research takes place outside of individual departments, which means it falls on the responsible department individuals to seek out these sources of information to prevent negative institutional inertia. It is also important that training cadre seek out and work with department officers who may already be subject matter experts on specific equipment or concepts and principles for employment of said equipment.

Throughout the evaluation period, one of the most common concerns from officers trained was; optic durability. Like the initial controversy surrounding rifle RDS, the mounting of an MRDS on a duty handgun was, and is, treated by some as an unacceptable failure point that could lead to an officer losing the ability to aim their firearm when it is needed most. Concerns of reliability are not only proper, but should be continual, so long as they are in context to actual knowledge of potential failure points of MRDS.

Because multiple MRDS were evaluated during the testing period, and some of these MRDS brands did in fact fail, this section is intended to help guide departments away from poor quality options that might otherwise be appealing because of their relative low cost when compared to other optics.

This information is not complete, as testing will continue and it is difficult to pool a large sample size of each brand for concurrent testing without independent funding. As this white paper is intended to be as independent as possible, no outside funding was sought.

### **Evaluated MRDS**

Detailed below are the models and specific data of MRDS evaluated during the four-year period.

Evaluation criteria was realistic use requiring the optic to pass a number of specific, periodic tests as well as continue to function under normal use.

Specific testing:

- Drop testing  
Optic dropped while mounted to handgun, optic directed towards deck for drop, from shoulder height. Drop test performed every 500 rounds beginning at 0 rounds.

- Impact testing  
Optic used as manipulation device against objects to cycle handgun slide during malfunction drills and one-hand-only operation of handgun. Impact testing on going during evaluation.
- Environmental testing  
Optic frozen at 30-28F for 24 hours, heated at 150F for 24 hours. Optic submerged in 12" of ambient temperature water for one hour. Environmental testing performed every 500 rounds beginning at 0 rounds.
- Round count  
General target ammunition of 115 and 124 grain 9mm for 500 rounds, with 100 rounds of duty ammunition 124 gr +P, repeating until failure or end of evaluation.

Make, Model and Platform	Testing Period	Round Count	Cause of Failure
Burris Fastfire II 4 MOA dot, Dovetail mount on Glock 17	Feb 2013-Feb 2013	200	Loss of zero during fire, adjustments failure. Not user serviceable.
Burris Fastfire II 4 MOA dot, Dovetail mount on Glock 17	March 2013-June 2013	1000	Electronics. Optic died during second drop test. Not user serviceable.
Burris Fastfire III 3 MOA dot, Mounted on Glock 17 MOS	September 2017-September 2017	500	Loss of optic glass on first drop test. Not user serviceable.
JP Enterprises J-Point 4 MOA dot, Dovetail mount on Glock 19	Feb 2013-June 2013	325 (est)	Loss of zero during fire, adjustments failure. Not user serviceable.
JP Enterprises J-Point 4 MOA dot, Dovetail mount on Glock 19	July 2013-January 2014	3,000	Loss of zero during drop test, adjustments failure. Not user serviceable.
Trijicon RMR RM01 3.5 MOA dot, milled mount on Glock 17	April 2013-October 2013	1,800 (est)	Electronic failure during fire, optic died. Not user serviceable.
Trijicon RMR RM01 3.5 MOA dot, milled mount on Glock 17	November 2013-	9,450	No failures
Trijicon RMR RM07 6.5 MOA dot, Milled mount on Glock 17	December 2014-	15,000	No Failures
Insight MRDS 3.5 MOA Dot, Dovetail mount Glock 17	March 2014-December 2014	2,176	Battery connections broken during fire. Not user serviceable.

Docter Sight II 3.5 MOA dot, Dovetail mount on Glock 17	March 2014-August 2014	2,000	Optic lens broken during drop test. Not user serviceable.
Trijicon RMR RM07 6.5 MOA dot, Milled mount on Simunitions FX slide.	May 2014-	6,400 (UOF ammo only)	No failures
C-More STS 7 MOA dot, dovetail mounted on Glock 19	December 2014-December 2014	800 (est)	Battery connections broken during manipulation/fire. Not user serviceable.
Vortex Venom 3 MOA dot, dovetail mount on Glock 17	February 2015-May 2015	1,020	Electronics failure during fire, optic died. Not user serviceable.
Trijicon RMR RM07 6.5 MOA dot, Milled mount on Glock 17	June 2015-Jan 2016	4,150 (est)	Battery connections broken. Not user serviceable.
Trijicon RMR RM06 Type 2 3.25 MOA dot, Milled mount on Glock 17	June 2017-	20,000	No failures.
Leupold Delta Point Pro 2.5 MOA dot, Mounted on Glock 17 MOS	April 2018-April 2018	1,500	Optic glass broken. Not user serviceable.
Leupold Delta Point Pro 2.5 MOA dot, Mounted on Glock 17 MOS	April 2018-March 2019	4,200	Optic glass broken. Not user serviceable.
Sig Romeo 1 3 MOA dot, mounted on Glock 17 MOS	July 2018-July 2018	524	Optic glass broken on drop test. Not user serviceable.
Vortex Viper 6 MOA dot, mounted on Glock 17 MOS	July 2018-July 2018	1,500	Optic glass broken on drop test. Not user Serviceable
Holosun 507C 2 MOA dot/ 35MOA ring reticle, milled mount Glock 17	September 2018-	10,000	Glass cracked remains zeroed
Trijicon RM09 type 2 1 MOA dot, Agency AOS mounted	December 2018-	3,800	No failures.
Holosun 508 T	August 2019-	2,200	No Failures
Aimpoint ACRO	April 2019-	10,000	Outer lens broken, inner lens cracked. Holds zero, still functional.

While testing continues on functional MRDS, the two manufacturers that continue to provide reliable service are the Trijicon RMR, the Holosun 507C and Aimpoint ACRO.

It is worth noting that multiple battery failures occurred during testing on multiple MRDS, however all noted battery failures were with Energizer and Sony brand batteries and each failure was well before the

quoted battery life of the optic they were mounted in. Duracell brand batteries have only failed when charge was exhausted to date.

Some alternative MRDS options require manual on/off operation. The need to turn a handgun MRDS on manually should exclude any model from consideration, considering constant-on options with extensive battery life exist.

This is not an exhaustive list of available brands or models of available MRDS and should be treated as anecdotal information since, while every effort was made to adhere to criteria, ammunition variances over time prevent the testing from being as scientific as it could have been under an accelerated testing period with dedicated and controlled ammunition by lot and all MRDS tested concurrently.

### **Visual and Mental Complications During a Use of Force**

The complicated nature of a use of force is one of the most researched subjects in law enforcement. Factual scientific analysis of an actual use of force is difficult as an officer's use of force in the moment cannot occur under proper scientific controls and one event to the next presents insurmountable inconsistencies that result in far more anecdotal information. This section will detail the biological processes and difficulties involved in the use of a sighting system in a use of force.

Considering the history of armed conflict, the firearm is the first tool in which the user was required to direct their focus to the tool and not to the threat; *front sight focus* is the correct mantra for proper fundamental accuracy. Be it rifle, shotgun or handgun, the officer must focus their attention, their vision, on the front sight of the firearm. This presents a few issues once we look at physiology under stress, and potential liability regarding at-the-moment use of force against a clear and present threat.

These two issues, above all others, must be explored in-depth to best make an informed decision on optics for duty use.

### **Human Vision Under Stress**

In 1851, Hermann von Helmholtz published *Handbuch der Physiologischen Optik* (Handbook of Physiological Optics)<sup>3</sup>. This work was one of, if not the first, scientific looks at how the human eye behaves under stress. Helmholtz conducted extensive research and was able to lay out the beginning of understanding to what would evolve into the common psychophysiological occurrence of *fight or flight*. Even though Helmholtz's mission was to understand the eye's behavior in general, he noted that stress in the body had a high likelihood of causing involuntary reactions such as loss of near focus.

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<sup>3</sup> Handbuch der Physiologischen Optik (Handbook of Physiological Optics), Hermann von Helmholtz (1851) Translated by James P. C. Southall, Optical Society of America (1924)



Independent from Helmholtz's research, Dr. Walter Cannon published the research that would lead to the common foundational understanding of *fight or flight*.<sup>4</sup> Dr. Cannon's studies noted the body's reaction to threat stimulus; the involuntary responses that caused the body to release a number of hormones and neural signals to prepare the body for attack, defense or fleeing the danger stimuli. This General Adaptation Syndrome<sup>5</sup> causes a number of measurable changes in the body that effect performance, reasoning and vision. The severity of these effects is dependent on training, experience, known information and physical condition.

*Stress* as an occurrence is a direct result of actual or perceived stimulus that forces the body to regulate its functions, or divert attention to critically needed functions while generating a solution to remove the stress and return to homeostasis. Until the 1930's<sup>6</sup>, the word *stress* was not part of the scientific lexicon and despite research before then, the focus of understanding was more academic. Research into the Autonomic Nervous System (ANS), more pointedly the Sympathetic Nervous System (SNS), a branch of the ANS, has provided continual breakthroughs in our understanding of the bodies behavior during a use of force.

Modern research into the ANS is arguably thanks to the pioneering work of Dr. John Newport Langley. His publication on the Autonomic Nervous System<sup>7</sup> paved the way for collective research into what we have come to colloquially refer to as our *body alarm* or *fight or flight system*. The Sympathetic Nervous System serves one active purpose, to stimulate and regulate our responses to a threat stimulus. When threat stimulus is processed by the senses, the SNS goes from a mostly dormant state of assisting in homeostasis<sup>8</sup> to actively altering the bodies status by priming the body for action. Many changes occur in a short period of time when the SNS is active, and the degree at which these changes effect performance (or the specific functionality of the specific area/organ/function) is dependent on a number of contextual and training factors.

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<sup>4</sup> The Wisdom of the Body (1932), Bodily Changes in Pain, Hunger, Fear and Rage Dr. Walter Cannon (1915)

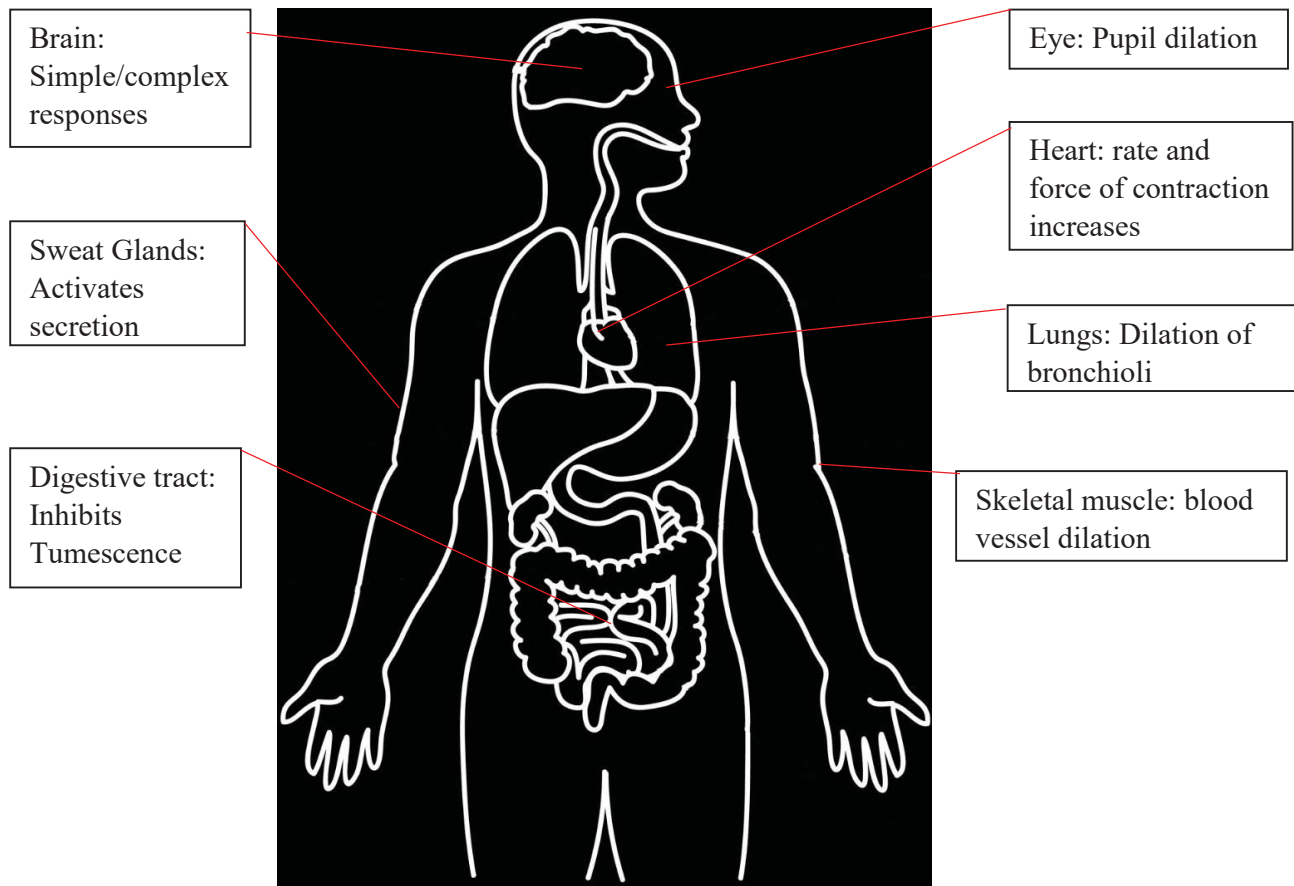
<sup>5</sup> Health Psychology 2nd Canadian Edition Taylor, Shelley, and Sirois, Fuschia. (2012)

<sup>6</sup> Putting Stress in Life: Hans Selye and the Making of Stress Theory. Social Studies of Science. R. Viner (1999)

<sup>7</sup> The Autonomic Nervous System, Dr. John Langley (1921)

<sup>8</sup> The Central Nervous System: Structure and Function, Per Brodal (2004)

### SNS effects on the body



Many complex, and simple bodily actions take place in a very short period of time once the senses have processed a threat stimulus. The nature and the quality of information an officer receives largely will determine the intensity of the SNS response. As a complex topic, we are focusing strictly on the human eye and the SNS and mental processes that directly effect it in relation to an officer's ability to see and more importantly, process what is being seen. Before we look at the eye, which is the main focus of this section, it is important to talk first about how the brain's processing under stress effects eye performance and processing of information.

An officers primary source of information for the use of force comes from the eye. Input from other senses, such as hearing, may aid in the decision to use force, but without quality input from the eye, judgement, justification and accuracy can be severely hindered or prevented in totality.

When a stimulus is detected by the senses, one of two general processes will occur, and which process is largely determined by the proximity of the stimulus, and how long the stimulus was observed before it was recognized as a threat.

If the recognition of the stimulus is sudden, a startle reaction, or *Somatic Reflex* can occur. Startle Reaction is a refractory reaction that does not require conscious thought and can occur in as little as 50

milliseconds, usually ending after 500 milliseconds<sup>9</sup>. When a threat (stimulus) is apparent, information is routed to the Thalamus in the brain, which will then distribute it to the appropriate areas of the brain, the amygdala, visual cortex and frontal lobe. In close proximity, this may result in a precognitive startle, in which case the information is directed to the amygdala, bypassing the “thinking” brain where access to learned information occurs<sup>10</sup>. The amygdala activates protective reflexes, however there is no standard startle reaction; in fact, there are more than 30 possible startle reactions<sup>11</sup> that are greatly determined by the overall nature of the information received initially by the brain. This is known as *Low Road Processing*.

Dr. Joseph LeDoux’s research<sup>12</sup> mapped *High Road* and *Low Road* processing, detailing how our brain will sort information based on the totality of the situation and the time available to process the situation.

Under Low Road processing, the perceived stimulus is downloaded by the thalamus and then sent directly to the amygdala, which generates a protective startle. The amygdala activates our Sympathetic Nervous System; a startle reaction takes place and only then is the stimulus information sent to the appropriate cortex where conscious processing can occur, namely, jumping into the High Road.

The High Road is where the stimulus is Observed, information is routed to the thalamus by our senses and processing begins as that information is routed to the appropriate cortex (most likely visual). The processed information is then downloaded to the amygdala and a reaction/response is generated in the form of a response along with the generation of emotion and fear. High Road is where training, technique and competency in both play the largest part. It is creating reactions where unconscious actions may occur, but they are trained unconscious actions built to a level of competency by repetition.

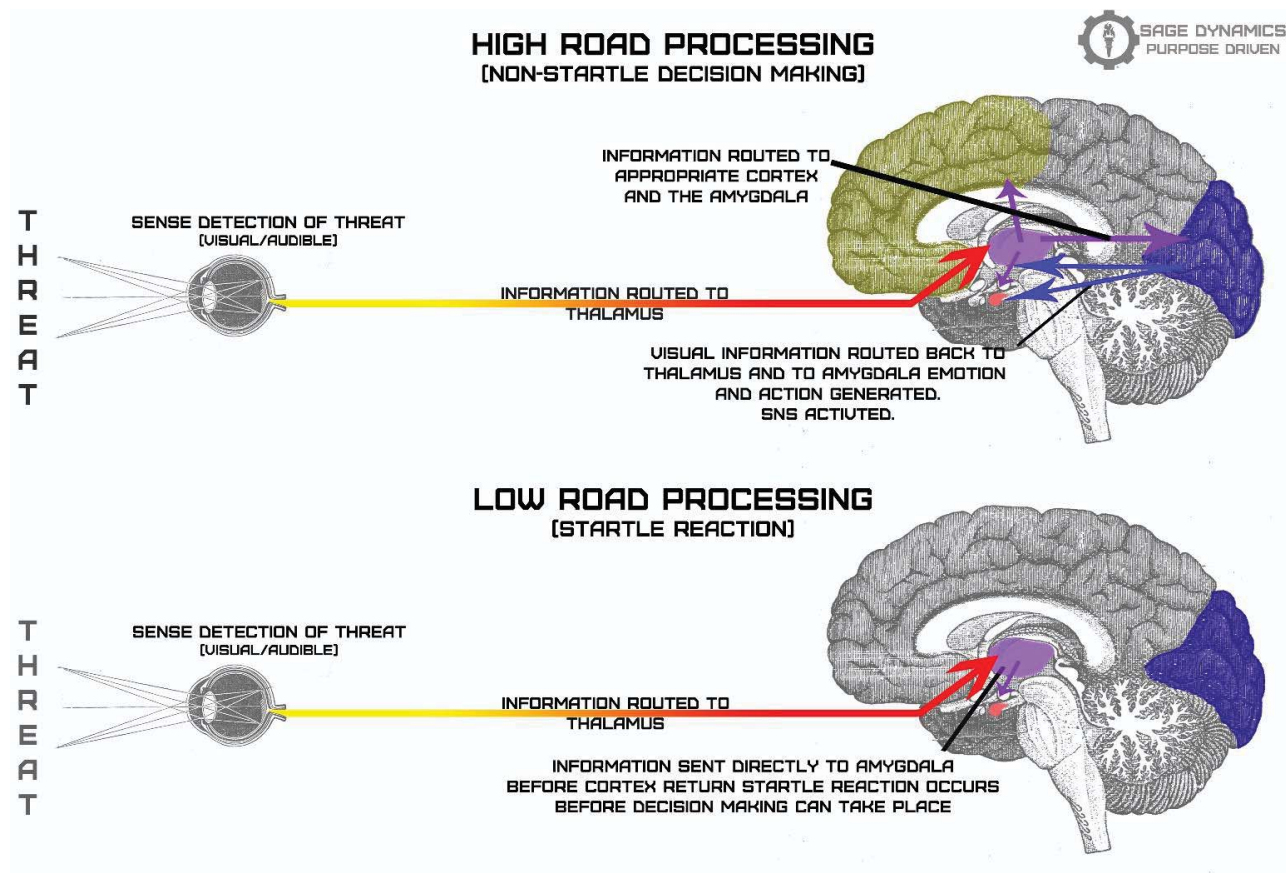
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<sup>9</sup> Amygdala and Anterior Cingulate Cortex Activation During Affective Startle Modulation: a PET Study of Fear, Anna Pissiota (2003)

<sup>10</sup> Differential Contribution of Amygdala and Hippocampus to Cued and Contextual Fear Conditioning, R. Phillips (1992) The Role of the Amygdala in Fear and Panic, Doug Holt (2008) The Role of the Amygdala in Fear and Anxiety, Michael Davis (1992)

<sup>11</sup> Boo! Culture, Experience, and the Startle Reflex, Ronald Simmons (1996)

<sup>12</sup> The Emotional Brain Joseph LeDoux (1996)



In either process, though more notably under Low Road processing, the SNS activation and startle reaction in general cause involuntary changes in the eye.

The human eye is a very complex piece of natural engineering; it can alter point of focus from near to exceedingly far distances through accommodation<sup>13</sup> at speeds between 350 milliseconds and 1 second<sup>14</sup> depending on age and general eye health (as well as environmental conditions). But this ability is highly dependent on the levels of stress in the body. The SNS activation occurs as the threat stimulus is recognized, and this means that the hormones released by SNS activation will affect the eye, however before the hormonal effects can even reach the eye, the pupil is dilated by SNS which complicates vision. Further complications are how SNS *and* adrenaline effect the muscles of the eye, specifically the ciliary muscles and fibers.

<sup>13</sup> Accommodation-dependent model of the human eye with aspherics, R. Navarro, J. Santamaria and J. Bescos (1985), The eye in focus: accommodation and presbyopia, Dr. W Neil (1998)

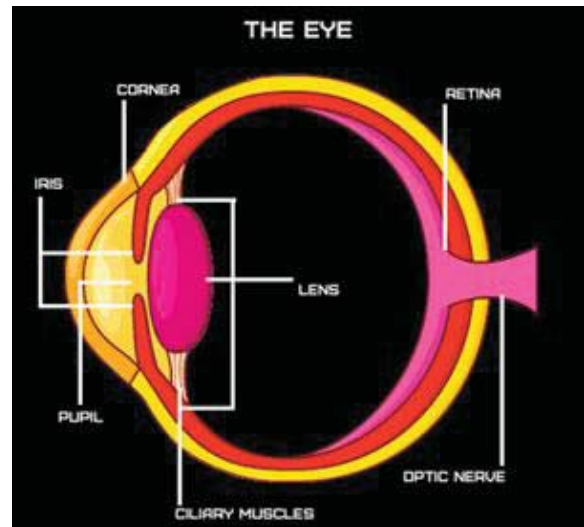
<sup>14</sup> Eye movements and perception: A selective review, Alexander C. Schütz, Doris I. Braun, Karl R. Gegenfurtner, Journal of Vision (2011)

It's also important to understand that the amygdala is critical to the neural process under SNS<sup>15</sup>, and it has been shown that the amygdala is directly linked to fear and fear memory, which can directly correlate to method of aiming and training procedures for marksmanship.

The Ciliary muscles are a ring of muscles that surround the lens of the eye. They contract or relax to change the shape (thickness) of the lens to alter desired focal distances, this is Accommodation.

Under stress, the Ciliary muscles are directly affected by adrenaline, which takes time to reach them, however the SNS effects can be instantaneous<sup>16</sup>, they contract, which thickens the lens for distant focus, literally eliminating the possibility for near focus under these conditions, they affect normally voluntary systems, in this case, focal point<sup>17</sup>.

The involuntary loss of control over the Ciliary muscles when we react to a threat is programmed into our “fight or flight” response. Our field of vision is increased to its maximum, the pupil dilates to allow in the maximum amount of light and allow us to best see our threat. Speaking in historical terms, we have been fighting with our hands and hand weapons much longer than firearms.



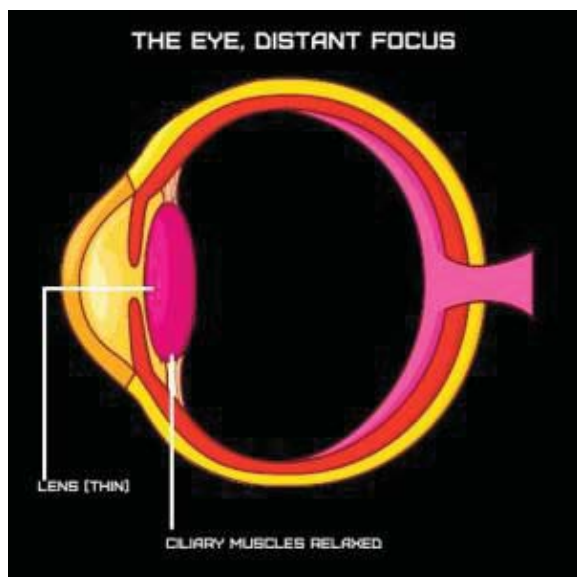
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<sup>15</sup> Interplay of Amygdala and Cingulate Plasticity in Emotional Fear, Neural Plasticity Volume 2011 (2011)

<sup>16</sup> Formation of the aqueous humor, Dr. Janet Fitzakerley, University of Minnesota Medical School (2014) Adler's Physiology of the Eye: Expert Consult 11th edition, Leonard A Levin, Siv F. E. Nilsson, James Ver Hoeve, Samuel Wu, Paul L. Kaufman, Albert Alm (2011)

<sup>17</sup> Autonomic Nervous System, Flinders University, Australia Dr. Bill Blessing, Dr. Ian Gibbins (2011), The Integrative Action of the Autonomic Nervous System: Neurobiology of Homeostasis, Dr. W.W. Jänig, Cambridge University (2006)

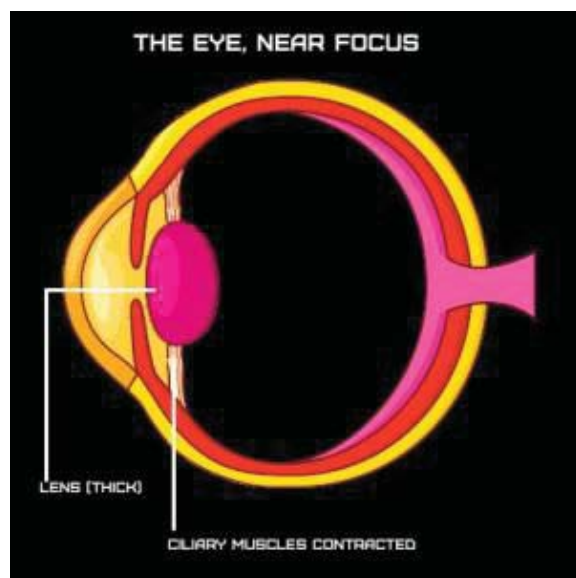




With implicit hand-eye coordination developed since birth, our threat response is hard wired to focus on the threat. Motor control for hand movements is not dependent on continual visual input. Unfortunately, visual input, close focus, is necessary for sighted fire with a firearm. Sighted fire is done by centering the front sight in the rear notch, placing the front sight in focus and driving it to a spot over our threat. When the SNS activates, this ability is largely lost. The “front sight focus” that has been beaten into every shooter’s brain from day one is gone; we cannot focus on the front sight because our nervous system doesn’t allow it. Loss of near focus is temporary, though appears to last as long as the SNS is active or a conscious decision is made to alter the point of focus.

Tunnel vision (visual perceptual narrowing) is another reaction to an SNS activation when a threat is perceived and is also common in high stress situations that do not involve threat of injury<sup>18</sup>. When the SNS activates, in addition to adrenaline being released into the body, Cortisol is also released. Cortisol effects perceptual error detection<sup>19</sup> literally blocking visual input from being processed by the visual cortex<sup>20</sup>. It’s not that the information isn’t *seen*, it’s that the information is not regarded as important and therefore not given the same attention as that in the direct field of vision.

These occurrences may be momentary, or they may last for seconds, minutes or longer. The research into vision under stress with a focus on law enforcement is not nearly expansive or in-depth enough to offer concrete timeframes for ocular symptoms of stress, but what is known is that they occur, and their negative effects on the traditional use of iron sight shooting should be plainly obvious. If you lose the ability for near sight focus, even for a fraction of a second, you lose the ability to focus on your front sight.



<sup>18</sup> World Health Organization. Work with visual display terminals: Psychosocial aspects and health. J Occup Med (1989) Situational Awareness Matters Dr. Rich Gasaway

<sup>19</sup> Effects of a single dose of cortisol on the neural correlates of episodic memory and error processing in healthy volunteers. Psychopharmacology, FC Hsu, MJ Garside, AE Massey, RH McAlister-Williams (2003)

<sup>20</sup> Tunnel Vision, Its Causes, Treatments and Strategies, Edward C. Godnig, O.D. (2003)

It is important to note that under High Road processing, a situation where an officer has already moved through Low Road processing, (or it never occurred due to the specifics of the encounter) it is entirely possible and common for an officer's vision to not suffer such extreme effects. Under a judgement situation where an officer is issuing verbal commands or otherwise holding a suspect at gun point, near focus can return or never be lost to begin with due to the lack of the somatic reflex to a threat, extensive stress inoculation training, or focal point return based on the amount of time that has elapsed.

Further evidence to visual complications can be seen in LE force on force exercises. An invaluable tool for law enforcement when used properly, force on force systems such as UTM or Simunitions FX allow trainers to provide students with a very realistic training experience; that is to say that participants will experience an SNS activation and the symptoms that come with it. Because this is as close as we trainers can get to having environmental control over a use of force, the data that can be gathered in training exercises can and should be used to shape policy and pursue technology to aid in more effective officers. From 2011 to 2014, Sage Dynamics conducted a study of students during force on force training courses.

Sage developed a few very simple questions that would ask at the end of an officers training scenario. These questions were asked of each student in a handgun scenario immediately following a logical conclusion of their training. As the scenarios spanned three years and covered a number of varied training specifics such as close quarters shooting, low light, active shooter response, vehicle defensive skills, felony stop procedures, etc. The information is anecdotal, though telling as the type of training is varied yet the commonalities between students is obvious. All scenarios polled placed the threat(s) within 15 feet of the student at the scenario beginning. Any scenario conducted during this time that began with a threat at a greater distance was omitted. 110 Students over three years were polled.

Three direct questions were asked to poll information.

Three simple questions.

Were you able to acquire a gross or fine sight picture under a spontaneous threat?

- No: 90%
- I don't remember: 9%
- Yes: 1%

Were you able to consciously focus and find your sights?

- I didn't have time: 33%
- No: 31%
- Yes: 23%
- I don't remember: 13%

Did you unconsciously acquire a sight picture at some point during the scenario?

- No: 65%
- Yes: 20%
- I don't remember: 15%

Handguns used during the study:

- Beretta 92
- Glock 17

Sights used:

- OEM Beretta
- OEM Glock
- Glock Night Sights
- Truglo TFO
- XS Big dot
- Trijicon NS
- Trijicon HD
- Dawson Precision (fiber optic front)

Student shooting experience:

- 0-5 years: 20
- 6-10 years: 45
- 11-20 years: 28
- 21+ years: 17

The length of a scenario, and how fast an officer was forced to react was largely responsible for the ability or inability to eventually acquire a conscious sight picture. Students that were placed in a sudden shoot situation when the reaction-time-to-rounds-fired time frame was mere seconds almost exclusively answered in the negative. Scenarios that gave the student a greater distance from the threat or allowed them to move to cover, or fight from cover allowed some students to acquire a sight picture after those first few seconds had passed, their threat moved and they perused, or the situation called for more precise fire (such as the threat using cover). This information is by no means complete, nor was it gathered under a specific set of like scenarios to ensure commonality of data. It was collected from varied scenarios from students with varied back grounds on purpose. Instead of establishing the facts within a narrow scope, Sage Dynamics wanted data from the widest possible number of circumstances



because reality continues to show us time and time again that each gunfight is unique in many ways and the only commonality is often in our involuntary reactions to stress.

## **Mental Processing Under Stress**

Additional problems with vision may present given officer information, or lack thereof, especially in environments where lighting is reduced or must be produced by flashlight. Mistake-of-Fact shootings can occasionally be explained by mental processes usually attributed to safe assumptions made by an officer, however the reality is more complex.

Everyone has had at least one experience in which they saw something out of the center of their vision, or in a reduced light environment, or hidden in the grass or foliage in which they assumed it was something that it turned out not to be. A coat rack appeared to be a person, a stick in the grass appeared to be a snake. A cellular phone appeared to be a gun. When limited information is available to the senses, the senses may attempt to fill in missing details. This is the partly due to Amodal Completion<sup>21</sup>. Our mind groups objects together as a whole, even if they are not, so long as they seem to complete a pattern or object, or a general shape or color contrast is assumed to be something it may or may not be before the viewer can, or has time to gather additional visual input. A *Cognitive Interpolation* is perhaps a more reliable term as it describes a specific function of the mind to add missing information based on prior experiences, training or previously seen information. The mind will use Heuristics<sup>22</sup> to solve problems as they are occurring, even if they are not the ideal process to gather data, based on any real or perceived need immediate data. Heuristics are based on previous experience or training, and may have advantages or disadvantages based on that previous experience or training. While a Heuristic is a proven method for problem solving (and largely unavoidable mental process)<sup>23</sup> they are susceptible to cognitive bias, stereotypes and bad training<sup>24</sup>. Tom Aveni's study<sup>25</sup> on behalf of The Police Policy Studies Council found a high number of mistake of fact shootings from multiple departments, in the 18%-33% range. More to the point, Aveni's research found that; "*Low light shootings account for at least 60% of police applications of deadly force. They seem to diminish police hit ratios by as much as 30%. Low light also accounts for as many as 75% of all mistake-of-fact shootings.*" Training may be partly responsible for a mistake-of-fact shooting, but Heuristics drives the mistake. If an officer must judge a potential use of force under expected stress, the more visual input they can get, the better a decision they are able to make.

A mistake-of-fact shooting is just that, an honest mistake made by an officer in a small fraction of time when the need for lethal force was believed to be justified. Aveni's study is imperfect in that it cannot account for a large number of agencies, only 5 major metropolitan agencies provided officer involved

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<sup>21</sup> Amodal Completion, Perception and Visual Imagery, Clotilde Calabi, Interpolation and extrapolation in human behavior and neural networks, J Cogn Neurosci. (2004)

<sup>22</sup> Heuristics, servants to intuition, in clinical decision making, Jane Cioffi (1997)

<sup>23</sup> Use of heuristics: Insights from forecasting research, Thinking & Reasoning N. Harvey (2006), Heuristics: Tools for an uncertain world". Emerging Trends in the Social and Behavioral Sciences, Hansjörg Neth (2015)

<sup>24</sup> How to Make Cognitive Illusions Disappear: Beyond "Heuristics and Biases" Gerd Gigerenzer (1991)

<sup>25</sup> Officer-Involved Shootings: What We Didn't Know Has Hurt Us, Thomas J. Aveni, M.S. (2003)

shooting data, and the method of collection (and detail of data) varied between the 5. This means that data collection by individual agencies needs to be as specific as possible and must be shared with other agencies and trainers to aid in reduction of MOF shootings and an overall increase in training quality to better empower officers if the need for force arises.

In law enforcement, a great deal of training is focused on mental processing, decision making and judgement shooting. Despite this, we regularly hear of, and see evidence of, police hit percentages being very low. A 2006 Rand study of the NYPD found that officers maintained an 18% hit ratio in exchanges of gunfire with suspects, and a slightly higher 30% hit ratio when suspects were not actively engaging them with gunfire<sup>26</sup>. A national average on hit percentages is not available, though anecdotal numbers quoted rarely appear above 20%.

Force Science studied police academy graduate accuracy against the accuracy of novice shooters with little or no formal training or experience. The study found that Expert officers had no significant advantage over intermediate shooters and only a small advantage over novice shooters<sup>27</sup>. This should be troubling information for law enforcement trainers; no matter the quality of training, we must avoid the institutional inertia of continuing to do what provides scored success when the qualification is a policy standard, it is not the standard an officer will be measured by in a use of force.

The reasons for these percentages are as much about training as they are about the unknown quantity; you cannot predict the situation in which force will be needed, but you can best prepare officers for the situation if it arises. This preparation is about more knowledgeable understanding of force, its effects on the body and their effects on equipment use, and a better approach to embracing technology that will allow officers to more effectively confront a use of force.

## **Sights in Reduced Lighting**

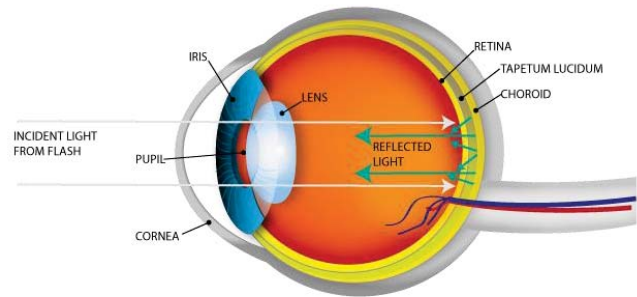
Law Enforcement is a 24 hour a day operation; which generally goes without saying but it's important to mention it specifically in regard to an officer's ability to acquire their sighting system regardless of the conditions present when they need to do so. Besides natural darkness, buildings, structures and vegetation may artificially create lighting conditions that are not favorable to accurate identification of potential or known threats, or the ability for an officer to focus on and align their sights.

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<sup>26</sup> Evaluation of the New York City Police Department Firearm Training and Firearm-Discharge Review Process, Bernard D. Rostker, Lawrence M. Hanser, William M. Hix, Carl Jensen, Andrew R. Morral, Greg Ridgeway, Terry L. Schell, RAND (2006)

<sup>27</sup> The real risks during deadly police shootouts: Accuracy of the naive shooter, Force Science, William J Lewinski (2015)

Humans are diurnal by nature. The human eye is not capable of low light acuity. In nature, many mammals possess a *tapetum lucidum*, a biological reflector that reflects entering light back towards light sensitive retinal cells after it has entered their eyes to give the cells a second chance at stimulation, greatly increasing natural night vision. This is why many animal's eyes shine in low light when light is directed into them.



In humans, our eyes are far more adapted at daylight conditions. Rods and cones are the two types of photoreceptors in the retina responsible for the transmission of images to the brain. Since we lack a tapetum lucidum, the light entering the eye has only one chance to charge these photoreceptors, our receptive field is determined by this. Contrary to commonly held belief, rods and cones have a very similar receptibility to light, both will respond to a single quantum of light, but rods will produce a bigger response<sup>28</sup>.

In natural day light; *Photopic light* the human eye processes light mainly via the cone cells, the visual system throws light away, creating *lateral inhibition*, edge-sharpening that actually decreases neural activity in response to light<sup>29</sup>. The effect is similar to the edge-sharpening function on a computer graphics program. This gives the human eye an amazing ability to detect movement, differentiate color, accommodate focal distances and reconcile edges, even with low contrast objects, but this comes at a cost, as already mentioned.

In *mesopic light*, or *twilight*, the lighting conditions commonly associated with dawn/dusk, the eye begins to lose its photopic advantages, color differentiation, focal accommodation, and edge detection become problematic. The eye is confused between photopic and *scotopic* vision. “Scotopic” is darkness, low light created naturally or artificially by conditions in which the eye relies heavily on the cone cells to transmit visual data to the brain. Cone cells occupy the outer edges of the retina, making peripheral vision relatively more reliable, though in scotopic light, the eye loses its ability to determine color or judge depth accurately. When the eye is in full saturation, be it photopic or scotopic light, information processing is continual to those conditions and data confusion.

Light, measured by *lux*, is a helpful, though academic method to measure lighting conditions.

<sup>28</sup> [Human Factors, Night Vision](#), Dr. Marc Green

<sup>29</sup> [Psychology of Touch and Blindness](#), Heller, Morton A.; Edouard Gentaz (2013)

<b>LUX</b> (1 LUMEN PER SQUARE METER)		
<b>LUX LEVEL</b>	<b>VISION TYPE</b>	<b>EXAMPLE</b>
1,000,000+	PHOTOPIC	FULL SUNLIGHT (BLINDING)
100,000	PHOTOPIC	HAZE, COMFORTABLE
1,000	PHOTOPIC	DIFFUSED, CLOUDY
100	PHOTOPIC	ELECTRIC LIGHTING
10	PHOTOPIC	TWILIGHT
<b>DIURNAL THRESHOLD</b>		
1	MESOPIC	FULL MOON, ACCENT LIGHT
0.1	MESOPIC	HALF MOON, BRAKE LIGHT WASH
0.01	MESOPIC	QUARTER MOON, GUIDE LIGHTING
0.001	SCOTOPIC	FULL STARLIGHT
0.0001	SCOTOPIC	PARTIAL STARLIGHT
0.00001	SCOTOPIC	OVERCAST DARKNESS
0.000001	SCOTOPIC	TOTAL LACK OF LIGHT

For practical purposes, it is very rare for law enforcement to be forced to work in complete scotopic light; urban areas and even semi-rural locations at night produce a great deal of artificial light to create mesopic or even photopic conditions. Inside of buildings, mesopic light is very common and is often the default condition during daylight hours unless lights are turned on. Some structures, such as commercial warehouses or factories, storage buildings or parking garages, can create near-to-scotopic environments without artificial lighting.

Mesopic lighting is the most problematic lighting condition for the acquisition of sights and reconciliation of focal distances due to the fact that the eye is actively trying to operate in photopic and scotopic light at the same time. In mesopic environments, lighting conditions against unlit areas and objects create photonic barriers. These barriers confuse the eye; attempting to look through a slightly brighter area into a dim area, or the reverse, is forcing the eye to confront a photonic barrier; while it may not appear dark enough for an officer to need artificial light, the dynamic contrast between light conditions causes interpretation confusion and fatigue of the eye<sup>30</sup>.

The greatest advancement in iron sight technology is the night sight. The adoption of night sights was intended to allow shooters to acquire, align and focus their sights in low light conditions. The

<sup>30</sup> Vision under mesopic and scotopic illumination, *Frontiers in Psychology*, Andrew J. Zele1, Dingcai Cao (2015)

effectiveness of night sights is debatable; in a 2001 study<sup>31</sup>, accuracy in varied lighting under static range conditions compared to all black iron sights was found to improve, however Thomas Aveni's research found no improvement in officer hit ratios in shootings since the widespread introduction and adoption of night sights<sup>32</sup>.

As a trainer, it is common to encounter night sight equipped handguns during low light and shoot house courses (both live fire and force on force); it has been consistently observed by Sage Dynamics that, without the employment of white light in scotopic environments, night sights provide virtually no advantage. In mesopic environments, night sights aid the shooter in acquiring, aligning and focusing on the sights, but do nothing to add additional light to the desired point of aim. This is situational, as every environment is going to be different outside of controlled range conditions, but further speaks to the need for light on demand. With the complicated nature of lighting interaction with the human eye and iron sights established, the last issue with traditional sights is the method in which sights are used.



### Constant Threat Focus

The possibility of an officer not seeing their sights under stress is a common point of discussion in law enforcement, which is why it has been addressed in-depth here, and its possibility and probability is an

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<sup>31</sup> Handgun shooting accuracy in low light conditions: The impact of night sights, Policing: An International Journal of Police Strategies & Management, Vol. 24 Issue: 4

<sup>32</sup> Officer-Involved Shootings: What We Didn't Know Has Hurt Us, Thomas J. Aveni, M.S. (2003)

issue that trainers must address in their firearms training. Another potential issue with the use of iron sights under use of force stress is focal plane confusion.

With traditional sights, an officer must negotiate three different focal distances to deliver accurate fire. This is accomplished by first recognizing the need for the firearm; a focus on the threat. Then as the duty weapon is brought to line of sight, the eye must accommodate to the rear sight and the front sight to establish sight alignment. Once sight alignment is established and conditions have not changed, the officer may focus on the threat again before finally returning to the front sight for proper sight picture before firing. Three focal planes are the *minimum* needed for this process. Factoring in bystanders, other officers, environmental obstructions, and/or additional threats/potential threats; there can be more than three distances at which the eye must accommodate for fine focus.

All the required data needed for an officer to shoot is taking place *away* from the firearm; at largely uncontrollable distances with many uncontrollable factors in a potentially uncontrollable environment with lighting conditions that the officer may not be able to adequately change depending on equipment.

The plain fact is that the debate point of *its always worked before* in regards to traditional iron sights ignores the shooting statistics that say it isn't working as well as it could. It would be foolish to assume a 100% hit ratio is possible given so many uncontrollable factors in a use of force, however an improvement in officer accuracy is certainly possible with an understanding of why focal issues can and do lead to poor accuracy and mistake of fact shootings.

Iron sights have worked to varying degrees of success since their invention, but they have always worked against human tendency to focus on the threat and created a need to train against human tendency to produce effectiveness. 400,000+<sup>33</sup> years or more of purpose-built hand weapon use. The first projectile weapons, the atlatl, dates to 40,000+ years ago<sup>34</sup>. The bow is believed to be at least as old<sup>35</sup>, if not older. What all these weapons have in common is that the user focuses on the threat to aim them.

The first firearm to be used in battle, the hand cannon, was the Battle of Ain Jalut in 1260<sup>36</sup>. The hand cannon is a crude firearm by modern standards and was aimed by threat focus like the weapons before it. It wasn't until 1450 that the firearms of the time had functional sights<sup>37</sup> with improvements to matchlock weapons.

Firearms evolution progressed rapidly once the viability of firearms was seen on the battlefield, and the desire to improve methods to aim the firearm advanced with the desire to produce smaller, more effective weapons. Despite that, the primary method to aim firearms remained iron sights for rifles until the late 20<sup>th</sup> century and remains the primary method on handguns today.

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<sup>33</sup> Lower Palaeolithic hunting spears from Germany, Nature 385, 807 – 810, Harthut Thieme, (1995)

<sup>34</sup> Stone Age Kalashnikov, New Scientist, Kurt Kleiner (1999)

<sup>35</sup> Inter-group violence among early Holocene hunter-gatherers of West Turkana, Kenya, Nature 529, Lahr, M. Mirazón; Rivera, F.; Power, R. K.; Mounier, A.; Copsey, B.; Crivellaro, F.; Edung, J. E.; Fernandez, J. M. Maillo; Kiarie, C (2016)

<sup>36</sup> Transfer of Islamic Technology to the West, Part III Technology Transfer in the Chemical Industries; Transmission of Practical Chemistry, Ahmad Yousef al-Hassan

<sup>37</sup> Gunsight, Encyclopædia Britannica, The Janissaries, David Nicolle (1995)



Consider that threat focused aim is over 400,000 years old. Older still if we consider crude weapons such as rocks and fists; while sight focused aim is only 567 years old as of 2017. That is a difference in evolution that cannot be denied.

Does this mean that iron sights do not provide a viable method of aiming and engaging threats? History says *no*, however more effective methods exist, and these methods support 400,000 years of threat focused conflict. This is where red dot optics are the best solution currently available. They allow an officer to remain threat focused.

### **Liability Under Traditional Training Methods**

The foundation for liability regarding training in law enforcement is *Canton V Harris*<sup>38</sup>. A department's "deliberate indifference" in the failure to provide training, or adequate training opens up liability under § 1983<sup>39</sup>, potentially for all involved in the administrative chain from instructor up<sup>40</sup>. The possibility for officers to encounter a need for their firearms are known to a moral certainty. Towns, counties, cities, states and the federal government arm their officers with firearms with the reasonable belief that they may need them, and thus the constitutional requirement to train them proficiently exists and falls under *Canton V Harris*.

Firearms accuracy, and the realism of training requirements, not just qualifications, has been addressed in *Popow v. City of Margate*.<sup>41</sup> An Officer of the city of Margate was in a foot pursuit with a suspected kidnapper, the officer fired on the suspect and struck and killed a bystander. The officers training was called into question as being inadequate, wherein the court agreed, they stated;

*"The only continuing training was shooting instruction approximately every six months at a range in Atlantic County. However, there was no instruction on shooting at a moving target, night shooting, or shooting in residential areas. Margate is almost completely residential. The possibility that a Margate police officer will in the course of his duties have to chase a suspect in a residential area at night is not in the least remote; therefore, a finder of fact could determine that the City of Margate's training of officers regarding shooting was grossly inadequate within the Leite standard. Furthermore, the officers viewed no films or participated in any simulations designed to teach them how the state law, city regulations or policies on shooting applied in practice."*

Further, In *Zuchel v. City and County of Denver*<sup>42</sup>, the court again addressed training programs considering the facts of the case and *Popow V. City of Margate*. In *Zuchel*, the Denver Police Department responded to a disturbance call at a fast-food restaurant. When they arrived, officers were

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<sup>38</sup> *City of Canton, Ohio v. Harris* :: 489 U.S. 378 (1989)

<sup>39</sup> 42 U.S. Code § 1983 - Civil action for deprivation of rights

<sup>40</sup> *Popham v. City of Talladega*, 908 F.2d 1561, 1564-65 (11th Cir. 1990), *Belcher v. City of Foley*, 30 F.3d 1390 (11th Cir. 1994)

<sup>41</sup> *Popow v. City of Margate* [476 F.Supp. 1237 D.N.J., 1979]

<sup>42</sup> *Zuchel v. City and County of Denver*, 997 F.2d 730 C.A.10 (Colo.), 1993

told that the subject responsible for the disturbance had gone around the corner of the restaurant. As officers moved to the back of the restaurant, they observed Zuchel, who had his back to the officers, arguing with some teenagers. Someone shouted that Zuchel had a knife. As the officers approached, Zuchel turned toward the officers, at which time Officer Spinharney fired four times, killing Zuchel. A pair of fingernail clippers was found next to Zuchel. Officer Spinharney's partner testified that she was surprised when Officer Spinharney fired because she was right next to Zuchel and about to grab him. At the time of the Zuchel shooting, the only judgement (shoot/don't shoot) training that existed in the Denver Police was a lecture and a movie<sup>43</sup>. In its decision, the court stated;

*“Denver asserts that it can only be liable for an unconstitutional use of deadly force if it had a policy condoning the unprovoked shooting of citizens. However, in City of Canton v. Harris, the Supreme Court expressly rejected the argument that a city is only liable when the municipal policy itself is unconstitutional. Rather, the Court held that ‘if a concededly valid policy is unconstitutionally applied by a municipal employee, the City is liable if the employee had not been adequately trained and the constitutional wrong has been caused by that failure to train.*

*‘Thus, a city is deliberately indifferent if (1) its training program is inadequate, and (2) the city deliberately or recklessly made the choice to ignore its deficiencies.’”*

Other cases, such as Brown V Gray<sup>44</sup>, Tuttle V Oklahoma<sup>45</sup> and Markham V White<sup>46</sup> have identified an agencies requirement to insure officers have proper training to adhere to policy, and that the policy be lawful in regard to training.

Law enforcement training has come a long way from its organized beginnings. In the past 20 years, it has arguably advanced more than it did in the 100 years before that, but it still has far to go. Range design limitations, budgetary shortfalls, manpower issues and institutional inertia can all play a small or total part in making training as quality or as legally minimal as possible.

One continued resistance to technology is that it may, in some way, increase a department's liability, or at the very least take longer to implement and train officers to proficiency, which in itself may increase liability. The truth is, when properly implemented, MRDS can help greatly in a reduction of liability use of force incidents, specifically in adverse use of force situations. More than that, MRDS can provide a shorter training path to officer accuracy regardless of prior firearms experience prior to MRDS use.

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<sup>43</sup> Training to Fail: The Failure of Police Firearms Training For the Real World, Criminal Justice Institute School of Law Enforcement Supervision, Greg Stringer (2010)

<sup>44</sup> Brown v. Gray [227 F.3d 1278, C.A.10 (Colo.), 2000]

<sup>45</sup> Tuttle V Oklahoma [471 US 808 1985]

<sup>46</sup> Markham v. White [172 F.3d 486 C.A.7 (Ill.), 1999]



## **Advantages of Red Dot Optics**

As stated previously, it is already established that the red dot optic for rifle use is a preferred and more effective method for aiming and target engagement than iron sights. The US Army standardized red dot optics, the M68 CCO, for all service rifles just after September 11<sup>th</sup>, 2001<sup>47</sup>, however they were already widespread in Army infantry and more specialized combat units prior to that. An informational study conducted by the 198<sup>th</sup> infantry brigade during rifle qualifications found a 66% increase in soldier accuracy during qualifications once they had received initial training on their issued RDS<sup>48</sup>.

In a relatively short period of time, the modernization of military optics has occurred for the service rifle. Given the general conservative nature of the Department of Defense to adopt new technologies without thorough testing, this serves as an excellent example that the technological advancements in optics are the future. Which is now.

### **One Focal Plane**

The simplest advantage of the RDS is that it only requires one focal plane shooting; threat/target focus. This means that the use of a red dot allows the shooter to maintain a constant focus on the threat.

For the law enforcement officer, the use of an MRDS on their duty handgun would allow them to maintain a constant focal history on the threat for the entire period of an engagement. Not only does this allow an officer to remove the need to refocus for sight alignment or sight picture, it allows the officer to have a clear picture of the threat up and including the moment where force is used.

When we consider the ever-present possibility of honest mistake-of-fact shootings, the unknown period of time an officer focuses back from the threat to hard focus on their front sight may be all the time it takes for a threat to surrender or otherwise cease to be a threat. This small (or longer) moment of time when the focus is taken from the threat to the front sight has never been available to officers when using proper, foundational instructed sight picture. The MRDS gives officer an ability they did not possess previously. This fact alone makes the MRDS advantageous over any traditional iron sight system in use today. The importance of this cannot be overstated.

With one focal plane shooting for officer handguns, the most common firearm for LE use, the potential reduction in liability is one of its greatest advantages. The RDS and the MRDS is how we reclaim over 400,000 years of human behavior when confronted with a real-world threat.

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<sup>47</sup>Dual Path Strategy Series: Part III – Soldier Battlefield Effectiveness, Program Executive Office Soldier G5, Strategic Communications Office (2011)

<sup>48</sup> BRM/ARM Marksmanship, 198th IN BDE, Command Sgt. Maj. Richard Weik

## Accuracy Improvement With the MRDS

The general fundamentals of iron sight use require sight alignment, which is to place the front sight of the handgun into the rear notch and center it as accurately as possible while ensuring the height of the front sight post is equal to the height of the rear sight notch, also referred to as *equal light, equal height*. The text book sight alignment is something that all officers, from academy to retirement will be familiar with from firearms training. They will also be familiar with the commonly repeated phrase of *its not going to be perfect*. Exact sight alignment is difficult, sometimes impossible to achieve because of natural hand tremor, focal issues and the possibility of stress making both of the previous issues worse.

Once sight alignment is established, accuracy is further complicated by sight picture. The requirement to maintain alignment and place the front sight on the desired point of impact. Lighting issues, sight type, distance and movement of the target can complicate this greatly.

Under static range conditions, many officers display great accuracy because they understand the process and they have invested the time to mastering the use of sights. Outside of static conditions, even the best veteran marksman suffer a significant drop in accuracy. This has as much to do with physiology and the more complicated nature of an unpredictable situation as it does with the method of aiming itself.

In 2011, Norwich University conducted a range study<sup>49</sup> comparing the Trijicon RMR to traditional iron sights. The goal of the study was to identify an advantage in accuracy, if any, of the RMR over traditional iron sights. 27 Norwich University students participated in the study. 13 students used traditional iron sights and 14 students used the RMR. The following details the Norwich University study, their findings are included unabridged. The study was divided into 4 shooting stages;

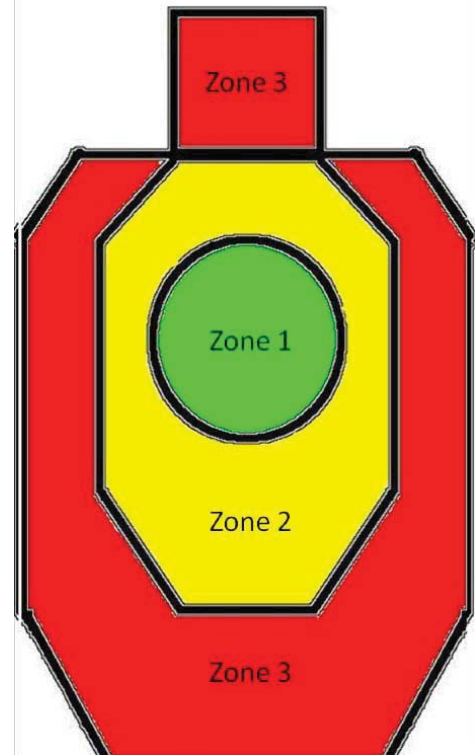
- Stage One, 15 yard slow fire  
10 rounds, untimed
- Stage Two, 5 yard rapid engagement  
Starting from a center chest retention hold position and upon a signal from a pro timer engaged the target and fired two shots. The times were recorded for each shot. This exercise was repeated nine more times for a total of 20 shots for Stage 2.
- Stage Three, 10 yard rapid engagement  
Stage 3 was identical to Stage 2 except that the distance was increased to 10 yards and the exercise was repeated five times for a total of 10 shots.
- Stage four, 10 yard rapid engagement, multiple threats  
Rapid fire with multiple threats at a distance of 10 yards. The subjects faced two targets and, after a timer initiation, fired two shots, one at each target. Students alternated between shooting first at the target on the left and then shooting first at the target on the right. Shot times were

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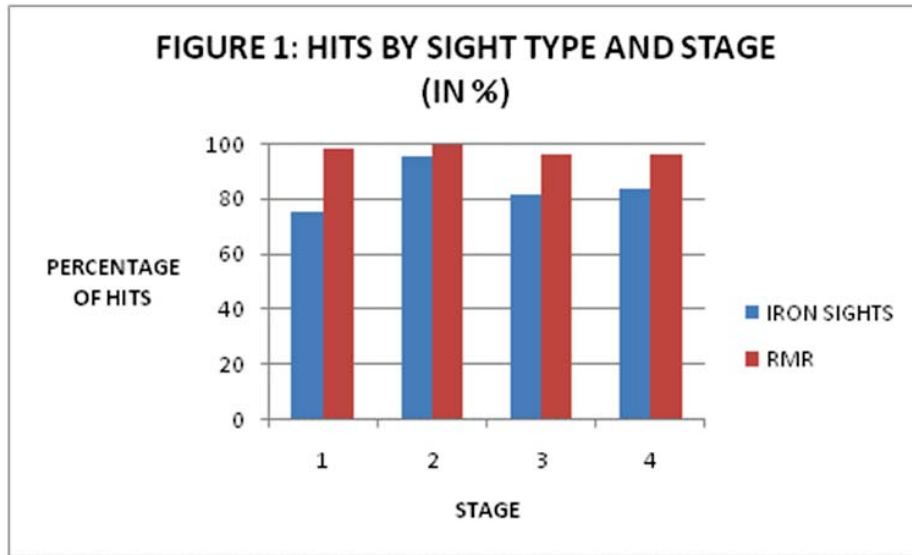
<sup>49</sup> COMPARATIVE PISTOL PROJECT FINAL REPORT, Norwich University, James Ryan, Robin Adler (2011)

recorded. The targets were placed about six feet apart. This exercise was repeated six times for a total of 12 shots.

Glock 19 9mm handguns were used by both groups. The testing target was a standard IDPA zone scoring target. All fire was conducted from a standing position with a two handed, forward isosceles stance.



Following is statistical analysis of the four stages.

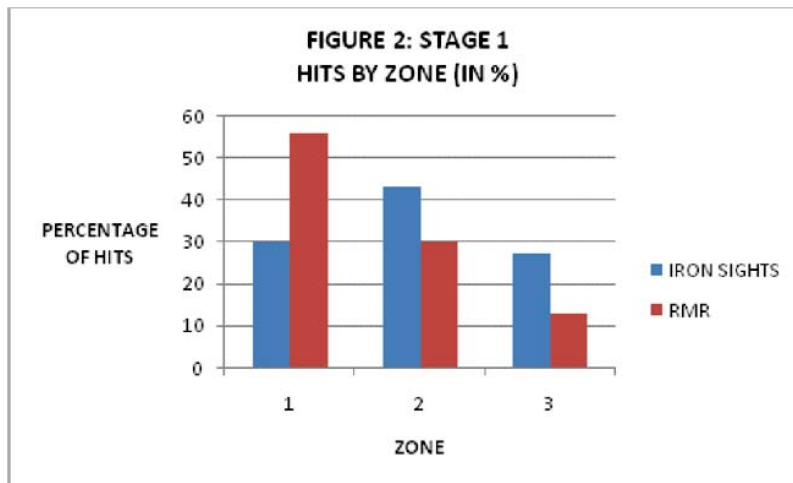


“Hits on target by sight type and stage in percentages. In Stage 1-15 yard-slow fire- the group using iron sights fired a total of 130 shots 97 of which hit the target for a hit percentage of 75 percent. Those using the RMR fired a total of 140 shots 137 of which hit the target producing a hit percentage of 98 percent.

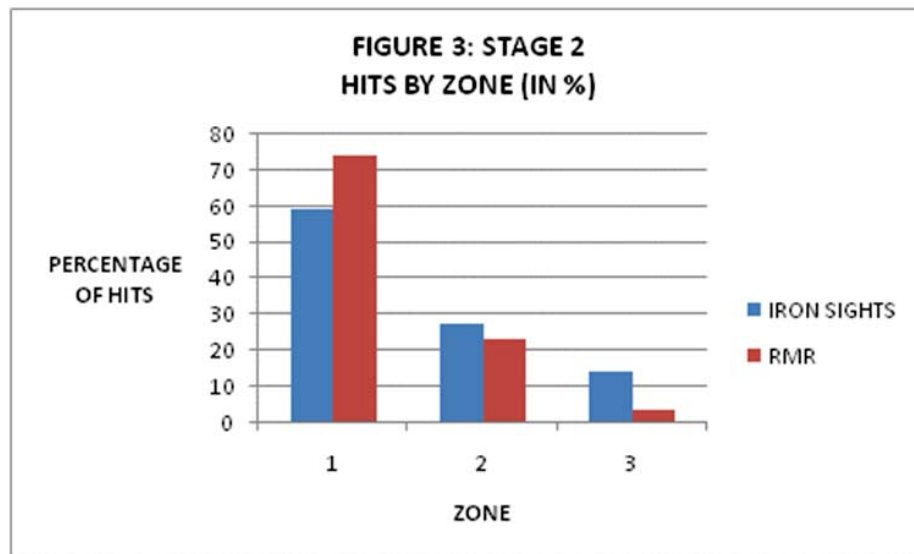
In Stage 2, 5 yard rapid engagement, the group using iron sights fired a total of 260 shots 248 of which hit the target for a hit percentage of 95 percent. Those using the RMR fired a total of 280 shots and hit the target 274 times for a hit rate of 99 percent.

In Stage 3- 10 yard rapid engagement-the group using iron sights fired 130 shots 105 of which hit the target for a hit rate of 81 percent. Those using the RMR fired 140 shots 136 of which hit the target producing a hit rate of 96 percent.

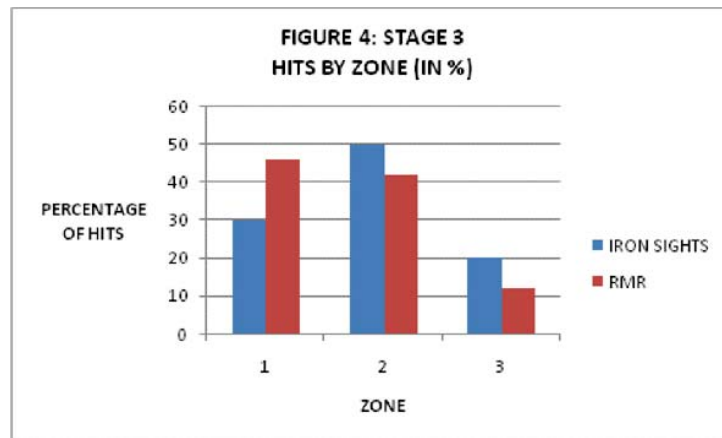
In Stage 4-10 yard rapid fire, multiple threats, data for each group was limited to 12 shooters. Some subjects were confused regarding the changing sequence of aim points and shot at the wrong targets. Data for these shooters were eliminated from the analysis. The group using iron sights fired a total of 132 shots hitting the target 110 times for a hit rate of 83 percent. The group using the RMR fired a total of 144 shots and hit the target 138 times for a hit rate of 96 percent.”



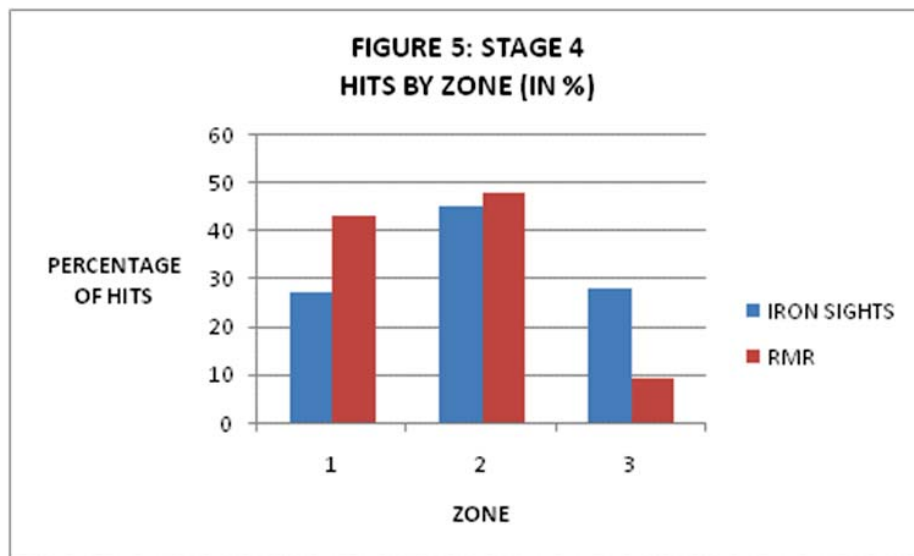
“Figure 2 illustrates hits by sight type and zone in percentages for Stage 1(15 yard-slow fire). Twenty-nine shots, or thirty percent of the 97 shots fired hit the center mass (zone 1). On the other hand 56 percent, or 78 of the 137 shots fired by the RMR group hit the center mass. Forty-three percent, or forty-two shots, fired by the iron sight group, hit zone 2 while thirty percent, or forty three shots, landed in the same area for the RMR group. Finally, 27 percent of the shots fired by the iron sight group hit in the outer zone 3 while only 13 percent of the RMR group hit the outer area.”



“Figure 3 illustrates hits by sight type and zone in percentages for Stage 2 (5 yard, rapid engagement). One hundred and forty-seven, or 59 percent of the 248 shots fired by the iron sight group that hit the target struck the center mass. This compares with a 74 percent hit rate on the center mass or 204 shots of the 274 hits by the RMR group. The hit rate in zone 2 was 27 percent and 23 percent for the iron sight group and RMR group, respectively. Finally, 14 percent of the hits fired by the iron sight group hit the outer area (zone 3) while only three percent of the RMR group’s hits landed in the same area.”



“Figure 4 illustrates hits by sight type and zone in percentages for Stage 3 (10 yard, rapid engagement). Thirty-one shots or 30 percent of the 105 shots fired by the iron shot group that hit the target, landed in zone 1. This compares with 46 percent, or 62 of the 136 hits from the RMR group. Fifty percent of the hits from the iron sight group hit in zone2 while 42 percent of the shots hitting the target landed in zone 2 for the RMR group. Finally 20 percent of the hits for the iron sight group landed in the outer area (zone 3) while only 12 percent of the RMR group’s shot landed there.”



“Figure 5 illustrates hits by sight type and zone in percentages for Stage 4 (10 yard, rapid engagement, multiple threats). The iron sight group hit the center mass, or zone 1 of the target twenty-seven percent of the time. This percentage translates to 30 hits out of the total of 110 hits. Conversely the RMR group hit the center mass 43 percent of the time hitting the center mass 59 times out of the 138 hits. Both groups hit zone 2 with about equal accuracy. The iron sight group had 45 percent of its hits in zone 2 while the RMR group had 48 percent of its hits in the same region. Finally the iron sight group had 28 percent of its hits, or 30 out of 110, in zone 3 while the RMR group had 9 percent or 13 out of 138 hits.”

Participating students experience level was not statistically significant to effect study results to favor either system.

“on the shooting questionnaire asked if the subject had any hunting, military or law enforcement experience. The answers were a simple ‘No’ or ‘Yes.’ The data showed no difference between those who shot with iron sights and those who used the RMR. About half of each group had had some experience. Question 2 addressed pistol shooting experience. Again, about half of each group had had some pistol experience.”

The Norwich University study serves as an example of how effective minimal MRDS use could be. Applied at the academy level, the aggregate MRDS accuracy compared to iron sights would likely show a greater proficiency than like standards trained on traditional iron sights.

### **MRDS use in Force on Force**

In 2014, Sage Dynamics began an open-ended study of MRDS accuracy compared to iron sights during force on force courses. The testing is performed with a Simunitions FX Glock 17 conversion slide milled to accept a Trijicon RMR RM07 MRDS (6.5 MOA dot) as the only sighting system on the handgun. Generally, backup sights are advised on MRDS equipped handguns in the event that the optic fails, though for testing, Sage Dynamics wanted to remove the backup iron sights so that they could not be used unintentionally or otherwise on the MRDS handgun.



The MRDS performance is tracked against iron sight performance on an otherwise identical Simunitions FX Glock 17 conversion slide. For study purposes, a student will participate in 4 scenarios using either the MRDS FX gun, or the iron sight gun. MRDS experience is not required for those evaluated with MRDS use. Participants undergo the same scenarios regardless of which method of aiming is used.

The following data was gathered on 12 students using an MRDS FX gun and 12 students using traditional iron sights.

The 4 scenarios are designed to cover a wide range of potential use of force situations.

- **Scenario A**  
Well lit room (photopic lighting), student will enter through a closed door with a holstered weapon. A Single roleplayer is positioned in view of the door, instructed to advance on the student with a prop weapon (large hammer) and use threatening language. Threat role player is instructed to not respond to verbal commands and to raise the hammer to strike. Threat role player's starting position is no less than 12 feet from the door. Threat role player is instructed to



go to the ground/surrender if they take an incapacitating hit, or a strike to an area that may inadvertently remove their ability to otherwise attack (such as a hit to their weapon hand).

- Scenario B

Outdoor area, natural daytime lighting (photopic lighting). Three role players are positioned around the student exit door (student exits from inside to outside). Two role players are instructed to remain near the door and engage in a verbal argument. The third role player (scenario threat) is instructed to approach the arguing couple as soon as the student exits and brandish a firearm (simunitions FX handgun), threatening to kill one of the arguing role players. Threat role player is instructed to not respond to verbal commands and if/when the student draws their firearm, shoot one of the role players and then turn their weapon on the student. Threat role player is instructed to go to the ground/surrender if they take two incapacitating hits, or a strike to an area that may inadvertently remove their ability to otherwise attack (such as a hit to their weapon hand) or a combination thereof.

- Scenario C

Indoor area, dim lighting (mesopic lighting) Two threat role players are positioned in opposing corners of a center fed room (door in center of wall). One threat role player (threat 1) is facing the door, the other (threat 2) is placed opposite the laterality of the student (EG; if a student is left handed, the second threat role player is positioned in the right corner of the entry side of the room). Threat 1 is instructed to remain stationary until the student has entered, at which time they are to lift their shirt and display the butt of a firearm (simunitions FX firearm) while demanding the student's wallet. Threat 2 is directed to move between the student and the exit door. Threat 2 is armed with a prop weapon (rubber knife). Threat 1 is instructed to advance on student to receive wallet and only draw their firearm if the student draws theirs. Threat 2 is instructed to only advance if student engages threat 1. Both threat role players are instructed to go to the ground/surrender if they take one incapacitating hit, or a strike to an area that may inadvertently remove their ability to otherwise attack (such as a hit to their weapon hand) or a combination thereof.

- Scenario D

Four role players are positioned in a hallway in dim lighting (low mesopic lighting) one role player is given a folding prop knife, the remaining three role players are unarmed. Upon student entry to the hallway, all 4 role players are instructed to verbally assault and threaten the student while crowding the student just outside of arms distance. The threat role player is instructed to get in front of the student's direction of travel and produce the folding knife with a threat to cut the student while remaining outside of arms distance. The role player is instructed to drop the knife as soon as the student draws their firearm and verbally say "I give Up." The other three role players are instructed to flee when/if the student draws their firearm.



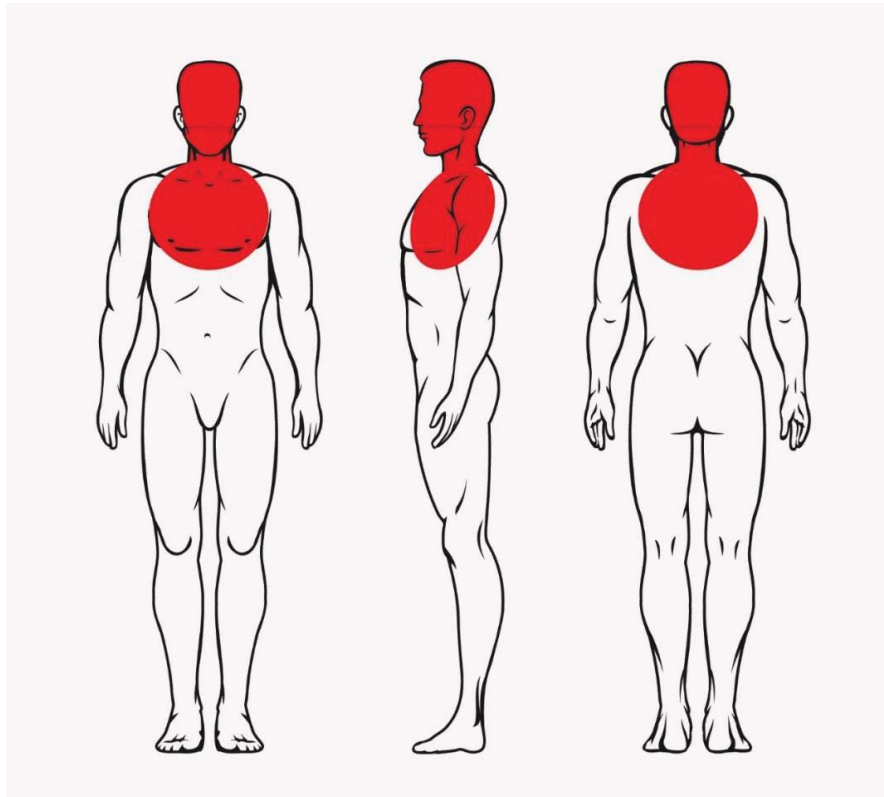
Continuity is maintained to the highest degree in the conduct of all 4 scenarios, with detailed instructions to the role players to not go off script or improvise content in any way. Given the live nature of force on force, it is impossible to ensure that each scenario plays out exactly as the others from student to student, but every effort is made to maintain consistency with role players, leaving the students actions as the only unpredictable aspect of the scenario.

Students are provided with their normal compliment of magazines (the number they generally carry) and use whatever their usual carry method is (IWB, OWB, etc).

Student background (LE/MIL or none) and years of shooting experience (rounded to the year) as well as experience with MRDS handguns (rounded to the year, if any) for those using MRDS in scenarios is also recorded.

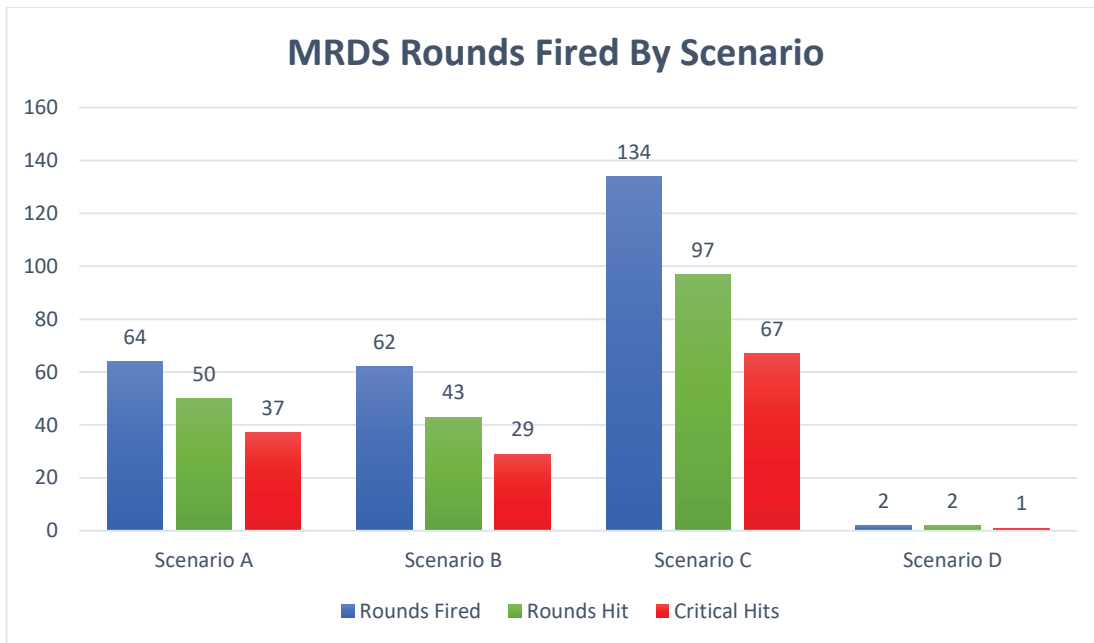
Students are given no prior knowledge of the scenarios.

Shot placement on threat role players was recorded after each scenario using FX paint marks and role player identification of regions hit.

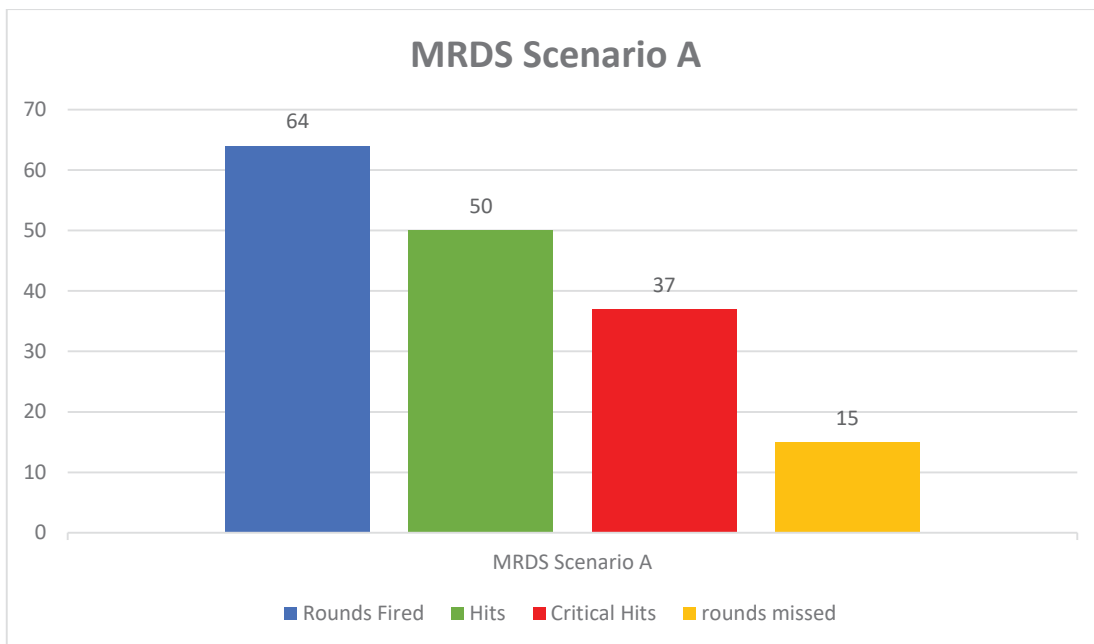


Critical zones are identified in red, detailing the anatomical locations where immediate or delayed medical incapacitation is known to be most likely due to high concentrations of critical structures, organs and tissues.

The following is a statistical analysis of MRDS performance.

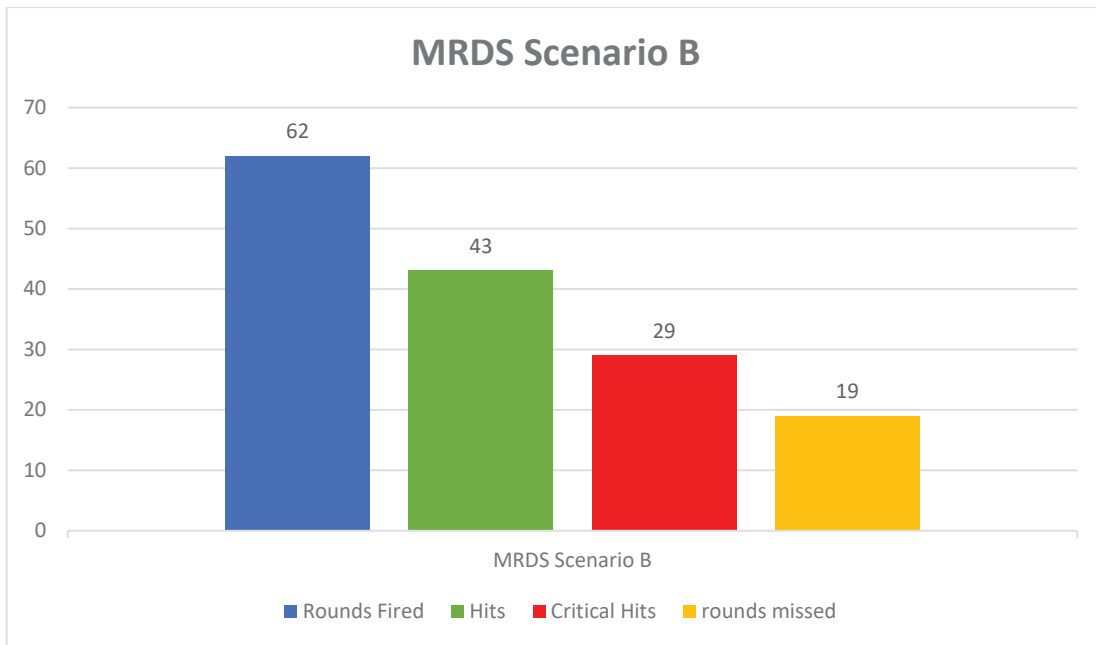


262 rounds were fired over the course of the 4 scenarios, resulting in 192 hits and of those hits, 134 were in critical regions of the body.



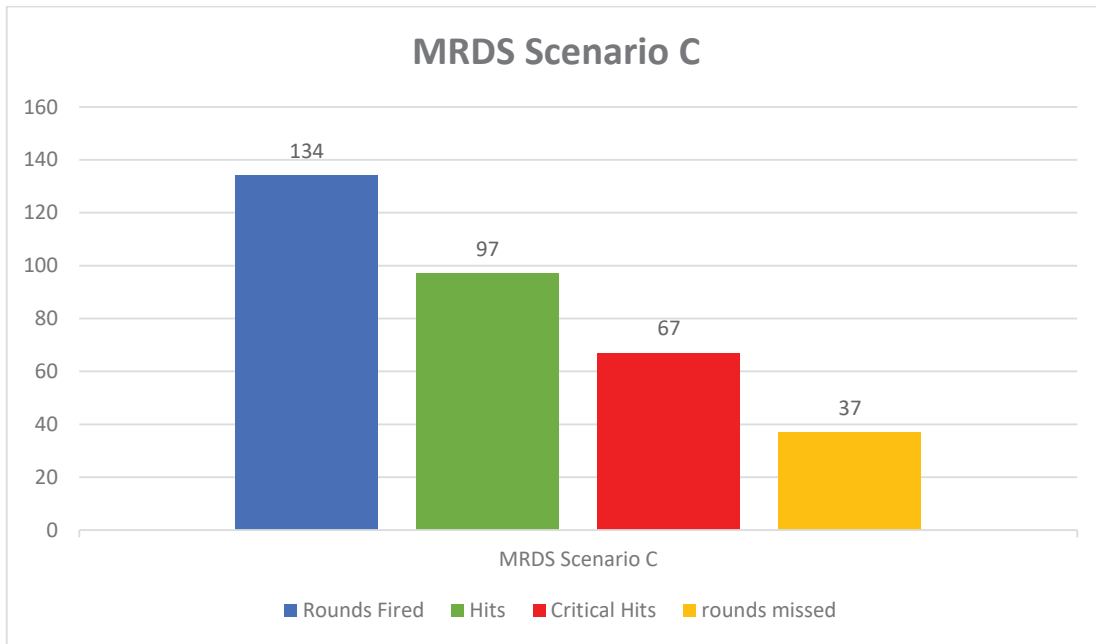
Hit percentage: 78.1%

Critical hit percentage: 74%



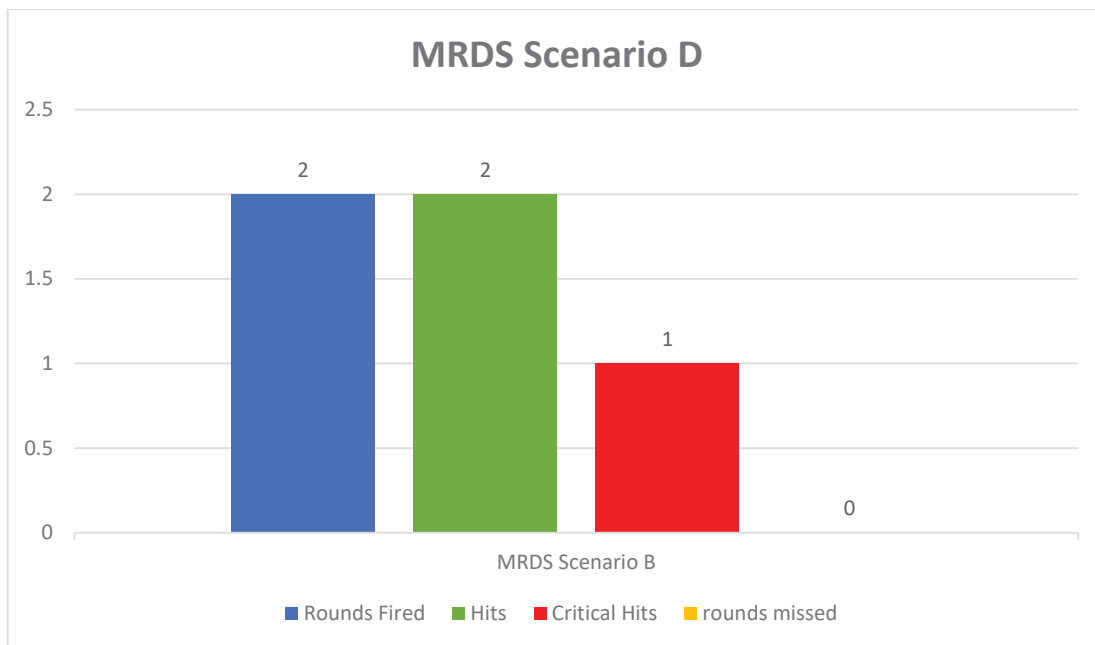
Hit percentage: 69.3%

Critical hit percentage: 67.4%



Hit percentage: 72.3%

Critical hit percentage: 69%



Hit percentage: 100%

Critical hit percentage: 50%

The 12 MRDS participating students were polled on their scenarios with the following questions at the end of each scenario;

Did you focus on the threat?

Did you aim using the MRDS dot?

Did you have trouble finding the dot when presenting the firearm?

Scenario A:

11 of 12 students reported that they focused on the threat.

10 of 12 students reported that they aimed using the dot.

8 of 12 students reported that they had trouble finding the dot.

#### Scenario B:

10 of 12 students reported that they focused on the threat.

10 of 12 students reported that they aimed with the dot.

6 of 12 students reported that they had trouble finding the dot.

#### Scenario C:

12 of 12 students reported that they focused on the threats.

12 of 12 students reported that they aimed using the dot.

5 of 12 students reported that they had trouble finding the dot.

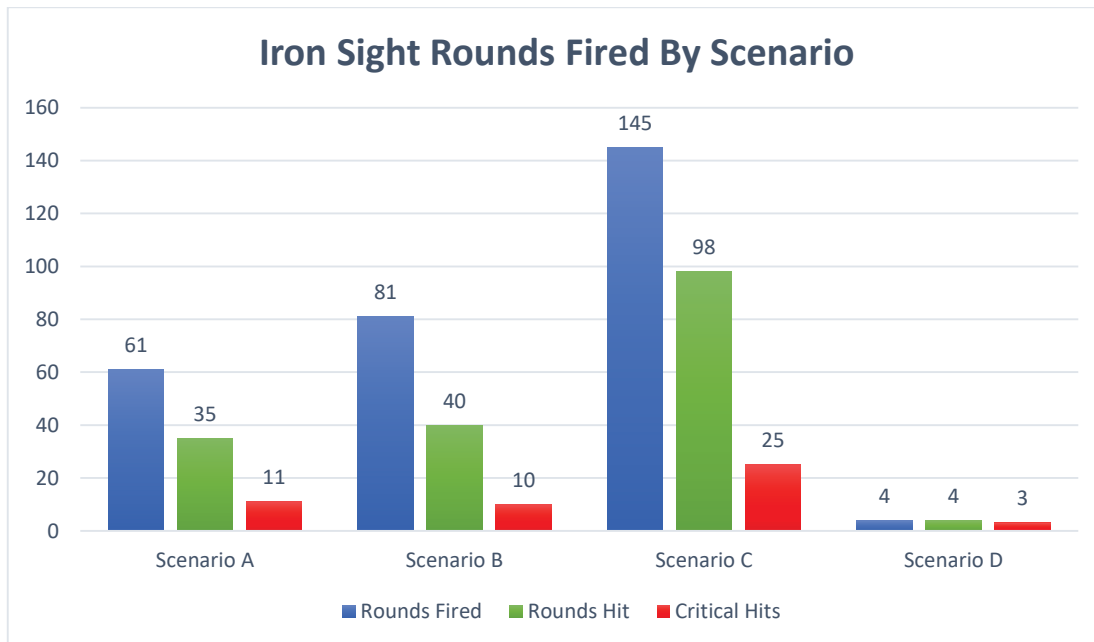
#### Scenario D:

12 of 12 students reported that they focused on the threat.

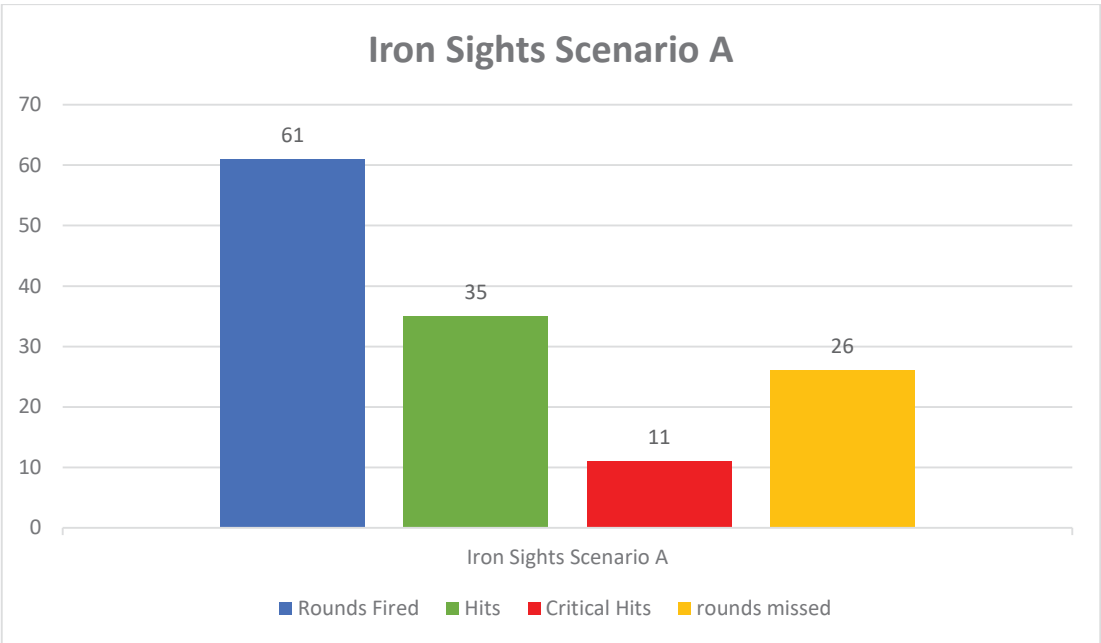
11 of 12 students reported that they aimed using the dot

1 of 12 students reported that they had trouble finding the dot

The following is a statistical analysis of iron sight use.

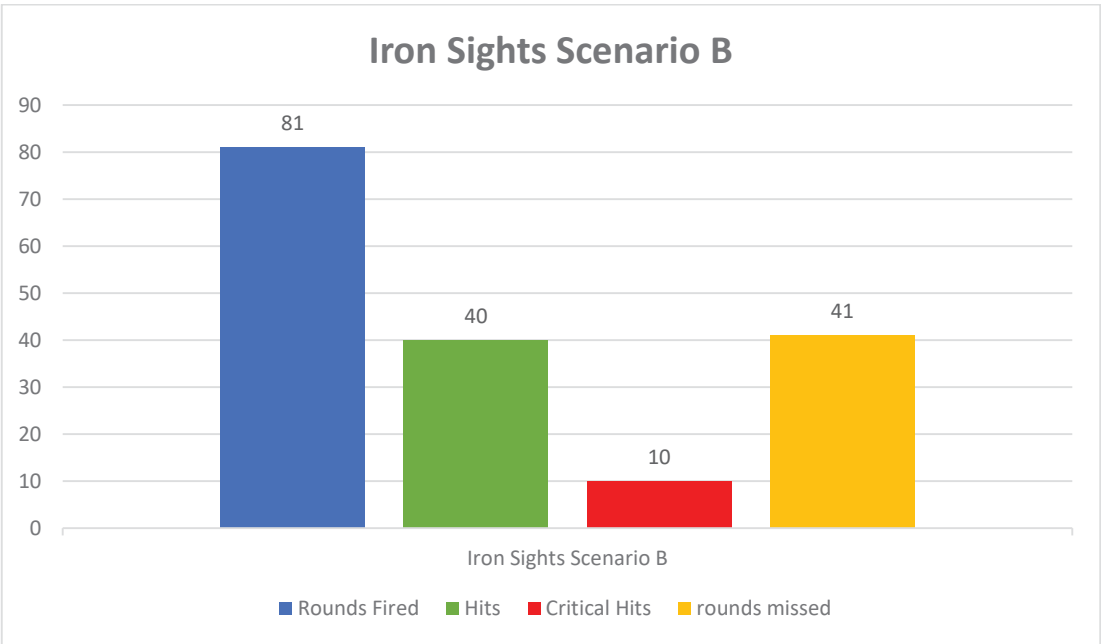


291 rounds were fired over the course of the 4 scenarios, resulting in 177 hits and of those hits, 49 were in critical regions of the body.



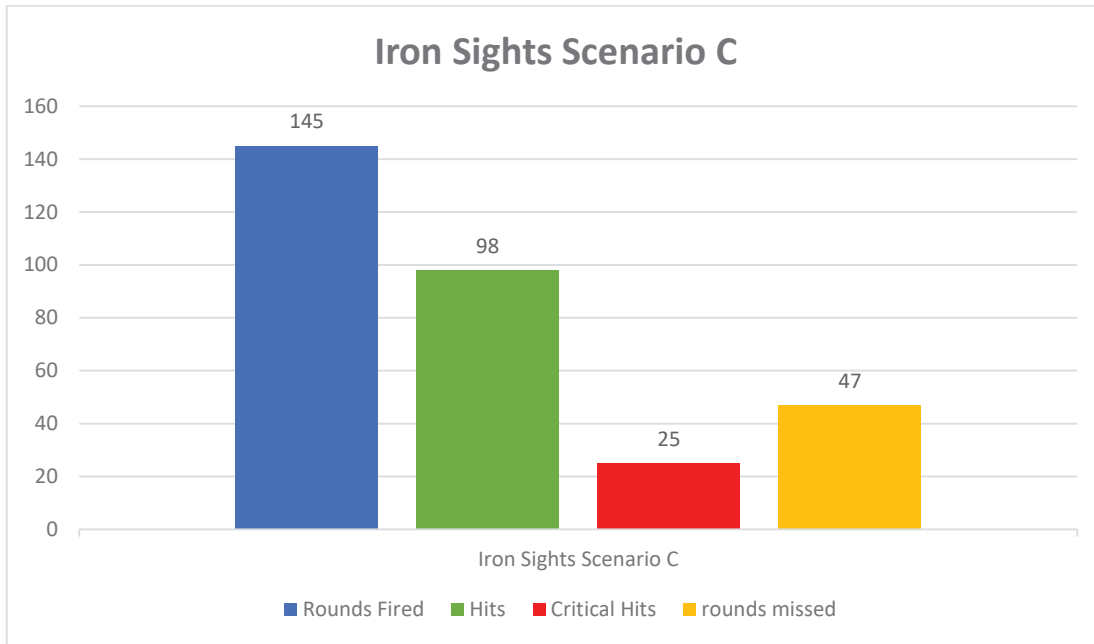
Hit percentage: 57.3%

Critical hit percentage: 31.4%



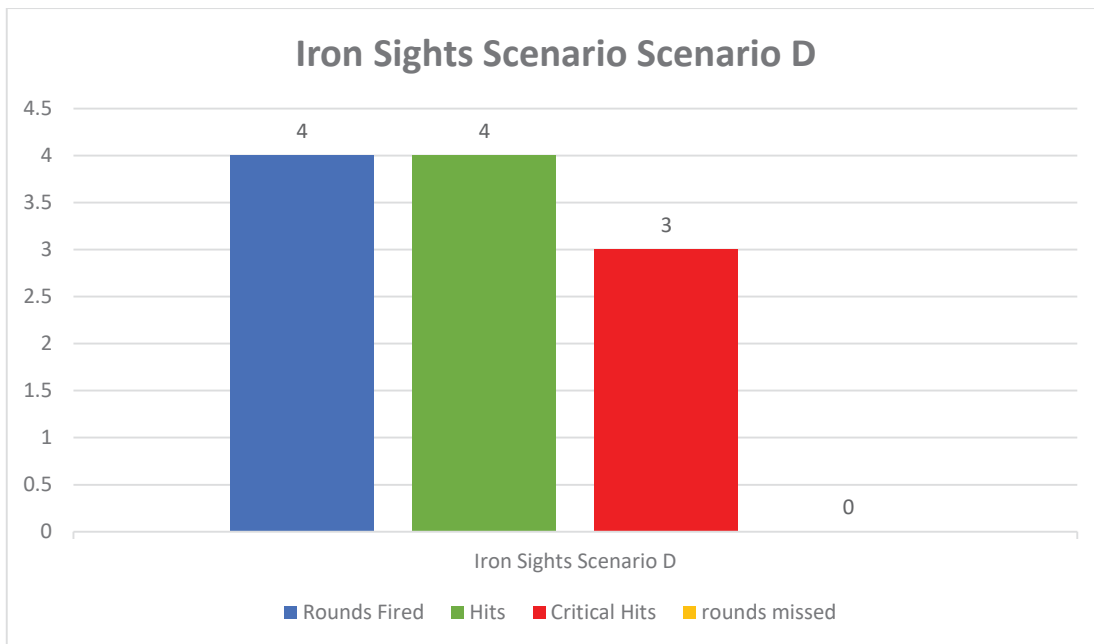
Hit percentage: 49.3%

Critical hit percentage: 25%



Hit percentage: 67.5%

Critical hit percentage: 25.5%



Hit percentage: 100%

Critical hit percentage: 75%

The 12 iron sight participating students were polled on their scenarios with the following questions at the end of each scenario;

Did you focus on the threat?

Did you see your sights?

If no, were you able to find them?

Scenario A:

10 of 12 students reported that they focused on the threat

9 of 12 students reported that they did not see their sights.

Of the 9 students that did not see their sights, 6 indicated that they were able to acquire them eventually.

Scenario B:

8 of 12 students reported that they focused on the threat.

8 of 12 students reported that they did not see their sights.

Of the 8 students that did not see their sights, 1 indicated that they were able to acquire them eventually.

Scenario C:

11 of 12 students reported that they focused on the threats.

10 of 12 students reported that they did not see their sights.

Of the 10 students that did not see their sights, 6 reported that they were able to find them eventually.

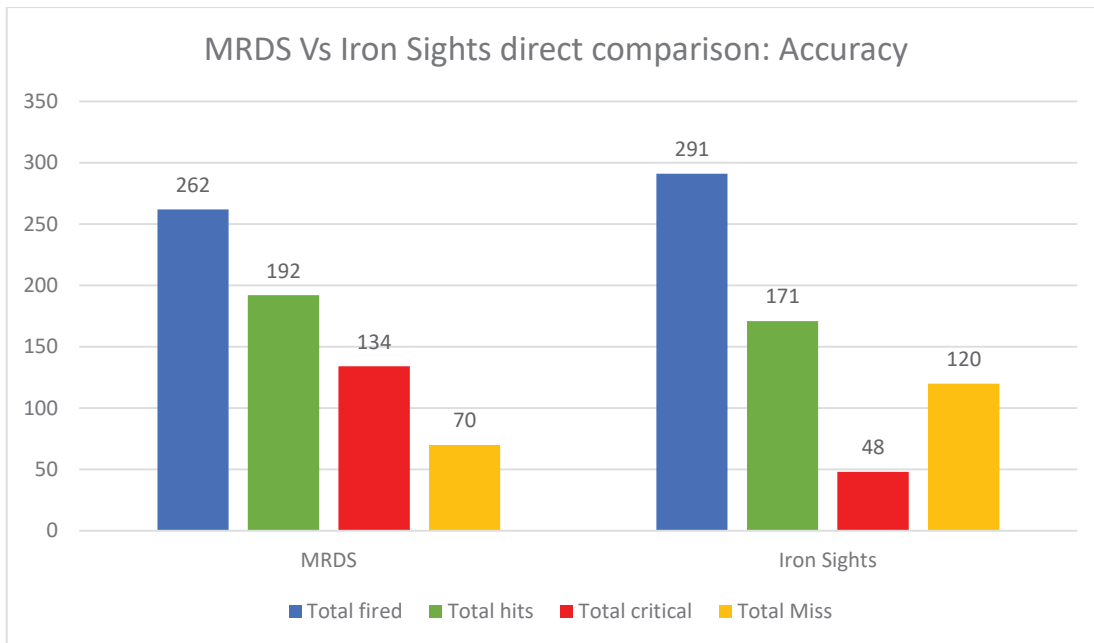
Scenario D:

6 of 12 students reported that they focused on the threat.

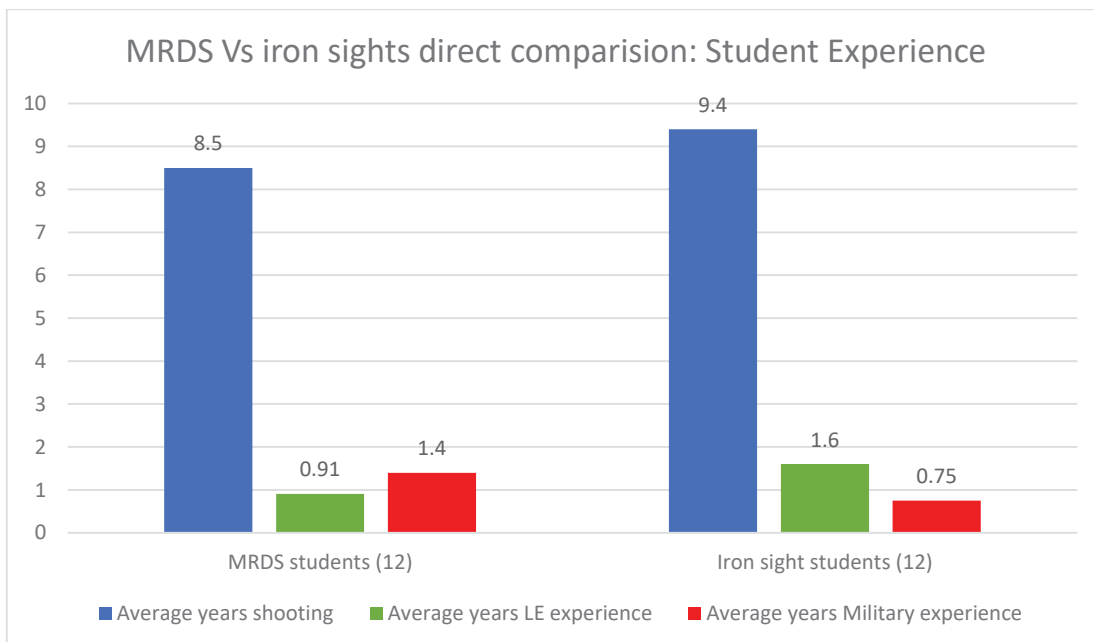
6 of 12 students reported that they did not see their sights.

Of the 6 students that did not see their sights, 5 reported that they were able to find them eventually.





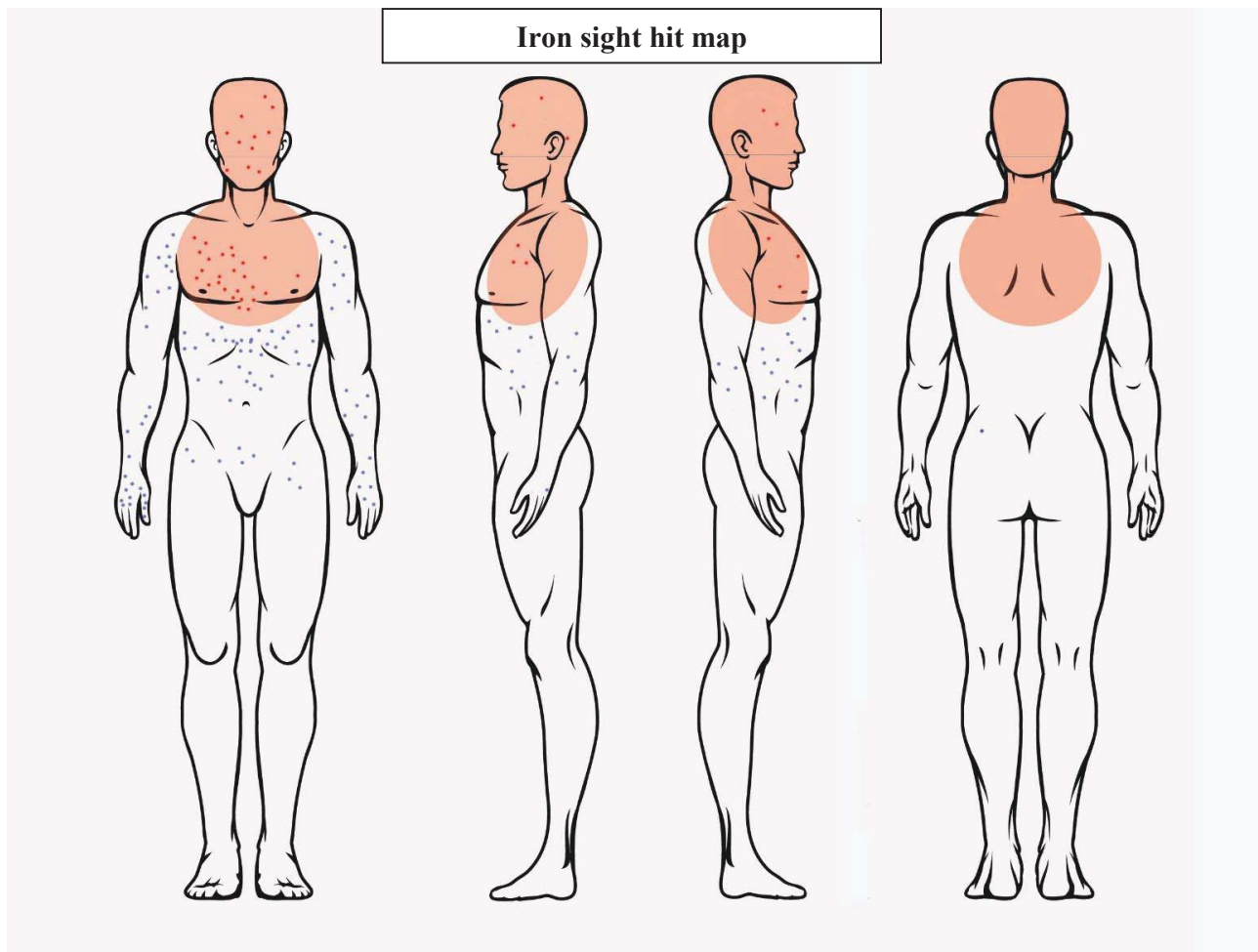
In a direct comparison, there is not a great discrepancy in the number of rounds fired, nor in the number of rounds that were hits, there is a large discrepancy that favors the MRDS in the number of critical hits. It's also worth noting that the number of rounds missed is nearly twice as high with iron sights.

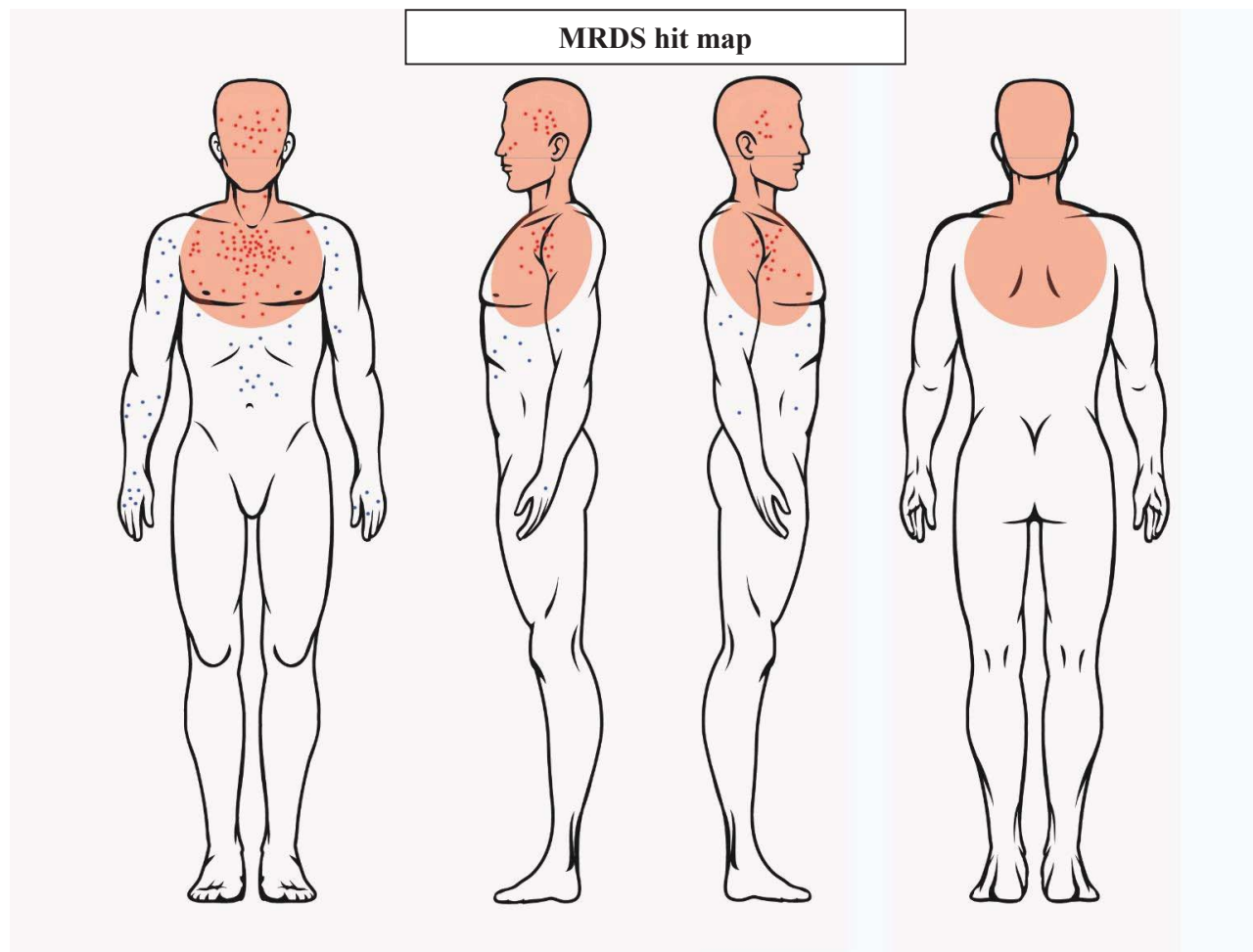


Differences in experience between student's overall years shooting experience was not statistically significant, nor was background of formal firearms training in law enforcement or military a large factor differentiating either test group.

One telling factor between the MRDS test group and the iron sights group was that of the 12 students that used MRDS, only 5 students had prior MRDS experience, and of those 5, the least experience was less than 1 year and the most experience was 3 years.

For visual representation, the approximate location of each hit on scenario threats was recorded for both iron sights and MRDS. The collective hit locations are recorded here by method of aiming.





This study is small in sample, covering 24 total students and 4 scenarios per student, however the study is ongoing and data will be published periodically. The data points to a significant trend towards the MRDS being a superior method of aiming for accuracy in more realistic conditions than what has been gathered previously with students working on paper. The Simunitions FX system is not a direct relation of real-world performance, however it is an effective medium for gauging what real-world performance can look like under SNS stress.

## **MRDS Adaptation and Training**

When a department decides to evaluate the MRDS for duty use, proper adaptation and training with an understanding of technology, positives and potential negatives is important. This section will lay out the selection of an MRDS, best practices for training implementation, and the best methods for confronting MRDS issues in training and use.

### **Selecting an MRDS Model**

Selection of a quality MRDS is paramount to proper use in law enforcement environments. Understanding which method of operation and reticle dot size is best for LE purposes is not as complex as one might imagine.

For practical law enforcement use, it is important that the proper method of operation and dot size are chosen. With the 24-hour need for optic use in LE, the best method of operation is the adjustable model RMR. Auto adjust models and dual elimination models do not perform well under varied lighting conditions or when used in mesopic/photopic light in conjunction with a weapon light or handheld light. In dual illumination models, the light will overpower and wash out the aiming reticle. In auto adjust models, the photoreceptor cells are confused by the presence of extreme contrasting light and will not adjust to provide a bright dot. Manual adjust models allow officers to set brightness based on time of day, or conditions. Officers may also choose a specific setting that works well in all possible lighting environments.

The next issue with selecting an MRDS is reticle size. There are many available dot sizes, however in a manually adjustable model, 3.25 MOA and 6.5 MOA are the offered sizes for the RMR.

There are pros and cons to each size; first an understanding of MOA.

Minute of Angle is an accepted measurement of a reticle size; generally explained by how much a reticle will cover at a specific distance. 1 MOA is 1/60<sup>th</sup> of a degree, covering 1" (1.047") at 100 yards. Meaning a 3.25 MOA or 6.5MOA reticle would cover 3.25" or 6.5" inches at 100 yards, respectively. Either reticle size will provide an officer with an accurate point of aim, however for handgun purposes the size of the reticle can be considered with the size of the front sight post for decision purposes.

An average front sight width is between .125" and .140". At the front iron sight, a 3.25 MOA dot would measure .0362" and a 6.5 MOA dot would measure .0724"<sup>50</sup>. This means that either size is smaller than the likely front sight width on a duty handgun. Providing for brightness settings and available lighting, the dot may appear larger than the front sight, leaving specific measurements somewhat academic. This smaller size, and the floating nature of the reticle allows for a greater degree of precision, and less guess work with smaller points of aim or greater distances in which the front sight can obscure the desired point of impact.

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<sup>50</sup> (reticle MOA/3600) X R + (reticle MOA/100) = reticle size at front sight where "R" is distance from front sight to RMR reticle projection

The 3.25 reticle size can appear to move more in the optic window; this exaggeration of movement is due to the smaller size in relation to an officer's general reference point (the front sight) and the size of the dot in relation to the target. However, the 3.25" allows for greater precision as distance increases.

The 6.5 reticle is closer in size to the traditional point of focus (the front sight) and its overall size in relation to the optic window helps to prevent a great exaggeration of natural movement, however the reticle will cover more of the target as distance increases.

Reticle size should be included in an evaluation of MRDS by the department firearms division to ascertain which size best fits the need of a department given environment and existing training.

It is the recommendation of this paper, based on research and instructing LE Instructors in MRDS use and implementation that departments should make at least two sizes of MRDS reticles available for officers to account for skill level, possible medical conditions (such as astigmatism) and professional marksmanship preference. As officers develop proficiency with their MRDS, it appears to be natural for them to wish to move to a smaller dot size in order to increase accuracy potential over a larger dot and to gain additional target view over what is covered with the larger MOA reticles.

### **Fundamental Level Instruction**

The next hurdle to effective implementation of the MRDS system for LE use is an effective training program to address the difference between MRDS and iron sights. As noted in the MRDS study previously, performance on the MRDS among the tested students was high despite a relative short time per student using the system, or no formal time at all.

Training officers to use the MRDS can be a challenge, but only if the instruction cadre doesn't fully understand the best practices to developing proficiency. From an inception level student to a student who arrives at the academy with prior shooting experience, the methodologies to developing MRDS use are simple and effective. The Norwich University study previously examined serves as a prime example of the foundation of marksmanship that can be established in a short period of time regardless of student experience.

Handgun fundamentals may vary slightly by instructional method, or simply by terminology, however the general explanation of the fundamentals are as follows:

- **Stance**  
The most stable physical position to shoot from, ideally with even weight distribution to each leg and torso positioned to aid in recoil control.

- **Grip**  
Beginning with a firm master grip on the handgun with the primary hand while the handgun is still in the holster; meeting the support hand as soon as possible to apply even and firm pressure to the firearm.
- **Draw**  
Economy of motion to minimize drag of the handgun against the holster, rotating muzzle to the horizontal as soon as possible.
- **Sight alignment**  
Front sight even in rear notch, level across the top.
- **Sight picture**  
Front sight post bisecting or just below the desired point of impact (depending on specific firearm factory zero and distance). Front sight clear and in focus, target will be slightly to greatly blurry depending on distance.
- **Trigger control**  
Consistent and even pressure through trigger travel until break, release for reset.
- **Follow through**  
Consistent grip pressure through break of shot, establishment of additional sight picture for preparation of additional rounds if required.

For firearms instructors at all levels, some of the fundamentals are observable; meaning an instructor can watch the student and detect if they are not being applied correctly without ever looking at the target, though rounds on target can and often do confirm their observations. Sight alignment, and sight picture are two of the fundamentals that cannot be observed by the instructor because the instructor cannot see through the student's eyes. This difficulty also exists with the MRDS, however the application of point of aim is simplified over traditional methods and instruction to entry level students made remarkably easier because object/target focus is already well understood by anyone with traditional human vision. They are instructed to shoot in a natural way.

The instruction for traditional sights must still take place, as they remain the backup in the event that the officer's MRDS fails. This will add additional instruction time to firearms programs at the academy level and require officer introduction training to those already out of the academy, but the value gained is worth this additional training requirement.

MRDS fundamentals are simplified, and this simplification leads to more accurate shooting with constant in-focus data on the target. In an Officer Involved Shooting, this means constant information throughout the engagement on the threat, never requiring the eyes to be removed from the threat so that

any detail that may prevent the shooting, no matter how small, is not missed. If the officer is forced to shoot, the single focal plane needed to do so helps prevent visual confusion and allows for greater accuracy.



## **HANDGUN OPTIC FUNDAMENTALS**

### **STANCE**

THE MOST STABLE POSITION AVAILABLE TO SHOOT FROM BASED ON ENVIRONMENT AND SITUATION.

### **GRIP**

FIRM MASTER GRIP UPON DRAW, SUPPORT HAND JOINS FRAME AND APPLIES EQUAL PRESSURE THROUGHOUT PRESENTATION AND FIRE.

### **DRAW**

ECONOMY OF MOTION, SHORTEST MECHANICAL PATH TO FIRING POSITION, SUPPORT HAND MATES THE FRAME AT THE EARLIEST POSSIBLE MEETING.

### **SIGHT PICTURE**

CONSTANT TARGET FOCUS. EYES DO NOT SHIFT FROM TARGET FOCAL PLANE.

### **SIGHT ALIGNMENT**

OPTIC DOT IS SUPERIMPOSED OVER DESIRED POINT OF IMPACT, FOCAL POINT REMAINS ON TARGET.

### **TRIGGER CONTROL**

CONSTANT AND EVEN PRESSURE THROUGHOUT TRAVEL, AS IN-LINE WITH BORE AXIS AS POSSIBLE. TRIGGER ALLOWED TO RESET UNDER SPRING POWER AFTER BREAK.

### **FOLLOWTHROUGH**

GRIP AIDS IN THE SETTLING OF RECOIL, FOCUS REMAINS ON TARGET. DOT SETTLES TO DESIRED POINT OF IMPACT, PREPARED FOR ADDITIONAL SHOTS IF NEEDED.



The largest hurdles to proper MRDS use at the instructional level are; getting officers used to remaining threat focused upon presentation of the firearm, and aligning the MRDS with their dominant eye. The second common issue is solved by the correct training of the first.

Eye/hand coordination is important to proper firearms training in general, often taken for granted with rifle RDS because the rifle provides four points of contact; shoulder, primary hand, support hand and the cheekweld, which indexes the optic in an optimum location for the eye to acquire the dot.

With the handgun, only two points of contact aid in alignment of the optic body to the dominant eye. The best method for working through this potential hurdle, as it will not happen to all officers, is to instruct officers to drive the firearm to their eyes while looking exactly where they wish to hit the target. If the dot does not appear upon presentation, the officer should move their head until they see the dot while holding the firearm perfectly still. If they find the dot and it is aligned with their desired point of impact, the issue is with their alignment of the firearm to the eye and not with the MRDS to the target.

It is normal for eye/hand coordination to place the firearm in the correct location while not necessarily aligning it perfect with the eye; much in the same way we are able to throw a ball to a specific point without conscious thought as to alignment, these functions occur naturally whether it's a baseball or the alignment of a handgun to a target. This generally isnt an issue with iron sights due to the open nature of their radius and the small, unconscious corrections that are made as the firearm presents.

Introducing the human eye to the equation requires practice, but the time needed for an officer to learn proper use of the MRDS is much shorter, generally speaking, than the time invested in proper iron sight use. Methods that allow for larger points of aim to smaller points of aim as proficiency develops, is the best method to acclimate officers to the MRDS. This process can be accomplished in minutes or hours, reinforced by practice, an officer will become MRDS proficient in a short period of time.

Because the MRDS does not rely on traditional iron sight methods for acquisition or aiming, an officer's experience with iron sights does not directly affect their ability to become proficient with the MRDS. If other fundamentals are sound, efficiency is a matter of proper repetition with a shorter learning curve than that of iron sights. This can be seen in the Norwich University study, with the level of experience compared to the level of performance, and in the Sage Dynamics Force on Force study with the same lens.

Other issues experienced with the MRDS versus iron sights is that the optical dot has a constant movement because of the natural movement of the hands. This movement appears worse than it is. This natural movement is present with iron sights as well, but the size and method of use for the front and rear sights prevents it from being as evident.

The size of the chosen dot for an MRDS can also lead to this natural movement appearing worse than it is. As already mentioned, dot size can further exaggerate this issue, but this movement is relative and does not affect accuracy with the application of proper fundamental techniques.

Under recoil, the dot in the reticle window may disappear as the slide reciprocates and the firearm rises; this is no different than losing focus on the front sight as it moves rearward and up. The return of the dot to proper position for additional shots is dependent upon eye/hand coordination, the input of visual



information and a responding muscular reaction to complete a task, which in this case is the firearm returning to as-close-to-as-possible, the position it was in when the first or sequential shot was made.

The eyes provide the brain with information on the target, such as size and shape, as well as spatial information, the target remains in focus throughout the process. The brain sends this information to the occipital lobe, before it sends it to the frontal lobe. The frontal lobe chooses the best course of action for any corrections that are needed as the optic settles and activates the cerebellum, also known as the motor cortex, which controls motor coordination and movement of the hands. Signals are transmitted through the spinal cord to the needed muscle, in this case in the hands, arms, shoulders, neck etc., and a corresponding reaction occurs.

Spatial awareness in reference to the presentation of the firearm to the target is made far easier with target focus, allowing for more reliable hand/eye coordination<sup>51</sup> than front sight focus. This is possible because the spatial awareness of the target remains constant through the process, as opposed to the eye needing to re-accommodate between the front sight and the target.

Once the officer understands eye/hand coordination in relation to the reticle and the target, resetting of the optic to the desired point of aim will become intuitive.

### **Addressing Optic Failure in Training**

Like any electronic device, an optic *can* fail. This possibility exists with all makes of optics, not just MRDS and the possibility is relative to preventative maintenance and environment. For the purposes of training, two types of potential failures should be addressed and trained/practiced for.

#### Optic dot failure

If the MRDS dot fails, from battery failure or electronic failure (either cause is academic at the moment of failure) the officer can transition back to traditional iron sight shooting or use the window of the MRDS as a ghost ring for closer distance accuracy. The more experience an officer has with iron sights, the easier this transition will be. Potential dot failure must be worked into both department training and qualification standards.

#### Optic view obstruction

If the window of the optic becomes obscured or blocked, preventing the officer from looking through, an officer must have an understanding of how to overcome this problem in order to maintain accuracy. There are generally two concerns with optic window obstruction; total blockage or glass fogging. Glass fogging is one of the most common concerns brought up regarding MRDS on duty guns. Optic

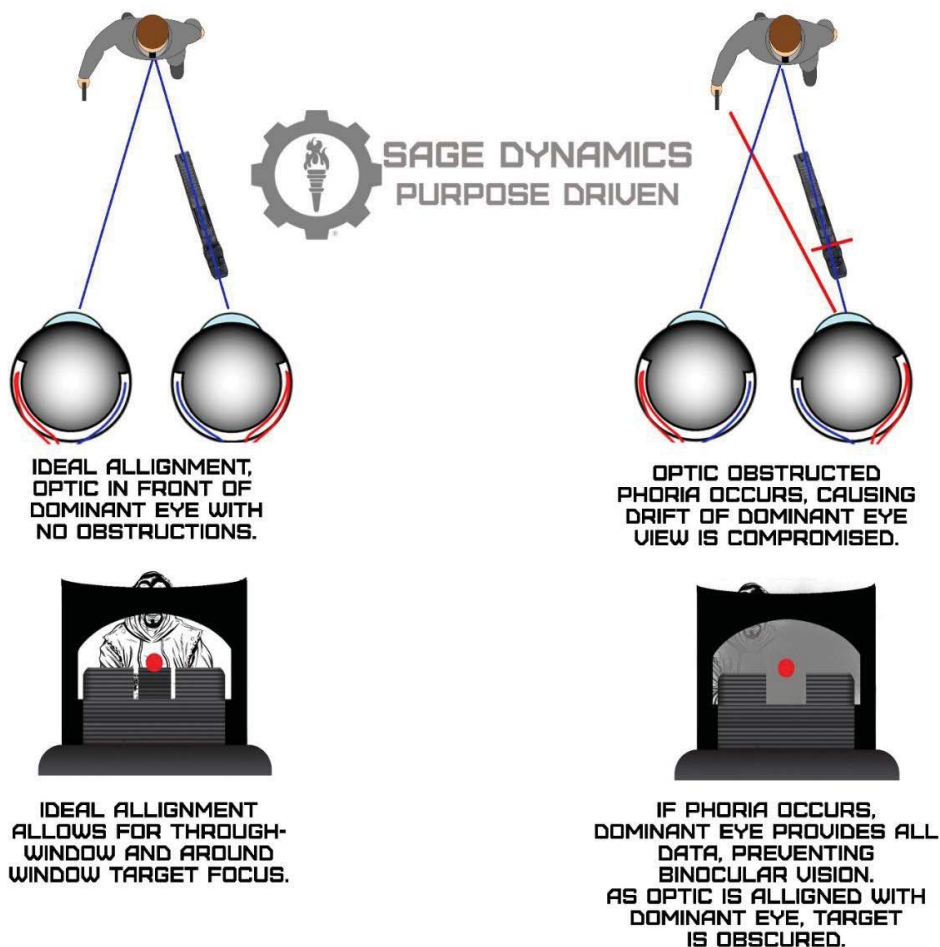
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<sup>51</sup> Target Interception: Hand-Eye Coordination and Strategies, Department of Kinesiology and Health, University of Wisconsin (2007)

obstruction has long been a concern regarding options of all types. The technique to overcome this issue if it happens, no matter how severe the optic obstruction (simple fogging versus an opaque debris such as mud, or a broken lens), occluded eye aiming is possible if the officer has been trained in how to perform it.

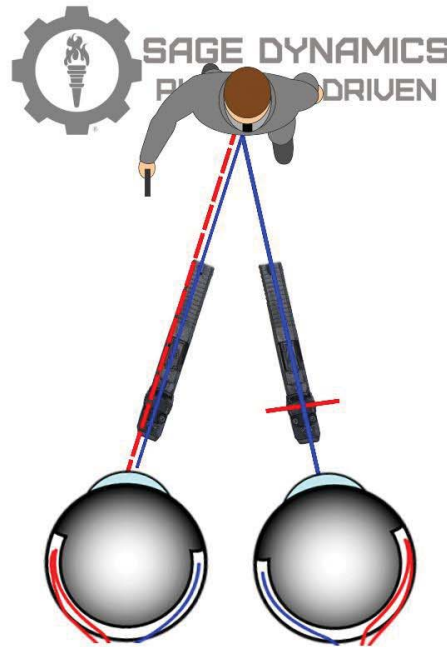
When one eye is blocked, a condition known as *Phoria* can occur. Phoria is caused when one eye is blocked, usually at a distance that prevents both eyes from achieving binocular fusion or is of a relative size no matter distance to block the view of the desired point of focus. When the non-dominant eye is blocked, the obstruction may not be processed, or if it is, may not confuse the combined binocular image enough to create an issue with point of focus. If the dominant eye is blocked (such as with an obstructed optic) the dominant eye may either take all data from it or will wander to try and look around the object.

### HANDGUN RED DOT FOCAL ISSUES AND CORRECTIONS



Occlusion is the method in which the non-dominant eye takes over as the primary source of desired information from a focal point. The first red dot optics, as mentioned early in this document, were used with the occluded eye method and the occluded eye gun sight has existed in modern arms as early as WWI.<sup>52</sup> With an obstructed optic lens, the dominant eye superimposes the reticle over the image being viewed by the non-dominant eye. Occluded eye aiming is a relatively simple technique to instruct and is not dependent on the officer's laterality. It is just as common for the dominant eye to not be the same laterality as the dominant hand as it is for them to be the same side. Since the optic is going to line up with the dominant eye regardless of dominate hand with the handgun, occluded eye shooting as a technique will not be affected by this.

#### HANDGUN RED DOT FOCAL ISSUES AND CORRECTIONS



**OCCCLUDED EYE AIMING TAKES VISUAL DATA FROM BOTH EYES, COMBINING THE IMAGE. THIS WILL MAKE IT APPEAR AS IF THE OPTIC IS IN FRONT OF BOTH EYES.**



**THE GHOST IMAGE OVER THE NON-DOMINANT EYE WILL GIVE UNOBSTRUCTED TARGET DATA WHILE MRDS DATA FROM THE DOMINANT EYE IS USED TO AIM.**

<sup>52</sup> Surveillance and target acquisition systems, A. L. Rodgers (1983)

In order to introduce officers to this concept, the MRDS can be blocked with painters tape or similar tape to block the lens.

Lens fogging is highly preventative. Firstly, the duty handgun will likely be carried away from the heat generated by the body, and even if it is closer to the body, such as with a concealed inside-the-waistband holster, the heating of the MRDS lens is unlikely to cause a fogging issue in all but the most humid environments. A general comparison is the common fogging of glasses/sunglasses when leaving an air-conditioned environment into an outdoor environment, however this ignores the fact that glasses are much closer to the body and susceptible to excess air via tear duct diffusion.

Pre-treating the lens with a product such as Cat Crap will all but totally prevent fogging, and if this is not done or fogging still occurs in the moment force is needed, occluded aiming can be used until the obstruction condensation clears.

In the event that the ocular lens is blocked, neither the iron sights or occluded shooting can be used. If this occurs and the obstruction cannot be immediately cleared, the officer can use a method known as *Guillotine* or *Bracket* aiming in which the optic body is used as a reference point against the target to estimate the muzzle alignment with the desired point of impact.

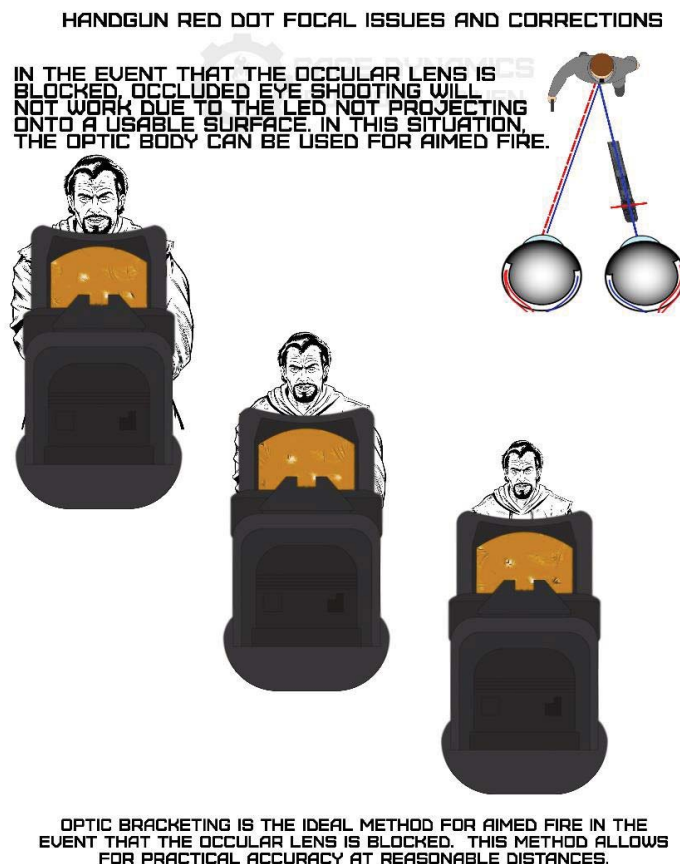


FIG 1

## HANDGUN RED DOT FOCAL ISSUES AND CORRECTIONS

BRACKET SHOOTING REQUIRES THAT THE OPTIC BODY BE USED TO ALIGN THE FIREARM ON THE TARGET USING THE PHYSICAL REFERENCE OF THE TARGET (HEAD, SHOULDERS, ETC). ELEVATION IS CONTROLLED IN THE SAME MANNER.



DEPENDING ON THE OPTIC AND THE FIREARM (DOVETAIL MOUNT, MILLED, OEM OR OTHER MOUNT TYPE) THE OPTIC HEIGHT MAY EXAGGERATE THE ACTUAL POINT OF AIM HEIGHT. GENERAL MECHANICAL OFFSET HEIGHT IS BETWEEN .7 TO 1.2 INCHES.



FOR IMPROVED AIMING WITH THIS METHOD, A SOLID WHITE LINE CAN BE ADDED TO THE REAR AND TOP OF THE CENTER OF THE OPTIC SHROUD. THIS CENTERED LINE WILL PROVIDE A SHOTGUN BEAD-LIKE POA AND THE LINE ATOP THE OPTIC SHROUD WILL HELP THE SHOOTER ESTIMATE MUZZLE ELEVATION BY THE DEGREE TO WHICH THEY CAN SEE THE LINE ON TOP OF THE OPTIC SHROUD.

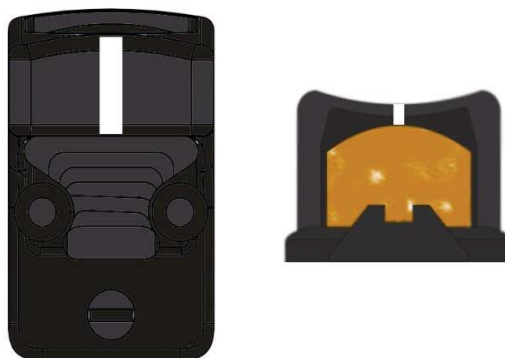


FIG 2

This method does not provide for a high degree of precision but will allow for practical accuracy at reasonable distances.

Utilizing a paint marker, a gross point of aim stripe can be added to the center rear and top of the MRDS shroud, allowing for a bead point of aim. This technique allows for the contrast paint mark to be used in concert with elevation and windage estimation of the entire optic body against the target, and the contrasting paint mark on top of the optic shroud can aid the shooter in judging muzzle elevation by how much of the line they can see when presented to the target.

If the lens is otherwise obstructed or is broken, occluded aiming or bracket aiming will be needed until the optic can be cleared, repaired or replaced. MRDS obstruction should be prepared for, as unlikely as it is, and should also be highly considered as part of department qualifications.

## **Department Approval, Implementation and Training Plan Creation**

### **-Implementation**

Once a department has decided to approve the use of MRDS for duty handguns, a program must be created to transition from iron sights on officer handguns. It is the recommendation of Sage Dynamics that a department not make MRDS duty carry mandatory for all officers. As officer time on duty and time to retirement are always considerations, it will be more cost effective and less disruptive for departments to make MRDS use optional for all currently sworn officers.

At the academy level, making MRDS use mandatory should be strongly considered. All prospective employees attending a police academy should proceed through the entirety of the academy using an MRDS handgun. By approaching the MRDS adoption in this way, senior officers who are nearing retirement are not forced to adopt a technology they may not have the time or inclination to become proficient with, whereas academy level officers will learn the MRDS at the inception level of LE shooting, providing for a more organic adoption of the technology for duty. As mentioned before, it is advisable to make at least two MOA dot sizes available to officers. For officers new to MRDS, a larger dot can aid in foundational skill development. Smaller dots allow for a greater degree of relative accuracy and are generally preferred by officers with MRDS handgun experience.

### **-Training Plan**

At the academy level, MRDS instruction should replace fundamental iron sight instruction. The existing firearms training frame work in most academies will support a direct curriculum replacement, provided academy firearms staff have the prerequisite experience in teaching the specifics of MRDS handgun use. With a direct replacement, officer accuracy will improve at a generally quicker rate than with iron sights, and the time saved in repetition needed to develop skills with the red dot can be allocated towards a block of instruction and course of fire for back up sight instruction. Overall, an efficient training plan



will not require much, if any additional firearms time or allocation of ammunition. Sage Dynamics has observed that skill development and proficiency with the MRDS occurs at a faster rate than with iron sights and because of this advantage, minimal disruption in firearms training timelines at the academy level will occur. Of course, some blocks of instruction during the academy must be augmented.

- Malfunction training  
In addition to traditional malfunctions, officers should receive instruction on optic failures.
- General maintenance  
Officers should be taught general optic-specific care in accordance with department SOPs on individual officer's servicing of equipment.
- One hand manipulation  
With primary or support-hand-only shooting, direct instruction on the use of the optic as a leverage device for manipulating the slide should be addressed.

At the department level, a familiarization training plan should be implemented to ensure officers are going on duty with the knowledge needed to use an MRDS equipped handgun if they did not receive training on one in the academy. If adoption of the MRDS is mandatory for all officers, this training program should include a consolidated block of instruction and a qualification (day and night).

Familiarization training should cover common expected law enforcement skills required for handgun use. Not only will covering common skills allow department instructors to observe and ensure officer understanding and ability, it will aid in building confidence with officers who may not be convinced that the MRDS is superior to iron sights. Departments should make an adequate amount of ammunition available for familiarization.

Ideally, familiarization will include classroom, live fire and force-on-force instruction.

- Classroom
  - MRDS history
  - MRDS advantages
  - Department chosen optic operation and features
  - Explanation of parallax
  - Common optic malfunction causes and remedies
  - Red dot/iron sight relationship
  - Officer individual practice plan

- Live fire
  - Establishing sight picture (draw stroke and optical alignment)
  - Target focus marksmanship
  - Dot diagnostics (using dot behavior to identify areas of technique improvement)
  - Acquiring the MRDS from high/low ready
  - Acquiring the MRDS from reloads/mechanical malfunction clearances
  - Optic malfunctions (battery failure, occluded-eye shooting and total optic blockage)
  - Positional shooting
  - Moving targets
  - Shooting on the move
  - Use under low light
  - One hand shooting and manipulations
- Force-on-Force
  - Focus drills, target focus shooting
  - Judgment scenarios (simple and complex)
  - Low-light judgment scenarios (simple and complex)

Sage Dynamics recommendation for *minimum* familiarization follows.

Classroom instruction	4 hours
Live fire range	16 hours
Force-on-Force	8 hours

#### -Qualification

For day and night time qualifications, there should be little change in the established strings of fire. The MRDS will allow officers, with the proper training, to shoot more accurately, this should not be a reason for making the existing qualifications more difficult. It is virtually unheard of for an officer's sighting system to be called into question in regards to department qualification procedures during a use of force investigation. The MRDS qualification will provide a greater statistical demonstration, as well as real-world ability, of officer accuracy. The technology that allows that accuracy is simply more effective because it allows the officer to see and shoot in a more natural way, it is not the actual reason for accuracy improvement.

Minimal changes should include at least one string of fire that requires the officer to use their back up sights. Its also advisable for departments to include malfunction clearance stings of fire. These changes can either borrow rounds from other strings or add a minimum of 6-10 rounds to cover added strings.



Existing awards for qualification scores, if any, should not be altered to exclude officers qualifying with MRDS against officers using traditional iron sights. The MRDS isn't "cheating" and its important that officers understand that.

## **Conclusion**

Making the case as thorough as possible for MRDS adoption is the entire goal of this paper. With combined research related to iron sights and MRDS, as well as identifying and explaining the psychophysiological aspects associated with aiming under stress. Since the MRDS may appear as a relatively new technology in general and in LE specifically, identifying and addressing all concerned issues to allow a department to make an informed decision is important given the lack of centralized information.

The first adoption of MRDS for duty use in LE isn't specifically known, however they have been in use for a decade or more and continue to be adopted as progressive agencies strive to increase officer accuracy and reduce possible mistake-of-fact uses of force.

Research into MRDS will continue; Sage Dynamics has indefinite research in progress for both live fire and force on force, with results published periodically and this white paper will possibly jump start more research at the department level to further establish the case for MRDS adoption.

Ultimately it is up to the individual department to adopt an evaluation regimen for possible adoption or approval of MRDS on duty handguns. Sage Dynamics cannot direct the best methods for evaluation for all departments, but a solid standing point is the established department qualification. As the qualification is the legal standard for an officer's defensibility in many cases in an officer involved shooting. Allowing department firearms cadre and administration see direct results of improved accuracy with participating officers. Selecting test participants based on consistently high and consistently marginal scores would establish a strong baseline for a proof of concept at the department level.

Departments must be prepared for the full adoption of MRDS systems, this means maintaining replacement optics on hand and having complete MRDS guns available for duty gun replacement in the event of an officer involved shooting. This increases equipment costs, however it should be clear at this point in the paper that the adoption of MRDS duty guns will save departments money in other areas.

In closing, the validation for MRDS as an increase in officer effectiveness has been well established by this white paper and will assist in adoption of MRDS on duty handguns, it is now up to law enforcement to further their never-ending efforts to increase officer efficacy.

## **In-Use Agency Contacts**

Below is a list of points of contact for agencies already using MRDS duty guns in full, part, or optional to the officer. This list is not total.

Lisle, IL Police Department. Jim Dexter [tacticalsoundtc@gmail.com](mailto:tacticalsoundtc@gmail.com)

Leander, TX Police Department. Ben Girdler [bgirdler@leandertx.gov](mailto:bgirdler@leandertx.gov)

Billings, MT Police Department. David Firebaugh [firebaughd@ci.billings.mt.us](mailto:firebaughd@ci.billings.mt.us)

Deephaven, MN Police Department. Ethan Reed [Ethanr@deephavenpolice.com](mailto:Ethanr@deephavenpolice.com)

Naperville, IL Police Department. Colton Parchem [parchemc@naperville.il.us](mailto:parchemc@naperville.il.us)

Rockwood, MI Police Department. Randy Krause [pdchief@rockwoodmi.org](mailto:pdchief@rockwoodmi.org)

Sugarland, TX Police Department, Matt Shockey [mshockey@sugarlandtx.gov](mailto:mshockey@sugarlandtx.gov)

Saint Albans, WV Police Department, Wayne Fisher [Mfisher@saintalbanspolice.com](mailto:Mfisher@saintalbanspolice.com)

George Mason Police Department VA Det. Jacob Simkoviz [jsimkovi@gmu.edu](mailto:jsimkovi@gmu.edu)

Charleston, IL Police Department Ryan Feder [rfeder127@gmail.com](mailto:rfeder127@gmail.com)

Port of Seattle, WA Police Department Joey Russo [Russo.j@portseattle.org](mailto:Russo.j@portseattle.org)

Oakbrook Terrace, IL Police Department, Thomas Tomopoulos [tomopoulos@oakbrookterrace.net](mailto:tomopoulos@oakbrookterrace.net)

Calgary Police Service, Calgary, Alberta Canada Stefan Van Tassell [SVanTassell@calgarypolice.ca](mailto:SVanTassell@calgarypolice.ca)

Bloomington, IN Police Department, Zachary Weisheit [weisheit@bloomington.in.gov](mailto:weisheit@bloomington.in.gov)

Chamblee, GA Police Department, Robert Bodron [rbodron@chambleega.gov](mailto:rbodron@chambleega.gov)

Walla Walla County Sheriffs Office, WA Thomas Beyer [tbeyer@co.walla-walla.wa.us](mailto:tbeyer@co.walla-walla.wa.us)

Ames, IA Police Department Nate Rivera [nrivera@city.ames.ia.us](mailto:nrivera@city.ames.ia.us)

Greenbrier County Sheriffs's Department, WV Billy Mitchell [Billy.Mitchell@greenbriercounty.net](mailto:Billy.Mitchell@greenbriercounty.net)

Waukesha, WI Police Department Det. Scott Knipfer [SKnipfer@waukeshacounty.gov](mailto:SKnipfer@waukeshacounty.gov)

Santa Rosa, CA Police Department Ryan Cadaret [rcaddy2@gmail.com](mailto:rcaddy2@gmail.com)

Tracy, CA Police Department Det. Nick Heaney, [Nick.Heaney@tracypd.com](mailto:Nick.Heaney@tracypd.com)

Santa Cruz, CA Police Department Chris Galli [Cgalli@cityofsantacruz.com](mailto:Cgalli@cityofsantacruz.com)

Orange County Sheriffs Department, CA Gabe Rivera [grivera@ocsd.org](mailto:grivera@ocsd.org)

Abilene, TX Police Department Chance Widerman [chance.widerman@abilenetx.gov](mailto:chance.widerman@abilenetx.gov)

Munster, IN Police Department Nathan Martin [nmartin@munster.org](mailto:nmartin@munster.org)

Australian Federal Police, Australia James Brennan [james.brennan@afp.gov.au](mailto:james.brennan@afp.gov.au)

## 2022 Sedgwick County Budget

### [833] Security Camera System

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Pollock
<b>Department Priority:</b>	6	<b>Division Priority:</b>	6
<b>Primary Fund Center:</b>	17012-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

Seeking to replace the security cameras used within the Judicial Division. Currently the division uses a dated camera system to monitor the movement of inmates in various locations within the court hallways and corridors, court holding cells and one elevator. There are numerous shortcomings to the current system leaving numerous locations un-monitored and no way of recording activity of the inmates and deputy's assigned to the court.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
47000 - Equipment	110	17012-110		40,000
TOTAL			0	40,000

### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

Funding for this replacement camera system will allow more functionality and increase safety for those in the courthouse. The current system is only passively monitored and is not recorded. It is not compatible with the current system used by the Courthouse police. This will increase safety and security for deputies and inmates.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Currently there are gaps in coverage and the video is not being recorded. If the request is not approved we will continue to operate with our current system but it is not as good as it should be, especially in a critical situation such as a disturbance, escape attempt, or if an inmate makes a complaint.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any**

**new revenue was estimated.**

This funding is from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

A study has not been conducted on this request.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

This a request for equipment.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need for the Judicial Division. As courts return to busier schedules there will more inmate movement within courthouse. A new camera system will make it more efficient to track inmates and deputies and record the video. It will also integrate with the current system being used Courthouse police.

Goal 2: Enhance and Integrate Technology/Equipment

2.1.7 Equipment Replacement Plan

The current equipment is over 10 years old and currently it is difficult to find parts. If a camera goes down we currently are able to use old cameras from an old system the jail used years ago.

**Please provide 3 years' worth of data to support your request.**

Three years of data does not exist.



## Making Buildings Safe, Secure, and Comfortable

Sandifer Engineering & Controls  
229 S. Ellis St.  
Wichita, KS 67211  
O: (316) 794-8880  
F: (316) 794-8896  
Sandifercontrols.com

## Sedgwick County Courthouse 8<sup>th</sup>Floor Camera System January 9, 2020

Installation of I.P Video  
Surveillance to replace  
the 8<sup>th</sup> floor, current  
analog camera system



January 9, 2020

**Project:** Sedgwick County Courthouse

**Location:**

**General Notes**

- Sandifer to provide

**Video Surveillance**

- (14) AXIS P3225-LV Mk II Network Cameras
- (4) P9106-V, Network Cameras-BRUSHED STEEL
- (18) Omnicast Enterprise camera connections
- (18) Genetec Advantage for Omnicast Enterprise Cameras – 1 yr
- (1) Planar 43" LED Video Display
- (1) Articulating Monitor Wall Mount
- (1) AXIS T8645 PoE+ COAX COMPACT KIT (for Elevator Camera)
- Wire mold for install
- Low Voltage Cable

**Important Site Notes:**

**Video Surveillance**

- Sandifer Engineering will provide and install (18), I.P Network Cameras.
- Sandifer Engineering will remove and replace the current (16) analog cameras associated with the 8<sup>th</sup> floor system, locations are as follows: 7A, 5B, 5A, 1 Blank, Jail hall, 8B, 10<sup>th</sup> floor, 11<sup>th</sup> floor, 4<sup>th</sup> floor, Jail elevator, 6B, 7B, 8A, 9<sup>th</sup> floor, 6A and 2<sup>nd</sup> blank will be located.
- Sandifer Engineering will run cable to switches on floors 3, 6, 9 and tie into the building server.
- (1) Planar 43" LED Video Display with Articulating Monitor Wall Mount, location to be determined
- (1) Year Genetec Advantage for Omnicast Enterprise Cameras
- Wire mold will be used at installation of cable in some hallways.
- (1) AXIS T8645 PoE+ COAX COMPACT KIT will be used for the elevator camera.
- (2) AXIS P3225-LV Mk II Network cameras are added to the hallway from the courthouse, to the jail. (1) focused on the elevator and (1) focused on the hallway, leading to the elevator
- Sedgwick County is responsible for providing the IP Address for the (18) cameras

**Pricing:**

**Total Video Surveillance Cost:                      \$33,985.00**

Plus, any applicable sales tax.

Price Valid for 90 Days

Any questions please call,

*Mike Garvey*

Mike Garvey  
Sandifer Engineering & Controls, Inc.  
[www.sandifercontrols.com](http://www.sandifercontrols.com)

**P:** [316] 794.8880 **F:** [316] 794.8896 **W:** sandifercontrols.com | 229 S. Ellis St., Wichita, KS 67211  
HVAC, FIRE, SECURITY, ACCESS CONTROL, CCTV





**SANDIFER**  
ENGINEERING & CONTROLS  
229 S. ELLIS ST.  
WICHITA, KS 67211

(316) 794-8880 FAX: (316) 794-8896

**Sedgwick County Court House  
8TH Floor Camera System  
Video Surveillance**

Date: 1/9/2020  
Bid Date:

By: Mike Garvey



Genetec Video Surveillance						POINTS				APPLICATIONS			
Supplier	Model Number	Description	Total Qty	Customer Price Each	Customer Extended Price	Cameras	Monitors	NVR	Wire Dist.				
3	Om-E-1C	Omnicast Enterprise 1 camera connection	18	\$227.50	\$4,095.00					18			
3	GSC-SV-AIO-1C	Genetec 1 Camera Connection for Streamvault All-in-One	18	\$109.20	\$1,965.60					18			
3	ADV-CAM-E-1Y	Genetec Advantage for 1 Omnicast Enterprise Camera – 1 yr	18	\$45.50	\$819.00					18			
14	0954-001	AXIS P3225-LV Mk II Network Camera	14	\$555.84	\$7,781.76	14				14			
<b>UPS</b>													
14	WG-50881105	24-4P CAT5E CMP 1BX - Green	4	\$220.49	\$881.94				3900	4			
22	B-1	Wiremold 5' Stick	75	\$11.73	\$879.80					75			
22	V5748	Wiremold Box	7	\$11.73	\$82.11					7			
	Z4-01553001	P9106-V BRUSHED STEEL	4	\$1,036.38	\$4,145.52	4				4			
	SL4351	Planar 43" LED Video Display	1	\$1,047.24	\$1,047.24					1			
	OE150FM	Articulating Monitor Wall Mount	1	\$505.18	\$505.18					1			
	01489-001	AXIS T8645 PoE+ COAX COMPACT KIT	1	\$584.24	\$584.24					1			
0		Shipping and Handling	1	\$683.62	\$683.62					1			

**Total Material Cost: \$23,471.01**

# of I/O Devices: 18 0  
# of Panels: 0  
Total Footage of Cable used in System: 3900

LABOR per DEVICE						
TYPE OF LABOR	DESCRIPTION	Total #	Hours per Device	Total Hours	Hourly Rate	Total
FIELD:	Per Device: Install Devices & Terminate cable ends	18	2	36.0	\$70.00	\$2,520.00
	Commission/Validation, Startup & Check out	18	0.5111	9.2	\$70.00	\$643.99
	Network Video Server Installation & Setup	0	4	0.0	\$70.00	\$0.00
	Wire Installation	3900	50	78.0	\$70.00	\$5,460.00
PROJECT MANAGEMENT:	Hardware/software engineering, submittals, graphics, as-builts	18	0.5	9.0	\$70.00	\$630.00
	Job administration, ordering material, management	18	0.5	9.0	\$70.00	\$630.00
	Commissioning/ validation, start-up, and check-out	18	0.5	9.0	\$70.00	\$630.00
Total Hours:				150.2		

**Sandifer Labor: \$10,513.99**

**Contract Labor / Equipment Rental: \$0.00**

**TOTAL PRICE: \$33,985.00**

Price Good for 90 Days

## 2022 Sedgwick County Budget

### [830] Warrant Clerk

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Pollock
<b>Department Priority:</b>	7	<b>Division Priority:</b>	7
<b>Primary Fund Center:</b>	17012-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

Prior to 2020 a software extractor was used to obtain warrant files from the courts system to the Sheriff's Office computer system to enable the processing and tracking of warrants issued by the courts. In 2020 the extractor failed and all attempts to restore it also failed. To add to the issue the courts are working on a new database system and so is the Sheriff's Office. Neither of these systems are expected to be fully operational within the next two years. The court system has been delayed several times and their still appears to be no concrete date. The Sheriff's Office is requesting one additional clerk to enter warrants into our database system.

### Legal Reference:

### Legal Requirement:

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	17012-110		27,638
41300 - BENEFITS	110	17012-110		30,305
45111 - Computer Equipment	110	17012-110		1,400
TOTAL			0	59,343

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Office Specialist	GRADE117	1.00	27,638	30,305
TOTAL			1.00	27,638	30,305

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Currently the computer programing that pulled warrant information from Full court and populated lleads has stopped working. All attempts to repair this have failed. Currently this information is being entered Manually by clerical staff in the Judicial Division and it has become very difficult to keep up with existing staff. This additional staff would assist in keeping up with timely warrant entry and allow others to return to other duties.

Once trained there will be a reduction in overtime hours.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

As courts begin to return to full capacity we anticipate more warrants being issued by Judges requiring more data entry by clerical staff. If these is not completed as quickly as possible Law Enforcement may have contact with a wanted individual but will have no way to obtain this information resulting in the wanted person not being arrested.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This funding request is from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

A study has not been completed on this request.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

We will continue to complete all of the needed data entry but there will be delays in some data entry and there will be overtime paid to keep up with the demand.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need, staff is currently having a difficult time keep up with the data entry required. As more warrants are issued as courts begin to return to normal it will become increasingly difficult to complete date entry in a timely manner.

Goal 1: Cultivate Quality Workforce

Strategy 4: Positions 1.4.5 Add Two Office Specialist

**Please provide 3 years' worth of data to support your request.**

Three years of data does not exist.

# 2022 Budget Process Staffing Table Change Request Form

Create New Position **Y** / N

Change Existing Position Y / **N**

Personnel Area (Department):    Sedgwick County Sheriff   

Personnel Sub Area (Division):    Judicial   

Supervisor:    Dana Bretz   

Grant: Yes                    No    x   

## Current Position Information:

Position Title:    NA   

Pay Scale Group:    NA   

## Proposed Position Information:

Position Title:    Office Specialist   

Pay Scale Group:    Grade 117   

-----  
Provide a current job description for this position.

### Position Summary:

Performs varied clerical and office work involving the exercise of some independence in the conduct of standard duties. Provides clerical support for one or more administrative, professional or technical employees. Performs duties as a technical clerk or typist; or independent work involving significant procedure and sequence.

### Qualifications:

High school diploma or equivalent including or supplemented by courses in secretarial and general bookkeeping subjects.

Two years experience in varied clerical and secretarial work or any equivalent combination of training and experience, which provides the required knowledge, skills, abilities and competencies.

No record of criminal conviction, diversion, or expungement of any felony or crime of dishonesty, or the equivalent under the uniform code of military justice.

### Major Job Responsibilities:

- 0 Types, files, and composes letters, memoranda, legal documents, reports, forms, patient charts, requisitions, and invoices working from rough drafts, dictating machines, verbal instructions or established procedures.

- 0 Prepares, maintains, processes and distributes various reports, records, taxes, legal documents, mortgage foreclosures, and other documents pertinent to the Sheriff's Office smooth operation; ensures same is in compliance with

## **Position: Sheriff Office Specialist Error! Bookmark not defined.**

- departmental policies and procedures and is accurate and complete.
- ⌞ Answers, screens, and routes department telephone calls to appropriate destination; greets and replies in person, by telephone, or by correspondence to inquiries from visitors and callers; supplies general information on departmental policies and procedures and/or legal requirements; refers more difficult inquiries to an appropriate official.
- ⌞ Compiles, copies, and completes data for administrative and public reports, bulletins, questionnaires and other documents; makes varied arithmetical computations on material assembled.
- ⌞ Prepares varied worksheets and spreadsheets; performs complex calculations of interest rates and taxes.
- ⌞ Assists in a variety of departmental operational, personnel, budget, payroll activities and controls.
- ⌞ Receives payments from the general public regarding the department's services; posts payments and verifies receipts.
- ⌞ Records and maintains various statistical data regarding the department's services, activities, and operations.
- ⌞ Audits invoices, delivery verifications, packing slips, check payment vouchers and purchase orders before making payments to vendors when needed.
- ⌞ Performs clerical functions and may have other duties unique to the department, agency, or office that are not of a clerical nature.
- ⌞ Orders, verifies receipt, and maintains office equipment and supplies; places supply orders and initiates service calls on copiers, personal computers, printers, telephones, etc.
- ⌞ Receives, sorts, stamps, and distributes departmental mail.
- ⌞ Make appointments and reservations for supervisor and other staff members; schedules rooms for classes and meetings.
- ⌞ Assists other departmental clerical staff in performing their duties when required.
- ⌞ Performs other related duties as required.

## **Knowledge, Skills, Abilities and Competencies:**

- ⌞ Knowledge of Business English, spelling, punctuation, and arithmetic.
- ⌞ Knowledge of modern office practices, procedures and equipment.
- ⌞ Skill in the use of a personal computer and related software.
- ⌞ Ability to understand the policies, procedures, and services of the department or agency.
- ⌞ Ability to keep moderately complex records, to assemble and organize data, and to prepare reports from such records.
- ⌞ Ability to make computations and tabulations with speed and accuracy.
- ⌞ Ability to learn and utilize specialized language and terms.
- ⌞ Ability to deal with other employees, clients, taxpayers, and other members of the public tactfully and courteously.
- ⌞ Ability to perform all essential job functions within policies, procedures, rules & regulations.
- ⌞ Ability to work within the parameters of the Core Values and Mission of the agency.
- ⌞ Have no history or subsequent conduct that renders the employee unusable as a witness.

## **Physical Requirements and Equipment Operated:**

## Position: **Error! Bookmark not defined.**

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- ∪ Ability to lift various objects, ranging from paper files weighing several pounds, to a package weighing up to 40 pounds.
- ∪ Ability to sit or stand for long periods of time.
- ∪ Employees are required to perform the same repetitive movement as much as 30-45 minutes out of each hour and some on a more intermittent basis. Staff performs their duties at their assigned work areas roughly 7½ to a full 8 hours at a time. Examples of repetitive movement would be typing, using a computer and answering telephones.
- ∪ Must be able to move effectively in varied settings throughout the office space that may include stairs while performing other listed job duties.
- ∪ Operate photocopier, PC, multi-line phone, printers, fax machine.

Position: **Error! Bookmark not defined.**

---

### Environmental Factors & Working Conditions:

- u Work performed inside a climate controlled office.
- u Work with potentially hostile customers (or members of the public).
- u Work in a fast paced environment that may include meeting deadlines, changing priorities, etc.
- u Ability to communicate with and respond to persons who may become emotionally upset.

This classification should not be interpreted as all-inclusive. It is intended to identify the major responsibilities and requirements of this job. The incumbents may be requested to perform job-related responsibilities and tasks other than those stated in this specification.

### **Minimum Educational requirements of the position?**

**High school diploma or equivalent**

### **Position Funding:**

<b>Cost Center/Internal Order</b>	<b>%</b>
<b>17012-110</b>	<b>100%</b>

**Answer the following questions if requesting a change to an existing position**

**How long has the position existed in your department?**

**Have the job duties of the position changed? If so, how have they changed?**

Position: **Error! Bookmark not defined.**

---

**How long have the changes been in place?**

**Do you have other employees in your department performing similar job duties? If so, what positions are those employees currently occupying?**

**If this position change request were approved, how would it benefit your department? The County?**



## 2022 Sedgwick County Budget

### [811] Drone

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Greg Pollock/ Lt. Nathan
<b>Department Priority:</b>	8	<b>Division Priority:</b>	8
<b>Primary Fund Center:</b>	17004-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

In 2018 the Sheriff's Office started a UAS (Drone) program to enhance the technological capabilities available to the Sheriff's Office. The UAS are utilized to support Patrol and Investigations missions such as lost juveniles, lost adults, subject searches, surveillance for the execution of search warrants, aerial photographs of crime scenes and accident scenes, tower inspections for 911, and many other uses. The program is extremely successful completing 789 flights with over 125 hours of flight time. With all technology comes advancements and the need to replace aging equipment. The workhorse of the UAS team the Matrice 210 has over 47 hours of flight time over 134 flights and is starting to show wear and tear. This request replace the Matrice 210 with the Matrice 300. The Matrice 300 is the updated model with more advanced capabilities including better thermal imaging cameras and a controllable spot light for night missions.

**Legal Reference:** None

**Legal Requirement:**

None

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
47104 - Operating Equipment >	110	17004-110		34,366
TOTAL			0	34,366

### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

The new aircraft will further the strategic plan of the Sheriff's Office by increasing the capabilities of the UAS team. The new aircraft will be able to fly longer and have updated thermal technologies which will add to our current capabilities. The new aircraft will also have the ability to have an aerial spotlight allowing a mobile light source to assist with various patrol missions. This expenditure will expand the aerial assets of the Sheriff's Office and in turn allow us to be more effective in the community we serve.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

The expenditures for repair and replacement parts will grow until the aircraft is no longer serviceable and will be removed from service leaving a significant deficit in operational capabilities.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This request will be from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

There has been no official study done however the UAS Unit has been operational for 2 years and has been found to be a very beneficial asset to the Sheriff's Office, Emergency Communications, and the Wichita Police Department. We are constantly trying to keep up with new technology and expanding capabilities offered by new and better aircraft.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

The UAS team is part of the strategic plan for the Sheriff's Office. The funding of this aircraft will maintain the goal of establishing and maintaining a UAS unit.

**Please provide 3 years' worth of data to support your request.**

We do not have 3 years of data for this request. The unit was established in early 2018. Since the inception of the unit we have conducted 852 flights at 216 locations totaling over 131 hours of flight time. These flights have been conducted to look for missing children and adults, suspects fleeing from law enforcement, photography of accident and crime scenes, 911 tower inspections, damage surveys, and public demonstrations to educate citizens.

# Specs

## Aircraft

- Dimensions
  - Unfolded, propellers excluded, 810×670×430 mm (L×W×H)  
Folded, propellers included, 430×420×430 mm (L×W×H)

- Diagonal Wheelbase

- 895 mm

- Weight (with single downward gimbal)

- Approx. 3.6 kg (without batteries)  
Approx. 6.3 kg (with two TB60 batteries)

- Max Payload

- 2.7 kg

- Max Takeoff Weight

- 9 kg

- Operating Frequency

- 2.4000-2.4835 GHz  
5.725-5.850 GHz

- EIRP

- 2.4000-2.4835 GHz:  
29.5 dBm (FCC); 18.5dBm (CE)  
18.5 dBm (SRRC); 18.5dBm (MIC)  
  
5.725-5.850 GHz:  
28.5 dBm (FCC); 12.5dBm (CE)  
28.5 dBm (SRRC)

- Hovering Accuracy (P-mode with GPS)

- Vertical:
  - ±0.1 m (Vision System enabled)
  - ±0.5 m (GPS enabled)
  - ±0.1 m (RTK enabled)

Horizontal:

- ±0.3 m (Vision System enabled)
- ±1.5 m (GPS enabled)
- ±0.1 m (RTK enabled)

- RTK Positioning Accuracy

- When RTK enabled and fixed:
  - 1 cm+1 ppm (Horizontal)
  - 1.5 cm + 1 ppm (Vertical)

- Max Angular Velocity

- Pitch: 300°/s, Yaw: 100°/s

- Max Pitch Angle

- 30° (P-mode, Forward Vision System enabled: 25°)

- Max Ascent Speed

- S mode: 6 m/s
- P mode: 5 m/s

- Max Descent Speed (vertical)

- S mode: 5 m/s
- P mode: 4 m/s

- Max Descent Speed (tilt)

- S Mode: 7 m/s

- Max Speed

- S mode: 23 m/s
- P mode: 17 m/s

- Service Ceiling Above Sea Level

- 5000 m (with 2110 propellers, takeoff weight  $\leq 7$  kg) / 7000 m (with 2195 propellers, takeoff weight  $\leq 7$  kg)
- Max Wind Resistance
  - 15 m/s
- Max Flight Time
  - 55 min
- Supported DJI Gimbals
  - Zenmuse XT2/XT S/Z30/H20/H20T
- Supported Gimbal Configurations
  - Single Downward Gimbal, Dual Downward Gimbals, Single Upward Gimbal, Upward and Downward Gimbals, Triple Gimbals
- Ingress Protection Rating
  - IP45
- GNSS
  - GPS+GLONASS+BeiDou+Galileo
- Operating Temperature
  - -20°C to 50°C (-4°F to 122° F)

## Remote Controller

- Operating Frequency
  - 2.4000-2.4835 GHz  
5.725-5.850 GHz
- Max Transmitting Distance (unobstructed, free of interference)
  - NCC/FCC: 15 km  
CE/MIC: 8 km  
SRRC: 8 km

- EIRP

- 2.4000-2.4835 GHz:  
29.5 dBm (FCC) 18.5dBm (CE)  
18.5 dBm (SRRC); 18.5dBm (MIC)  
  
5.725-5.850 GHz:  
28.5 dBm (FCC); 12.5dBm (CE)  
20.5 dBm (SRRC)

- External battery

- Name: WB37 Intelligent Battery  
Capacity: 4920 mAh  
Voltage: 7.6V  
Type: LiPo  
Energy: 37.39Wh  
Charging time (using BS60 Intelligent Battery Station): 70 minutes (15°C to 45°C); 130 minutes (0°C to 15°C)

- Built-in battery

- Type: 18650 lithium ion battery (5000 mAh @ 7.2 V)  
Charging: Use a USB charger with specification of 12V / 2A  
Rated power: 17 W  
Charging time: 2 hours and 15 minutes (Using a USB charger with specification of 12V / 2A)

- Battery Life

- Built-in battery: Approx. 2.5h  
Built-in battery+External battery: Approx. 4.5h

- USB Power Supply

- 5 V / 1.5 A

- Operating Temperature

- -20°C to 40°C (-4 °F to 104 °F)

## Vision System

- Obstacle Sensing Range

- Forward/Backward/Left/Right: 0.7-40m  
Upward/Downward: 0.6-30m
- FOV
  - Forward/Backward/Downward: 65° (H), 50° (V)  
Left/Right/Upward: 75°(H), 60°(V)
- Operating Environment
  - Surfaces with clear patterns and adequate lighting (> 15 lux)

## Infrared ToF Sensing System

- Obstacle Sensing Range
  - 0.1-8m
- FOV
  - 30° (±15°)
- Operating Environment
  - Large, diffuse and reflective obstacles (reflectivity >10%)

## Top and bottom auxiliary light

- Effective lighting distance
  - 5 m

## FPV Camera

- Resolution
  - 960p
- FOV
  - 145°
- Frame rate

- 30 fps

## Intelligent Flight Battery

- Name

- TB60

- Capacity

- 5935 mAh

- Voltage

- 52.8 V

- Battery Type

- LiPo 12S

- Energy

- 274 Wh

- Net Weight

- Approx. 1.35 kg

- Operating Temperature

- -4°F to 122°F (-20°C to 50°C)

- Ideal storage temperature

- 71.6°F to 86°F (22°C to 30°C)

- Charging Temperature

- -4°F to 104°F (-20°C to 40°C)

(When the temperature is lower than 5°C, the self-heating function will be automatically enabled.  
Charging in a low temperature may shorten the lifetime of the battery)

- Charging time

- Using BS60 Intelligent Battery Station:  
220V input: 60 minutes (fully charging two TB60 batteries), 30 minutes (charging two TB60



batteries from 20% to 90%)

110V input: 70 minutes (fully charging two TB60 batteries), 40 minutes (charging two TB60 batteries from 20% to 90%)

## BS60 Intelligent Battery Station

- Dimensions

- 501\*403\*252mm

- Net Weight

- 8.37kg

- Maximum Capacity

- TB60 Intelligent Flight Battery × 8  
WB37 Intelligent Battery × 4

- Input

- 100-120 VAC, 50-60 Hz / 220-240 VAC, 50-60 Hz

- Max. Input Power

- 1070W

- Output Power

- 100-120 V: 750 W  
220-240 V: 992 W

- Operating Temperature

- -4°F to 104°F (-20°C to 40°C)

## 2022 Sedgwick County Budget

### [813] Leads Online Software

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Colonel Pollock/Capt Tracy
<b>Department Priority:</b>	9	<b>Division Priority:</b>	9
<b>Primary Fund Center:</b>	17005-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	1

### Summary

In 2019 the Wichita Police department moved their pawnshop data base to a product called Leads On-line to manage the pawnshop data base. Prior to this the Sheriff's Office had full access to all pawn slips and could use this resource to help solve and recover items which had been reported stolen. No provisions were made when the switch was made resulting in the loss of access to this information. The Wichita Police Department will allow us access to the data but we must establish our own account. Initially we declined to establish an account due to costs but soon realized how heavy we relied on this information since many of our leads to solving property crime cases came from the prior database. Leads-Online only sets up accounts for agencies and the accounts are based on the size of agency and not the amount of users. Acquiring the software is a step in the direction allowing law enforcement a link between victims of crime and their missing property.

### Legal Reference:

### Legal Requirement:

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42000 - Contractual Services	110	17005-110		11,983
TOTAL			0	11,983

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Having this program will greatly enhance the ability to search and track items that are sold to pawn shops through a national data base. This will be a benefit for detectives searching for specific items at the local and national level by computer. This would save time in cases where detectives are currently physically going to each pawn shop to look for items. The impact of having the program would free up precious time for detectives to apprehend suspects bringing cases to a close in a more timely manner.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

The hardships and problems will still exist as they are today. Detective's will have to go to each Pawnshop searching for items by hard copy receipts. This is time consuming not cost effective and is poor service for victims of crimes. In 2018 the Sheriff's Office had the opportunity to demo the Leads Online Program. During the demo a detective working a burglary case involving a stolen firearm entered the serial number from the firearm into Leads Online. One week later the firearm was located in a Pawnshop in Arkansas City KS. Following up with this information identification of the suspect were able to be retrieved.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

The funding for this will be from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

Detectives were investigating theft of evidence from the property and evidence section. Detectives utilized leads on line and located a handgun that was stolen and had been pawned. Detectives recovered the handgun, located and arrested the suspect. The suspect cooperated with law enforcement and detectives used the suspect statements against the suspect in the case. The suspect has plead in court

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

Not applicable

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

The request is a need as it is clear with the number of property crimes each year it this program would certainly assist in the process of tracking down stolen property much faster. This request would be right in line with the Sheriff's Office Strategic Plan Goal #4 Addressing Crime Through Innovative Methods

**Please provide 3 years' worth of data to support your request.**

I have listed the number of Burglaries involving property crimes for the last 3 years.

2020--298 Burglaries

2019--290 Burglaries

2018--423 Burglaries



## Proposal for Sedgwick County Sheriff's Office

January 11, 2021

The nationwide comprehensive case solving power of LeadsOnline is built to help address some of the staffing shortages your agency is most likely experiencing today while also helping significantly increasing clearance rates.

### **The Problem: More cases. Fewer investigators to work them.**

#### **Out of town is out of reach. You know it. The crooks know it.**

Even if you could keep up with all the businesses in your jurisdiction where a suspect might sell something, the bad guy can always sell it in another jurisdiction, leaving you to guess which one.

#### **Majority of crimes get minor attention. 1 in 15.**

Transaction records are the key to solving cases. According to research, less than one in fifteen are checked. Your current process may be too tedious to be the standard procedure.

#### **Overwhelmed and Understaffed?**

Investigators are overloaded, and often do not have the time to run and re-run every case. Even major crime cases can be overlooked as new cases are coming in.

Agencies have open CID positions with additional retirements coming next year. The case load isn't getting any lighter. Cases are set to "Inactive" or "Info Only" due to insufficient resources.

#### **We're on CompStat. How can we be two months behind?**

Transaction information more than two weeks behind is of limited value to a department running on a CompStat-style management process.

Case details on persons and property are often delayed. Relevant transaction information arrives after the initial case and is only searched once. Cases are closed before evidence comes in. Pawnshops only hold incoming property (i.e. your evidence) for a short time, then it's gone. Destroyed by delay.

#### **Accountable, but totally dependent on another agency?**

Investigators call better-equipped agencies for help, but it's just not realistic for every case. Other departments with full caseloads of their own really can't dedicate full attention to yours.

## The "CSI Effect"

Citizens think you have technology, but some tools are from the flip-phone era. When outdated software is hard to use or runs slow, cases go unchecked and unsolved.

## Different Formats and Abbreviations

Other records are from standard agency-owned sources. These transaction records are from different business types with different software types. Different everything. This creates problems.

## Our Mission

- Enforce laws, preserve peace, protect life and property.
- Solve crime and reduce the fear of crime in your jurisdiction.
- Improve the level of service to the community with existing manpower.
- Run all cases, including person crimes, missing persons and trafficking.
- Turn over every stone with unlimited investigators and unlimited searches.

## The Solution: Work smarter not harder. Solve Crimes.

LeadsOnline is a quick, comprehensive way for your investigators to run suspects and property in every case. It saves time and provides access to a suspect's activity, even outside your jurisdiction.

## Coverage Everywhere



- ✓ Each day, more than **400,000 transactions** are reported via LeadsOnline.
- ✓ Find your **homicide suspect** even when he flees to Las Vegas.
- ✓ LeadsOnline receives transaction information from all **50 states**.
- ✓ Law enforcement network includes **4,400+ agencies in 47 states + D.C.**

## Leveraging Technology



- ✓ Search once for persons and property and **save it to continue receiving alerts**.
- ✓ Run **arrest records** and lists of known suspects and stolen property.
- ✓ Identify **crime patterns** among related cases and subjects.
- ✓ Detect activity by **possible associates of persons related to the case**.
- ✓ **Compare images of property and sellers** based on your case information.

## Crime-Solving Innovation



- ✓ Advanced system finds suspects and property even when **misspelled**.
- ✓ Capabilities are **specifically designed for criminal investigations**.
- ✓ Every **two weeks**, enhancements are made to help solve more crimes.
- ✓ Feedback from thousands **of investigators** keeps making it better and better.

### Fast and User Friendly



- ✓ **Fast.** Sub-second search times.
- ✓ Always on. **Available 24/7/365.**
- ✓ Easy to use. **Nothing to install.** Simply log in and catch crooks.
- ✓ **Cross browser compatible.**

### Reporting and Compliance Monitoring



- ✓ **Free for businesses to report** and friendly customer service provided.
- ✓ Transaction Monitor **helps ensure compliance** of businesses in your jurisdiction.
- ✓ See alerts for **missing information and common mistakes.**
- ✓ Businesses have their own dashboard and can **resolve** any reporting issues.

## New! LeadsOnline Real Time Crime System



### LeadsOnline Real Time Crime

The future is now. Let your cases run themselves!

#### Real Time Crime features:

- ✓ **Automatically** upload case information.
- ✓ **Hits are generated** as new transactions are received and crimes occur.
- ✓ **Hits are sent** directly to the investigator or unit responsible for the case.

#### Wait, there's more:

- ✓ Cases are solved **before they're assigned to an investigator.**
- ✓ **Cases are never cold.** They solve themselves even after the file is put away.
- ✓ Honestly tell victims their case is **active and being investigated daily.**

#### Oh, and even more:

- ✓ For **major crimes**, take the investigation in a new and productive direction.
- ✓ **Identify patterns** as cases are automatically linked to one another.
- ✓ **Investigators see the full picture** when suspects commit multiple offenses.
- ✓ **Enhance charges** as offenders continue criminal activity after initial arrest.

## Undeniable Evidence

Analysis confirms that suspects in cases of all kinds are found in LeadsOnline, and the actionable intelligence can link the offender to your case and others.

Persons 54%		Property 52%		Society 58%	
Assault	59	Arson	60	Loitering/Vagrancy	50
Homicide	57	Bad Checks	90	Disorderly Conduct	59
Human Trafficking	100	Burglary/Breaking & Entering	65	DUI	46
Kidnapping/Abduction	51	Counterfeiting/Forgery	43	Drug/Narcotic	60
Missing Person	50	Destruction/Damage/Vandalism	55	Family Nonviolent	62
Runaway	9	Embezzlement	58	Peeping Tom	47
Sex, Forcible	48	Fraud	42	Obscene Material	20
Sex, Nonforcible	54	Larceny/Theft	46	Prostitution	100
		Motor Vehicle Theft	60	Traffic	42
		Robbery	67	Trespass Real Property	65
		Stolen Property Offenses	58	Weapon Law Violations	71

\* The table above represents the percent of searchable case persons found in LeadsOnline. Data reflects averages by NIBRS case type from >100K cases submitted by agencies uploading files to RTC in 2019.

## Respected Nationwide

Trusted by America's largest and most respected law enforcement agencies:



## More Agencies Use LeadsOnline Than All Other Processes Combined

**4,500+**

Law enforcement agencies

**47,248**

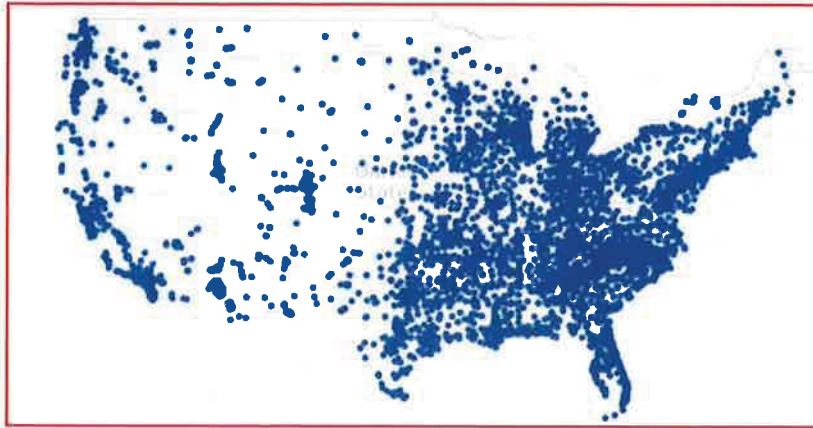
Criminal investigators

**500,000+**

Transactions each day

## The Power of Networking

Ask your FBINAA forum or other law enforcement leaders. You'll get a positive response.



*"More success in our very first week with LeadsOnline than in all of last year."*

- Washington County Sheriff's Office, Oregon

*"The NCIC hit was positive and the Leads ticket gave us the suspect information. The local police agency had not called us back, so that was a win."*

- Piute County Sheriff's Office, Utah

*"The death was brutal. A LeadsOnline search was done and a ticket was found 2,335 miles away, and west of the incident rather than northeast where the focus had been."*

- Fayetteville Police Department, North Carolina

See many more examples at <https://news.leadsonline.com/>.

No agency has "extra money," but the cost/benefit should make this decision easy. Add every investigator in your agency working cases. Unlimited users. Unlimited searches. Unlimited cases. Unlimited access. Unlimited training. An all-inclusive system designed to work hard for you and your investigators. Please see the included pricing chart for service level capabilities and the annual subscription fee.

Sincerely,

A handwritten signature in black ink that reads "Erin Hunt". The signature is fluid and cursive, with the first name "Erin" and last name "Hunt" clearly distinguishable.

Erin Hunt  
Account Executive  
(972) 331-7744



## 2021 PRICING – SEDGWICK COUNTY SHERIFF'S OFFICE, KS



System Capabilities		 TotalTrack	 PowerPlus	 Real Time Crime
	<b>Nationwide search access to pawn/secondhand stores</b> - You'll be surprised how far your criminals will go. Find your crook in any of the 50 states in less than one second.	✓	✓	✓
	<b>Automated NCIC Stolen Item Hits</b> - Receive automated hits on stolen articles and guns, even when serial numbers and item codes are entered incorrectly.	✓	✓	✓
	<b>Saved Search Hit Alerts</b> - Save your search and put the file away. Receive email and text alerts when transactions in your cases are identified.	✓	✓	✓
	<b>eBay First Responder Service and OfferUp Search</b> - Solve cases with direct law enforcement-only access to listing information to identify suspects involved in criminal activity in online marketplaces.	✓	✓	✓
	<b>Metal Theft Investigations</b> - Work metal theft cases with property information, photos, thumbprint scans and digital signatures from scrap metal dealers nationwide.		✓	✓
	<b>Phone Forensics Search</b> - Upload your Cellebrite files and other call detail records to identify other suspects who may be involved in the case.		✓	✓
	<b>Automatically Run Lists of POIs</b> - Upload lists of known offenders and utilize this inter-agency communication system to receive notifications when other investigators encounter them.		✓	✓
	<b>Image Search</b> - Jewelry cases are easier to investigate when searching pictures. You'll also find the rapist wearing the red hat (really – this happened).		✓	✓
	<b>CompStat Mapping System</b> - Easily identify burglary patterns as stolen property is sold. Map activity as suspects travel across jurisdictional lines. Criminals can't hide.		✓	✓
	<b>Case Dashboard</b> - Cases run automatically. Instantly. Repeatedly. Find offenders related to multiple cases. Enhance charges by tracking defendant's criminal activity after initial arrest. Get hits on persons, property and serial numbers added after the initial report.			✓
	<b>Automated File Transfer</b> - Automatically upload case information for all crime types. RMS vendor help is typically not needed.			✓
	<b>Notifications and Reports</b> - Detectives, Analysts, and Patrol Officers receive alerts on their own cases/incidents. Supervisors see all cases, including unassigned, based on offense type and/or unit. Get hits on cases not yet assigned. Reports for investigators, units and command staff create focus and accountability.			✓
<b>First full year subscription fee</b>		<b>\$10,215</b>	<b>\$11,983</b>	<b>\$18,282</b>

Agreement with initial term commitment of 36 months or longer caps price increases at 3% annually during the initial term. A formal written Agency Agreement executed by both parties is required. This proposal expires on 2/25/2021.

## AGENCY AGREEMENT

This LeadsOnline LLC AGENCY AGREEMENT ("Agreement"), dated February 1, 2021, ("Effective Date") is made between Sedgwick County Sheriff's Office ("Agency") and LeadsOnline LLC ("Leads").

### SCOPE OF AGREEMENT

Leads operates and maintains an electronic reporting and criminal investigation system for receiving Transaction Data for the use of Law Enforcement Officials in their official duties. Leads acts in the capacity of an agent for such Law Enforcement Agencies for the purpose of collecting, maintaining and providing access to Transaction Data and other records.

Agency desires to utilize Leads' System to support its investigations.

Subject to the terms of this Agreement and in consideration of the mutual covenants stated below, the parties agree as follows:

#### 1. Definitions

- 1.1 "Transaction Data" means all information provided by Reporting Businesses and Law Enforcement Agencies about transactions, including (but not limited to) the transaction number, make, model, property description, serial number, name, address, identification number, telephone number, date of birth and any images recorded during the course of a transaction according to official request, statutory requirement or otherwise.
- 1.2 "GLBA" means the Gramm-Leach-Bliley Act of 1999, together with the Privacy Rule and Safeguards Rule promulgated by the U.S. Federal Financial Institution regulators and the Federal Trade Commission.
- 1.3 "Law Enforcement Agency" means any agency duly authorized by Municipal, State, County or Federal government to enforce laws or investigate crimes.
- 1.4 "Law Enforcement Official" means a person employed and authorized by a Law Enforcement Agency to, in his/her official duties, access Transaction Data and/or submit Transaction Data for official use by Law Enforcement Agencies.
- 1.5 "Leads' System" is Leads' electronic reporting and criminal investigations system for receiving Transaction Data for access by Law Enforcement Officials.
- 1.6 "Reporting Business" shall mean any entity that records Transaction Data regarding (a) the receipt or sale of products regulated by law and (b) the receipt or other disposition of merchandise or materials, and reports such Transaction Data for access by Law Enforcement Officials according to official request, statutory requirement or otherwise.
- 1.7 "Agency Files" means case information electronically transferred by Agency to Leads' System for automated comparison to Transaction Data and Agency Files submitted by other Law Enforcement Agencies.

## **2. Responsibilities of Agency**

- 2.1 Agency agrees that the protection of usernames and passwords used to access Leads services and any Transaction Data accessed via Leads by its Law Enforcement Official is the responsibility of Agency. Agency agrees to maintain such information in a secure manner and to not provide login credentials to any other person.
- 2.2 Agency is responsible for the accuracy of information submitted by Agency's Law Enforcement Officials in registration for Law Enforcement Agency's accounts.
- 2.3 Agency agrees to not share its access to Leads' System with other Law Enforcement Agencies and to not share information retrieved from Leads' System with the exception of disclosure necessary for the purpose of prosecution of crimes within Agency's jurisdiction investigated by Agency.
- 2.4 Agency agrees that accounts will be (a) registered only to individual Law Enforcement Officials employed exclusively by Agency and (b) will be used only by the specific Law Enforcement Official to whom the account is registered and (c) will not be used to access or otherwise provide information from Leads System to other Law Enforcement Agencies.
- 2.5 Agency represents and warrants that it shall only submit, access, use and disclose Transaction Data for use in Agency's official Law Enforcement Agency duties. Agency maintains sole responsibility for activity taking place under its user accounts and is responsible for any use, misuse or disclosure of Transaction Data accessed by its users.
- 2.6 Agency is responsible for securing Transaction Data accessed from Leads' System, and agrees to comply with all applicable statutes, laws and regulations for use and disclosure of non-public personal information, including federal and state Transaction Data security breach laws and the GLBA.
- 2.7 Agency understands and acknowledges that Transaction Data and other records accessible by Law Enforcement Officials via Leads' System contains non-public personally identifiable information that is unrelated to any Agency case. This includes Transaction Data submitted by businesses and Law Enforcement Agencies outside of Agency's jurisdiction and outside of Agency's state. Such Transaction Data and other information may not be eligible for disclosure in response to a public record request according to applicable law. Leads does not grant Agency access to Leads' System for the purpose of searching records to respond to a public records request when Agency did not have the record at the time the public records request was made. If Agency searches Leads' System in response to a request for Public Records, Agency is acting of its own accord.
- 2.8 Agency is responsible for using devices and browsers capable of connecting via an encrypted internet connection.
- 2.9 Agency is responsible for promptly notifying Leads when a user is no longer employed by Agency or is otherwise no longer authorized to access Leads' System.
- 2.10 Agency agrees to promptly notify Leads of any conditions that Agency believes may represent or result from a security incident or vulnerability, including the possible compromise of a user's password. Please send any notifications to [privacy@leadsonline.com](mailto:privacy@leadsonline.com).

- 2.11 Agency will pay subscription fees according to the schedule set forth in Attachment 'A' which by this reference is incorporated herein.

### **3. Responsibilities of Leads**

- 3.1 Leads agrees to operate and maintain the Leads System for the purpose of receiving Transaction Data for access only by Law Enforcement Officials.
- 3.2 Leads agrees to secure Transaction Data using administrative, technical and physical safeguards as set forth in applicable law, including the GLBA.
- 3.3 Leads agrees to limit access to Agency Files to authorized Law Enforcement Officials, and shall apply safeguards to protect Agency Files according to standards applicable to the information in Agency Files. Leads agrees to purge all Agency Files according to CJIS standards upon Agency's written request.
- 3.4 Leads agrees to provide use of Leads' System with the capabilities specified in Attachment 'A'.

### **4. Conditions for use of Leads' System**

- 4.1 Leads' System and website, including but not limited to written materials, text, graphics, logos, software, functionality, icons and images are the exclusive proprietary property of Leads and are protected under the United States Copyright Act (17 United States Code), as well as by all applicable state and international copyright laws, and by the Lanham Act (15 U.S.C. §§1051-1141n). Agency agrees to abide by any additional copyright notices, trademarks, information, or restrictions contained in any content on Leads' System and website. Leads' System and website may be used solely for the purposes expressly provided for herein, and no aspect of the Leads' System or website may be used for any other purpose whatsoever. Any other use is unauthorized and will constitute an infringement upon the proprietary rights of Leads. No authority to use any content on Leads' System, website, or any other intellectual or other property of Leads not expressly granted by this Agreement shall be implied.
- 4.2 Agency agrees to not decompile or otherwise copy or use content on the Leads' System or website or other proprietary information of Leads for purposes of reverse-engineering or reconstruction, and to not remove, overprint or deface any notice of copyright, trademark, logo, legend, or other notices from any materials Agency obtains from Leads' System or website.
- 4.3 Agency represents it is a Law Enforcement Agency.
- 4.4 Leads may modify or upgrade any aspect of Leads' System at any time without notice. Leads agrees to make commercially reasonable efforts to perform such modifications in a manner that is not disruptive to Agency.
- 4.5 Subject to the terms of this Agreement, Agency hereby appoints Leads as its agent for the sole purpose of collecting, maintaining and providing access to Transaction Data from Reporting Businesses. This agency appointment is effective as of the registration date of Agency's initial user. Agency acknowledges that Leads does not enforce laws and only represents Agency in the capacity of receiving Transaction Data from Reporting Businesses and Law Enforcement Agencies and making information available to Law Enforcement Officials via Leads' System.

- 4.6 Leads uses a number of checks to identify inaccurate or incomplete Transaction Data, but cannot and does not represent or endorse the accuracy or reliability of Transaction Data or other information submitted by Reporting Business and Law Enforcement Agencies. Transaction Data is provided by Reporting Businesses and Law Enforcement Agencies according to the laws and practices enforced in Reporting Businesses' jurisdiction using their proprietary operational software.
- 4.7 Leads is not responsible for ensuring the compliance of Reporting Businesses with their Transaction Data reporting obligations.
- 4.8 Agency will not discourage Reporting Businesses from submitting Transaction Data via Leads.
- 4.9 Transaction Data submitted by Reporting Businesses and Transaction Data and limited information from Agency Files submitted by Agency is accessible by Law Enforcement Officials with other Law Enforcement Agencies.

## **5. Term**

- 5.1 This Agreement will become effective as of the Effective Date and remain in effect for three (3) years (the "Initial Term") and any renewal term, or until termination by Leads or Agency as described below.
- 5.2 Neither party is obligated to renew this Agreement. Upon expiration of the Initial Term or any renewal term, the parties may renew this Agreement for an additional one-year term. Mutual agreement to renew will be evidenced by Leads' submission of a valid invoice for the renewal year at then-current pricing and Agency's payment of such invoice within thirty (30) days of renewal.
- 5.3 Following written notice and a cure period of not less than ten (10) days, either party may without further notice, terminate this Agreement if the other party (a) fails to perform any material obligation required under this Agreement or (b) violates any laws, rules or regulations related to this Agreement.
- 5.4 The parties agree that any continuation of this Agreement from one fiscal year to the next is contingent upon annual fiscal appropriation and lawful approval by Agency's governing entity. Agency may terminate this Agreement by providing sixty (60) days' written notice to Leads prior to the next contract year if funding to make the next scheduled payment is not duly appropriated and authorized.

## **6. Disclaimer and Indemnification**

- 6.1 **EXCEPT FOR THE REPRESENTATIONS SET FORTH IN SECTION 3 OF THIS AGREEMENT, LEADS SPECIFICALLY DISCLAIMS ALL REPRESENTATIONS, CONDITIONS, AND WARRANTIES, WHETHER EXPRESS OR IMPLIED, ARISING BY STATUTE, OPERATION OF LAW, USAGE OF TRADE, CUSTOM, COURSE OF DEALING, OR OTHERWISE, INCLUDING BUT NOT LIMITED TO, THE IMPLIED WARRANTY OF MERCHANTABILITY, MERCHANTABLE QUALITY, SATISFACTORY QUALITY, THE IMPLIED WARRANTY OF FITNESS FOR A PARTICULAR PURPOSE, AND/OR ANY AND ALL OTHER IMPLIED WARRANTIES AND EXPRESS WARRANTIES (OTHER THAN THOSE SET FORTH HEREIN, IF ANY) WITH RESPECT TO LEADS' SYSTEM. LEADS' SYSTEM, INCLUDING ALL TRANSACTION DATA, CONTENT, SOFTWARE, FUNCTIONS, MATERIALS AND INFORMATION MADE AVAILABLE ON OR ACCESSED THROUGH LEADS' WEBSITE IS PROVIDED, AND ACCEPTED AND/OR USED, "AS IS" WITH ALL FAULTS AND WITHOUT WARRANTY OF ANY KIND.**



## AGENCY AGREEMENT – Attachment ‘A’

### SCOPE OF WORK AND ANNUAL SUBSCRIPTION FEE

LeadsOnline System Capability	PowerPlus
Online reporting system for all pawn/secondhand stores and scrap metal recyclers	✓
Unlimited accounts/searches for your personnel working your cases	✓
Images of property, sellers, vehicles, thumbprints, etc. as reported	✓
Legacy data import (from existing in-house database)	✓
Updates, training and support for agency personnel and businesses	✓
Transaction Monitor – Audit system for reporting compliance	✓
ReportIt citizen property inventory system	✓
Automated NCIC/stolen property hits	✓
Message Inbox (alerts and communication to and from businesses)	✓
Daily Stats (hits and statistics for each investigator)	✓
Property Hold Management System	✓
Nationwide search access	✓
Saved (continuous) searches/Email hit alerts	✓
eBay First Responder Service	✓
OfferUp Search Listings	✓
Public Classified Ads – Craigslist	✓
Persons of Interest inter-agency suspect information system	✓
Suspect variations and associations reports	✓
Statement Analyzer	✓
Submit lists of known suspects and/or property (file upload)	✓
Phone Forensics Search	✓
CompStat Mapping System	✓
Annual subscription fee due on February 1, 2021 and on or before each anniversary thereof during the Initial Term. Increases will be limited to 3% annually during the Initial Term. Subscription fee after the Initial Term will be invoiced according to then-current pricing and is due within 30 days of renewal.	<b>\$11,983</b>



6900 Dallas Parkway, Suite 825  
Plano, Texas 75024-4200

Sedgwick County Sheriff's Office  
141 W Elm St  
Wichita, KS 67207

Attn: Detective Douglas Robertson

# QUOTE

**Date:** 1/27/2021  
**Quote#:** 3484501  
**Terms:** Quote Only  
**Agency ID:** 1785

Service Dates:

**02/1/21 – 01/31/22**

MONTHS	DESCRIPTION	TOTAL
12	LeadsOnline PowerPlus Investigation System Service Package	\$11,983.00
Thank you for your interest in LeadsOnline! Please contact your LeadsOnline representative to move forward with this quote.		<b>Total: \$11,983.00</b>
We accept Checks, Credit Cards, and EFT/ACH Payments		

**Update Your Billing Contact Information Online:**

[www.leadsonline.com/update](http://www.leadsonline.com/update)

**Download our W-9:**

[www.leadsonline.com/w9](http://www.leadsonline.com/w9)

Please call 972-331-7748 or email  
[accounting@leadsonline.com](mailto:accounting@leadsonline.com) should you have  
any questions about this quote.

*Pricing and terms presented will expire 45 days from date of quote. A formal definitive agreement executed by both parties is required, the terms of which will supersede all prior communications and understandings.  
After execution, Purchase Orders should be emailed to [accounting@leadsonline.com](mailto:accounting@leadsonline.com).*

## 2022 Sedgwick County Budget

### [814] Offender Registration Unit Clerical Position

<b>Division:</b>	Sedgwick County Sheriff	<b>Contact Name:</b>	Col. Greg Pollock/ Captain Tracy
<b>Department Priority:</b>	10	<b>Division Priority:</b>	10
<b>Primary Fund Center:</b>	17053-260	<b>Fund:</b>	260
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	8

### Summary

The Offender Registration Unit started in 2008 since that time there have been dramatic increases in the volume of new offenders as well as number of carry concealed applications and general licensing fingerprints. Currently ORU has 4 Deputies, 1 Sergeant, and 2 clerical positions assigned. We are requesting an additional clerical person added to the staff to assist in ever increasing number of offenders registering.

**Legal Reference:** K.S.A 22-4902 and 22-4904

### Legal Requirement:

The Sheriff's Office is charged with the implementation and execution of the Offender Registration Act in Sedgwick County. K.S.A 22-4902 gives the definitions of the Act and K.S.A. 22-4904 lays out the requirements of the Sheriff's Office in the Act. The statutes are available under attachments in this form.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	260	17053-260		27,661
41300 - BENEFITS	260	17053-260		26,413
45111 - Computer Equipment	260	17053-260		1,400
TOTAL			0	55,474

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Fiscal Associate	GRADE118	1.00	27,661	26,413
TOTAL			1.00	27,661	26,413

### Question Responses

#### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

The approval of this request will increase the efficiency of the Offender Registration Unit by allowing all statutory requirements to be fulfilled in a timely manner while reducing the amount of overtime currently utilized by clerical staff.



**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

We are currently expending approximately 78.75 hours per month in clerical overtime. This number was derived from an average of the last 5 years of overtime used by the two clerical positions in the Offender Registration Unit. This overtime expenditure is to just keep up with the statutory demands of the Offender Registration Program which includes sending all offender documents to the KBI within 3 days and monthly NCIC validation requirements.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

This request will be funded through existing resources. The funding will come from administrative fees assessed to registering offenders and concealed carry applications.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

The statistics and annual overtime were evaluated from 2016 to 2020 showing an increase in most service categories. The statistics for 2020 were not standard due to the global pandemic.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

The current dilemma is there are not enough clerical staff to properly operate the Offender Registration Unit. Clerical staff are tasked with the filing of required paperwork to the KBI, validating all of the entries into NCIC all while managing the phones and front lobby. These tasks are all required to be completed within time frames laid out by Kansas Statute. The issue is currently being handled by the use of a large amount of overtime including bringing in additional clerical staff from other positions on weekends to help catch up paperwork from that week. The additional staff overtime was not figured into the listed overtime statistics. The position has also been supplemented with light duty personnel temporarily assigned to assist. The current fixes are not sustainable.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need for the Sheriff's Office. The approval of this request will allow us to meet the statutory requirements of the State of Kansas and further the mission of the Sheriff's Office by providing effective public service to all, holding everyone accountable in an impartial, ethical and professional manner.

**Please provide 3 years' worth of data to support your request.**

The following is overtime in hours utilized by clerical staff

2016 - 1,029.75

2017 - 663.5

2018 - 1,094.5

2019 - 1,201.75

\*2020 - 736

The following are the numbers of CCH (Concealed Carry Handgun Applications) non offender or CCH

fingerprints taken, new offender registrations processed, and National Crime Information Center entry validations completed.

2016 - CCH 1,101, Other Fingerprints 1,358, New Offenders 481, NCIC Validations 1,213

2017 - CCH 751, Other Fingerprints 1,443, New Offenders 426, NCIC Validations 781 (Some statistics were not collected in 2017)

2018 - CCH 669, Other Fingerprints 1,817, New Offenders 431, NCIC Validations 1,685

2019 - CCH 545, Other Fingerprints 1,843, New Offenders 483, NCIC Validations 1,902

\*2020 - CCH 729, Other Fingerprints 1,342, New Offenders 430, NCIC Validations 1,940

\*Statistics were not a true measure of need due to the COVID 19 Pandemic.

# 2022 Budget Process Staffing Table Change Request Form

Create New Position **Y** / N

Change Existing Position Y / N

Personnel Area (Department): Sheriff's Office

Personnel Sub Area (Division): Investigations Division

Supervisor: Captain Tracy Spreier Grant: Yes \_\_\_\_\_ No  
X

## Current Position Information:

Position Title: Office Specialist

Pay Scale Group: 17018-117

## Proposed Position Information:

Position Title: **Fiscal Associate**

Pay Scale Group: **118**

## Provide a current job description for this position.

### Position Summary:

Performs advanced clerical and supervisory work in fiscal operations. Performs a wide variety of complex fiscal processes to account for County records and funds. Ensures fiscal processes are in compliance with departmental policies and procedures.

### Qualifications:

High School Diploma or equivalent, including or supplemented by course work in bookkeeping, accounting, or related fiscal work.

Three years' experience performing bookkeeping, accounting or fiscal work, or any equivalent combination of training and experience which provides the required knowledge, skills and abilities.

No record of criminal conviction, diversion, or expungement of any felony or crime of dishonesty, or the equivalent under the uniform code of military justice.

Typing: 45WPM Minimum;  
Reading Comprehension: 80% Minimum

## Major Job Responsibilities:

## Position: Sheriff Fiscal Associate

- u Participates in processing invoices, payroll, payments, purchase orders, insurance forms, tickets, returned checks, permits, licenses, bonds, summons, redemptions, tags, taxes, titles, deposits and other fiscal and County records; researches information such as delinquent taxes.
- u Ensures departmental fiscal operations are in compliance with established rules and regulations and County policies and procedures.
- u Receives, receipts, records, posts and accounts for funds; posts charges and payments to accounts for County's services rendered; researches problem invoices; prepares client billing and runs related reports.
- u Enters information by way of computer system into automated centralized accounting system and verifies accuracy of input; traces machine errors and makes corrections; locates incorrect postings which require correcting vouchers.
- u Assists citizens over the telephone and in person by researching and providing information and assistance regarding voter registration, taxes, titles, fees, payments, billing, redemptions, County records, etc.
- u Conducts tax and other billing processes involving various rate structures; maintains reconciliation between total billings and individual accounts; prepares various summary reports.
- u Examines invoices and warrants; determines if material is received with correct pricing; checks discounts and extensions; approves invoices for payment.
- u Audits purchase orders, payment vouchers, contracts, invoices, delivery verifications and packing slips for accuracy of pricing, extensions, discount allowed and vendor remittance address.
- u Coordinates and schedules all travel arrangements for County employees.
- u Receives deposits for other County departments; verifies and receipts cash and checks; prepares deposits by endorsing checks, completing deposit slips and posts deposits to the daily activity sheet and bank book.
- u Prepares and records documentation of expenditures into specialized filing systems for computer access retrieval.
- u Performs reconciliation of accounts and reports.
- u Protects and preserves all County records books; assists individuals in researching records; inputs and changes information ensuring books are current.
- u Balances paperwork daily to include sales tax, checks, cash receipts and money; balances worksheet; assists others in balancing their drawers.
- u Assists in accumulating valuations and applying them to taxing district budgets to arrive at the mill levies for each district.
- u Monitors all budget and expenditure reports for errors and levy limitations for townships, cities, miscellaneous districts, and County fire and sewer districts.
- u Compiles and completes data for reports; assists in preparing various annual State reports and abstracts on valuations, levies and tax dollars.
- u Types, files and distributes correspondence, reports, records, forms, documents, lists, etc. and ensures their accuracy and completeness.
- u Orders and maintains supplies and forms necessary for the day-to-day operations.
- u Serves as leadworker to staff performing fiscal and clerical work including training and monitoring their work.
- u Performs other related work as required.

## Knowledge, Skills, Abilities and Competencies:

- u Knowledge of applicable bookkeeping principles and practices.
- u Knowledge of office procedures, methods, and equipment.

## **Position: Sheriff Fiscal Associate Error! Bookmark not defined.**

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- ∪ Skill in the operation of a typewriter, calculator, or computer system.
- ∪ Ability to perform clerical accounting work and to prepare statements from records maintained.
- ∪ Have no history or subsequent conduct that renders the employee unusable as a witness.
- ∪ Ability to work within the parameters of the Core Values and Mission of the agency.
- ∪ Ability to maintain accuracy of detail in posting, balancing, and summarizing.
- ∪ Ability to communicate clearly and concisely both orally and in writing.
- ∪ Ability to follow complex oral and written instructions.
- ∪ Ability to establish and maintain effective working relationships with the public and other employees.

### **Physical Requirements and Equipment Operated:**

- ∪ Ability to lift various objects, ranging from paper files weighing several pounds, to a package weighing up to 40 pounds.
- ∪ Ability to sit or stand for long periods of time.
- ∪ Employees are required to perform the same repetitive movement as much as 30-45 minutes out of each hour and some on a more intermittent basis. Staff performs their duties at their assigned work areas roughly 7½ to a full 8 hours at a time. Examples of repetitive movement would be typing, using a computer and answering telephones.
- ∪ Must be able to move effectively in varied settings throughout the office space that may include stairs while performing other listed job duties.
- ∪ Operate photocopier, PC, multi-line phone, printers, fax machine.

**Environmental Factors & Working Conditions:**

- ⌵ Work performed inside a climate controlled office.
- ⌵ Work with potentially hostile customers (or members of the public).
- ⌵ Work in a fast paced environment that may include meeting deadlines, changing priorities, etc.
- ⌵ Ability to communicate with and respond to persons who may become emotionally upset.

This class specification should not be interpreted as all-inclusive. It is intended to identify the major responsibilities and requirements of this job. The incumbents may be requested to perform job-related responsibilities and tasks other than those stated in this specification.

**Minimum Educational requirements of the position?**

High School Diploma or equivalent

**Position Funding:**

<b>Cost Center/Internal Order</b>	<b>%</b>
<b>17053-260</b>	<b>100%</b>

**Answer the following questions if requesting a change to an existing position**

**How long has the position existed in your department?**

N/A

**Have the job duties of the position changed? If so, how have they changed?**

N/A

**How long have the changes been in place?**

N/A

Position: Sheriff Fiscal Associate **Error! Bookmark not defined.**

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**Do you have other employees in your department performing similar job duties? If so, what positions are those employees currently occupying?**

N/A

**If this position change request were approved, how would it benefit your department? The County?**

N/A

## 2020 Covid Year

### CCH, Fingerprints, New Offenders, NCIC Validation

	CCH	Other Fingerprints	New Offenders	NCIC Validation
Jan	36	102	36	168
Feb	64	103	42	152
March	19	54	45	165
April	0	86	28	169
May	20	110	27	142
June	95	123	37	178
July	77	153	45	137
August	19	128	35	171
September	137	126	24	159
October	84	118	44	169
November	79	103	32	172
December	99	136	35	158
<b>TOTAL</b>	<b>729</b>	<b>1,342</b>	<b>430</b>	<b>1,940</b>



## 2019

### CCH, Fingerprints, New Offenders, NCIC Validation

	CCH	Other Fingerprints	New Offenders	NCIC Validation
Jan	55	145	34	157
Feb	65	155	33	153
March	78	147	64	159
April	46	154	31	170
May	38	179	52	136
June	44	102	38	178
July	45	174	44	142
August	33	144	37	158
September	37	113	31	158
October	40	312	39	166
November	28	138	27	171
December	36	80	53	154
<b>TOTAL</b>	<b>545</b>	<b>1,843</b>	<b>483</b>	<b>1,902</b>

## 2018

### CCH, Fingerprints, New Offenders, NCIC Validation

	CCH	Other Fingerprints	New Offenders	NCIC Validation
Jan	56	100	33	153
Feb	74	123	36	145
March	105	150	45	153
April	73	164	36	172
May	58	198	39	137
June	47	152	31	
July	48	219	49	148
August	66	183	34	152
September	26	106	29	148
October	34	162	32	158
November	35	116	28	159
December	47	144	39	160
<b>TOTAL</b>	<b>669</b>	<b>1,817</b>	<b>431</b>	<b>1,685</b>

## 2017

### CCH, Fingerprints, New Offenders, NCIC Validation

	CCH	Other Fingerprints	New Offenders	NCIC Validation
Jan	46	134	38	
Feb	88	134	37	
March	105	161	39	
April	62	119	37	
May	55	155	39	
June	54	130	23	
July	61	110	42	
August	65	160	33	147
September	54	78	45	155
October	45	83	32	164
November	55	106	33	155
December	61	73	28	160
<b>TOTAL</b>	<b>751</b>	<b>1,443</b>	<b>426</b>	<b>781</b>

## 2016

### CCH, Fingerprints, New Offenders

	CCH	Other Fingerprints	New Offenders	NCIC Validation
Jan	91	100	34	160
Feb	126	78	51	142
March	176	121	37	144
April	79	93	51	168
May	74	131	45	134
June	81	121	54	177
July	91	93	45	154
August	96	145	29	134
September	74	110	46	
October	61	150	33	157
November	75	118	26	
December	77	98	30	
<b>TOTAL</b>	<b>1,101</b>	<b>1,358</b>	<b>481</b>	<b>1,213</b>

## 2019 Kansas Statutes

### **22-4904. Registration of offender; duties of court, correctional facility, treatment facility, registering law enforcement agency, Kansas bureau of investigation, attorney general; notification of schools and licensed child care facilities.** (a) (1)

At the time of conviction or adjudication for an offense requiring registration as provided in K.S.A. 22-4902, and amendments thereto, the court shall:

(A) Inform any offender, on the record, of the procedure to register and the requirements of K.S.A. 22-4905, and amendments thereto; and

(B) if the offender is released:

(i) Complete a notice of duty to register, which shall include title and statute number of conviction or adjudication, date of conviction or adjudication, case number, county of conviction or adjudication, and the following offender information: Name, address, date of birth, social security number, race, ethnicity and gender;

(ii) require the offender to read and sign the notice of duty to register, which shall include a statement that the requirements provided in this subsection have been explained to the offender;

(iii) order the offender to report within three business days to the registering law enforcement agency in the county or tribal land of conviction or adjudication and to the registering law enforcement agency in any place where the offender resides, maintains employment or attends school, to complete the registration form with all information and any updated information required for registration as provided in K.S.A. 22-4907, and amendments thereto; and

(iv) provide one copy of the notice of duty to register to the offender and, within three business days, send a copy of the form to the law enforcement agency having initial jurisdiction and to the Kansas bureau of investigation.

(2) At the time of sentencing or disposition for an offense requiring registration as provided in K.S.A. 22-4902, and amendments thereto, the court shall ensure the age of the victim is documented in the journal entry of conviction or adjudication.

(3) Upon commitment for control, care and treatment by the Kansas department for aging and disability services pursuant to K.S.A. 59-29a07, and amendments thereto, the court shall notify the registering law enforcement agency of the county where the offender resides during commitment of such offender's commitment. Such notice shall be prepared by the office of the attorney general for transmittal by the court by electronic means, including by fax or e-mail.

(b) The staff of any correctional facility or the registering law enforcement agency's designee shall:

(1) At the time of initial custody, register any offender within three business days:

(A) Inform the offender of the procedure for registration and of the offender's registration requirements as provided in K.S.A. 22-4905, and amendments thereto;

(B) complete the registration form with all information and updated information required for registration as provided in K.S.A. 22-4907, and amendments thereto;

- (C) require the offender to read and sign the registration form, which shall include a statement that the requirements provided in this subsection have been explained to the offender;
  - (D) provide one copy of the form to the offender and, within three business days, send a copy of the form to the Kansas bureau of investigation; and
  - (E) enter all offender information required by the national crime information center into the national sex offender registry system within three business days of completing the registration or electronically submit all information and updated information required for registration as provided in K.S.A. 22-4907, and amendments thereto, within three business days to the Kansas bureau of investigation;
- (2) notify the Kansas bureau of investigation of the incarceration of any offender and of the location or any change in location of the offender while in custody;
  - (3) prior to any offender being discharged, paroled, furloughed or released on work or school release that does not require the daily return to a correctional facility:
    - (A) Inform the offender of the procedure for registration and of the offender's registration requirements as provided in K.S.A. 22-4905, and amendments thereto;
    - (B) complete the registration form with all information and updated information required for registration as provided in K.S.A. 22-4907, and amendments thereto;
    - (C) require the offender to read and sign the registration form, which shall include a statement that the requirements provided in this subsection have been explained to the offender;
    - (D) photograph the offender's face and any identifying marks;
    - (E) obtain fingerprint and palm prints of the offender; and
    - (F) provide one copy of the form to the offender and, within three business days, send a copy of the form and of the photograph or photographs to the law enforcement agency having initial jurisdiction and to the Kansas bureau of investigation; and
  - (4) notify the law enforcement agency having initial jurisdiction and the Kansas bureau of investigation seven business days prior to any offender being discharged, paroled, furloughed or released on work or school release.
- (c) The staff of any treatment facility shall:
    - (1) Within three business days of an offender's arrival for inpatient treatment, inform the registering law enforcement agency of the county or location of jurisdiction in which the treatment facility is located of the offender's presence at the treatment facility and the expected duration of the treatment, and immediately notify the registering law enforcement agency of an unauthorized or unexpected absence of the offender during the offender's treatment;
    - (2) inform the registering law enforcement agency of the county or location of jurisdiction in which the treatment facility is located within three business days of an offender's discharge or release; and
    - (3) provide information upon request to any registering law enforcement agency having jurisdiction relevant to determining the presence of an offender within the treatment facility.
  - (d) The registering law enforcement agency, upon the reporting of any offender, shall:

- (1) Inform the offender of the duty to register as provided by the Kansas offender registration act;
  - (2) (A) explain the procedure for registration and the offender's registration requirements as provided in K.S.A. 22-4905, and amendments thereto;
  - (B) obtain the information required for registration as provided in K.S.A. 22-4907, and amendments thereto; and
  - (C) require the offender to read and sign the registration form, which shall include a statement that the requirements provided in this subsection have been explained to the offender;
  - (3) complete the registration form with all information and updated information required for registration, as provided in K.S.A. 22-4907, and amendments thereto, each time the offender reports to the registering law enforcement agency. All information and updated information reported by an offender shall be forwarded to the Kansas bureau of investigation within three business days;
  - (4) maintain the original signed registration form, provide one copy of the completed registration form to the offender and, within three business days, send one copy of the completed form to the Kansas bureau of investigation;
  - (5) forward a copy of any certified letter used for reporting pursuant to K.S.A. 22-4905, and amendments thereto, when utilized, within three business days to the Kansas bureau of investigation;
  - (6) obtain registration information from every offender required to register regardless of whether or not the offender remits payment;
  - (7) upon every required reporting, update the photograph or photographs of the offender's face and any new identifying marks and immediately forward copies or electronic files of the photographs to the Kansas bureau of investigation;
  - (8) enter all offender information required by the national crime information center into the national sex offender registry system within three business days of completing the registration or electronically submit all information and updated information required for registration as provided in K.S.A. 22-4907, and amendments thereto, within three business days to the Kansas bureau of investigation;
  - (9) maintain a special fund for the deposit and maintenance of fees paid by offenders. All funds retained by the registering law enforcement agency pursuant to the provisions of this section shall be credited to a special fund of the registering law enforcement agency which shall be used solely for law enforcement and criminal prosecution purposes and which shall not be used as a source of revenue to reduce the amount of funding otherwise made available to the registering law enforcement agency; and
  - (10) forward any initial registration and updated registration information within three business days to any out-of-state jurisdiction where the offender is expected to reside, maintain employment or attend school.
- (e) (1) The Kansas bureau of investigation shall:
- (A) Forward all additions or changes in information to any registering law enforcement agency, other than the agency that submitted the form, where the offender expects to reside, maintain employment or attend school;
  - (B) ensure that offender information is immediately entered in the state registered offender database and the Kansas registered offender website, as provided in K.S.A. 22-4909, and amendments thereto;
  - (C) transmit offender conviction or adjudication data, fingerprints and palm prints to the federal bureau of investigation; and

(D) ensure all offender information required by the national crime information center is transmitted into the national sex offender registry system within three business days of such information being electronically submitted to the Kansas bureau of investigation.

(2) The director of the Kansas bureau of investigation may adopt rules and regulations necessary to implement the provisions of the Kansas offender registration act.

(f) The attorney general shall, within 10 business days of an offender being declared a sexually violent predator, forward to the Kansas bureau of investigation all relevant court documentation declaring an offender a sexually violent predator.

(g) The state department of education shall annually notify any school of the Kansas bureau of investigation internet website, and any internet website containing information on the Kansas offender registration act sponsored or created by the registering law enforcement agency of the county or location of jurisdiction in which the school is located, for the purpose of locating offenders who reside near such school. Such notification shall include information that the registering law enforcement agency of the county or location of jurisdiction where such school is located is available to the school to assist in using the registry and providing additional information on registered offenders.

(h) The secretary of health and environment shall annually notify any licensed child care facility of the Kansas bureau of investigation internet website, and any internet website containing information on the Kansas offender registration act sponsored or created by the registering law enforcement agency of the county in which the facility is located, for the purpose of locating offenders who reside near such facility. Such notification shall include information that the registering law enforcement agency of the county or location of jurisdiction where such child care facility is located is available to the child care facilities to assist in using the registry and providing additional information on registered offenders.

(i) Upon request, the clerk of any court of record shall provide the Kansas bureau of investigation copies of complaints, indictments, information, journal entries, commitment orders or any other documents necessary to the performance of the duties of the Kansas bureau of investigation under the Kansas offender registration act. No fees or charges for providing such documents may be assessed.

**History:** L. 1993, ch. 253, § 20; L. 1994, ch. 107, § 3; L. 1996, ch. 224, § 4; L. 1997, ch. 181, § 9; L. 1999, ch. 164, § 31; L. 2000, ch. 150, § 2; L. 2001, ch. 208, § 11; L. 2003, ch. 123, § 5; L. 2006, ch. 214, § 7; L. 2007, ch. 183, § 3; L. 2010, ch. 135, § 35; L. 2011, ch. 95, § 4; L. 2012, ch. 149, § 3; L. 2013, ch. 127, § 3; L. 2016, ch. 64, § 2; July 1.



## 2019 Kansas Statutes

**22-4902. Definitions.** As used in the Kansas offender registration act, unless the context otherwise requires:

- (a) "Offender" means:
  - (1) A sex offender;
  - (2) a violent offender;
  - (3) a drug offender;
  - (4) any person who has been required to register under out-of-state law or is otherwise required to be registered; and
  - (5) any person required by court order to register for an offense not otherwise required as provided in the Kansas offender registration act.
- (b) "Sex offender" includes any person who:
  - (1) On or after April 14, 1994, is convicted of any sexually violent crime;
  - (2) on or after July 1, 2002, is adjudicated as a juvenile offender for an act which if committed by an adult would constitute the commission of a sexually violent crime, unless the court, on the record, finds that the act involved non-forcible sexual conduct, the victim was at least 14 years of age and the offender was not more than four years older than the victim;
  - (3) has been determined to be a sexually violent predator;
  - (4) on or after July 1, 1997, is convicted of any of the following crimes when one of the parties involved is less than 18 years of age:
    - (A) Adultery, as defined in K.S.A. 21-3507, prior to its repeal, or K.S.A. 2019 Supp. 21-5511, and amendments thereto;
    - (B) criminal sodomy, as defined in K.S.A. 21-3505(a)(1), prior to its repeal, or K.S.A. 2019 Supp. 21-5504(a)(1) or (a)(2), and amendments thereto;
    - (C) promoting prostitution, as defined in K.S.A. 21-3513, prior to its repeal, or K.S.A. 2019 Supp. 21-6420, prior to its amendment by section 17 of chapter 120 of the 2013 Session Laws of Kansas on July 1, 2013;
    - (D) patronizing a prostitute, as defined in K.S.A. 21-3515, prior to its repeal, or K.S.A. 2019 Supp. 21-6421, prior to its amendment by section 18 of chapter 120 of the 2013 Session Laws of Kansas on July 1, 2013; or
    - (E) lewd and lascivious behavior, as defined in K.S.A. 21-3508, prior to its repeal, or K.S.A. 2019 Supp. 21-5513, and amendments thereto;
  - (5) is convicted of sexual battery, as defined in K.S.A. 21-3517, prior to its repeal, or K.S.A. 2019 Supp. 21-5505(a), and amendments thereto;
  - (6) is convicted of an attempt, conspiracy or criminal solicitation, as defined in K.S.A. 21-3301, 21-3302 or 21-3303, prior to their repeal, or K.S.A. 2019 Supp. 21-5301, 21-5302, 21-5303, and amendments thereto, of an offense defined in this subsection; or
  - (7) has been convicted of an offense that is comparable to any crime defined in this subsection, or any out-of-state conviction for an offense that under the laws of this state would be an offense defined in this subsection.
- (c) "Sexually violent crime" means:
  - (1) Rape, as defined in K.S.A. 21-3502, prior to its repeal, or K.S.A. 2019 Supp. 21-5503, and amendments thereto;
  - (2) indecent liberties with a child, as defined in K.S.A. 21-3503, prior to its repeal, or K.S.A. 2019 Supp. 21-5506(a), and amendments thereto;
  - (3) aggravated indecent liberties with a child, as defined in K.S.A. 21-3504, prior to its repeal, or K.S.A. 2019 Supp. 21-5506(b), and amendments thereto;

- (4) criminal sodomy, as defined in K.S.A. 21-3505(a)(2) or (a)(3), prior to its repeal, or K.S.A. 2019 Supp. 21-5504(a)(3) or (a)(4), and amendments thereto;
  - (5) aggravated criminal sodomy, as defined in K.S.A. 21-3506, prior to its repeal, or K.S.A. 2019 Supp. 21-5504(b), and amendments thereto;
  - (6) indecent solicitation of a child, as defined in K.S.A. 21-3510, prior to its repeal, or K.S.A. 2019 Supp. 21-5508(a), and amendments thereto;
  - (7) aggravated indecent solicitation of a child, as defined in K.S.A. 21-3511, prior to its repeal, or K.S.A. 2019 Supp. 21-5508(b), and amendments thereto;
  - (8) sexual exploitation of a child, as defined in K.S.A. 21-3516, prior to its repeal, or K.S.A. 2019 Supp. 21-5510, and amendments thereto;
  - (9) aggravated sexual battery, as defined in K.S.A. 21-3518, prior to its repeal, or K.S.A. 2019 Supp. 21-5505(b), and amendments thereto;
  - (10) aggravated incest, as defined in K.S.A. 21-3603, prior to its repeal, or K.S.A. 2019 Supp. 21-5604(b), and amendments thereto;
  - (11) electronic solicitation, as defined in K.S.A. 21-3523, prior to its repeal, and K.S.A. 2019 Supp. 21-5509, and amendments thereto;
  - (12) unlawful sexual relations, as defined in K.S.A. 21-3520, prior to its repeal, or K.S.A. 2019 Supp. 21-5512, and amendments thereto;
  - (13) aggravated human trafficking, as defined in K.S.A. 21-3447, prior to its repeal, or K.S.A. 2019 Supp. 21-5426(b), and amendments thereto, if committed in whole or in part for the purpose of the sexual gratification of the defendant or another;
  - (14) commercial sexual exploitation of a child, as defined in K.S.A. 2019 Supp. 21-6422, and amendments thereto;
  - (15) promoting the sale of sexual relations, as defined in K.S.A. 2019 Supp. 21-6420, and amendments thereto;
  - (16) any conviction or adjudication for an offense that is comparable to a sexually violent crime as defined in this subsection, or any out-of-state conviction or adjudication for an offense that under the laws of this state would be a sexually violent crime as defined in this subsection;
  - (17) an attempt, conspiracy or criminal solicitation, as defined in K.S.A. 21-3301, 21-3302 or 21-3303, prior to their repeal, or K.S.A. 2019 Supp. 21-5301, 21-5302, 21-5303, and amendments thereto, of a sexually violent crime, as defined in this subsection; or
  - (18) any act which has been determined beyond a reasonable doubt to have been sexually motivated, unless the court, on the record, finds that the act involved non-forcible sexual conduct, the victim was at least 14 years of age and the offender was not more than four years older than the victim. As used in this paragraph, "sexually motivated" means that one of the purposes for which the defendant committed the crime was for the purpose of the defendant's sexual gratification.
- (d) "Sexually violent predator" means any person who, on or after July 1, 2001, is found to be a sexually violent predator pursuant to K.S.A. 59-29a01 et seq., and amendments thereto.
- (e) "Violent offender" includes any person who:
- (1) On or after July 1, 1997, is convicted of any of the following crimes:
    - (A) Capital murder, as defined in K.S.A. 21-3439, prior to its repeal, or K.S.A. 2019 Supp. 21-5401, and amendments thereto;
    - (B) murder in the first degree, as defined in K.S.A. 21-3401, prior to its repeal, or K.S.A. 2019 Supp. 21-5402, and amendments thereto;

- (C) murder in the second degree, as defined in K.S.A. 21-3402, prior to its repeal, or K.S.A. 2019 Supp. 21-5403, and amendments thereto;
- (D) voluntary manslaughter, as defined in K.S.A. 21-3403, prior to its repeal, or K.S.A. 2019 Supp. 21-5404, and amendments thereto;
- (E) involuntary manslaughter, as defined in K.S.A. 21-3404, prior to its repeal, or K.S.A. 2019 Supp. 21-5405(a)(1), (a)(2) or (a)(4), and amendments thereto. The provisions of this paragraph shall not apply to violations of K.S.A. 2019 Supp. 21-5405(a)(3), and amendments thereto, which occurred on or after July 1, 2011, through July 1, 2013;
- (F) kidnapping, as defined in K.S.A. 21-3420, prior to its repeal, or K.S.A. 2019 Supp. 21-5408(a), and amendments thereto;
- (G) aggravated kidnapping, as defined in K.S.A. 21-3421, prior to its repeal, or K.S.A. 2019 Supp. 21-5408(b), and amendments thereto;
- (H) criminal restraint, as defined in K.S.A. 21-3424, prior to its repeal, or K.S.A. 2019 Supp. 21-5411, and amendments thereto, except by a parent, and only when the victim is less than 18 years of age; or
- (I) aggravated human trafficking, as defined in K.S.A. 21-3447, prior to its repeal, or K.S.A. 2019 Supp. 21-5426(b), and amendments thereto, if not committed in whole or in part for the purpose of the sexual gratification of the defendant or another;
- (2) on or after July 1, 2006, is convicted of any person felony and the court makes a finding on the record that a deadly weapon was used in the commission of such person felony;
- (3) has been convicted of an offense that is comparable to any crime defined in this subsection, any out-of-state conviction for an offense that under the laws of this state would be an offense defined in this subsection; or
- (4) is convicted of an attempt, conspiracy or criminal solicitation, as defined in K.S.A. 21-3301, 21-3302 or 21-3303, prior to their repeal, or K.S.A. 2019 Supp. 21-5301, 21-5302 and 21-5303, and amendments thereto, of an offense defined in this subsection.
- (f) "Drug offender" includes any person who, on or after July 1, 2007:
  - (1) Is convicted of any of the following crimes:
    - (A) Unlawful manufacture or attempting such of any controlled substance or controlled substance analog, as defined in K.S.A. 65-4159, prior to its repeal, K.S.A. 2010 Supp. 21-36a03, prior to its transfer, or K.S.A. 2019 Supp. 21-5703, and amendments thereto;
    - (B) possession of ephedrine, pseudoephedrine, red phosphorus, lithium metal, sodium metal, iodine, anhydrous ammonia, pressurized ammonia or phenylpropanolamine, or their salts, isomers or salts of isomers with intent to use the product to manufacture a controlled substance, as defined in K.S.A. 65-7006(a), prior to its repeal, K.S.A. 2010 Supp. 21-36a09(a), prior to its transfer, or K.S.A. 2019 Supp. 21-5709(a), and amendments thereto;
    - (C) K.S.A. 65-4161, prior to its repeal, K.S.A. 2010 Supp. 21-36a05(a)(1), prior to its transfer, or K.S.A. 2019 Supp. 21-5705(a)(1), and amendments thereto. The provisions of this paragraph shall not apply to violations of K.S.A. 2010 Supp. 21-36a05(a)(2) through (a)(6) or (b) which occurred on or after July 1, 2009, through April 15, 2010;
  - (2) has been convicted of an offense that is comparable to any crime defined in this subsection, any out-of-state conviction for an offense that under the laws of this state would be an offense defined in this subsection; or
  - (3) is or has been convicted of an attempt, conspiracy or criminal solicitation, as defined in K.S.A. 21-3301, 21-3302 or 21-3303, prior to their

repeal, or K.S.A. 2019 Supp. 21-5301, 21-5302 and 21-5303, and amendments thereto, of an offense defined in this subsection.

(g) Convictions or adjudications which result from or are connected with the same act, or result from crimes committed at the same time, shall be counted for the purpose of this section as one conviction or adjudication. Any conviction or adjudication set aside pursuant to law is not a conviction or adjudication for purposes of this section. A conviction or adjudication from any out-of-state court shall constitute a conviction or adjudication for purposes of this section.

(h) "School" means any public or private educational institution, including, but not limited to, postsecondary school, college, university, community college, secondary school, high school, junior high school, middle school, elementary school, trade school, vocational school or professional school providing training or education to an offender for three or more consecutive days or parts of days, or for 10 or more nonconsecutive days in a period of 30 consecutive days.

(i) "Employment" means any full-time, part-time, transient, day-labor employment or volunteer work, with or without compensation, for three or more consecutive days or parts of days, or for 10 or more nonconsecutive days in a period of 30 consecutive days.

(j) "Reside" means to stay, sleep or maintain with regularity or temporarily one's person and property in a particular place other than a location where the offender is incarcerated. It shall be presumed that an offender resides at any and all locations where the offender stays, sleeps or maintains the offender's person for three or more consecutive days or parts of days, or for ten or more nonconsecutive days in a period of 30 consecutive days.

(k) "Residence" means a particular and definable place where an individual resides. Nothing in the Kansas offender registration act shall be construed to state that an offender may only have one residence for the purpose of such act.

(l) "Transient" means having no fixed or identifiable residence.

(m) "Law enforcement agency having initial jurisdiction" means the registering law enforcement agency of the county or location of jurisdiction where the offender expects to most often reside upon the offender's discharge, parole or release.

(n) "Registering law enforcement agency" means the sheriff's office or tribal police department responsible for registering an offender.

(o) "Registering entity" means any person, agency or other governmental unit, correctional facility or registering law enforcement agency responsible for obtaining the required information from, and explaining the required registration procedures to, any person required to register pursuant to the Kansas offender registration act. "Registering entity" shall include, but not be limited to, sheriff's offices, tribal police departments and correctional facilities.

(p) "Treatment facility" means any public or private facility or institution providing inpatient mental health, drug or alcohol treatment or counseling, but does not include a hospital, as defined in K.S.A. 65-425, and amendments thereto.

(q) "Correctional facility" means any public or private correctional facility, juvenile detention facility, prison or jail.

(r) "Out-of-state" means: the District of Columbia; any federal, military or tribal jurisdiction, including those within this state; any foreign jurisdiction; or any state or territory within the United States, other than this state.

(s) "Duration of registration" means the length of time during which an offender is required to register for a specified offense or violation.

(t) (1) Notwithstanding any other provision of this section, "offender" shall not include any person who is:

(A) Convicted of unlawful transmission of a visual depiction of a child, as defined in K.S.A. 2019 Supp. 21-5611(a), and amendments thereto, aggravated unlawful transmission of a visual depiction of a child, as defined in K.S.A. 2019 Supp. 21-5611(b), and amendments thereto, or unlawful possession of a visual depiction of a child, as defined in K.S.A. 2019 Supp. 21-5610, and amendments thereto; or

(B) adjudicated as a juvenile offender for an act which if committed by an adult would constitute the commission of a crime defined in subsection (t)(1)(A).

(2) Notwithstanding any other provision of law, a court shall not order any person to register under the Kansas offender registration act for the offenses described in subsection (t)(1).

**History:** L. 1993, ch. 253, § 18; L. 1994, ch. 107, § 2; L. 1997, ch. 181, § 8; L. 1999, ch. 164, § 29; L. 2001, ch. 208, § 10; L. 2002, ch. 55, § 1; L. 2002, ch. 163, § 6; L. 2003, ch. 123, § 3; L. 2006, ch. 214, § 6; L. 2007, ch. 183, § 1; L. 2008, ch. 74, § 1; L. 2009, ch. 32, § 44; L. 2010, ch. 147, § 8; L. 2011, ch. 95, § 2; L. 2012, ch. 149, § 1; L. 2013, ch. 127, § 1; L. 2014, ch. 117, § 2; L. 2016, ch. 96, § 7; L. 2017, ch. 78, § 21; July 1.

Revisor's Note:

Section was also amended by L. 2010, ch. 74, § 11, L. 2010, ch. 122, § 4, and L. 2010, ch. 155, § 9, but those versions were repealed by L. 2010, ch. 147, § 9, and L. 2010, ch. 155, § 26.

Section was amended twice in the 2011 session, see also 22-4902a.

Section was amended twice in the 2013 session, see also 22-4902b.

## Decision Packages - 2022 Sedgwick County Budget

### [839] Trial Technology Specialist

<b>Division:</b>	District Attorney	<b>Contact Name:</b>	Jeanette Allaire
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	18005-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	

### Summary

This request is for a new fulltime permanent position to be assigned to the Trial Division in a trial technology support role. There is currently one fulltime Trial Technology Specialist position, 20002046, and one temporary position which will expire at year end, but the anticipated demands require an additional FTE beyond 2021. With the backlog of cases due to the pandemic (filed cases and cases waiting to be filed) and the number of anticipated hearings as the courts fully open, this will be a very demanding function that will require more than one person. It is estimated it will take 3 years to move the pending criminal cases through the judicial system. Additionally, last year experienced a record number of homicides and serious violent crimes in Sedgwick County which increases the resources needed to prosecute criminal cases. This additional position would provide technology support for the attorneys assigned to the criminal division as well as assist with the associated demand for case related video hearings, meetings, diversion client interviews, victim/witness interviews, victims' access to court hearings and other daily business processes no longer being held in person as required due to COVID restrictions.

**Legal Reference:** 22a-104

### Legal Requirement:

On behalf of the State of Kansas, the District Attorney has the responsibility to prosecute criminal cases under the laws of the state.

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	18005-110		37,055
41300 - BENEFITS	110	18005-110		28,117
TOTAL			0	65,172

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Trial Technology Specialist	GRADE124	1.00	37,055	28,117
TOTAL			1.00	37,055	28,117

### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

A significant backlog of more than 4,000 pending criminal cases exist due to the pandemic. In addition to normal, on-going case filings, there are over 2,500 criminal cases which have been filed, but remain unresolved and in varying stages of litigation. Due to the court closure in 2020, over 1,500 cases are prepared and waiting to be filed. These cases will be filed in small batches throughout the year as to not overwhelm the judicial system.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Technology needs have outpaced the ability to meet the demand and is the basis for this request. All cases contain digital evidence (body cams, crime scene photos, surveillance videos, etc.) and this evidence is often required to be presented in the courtroom for viewing by the judge and/or a jury. This takes time and a unique skill set.

Additionally the need to conduct virtual meetings with detectives, victims, witnesses, citizens, judges, defense attorneys and legislators has reached unprecedented levels. Setting up the necessary technology and coordinating with external parties is a necessary but time consuming process and requires a unique skill set.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Funding would be from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

A formal study has not been conducted.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

The District Attorney's office cannot meet demands without additional technology support personnel.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Need.

The District Attorney is responsible for the prosecution of violations of state statutes occurring in Sedgwick County, including criminal, juvenile and traffic offenses. Case evidence is normally in digital format and when necessary, must be presented in the courtroom in a digital environment. This position will assist attorneys with preparing the digital information for court presentation as well as setup/teardown the necessary equipment within the courtroom.

**Please provide 3 years' worth of data to support your request.**

Excluding the reduced number of cases filed in 2020 due to COVID, almost every area of the office has experienced an upward trend in cases and associated hearings. Attached is a detailed list of hearings scheduled during the time frame of January 1 - March 18, for each of the years 2018 through 2021. As the

backlog of existing cases are filed, the number of scheduled hearings will increase similarly.



## Decision Packages - 2022 Sedgwick County Budget

### [857] Pro Tem hours for Preliminary Hearings

<b>Division:</b>	18th Judicial District Court	<b>Contact Name:</b>	Ellen House
<b>Department Priority:</b>	1	<b>Division Priority:</b>	
<b>Primary Fund Center:</b>	19001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	

### Summary

In order to expedite the backlog of serious criminal felony cases that have accumulated due to the shutdown and limited ability to process cases during COVID, the District Court, District Attorney, Public Defender, and Sheriff have worked together and decided the best course of action is the creation of a case scheduling process, a criminal trial calendar accessible to the above listed parties and to have a Pro Tem judicial position responsible for handling all Preliminary Hearings. This will allow the 10 criminal district judges to focus on other criminal hearings, including trials, sentencing, and probation violations in criminal felony cases, which in turn will help reduce the number of inmates held in the Sedgwick County Detention Facility. Once the COVID backlog of serious crimes is reduced, the District Attorney can start filing and the Court can address the lessor crimes that have not yet been charged during the pandemic.

**Legal Reference:** K.S.A. 20-310(a)

**Legal Requirement:**

n/a

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42397 - MANAGEMENT SERVICES	110	19001-110		87,500
TOTAL			0	87,500

### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

By having Judge Pro Tem hours equivalent to one FTE available to handle preliminary hearings, district court judges can be freed to handle more complex hearings that are directly related to the disposition of cases and movement of inmates from the Sedgwick County detention facility.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

The 18th Judicial District continues to request additional judicial positions (either magistrates or district

judges) from the Kansas Legislature, with the earliest possible relief in July 2022. Without adequate funding from the State, the request falls to the County Commission to provide necessary and adequate funding for the Court.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

No new revenue

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

The County currently provides one FTE of Pro Tem payments and this FTE is utilized 100% in PFA/PFS hearings and small claims.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This request is a need. In order to process our criminal cases in a statutorily timely manner, it is imperative that we have an additional judicial position. At this time it looks like the Kansas Legislature is going to extend the speedy trial limitation time until May of 2023, this position will help ensure that the 18th Judicial District is able to dispose of the most serious of cases within the statutory time limits.

**Please provide 3 years' worth of data to support your request.**

Pending Hearings the 2nd Week of March 2019-2021

2019 2020 2021

Competency Hearing 6 8 9

Arraignment 83 148 366

Bench Trial 102 132 93

Jury Trial 426 576 291

Motions 114 146 236

Preliminary Hearing 828 1159 969

Sentencing 355 348 326

Summons Docket 56 30 12

Unscheduled Hearing ( ) 0 10 20

No future hearing set 512 745 823

## Decision Packages - 2022 Sedgwick County Budget

### [846] Telematics for Public Works Fleet Vehicles

<b>Division:</b>	Public Works - Highway	<b>Contact Name:</b>	Jim Weber
<b>Department Priority:</b>	1	<b>Division Priority:</b>	2
<b>Primary Fund Center:</b>	21001-206	<b>Fund:</b>	206
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	

#### Summary

Public Works requests funding to contract with a vendor who will provide telematics equipment and web based support. Telematics equipment would provide location tracking, vehicle performance data, driver behavior data, forward facing cameras, and WiFi access in Public Works vehicles.

Data collected would help manage active operations such as snow/ice control, construction, and material hauling activity. Telematics would help with management of risk claims and accident investigations. It would provide supervisors with a powerful safety management and performance evaluation tool.

The cost is estimated at \$78,000 per year for 110 vehicles. The project is scalable to reduce cost.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
42000 - Contractual Services	206	21001-206		78,000
TOTAL			0	78,000

#### Question Responses

##### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Real time tracking of fleet vehicles will increase efficiency of operations during major events like snow/ice control or responses to natural disasters. During normal operations telematics would help with dispatching vehicles for response to spot problems.

Supervisors would use the tools (alerts, videos, geofencing) to monitor and correct operator behavior and improve safety. Risk Management and the County Counselor would have access to incident specific data, including forward facing video, when reviewing claims or preparing for lawsuits.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the**

**current time.**

Telematics are a best practice for fleets, particularly fleets with heavy vehicles. The County would continue to struggle with claims from broken windshields to major accidents due to a lack of location and driver performance data.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

N/A

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Need. Telematics will increase control of operations, improve training for operators, improve safety, and help with risk management.

**Please provide 3 years' worth of data to support your request.**

N/A

## Decision Packages - 2022 Sedgwick County Budget

### [849] Remote Control Mower

<b>Division:</b>	Public Works - Highway	<b>Contact Name:</b>	Jim Weber
<b>Department Priority:</b>	2	<b>Division Priority:</b>	3
<b>Primary Fund Center:</b>	21009-206	<b>Fund:</b>	206
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	

### Summary

Purchase a remote control mower deck for use on steep slopes, behind guard rails, in wet areas or other difficult to reach spaces. Mower would be shared by the four maintenance yards.

**Legal Reference:** N/A

**Legal Requirement:**

N/A

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
47103 - Vehicular Equipment	206	21009-206		70,000
42701 - Fleet Management Charges	206	21009-206		13,003
TOTAL			0	83,003

### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

The addition of specialized mowing equipment supports the Highway Department goal to preserve a sustainable road system by providing an appropriate level of maintenance.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

Highways rented this equipment for a couple of weeks in the summer of 2020 to see if it would be effective. All four yards worked with it for several days and found it to be effective. They noted that they were able to accomplish tasks that cannot be performed with standard mowers and that they were able to accomplish many tasks in a much safer manner.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Existing sources.

**Other:**

N/A

**Please provide information regarding any type of study done to support your current request.**

Highways rented this type of equipment as a demonstration in summer of 2020. The demonstration was very successful.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

N/A

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Want. If the equipment is acquired, crews would be able to accomplish difficult mowing tasks more efficiently and safely. Without the equipment, some tasks won't be done.

**Please provide 3 years' worth of data to support your request.**

N/A

## 2022 Sedgwick County Budget

### [852] Split Administrative Specialist between Highways and Noxious Weeds

<b>Division:</b>	Public Works - Highway	<b>Contact Name:</b>	Jim Weber
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	21001-206	<b>Fund:</b>	206
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	0

#### Summary

The Highway Department has a Bookkeeper position that has gone unfilled during the pandemic. Use of enterprise solutions have changed the tasks for this position and reduced the need to have the employee stationed in the Public Works building. Noxious Weeds (NW) splits an Administrative Specialist position with Household Hazardous Waste (HHW). HHW is requesting increasing their Administrative Specialist from part-time to full-time.

Noxious Weeds will continue to need someone in the office full-time but their NW dedicated workload will remain the same. Public Works believes that the tasks that remain from the Bookkeeper position more closely align with those of an Administrative Specialist and can be accomplished by a part-time Administrative Specialist located at NW.

The change would require an upgrade in the Highways position from Bookkeeper to Administrative Specialist and then reducing it from full-time to part-time. The overall head count in Highways would be reduced by 0.5 FTE. The overall head count in NW would be unchanged and the head count in HHW would increase by 0.5 (separate request). The overall head count for the County would be unchanged.

**Legal Reference:** N/A

**Legal Requirement:**

None

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	206	21001-206		17,650
41300 - BENEFITS	206	21001-206		13,899
TOTAL			0	31,549

#### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Administrative Specialist	GRADE123	0.50	17,650	13,899
TOTAL			0.50	17,650	13,899

#### Question Responses

**Please provide a brief summary of the proposed reduction.**

In a separate request, increase the Administrative Specialist in Household Hazardous Waste from 0.5 to 1.0 FTE. In this request, upgrade the Bookkeeper position in Highways to Administrative Specialist. Reduce position from 1.0 to 0.5 FTE. Pair with existing 0.5 FTE Administrative Specialist in Noxious Weeds to recreate a full time position.

**If the reduction proposal will result in a revenue decrease, outline why this will occur and how estimates were calculated.**

N/A

**Discuss how this reduction proposal will impact the delivery of services and if there are alternative services available.**

Service delivery will not be affected. There will continue to be an employee at the Noxious Weeds counter. Changes in business practices will allow for the reduction in administrative employees in Highways.

**Does this proposal partially or completely replace a "Buy Last" prioritization item, please identify the program and the amount of expenditures replaced.**

N/A

**Outline how this proposal will impact objectives of your department, noting how performance indicators would be influenced if approved and if not approved.**

Indicators will not change.

**Other**



**Budget Impact  
Annual Impact  
April 6, 2021**

<b>Current</b>						
<b>Position</b>	<b>Fund</b>	<b>FTE</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
Bookkeeper	206	1.00	119	\$ 29,028	\$ 26,661	<b>\$ 55,689</b>
<b>Savings to Fund 206</b>						<b>\$ 55,689</b>

<b>Requested</b>						
<b>Position</b>	<b>Fund</b>	<b>FTE</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
Administrative Specialist	207	0.50	123	\$ 17,650	\$ 13,899	<b>\$ 31,549</b>
<b>Cost to Fund 207</b>						<b>\$ 31,549</b>

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2021 Compensation Plan

\* Planning information only

## Decision Packages - 2022 Sedgwick County Budget

### [858] Administrative Specialist - Part-time to Full-time

<b>Division:</b>	Household Hazardous Waste	<b>Contact Name:</b>	Susan Erlenwein
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	43001-208	<b>Fund:</b>	208
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	

#### Summary

The position of Administrative Specialist (20002141) is currently split with 0.5 full-time equivalent (FTE) in 43001-208 and 0.5 FTE in 22001-207. This request is to increase the Household Hazardous Waste (HHW) portion from 0.5 FTE to 1.0 FTE for the expanded HHW facility.

In 2002, the facility had 7,043 customers who brought in 396,574 pounds of hazardous waste. In 2020, the facility had 16,533 customers who brought in 1,766,502 pounds of hazardous waste.

This large increase in customers and materials led to the request to expand the HHW facility. This expansion will allow the Department to serve their customers better and to protect them and the employees from potential hazards encountered at the current facility (lack of storage area, sorting chemicals in the aisle, potential spills due to lack of space). The expansion includes increasing the Swap & Shop area to allow the public to safely collect more chemicals, which better protects the public and saves the County disposal costs. By increasing the Administrative Specialist position to fulltime, the Department can better serve the public in the new Swap & Shop area, and allow the HHW technicians more time to serve the drop-off customers and perform other duties. Restrictions due to COVID-19 demonstrated how necessary it is to have someone monitoring the Swap & Shop at all times (social distancing, length of time in area, proper PPE, answer questions, etc.).

#### Legal Reference:

#### Legal Requirement:

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41130 - SALARY ADJUSTMENT	208	43001-208		
41100 - EARNINGS	208	43001-208		17,650
41300 - BENEFITS	208	43001-208		13,899
TOTAL			0	31,549

#### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent PT - Hourly	Administrative Specialist	GRADE123	0.50	17,650	13,899
TOTAL			0.50	17,650	13,899

## Question Responses

### How will this request assist in obtaining your performance objective(s) or impact services you deliver?

This will allow the Department to better serve the HHW customers. A full-time position for the Swap & Shop will better serve those customers in obtaining the products they need while answering questions and putting safety as a priority. This will free up the HHW technicians time in order to better serve the drop-off customers and perform other duties such as checking containers for leaks, sorting by chemical group, mixing paints, etc.

### Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Currently, the HHW technicians try to serve the Swap & Shop customers, drop-off customers while trying to sort chemicals, mix paint, complete required paperwork, etc. During COVID-19 restrictions, it became difficult to safely monitor the Swap & Shop area while performing other duties. The Swap & Shop had to be closed for periods of time for safety reasons. The HHW Administrative Specialist position is currently part-time within HHW and shared with the Noxious Weeds Department. Due to space limitations this position is located in the Noxious Weeds building. If not approved, the HHW technicians will have to continue to monitor the Swap & Shop area and this leads to safety issues.

### Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

From the existing Solid Waste fee.

### Other:

Please note that the Department does not want a new, full-time position, just increasing the current 0.5 FTE to 1.0 FTE.

### Please provide information regarding any type of study done to support your current request.

The Kansas Department of Health & Environment randomly inspects the HHW facility for regulatory compliance. Although the Department meets the minimum standards, they have always pointed out areas that need improvement such as lack of storage space, sorting chemicals in the aisles is a safety hazard, and lack of chemical storage space. The current Swap & Shop area is crowded and due to the lack of space, chemicals that could have been placed in the Swap & Shop are instead sent for recycling/disposal, which incurs a greater cost for the County. The current facility is 20 years and in its first year of operation received 7043 customers who brought in 396,574 pounds of hazardous waste. In 2020, the facility received 16,533 customers who brought in 1,766,502 pounds of hazardous waste.

### For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.

Due to lack of space at the HHW facility, the current part-time position is located in the Noxious Weeds building and cannot assist any HHW customers. The proposed expansion of the building, which includes a

larger Swap & Shop area, will require more personal attention for increased customers.

The current part-time position for HHW provides only administrative duties. When moved to the expanded HHW facility, the position will allow for the added duties of assisting Swap & Shop customers and alleviate some of the paperwork currently performed by HHW technicians.

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

When the HHW facility is expanded this is an absolute need based on increase number of customers and waste received. Note the overview and above answers.

**Please provide 3 years' worth of data to support your request.**

The current facility is 20 years and in its first year of operation received 7043 customers who brought in 396,574 pounds of hazardous waste. In 2020, the facility received 16,533 customers who brought in 1,766,502 pounds of hazardous waste.

**Budget Impact  
Annual Impact  
March 19, 2021**

<b>Current</b>				
<b>Position</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
Administrative Specialist	123	\$ 17,650	\$ 13,899	\$ 31,549

<b>Requested</b>				
<b>Position</b>	<b>Grade</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
Administrative Specialist	123	\$ 35,300	\$ 27,789	\$ 63,089
<b>Cost</b>				<b>\$ 31,540</b>

This budget impact is informational only and does not constitute an actual departmental impact.

Based on 2021 Compensation Plan

\* Planning information only

## Decision Packages - 2022 Sedgwick County Budget

### [725] Animal Control Supervisor Van Replacement

<b>Division:</b>	Health Department	<b>Contact Name:</b>	Nika Orebaugh
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	41001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Budget Enhancement Process	<b>Attachments:</b>	

#### Summary

Animal Control would like to request a new van for the program supervisor. The supervisor of Animal Control does not have a designated vehicle and has been using an old van that was replaced. The current van has 217,000 miles and is need of a paint job as the whole van is chipping and large sections of paint are missing. The need for the supervisor to have a van is based on the fact that the current program supervisor is driving approximately 10,000 miles a year, assists on major cases, picks up animals as needed and is driving in the field daily. The new vehicle will improve the image of Animal Control as the current vehicle has significant chips in its paint and eliminate an older vehicle. In the past year the current vehicle has had to have the starter and alternator replaced as it is unreliable. If the vehicle is not replaced and continues to be undrivable, then the Animal Control Supervisor would not have a County vehicle to utilize for calls and assistance to the team.

**Legal Reference:** n/a

**Legal Requirement:**

n/a

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
47000 - Equipment	110	41001-110		50,669
42701 - Fleet Management Charges	110	41001-110		12,000
TOTAL			0	62,669

#### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

This will allow the Supervisor to be active in the field to assist with service calls. It also allows for reliable transportation to meet with community partners and organize events outside of the office.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

If this request is not approved, within one to two years, the supervisor will be without a vehicle. This will mean the supervisor will have limited access to field response. This may delay call response times and will

limit Supervisor availability to respond to community partner meetings and events. Failure to secure a supervisor vehicle will also limit our public and in person response by a supervisor in general. When large animal calls are responded to, it requires both the Officer and Supervisor in some cases to contain all the animals. Lack of proper response vehicles will result in having to pull additional officer off the street to aid in response when it could have been handled by the officer and supervisor.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

We are requesting additional funding for this van.

**Other:**

Cost to repaint the van was over \$4,000 and the Kelly Blue Book is only \$3,700 for the vehicle in its current state.

**Please provide information regarding any type of study done to support your current request.**

Animal Control has not done a study. However, during 2019 and 2020, the allocation of the current supervisor vehicle has allowed for greater public response and provided avenues to work with community partners. These opportunities have resulted in our lowest recorded euthanasia rate, getting flights out of state to transport cats and dogs, and donations of thousands of pounds of pet food during the COVID crisis. If the supervisor had not been mobile all of these items would have been substantially more difficult or impossible to accomplish.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

n/a

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

Animal Control needs to replace this van due to mechanical issues, high mileage, and the overall image of the vehicle. Replacing the van will keep our supervisor mobile, increase animals being reunited with their owners, resulting in maintaining our low euthanasia rate, as well as maintain community partnerships, and provide a positive presence in the community. The vehicle is having continued alternator and starter issues which have made the vehicle unreliable. Animal Control did look into having the vehicle repainted to improve appearance but the cost to repaint was higher than the overall value of the van.

**Please provide 3 years' worth of data to support your request.**

This vehicle only has 2 years of data as a Supervisor vehicle.

In the past 2 years the vehicle has driven.

2018 – 28,647 miles driven (responding to calls)

2019 – 12,719 miles driven (Supervisor vehicle)

2020 – 7,972 miles driven (Supervisor vehicle but less outreach due to COVID)

Prior to 2018, the van was part of the fleet of vans in Animal control and was driven on a regular basis. Once the van was replaced in 2018, the decision was made to keep the van in the fleet, without monthly fleet/replacement charges, for the Supervisor to drive and see if it made sense to have a vehicle for the Supervisor. After a short while, the supervisor decided he did not want to drive the old van but would rather

drive his personal truck. The program has a new supervisor as of October 2019, and she has started driving the van again as her personal vehicle is not suited for transporting animal or supplies. The van was driven in 2020 by the Supervisor, but due to COVID, there were no community outreach programs and a decrease in overall calls. The mileage on the vehicles should have started to increase in 2021 but would not be the same as prior to 2018 when it was responding to daily calls.

Here is a breakdown for the year:

Self Insurance - \$52.00

Fuel & Maint - \$2,511.18

Replacement - \$4,125.

\$6,688.18 for addition to fleet

Animal Control purchased the replacements in early 2019 and acquisition cost was \$45,485.00 that includes transport cages the cost of inflation has been factored into this request.

Animal Control is wanting to do outreach with the vehicle. As a result, they have been able to go out and deliver free dog and cat food to citizens in need at the beginning of the pandemic as well as reunite animals with their owners when possible.



## 2022 Sedgwick County Budget

### [795] Master Plan - Northeast Sedgwick County Park

<b>Division:</b>	Sedgwick County Park	<b>Contact Name:</b>	Mark Sroufe
<b>Department Priority:</b>	1	<b>Division Priority:</b>	3
<b>Primary Fund Center:</b>	52001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	One-time	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	1

#### Summary

Plan for the future development of Northeast Sedgwick County Park  
\$20,000.00

**Legal Reference:**

**Legal Requirement:**

#### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
46301 -	110	52001-110		20,000
TOTAL			0	20,000

#### Question Responses

**How will this request assist in obtaining your performance objective(s) or impact services you deliver?**

There is interest in developing the Northeast Sedgwick County Park, this study will give us an estimate of what improvement would fit best for the Park and an estimated cost.

**Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.**

If we have no plan on how to develop the Park it would make it difficult to gain funding for those improvements.

**Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.**

Funding would be from existing resources.

**Other:**

**Please provide information regarding any type of study done to support your current request.**

No study information available.

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

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**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

This would be a need, trying to develop the park blindly would be a challenge, and we don't want to anything that may be un-used.

**Please provide 3 years worth of data to support your request.**

N/A

## 2022 Sedgwick County Budget

### [792] Zookeeper

<b>Division:</b>	Sedgwick County Zoo	<b>Contact Name:</b>	Jeffrey Ettling
<b>Department Priority:</b>	1	<b>Division Priority:</b>	1
<b>Primary Fund Center:</b>	55001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	1

### Summary

This Zookeeper is needed to assist SCZ in keeping pace with the Association of Zoos and Aquariums (AZA) increased standards for animal care, particularly with regards to enrichment, training and welfare assessment.

### Legal Reference:

### Legal Requirement:

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	55001-110		29,028
41300 - BENEFITS	110	55001-110		26,661
TOTAL			0	55,689

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Zookeeper	GRADE119	1.00	29,028	26,661
TOTAL			1.00	29,028	26,661

### Question Responses

How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

Other:

**Please provide information regarding any type of study done to support your current request.**

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

**Please provide 3 years worth of data to support your request.**

## 2022 Sedgwick County Budget

### [793] Education Specialist

<b>Division:</b>	Sedgwick County Zoo	<b>Contact Name:</b>	Jeffrey Ettling
<b>Department Priority:</b>	2	<b>Division Priority:</b>	4
<b>Primary Fund Center:</b>	55001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	1

### Summary

This position is being requested to restore education specialist staffing to 2021 levels.

In 2021, an education specialist position was re-classed to a zookeeper role to ensure the Zoo met animal care needs to open the new Asian Cat Track Exhibit.

**Legal Reference:**

**Legal Requirement:**

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	55001-110		35,299
41300 - BENEFITS	110	55001-110		27,798
TOTAL			0	63,097

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Education Specialist	GRADE123	1.00	35,299	27,798
TOTAL			1.00	35,299	27,798

### Question Responses

How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

Other:

**Please provide information regarding any type of study done to support your current request.**

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

**Please provide 3 years worth of data to support your request.**

## 2022 Sedgwick County Budget

### [791] Custodian

<b>Division:</b>	Sedgwick County Zoo	<b>Contact Name:</b>	Jeffrey Ettling
<b>Department Priority:</b>	3	<b>Division Priority:</b>	2
<b>Primary Fund Center:</b>	55001-110	<b>Fund:</b>	110
<b>Funding Frequency:</b>	Recurring	<b>Request Status:</b>	Submitted
<b>Reason:</b>	Other	<b>Attachments:</b>	1

### Summary

The Zoo's custodial staffing levels have not changed since 2011. This need becomes even more noticeable with the opening of the new administration and gift shop buildings in 2021. This position is needed to maintain minimum staffing levels.

**Legal Reference:**

**Legal Requirement:**

### Expenditure Impact

Commit Item	Fund	Fund Center	2021 Budget	2022 Budget
41100 - EARNINGS	110	55001-110		19,656
41300 - BENEFITS	110	55001-110		24,961
TOTAL			0	44,617

### Staffing Impact

Type	Position Title	Pay Scale	FTEs	Salary	Benefits
Permanent FT - Hourly	Custodian	GRADE111	1.00	19,656	24,961
TOTAL			1.00	19,656	24,961

### Question Responses

How will this request assist in obtaining your performance objective(s) or impact services you deliver?

Discuss problems the department/community will experience if this request was not approved and what other alternatives you've considered? Please provide a demonstration or scenario of the service at the current time.

Will the funding of this request be from existing resources, or from a new revenue? Please outline how any new revenue was estimated.

Other:

**Please provide information regarding any type of study done to support your current request.**

**For personnel related requests, please provide information regarding the department's ability to fulfill day to day tasks and what challenges currently exist.**

**Please determine if this request is a want or a need for your department. Please detail how this request will support your department or division's strategic plan.**

**Please provide 3 years worth of data to support your request.**