

Chapter 5

Security Recordkeeping

CHAPTER OBJECTIVES

1. Understand the importance of accurate recordkeeping.
2. Appreciate how task analysis can increase productivity, reduce costs, and provide more efficient security.
3. Learn how to conduct a productivity study.
4. Learn how long to keep security documents.

INTRODUCTION

How important is proper recordkeeping and documentation? Consider the following three scenarios. What do they have in common?

Mid-Sized Hospital in an Urban Area

A security director receives a call from the risk manager and is informed that the risk manager has received a letter of complaint from a plaintiff's attorney. The letter states that the attorney's client was visiting a patient at the facility 11 months ago. During the visit, for no apparent reason, he was confronted by security, taken to the security office, questioned by security and police, then escorted off the property. The attorney informs the facility that it must agree to pay a settlement to the plaintiff or he will sue the facility for damages for slander and false imprisonment. The risk manager asks the director to bring the report on the incident to her office so they can review it. Unfortunately, the security director can not locate any report about the incident. He is able to retrieve, through the payroll department, the names of the officers believed to have been on duty on the day in question. Unfortunately, the officers no longer work at the facility, and no one knows their whereabouts. If you were the risk manager, what would you think about the professionalism of the security director and the department?

Smaller Facility in a Suburban Setting

The facility is facing serious budget cuts, and each director has been asked to meet with the finance committee to justify the next year's budget for his or her department. The com-

mittee asks the security director to justify the number of full-time equivalents (FTEs) in the department. The director knows that the officers are always very busy and that current staffing levels are not only justified, they are actually too low. He says this to the committee, but he has no documentation to back up his statements. If you were on the committee, how would you vote on the security department's budget?

Large Facility Connected to a Medical School and University

The security director is conducting an officer's yearly evaluation. He has graded the officer "below average" on quantity of work. When the officer asks the director to explain the below-average rating, the director says that the officer "just doesn't look as busy as the other officers." The officer asks for a list of the criteria used in the performance rating. The director admits that no quantitative measures are used in the review, only the opinions of the director and the officer's immediate supervisor. The officer appeals his review to the vice president of human resources. If you were the vice president, what would you think?

Security directors encounter situations like these every day. They are learning that if they do not have good recordkeeping procedures and quantifiable methods for making decisions, those decisions may be questioned and in many cases overturned. The decisions the directors make are probably the correct ones, but without supporting documentation, they can not defend their actions.

They need to establish a "paper trail" that will support their actions. Security incident reports, shift reports, task analysis reports, reports to the safety committee, annual officer evaluations and job descriptions, and reports of investigations are just a few of the countless documents the director needs to evaluate and effectively manage the department. This chapter discusses various ways the director can increase the efficiency of the security department and quantify its needs for resources.

TASK ANALYSIS

When a consultant is called upon to review and analyze a security department, one of the most common concerns is that the security director believes the department is understaffed. In many cases, the director is correct, but he or she has no evidence to prove the point. However, in just as many cases the problem is not the number of employees assigned to the department but how they are used. Just as the facility conducts a security audit to determine its risks, the security department can conduct a task analysis to determine the most efficient and cost-effective method of staffing. What tasks do the security officers do? How long do the tasks take? How often are they performed? What competency level is required to do each task? How many hours are spent per week, month, and year performing a particular task? These are some of the questions that must be answered to efficiently manage a security function.

A task analysis looks at each part of a job—how it is performed and what type of training is needed to perform it. Each part of a job is a "mini-job" unto itself. For example, if you decide to wash your car, that is the job. The tasks for this job are getting the bucket ready, parking the car near the hose, washing the exterior, washing the interior, rinsing, drying, and waxing. In addition, each task can be divided further into subtasks.

For example, if the task is getting the bucket ready, the subtasks are deciding what kind of detergent to use, gathering the cloths and sponges, getting the bucket, and filling it with water. Every task in the job can be broken down into its subtasks. For the audit, you would also note the average time it takes to satisfactorily complete each task.

SAMPLE TASK ANALYSIS

A security officer is on patrol inside the facility. A visitor stops the officer and asks how to get to the admitting department. The officer escorts the visitor to the admitting department, then returns to his patrol. Similar requests are made of the officer four more times during the patrol. He completes seven patrol rounds; without any interruptions, he could have completed eight internal patrol rounds of the facility during his shift. (Facilities should be broken into patrol zones, each of which takes an average of 30–60 minutes to patrol.)

On the day we are examining, the officer is scheduled to work eight hours. There is always down time in calculating actual work time versus scheduled work time. Most management engineers assume that a person is actually working between 85 percent and 90 percent of a work shift. This is the target range for productivity. Down time includes personal time (making a phone call, using the restroom); fatigue (people do not work as quickly near the end of a shift because they are tired); and delay (waiting for an elevator, being stuck in traffic). On the day in question, the officer has 480 minutes (8 hours $\times$ 60 minutes) of scheduled work time. We expect him to work anywhere from 408 to 432 minutes.

The next assumption for our discussion is that we have timed—over a two-week period several times during the year—each task the officer performs. We know that the average time to stop a patrol, help someone locate a department in the facility, and return to the patrol is six minutes. On our review day, the officer helped five people locate areas of the facility and completed seven one-hour patrol rounds. Thus, the actual work completed by the officer was 30 minutes of assisting visitors and seven hours of patrol, for a total of 450 minutes and a productivity rate of 94 percent.

Productivity Rates

An officer's productivity rate can vary greatly even from one day to another, but the director is looking at department averages. The director may calculate—after reviewing all officers in the department on random days throughout the year—that the department's average productivity rate is 88 percent (within the average range of 85 percent to 90 percent). If one officer consistently performs at 78 percent, the director may want to counsel the officer to help him or her reach the average. Likewise, if the time standards are correct and one officer consistently achieves over 100 percent productivity, an inquiry should be made to make sure that the *quality* of the work performed is consistent with the department's expectations.

It should be expected that the different shifts will have a different mix of performed work time. For example, third shift should be able to make more external vehicular patrols than first shift, because there will be less traffic. And first shift will probably have more assistance calls for service because more people are at the facility during that shift. Reviewing and posting monthly productivity reports for the shifts can be a way of setting up friendly competition

between shifts, but again, the director must emphasize that it is the quality of the work that matters.

CODING AND LOGGING TASKS

How can the security director keep track of the various tasks and times? Most facilities assign code numbers for tasks; for example, assisting a visitor may be Code 2. Each time that task is completed, the officer radios in to the dispatcher, who then records the task on a shift log sheet (Exhibit 5-1). At the end of a 24-hour period, these numbers are entered onto the daily log (Exhibit 5-2).

These log sheets can be used to document the work performed by the security department as a whole and how much time is spent on each task. For example, a department of 10 full-time officers should perform between 17,680 and 18,720 hours of work per year. Using the reporting system described above, the director can track tasks and productivity rates and produce the report shown in Table 5-1.

This method also demonstrates to upper management that all members of the security department are aware of the importance of performing their jobs within an acceptable range of productivity.

Kinds of Tasks

The security task analysis also helps to determine the type of training, education, and experience needed to perform a task. For example, some security departments are also responsible for courier service. The officers deliver mail, packages, and medical equipment throughout the central facility and to outside facilities. If this kind of service is of sufficient volume that a security officer is performing the task over half of a shift, should a security officer be doing it, or should the security department hire a part-time courier? Perhaps a closer look is necessary.

If the deliveries are within a set time frame—for example, 8:00 a.m. to 12:00 p.m. each day—it would make sense to reduce the security officer force by $\frac{1}{2}$ FTE and hire a part-time courier at a lesser wage. However, if the deliveries are throughout the shift, it would be impossible to offset any security staffing by hiring a courier, because the courier would have to

Table 5-1 Security Department Task Report

<i>Function</i>	<i>Times</i>	<i>Hours</i>
Patrol, internal	12,800	6,400
Patrol, external	13,500	6,750
Assist visitor/employee	6,000	600
Escort staff	2,100	210
Incidents	2,081	3,021
Safety checks	365	365
Fire drills	12	12
Other services	2200	<u>733</u>
TOTAL		18,091 (91% productivity rating)

Exhibit 5-2 Daily Log

	Date: _____		Day: _____	
	FIRST	SECOND	THIRD	TOTAL
Larceny (misd.)				
Larceny (felony)				
Damage to property				
Breaking/Entering				
Suspicious person/activity				
Trespass				
Disturbance				
Missing patient				
Assault				
Domestics				
Visitor restriction				
Auto accident				
Personal injury				
Alarm activated/reset				
Maintenance report				
Special report				
Items found				
Unsecured area				
Other				
Visitor/employee assistance				
jump start				
tire inflate				
food run				
supply/delivery run				
escorts				
codes				
auto unlock				
door unlock				
door lock				
misc. assistance				
ambulance run				
special detail				
patrol round				
challenges				
camera scan				
gate problem				
tickets				
traffic/valet hours				
post hours				

The key point to remember in this discussion is to look at a job as a series of individual tasks and subtasks. What is needed to do the task, by whom is it best performed, and what is the most productive and cost-effective manner?

Measuring Performance

By analyzing the components of a job, the director can also establish standards to measure the performance of the job. For example, the job description for a security officer may list as job functions patrolling the facility, assisting visitors, writing reports, etc. What do these functions mean? Without measurable tasks within a job, it is very difficult, if not impossible, to measure performance. However, if standards are set—for example, officers should conduct eight patrol rounds per shift, and a patrol round consists of patrolling a designated area and making contact with at least one staff member per department during the patrol—then there is something to measure.

In reviewing all jobs in the department, the security director should note any factors that might cause the task itself or the productivity rate to vary. If the facility is under construction in a certain area and security is charged with interim life safety, the director should note that the patrol function in that area will take longer than normal. As the facility changes, it is necessary from time to time to alter, add, and delete functions. One consultant tells the story of accompanying a security officer on a patrol of a facility. Several times, the officer went to an empty storage room and noted that the area was secure. When the consultant asked why it was necessary to repeatedly patrol an empty storage room, the officer explained that it used to be the pharmacy storage area, and the shift orders still instructed the officers to patrol the area at least four times per shift. This kind of inefficiency dramatically distracts from the professionalism of a security department. The security director must make sure that the activities of the department meet the facility's *current* needs.

WHAT KIND OF REPORTS ARE NEEDED?

In many facilities, the security department's incident report is used for any and all incidents, statements, investigative reports, and so on. That approach may seem to work for a small security department that reports few incidents, but even in a small department that is a short-sighted view. Having specific reports for different kinds of events can accomplish several things. First, by asking for certain information, a report form can help ensure that the officer gathers the pertinent facts. Thus, for example, if a standard incident report is used to document an auto accident, the officer may forget to ask for the owner's insurance information or the vehicle identification number, because there is not a line on the report for that information. The following are the basic report forms that a security department should use.

- *Incident Report Form:* Used for basic reporting of an incident. It should ask for all basic information and have an area for the officer's narrative of the event. The form should have an area to enter a case number (Exhibit 5-3).
- *Supplement Report Form:* This form is used to supplement the initial security incident report. It is a valuable tool for investigators to document their activities on a particular case.

- *Statement Form:* This form is used to take statements from all concerned parties—victim, witness, and suspect. The form should include a statement for the person to sign certifying that the statement is true and was freely given without promise or inducement (Exhibit 5–4).

Many departments color-code incident reports, supplement forms, and statement forms to enable someone to find them quickly in a case file.

- *Trespass Warning Form:* Standardized form that an officer can attach to an incident report stating that a suspect was given a trespass warning and describing the nature of the warning.

Exhibit 5–3 Security Incident Report

Confidential		Report No. _____ Shift _____	
		Report Date _____	
		Occurrence Date _____	
		S / M / T / W / T / F / S	
		Time of incident _____	
		Location of incident _____	
_____ Larceny (Misd.)		_____ Missing patient	
_____ Larceny (Felony)		_____ Patient restraint	
_____ Damage to property		_____ Assault	
_____ Breaking/entering		_____ Domestic	
_____ Suspicious person/activity		_____ Visitor restriction	
_____ Trespass		_____ Auto accident	
_____ Disturbance		_____ Personal injury	
_____ Alarm activated/reset		_____ Maintenance report	
_____ Special report		_____ Items found	
_____ Other (specify): _____			
NAME: _____		DOB: _____ RACE: _____ SEX: _____ W / S / V	
DEPT. (if employee): _____		PHONE: _____	
ADDRESS: _____		APT. #: _____ CITY _____ STATE: _____ ZIP: _____	
DRIVER'S LICENSE: _____		CAR MAKE: _____ MODEL: _____ YEAR: _____ TAG: _____	
HT: _____ WT: _____ HAIR: _____		EYES: _____ GLASSES: _____ ATTITUDE: G / F / P	
DRESS: _____			
OTHER DISTINGUISHING FEATURES: _____			
NAME: _____		DOB: _____ RACE: _____ SEX: _____ W / S / V	
DEPT. (if employee): _____		PHONE: _____	
ADDRESS: _____		APT. #: _____ CITY _____ STATE: _____ ZIP: _____	
DRIVER'S LICENSE: _____		CAR MAKE: _____ MODEL: _____ YEAR: _____ TAG: _____	
HT: _____ WT: _____ HAIR: _____		EYES: _____ GLASSES: _____ ATTITUDE: G / F / P	
DRESS: _____			
OTHER DISTINGUISHING FEATURES: _____			

continues

DRESS: _____

OTHER DISTINGUISHING FEATURES:

PLACE OF INTERVIEW: _____ TIME INTERVIEW BEGAN: _____ TIME ENDED: _____

____ Evidence Seized ____ Articles Recovered ____ Articles Stolen/Missing

ITEM(S)	DEPT.	APPROX. VALUE
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OFFICER'S STATEMENT:

ACTION TAKEN:

☐ Released ☐ Arrested ☐ Medical help
☐ Trespass warning given and released ☐ Placed in police custody ☐ Terminated
☐ Ejected from property ☐ Parents called

STATUS: _____ COURT DATE/TIME: _____ FINE/SENTENCE: _____

REPORTING OFFICER: _____ OFFICERS INVOLVED: _____

INVESTIGATING/ARRESTING POLICE OFFICER: CPD REPORT NO:

- *Auto Accident Report*: This form is used to document vehicle accidents that occur on the property. The report should include an area for the officer to sketch the accident scene (Exhibit 5–5).
- *Safety Hazard Report*: Used to document an existing safety hazard. The form should specify that, if possible, a photograph should accompany the report. The routing of the report should include the facility's safety officer.
- *Personal Injury Report*: This report is used to report all personal injury cases, both employee and nonemployee. It should prompt the officer to note such details as whether the victim wears glasses, what kind of shoes the victim was wearing, and what the weather was like on the day in question. The facility's risk manager should be able to help design the form.

Exhibit 5-4 Statement Form

Case Type: _____ Case Number _____ Page _____ of _____
Statement of: _____ Age _____ DOB _____
Address: _____ Phone _____
Connection with case: W / S / V Were taken: _____
Date: _____ Time: _____

I certify by my signature that the above statement is true to the best of my knowledge. No threats, promises, or inducements have been made to me with regard to this statement.

Witness: _____ Signed: _____

Address: _____
Date: _____ Time: _____

Exhibit 5-5 Auto Accident Form

Case #: 	
Supplemental ()	
Date of Accident: _____	S M T W T F S Time: _____
Date of Report: _____	Time: _____ No. of Vehicles: _____
Location of Accident: _____	
VEHICLE 1 (), HIT & RUN ()	VEHICLE 2 () PEDESTRIAN () OTHER ()
Driver: _____	Driver: _____
Address: _____	Address: _____
City: _____ State: ____ Zip: ____	City: _____ State: ____ Zip: ____
Phone W: _____ H: _____	Phone W: _____ H: _____
License #: _____ State: _____	License #: _____ State: _____
Exp. Date: _____ DOB: _____	Exp. Date: _____ DOB: _____
Restriction Code: _____	Restriction Code: _____
Owner: _____	Owner: _____
Address: _____	Address: _____
City: _____ State: ____ Zip: ____	City: _____ State: ____ Zip: ____
Phone W: _____ H: _____	Phone W: _____ H: _____
VIN#: _____	VIN#: _____
Plate: _____ State: _____ Year: ____	Plate: _____ State: _____ Year: ____
Veh. Year _____ Make _____	Veh. Year _____ Make _____
Model _____ Veh. Type Code _____	Model _____ Veh. Type Code _____
Vehicle Drivable yes () no ()	Vehicle Drivable yes () no ()
Insurance Co. _____	Insurance Co. _____
Policy # _____	Policy # _____
Other Property Damaged: _____	
Owner Name: _____ Address: _____	
Ambulance Requested Yes () no () If yes, Ambulance arrived at _____ hrs	
Injured taken to: _____	
Responding Police Department _____ Report # _____	

continues

[illegible]

These are the most common forms used by security officers in reporting incidents. For a full review of forms, see *Security and Safety Administration in Health Care Facilities: Forms, Checklists and Guidelines* (Aspen Publishers, Inc., 1997). This publication contains hundreds of sample forms and reports that can be adapted for use.

HOW LONG SHOULD A REPORT BE KEPT?

The length of time a report should be kept depends on the nature and severity of the incident. In most cases, security incident reports should be kept for three to five years. However, the policies and procedures for destroying reports should include communication with corporate counsel. If a lawsuit has been filed against the facility that concerns a security incident, it may be necessary to keep the report and accompanying documents until the lawsuit is litigated, including any appeals.

HOW ARE SECURITY REPORTS TRACKED?

Security reports can be tracked manually or by computer, and you can use various systems for case numbering.

Computer Software

There are numerous software packages on the market to assist the security director in tracking incidents and producing reports. Some of these packages use a modern version of the "clock wind" system, in which an officer patrols a designated area using a handheld bar code reader. The reader reads a bar code for the area, and the location and time are entered into its memory. At the end of the shift, the reader is downloaded into the security computer and a printout of the shift activities is produced. Some systems also have generic report features loaded into the software, so that the officer can simply enter the numerical code for a specific type of incident and the software will generate a report.

Incident and tour software packages have improved greatly, but they still have some drawbacks. For some facilities, cost is an issue: these systems can cost from \$4,000 to \$10,000. Second, if the computer is producing the reports, an officer may be less likely to remember an incident, which will hurt his or her credibility in court. Third, most of these systems are not easy to customize, and the department's ability to conduct task analyses and productivity studies may be reduced.

Case Numbering Systems

Whether the department uses a computerized system or a manual system to collect data and track incident reports, case numbering is necessary. There are two main methods of numbering cases.

Year and Chronological Numbering

In this method, the year is entered and the case number is sequential. An example of this type of case number would be **99-882** (1999 fiscal year, the 882nd case handled by the de-

partment). In using this system, you start the new year when the facility's fiscal year begins. This is extremely important for budgeting. The department must be able to show the number of cases it handled in the fiscal year, because all department budgets are allocated for a fiscal year, not a calendar year.

Full Date and Time Numbering

In this system, the full date and time of the report are used as the case number. For example, **9906221300-01** would indicate that the case was recorded on June 22, 1999, at 1:00 p.m. (1300) and it was the first (01) case recorded at that particular time. If other cases happened to be recorded at the same time, they would be numbered consecutively: -02, -03, etc.

In addition to case numbering, the department must keep a log of the assigned case numbers. Most departments assign case numbers in chronological fashion (i.e., 1-xx . . .), regardless of the case tracking system they use. The important components of a case log are case number, day, date, shift, nature of report, open/date closed.

The first three items are self-explanatory. "Shift" indicates the time frame during which the incident occurred. This knowledge can help an investigator track down witnesses later. "Nature of report" refers to the type of incident—was it a safety hazard, auto accident, theft?

Open/date closed: Is the case open (there is more work to be done on it) or closed (no further work)? Some facilities allow the security director to close cases that cannot be resolved "by exception," meaning that the case is unsolvable because of lack of evidence or possibly that the department has fully investigated the case and identified the perpetrator but does not have sufficient proof. Cases closed by exception should be reviewed periodically to see if there might be new evidence that would allow the department to reopen the case.

KEY POINTS

- Recordkeeping is essential for
 - litigation
 - program qualification
 - staff evaluations
- A task analysis is needed to establish true standards.
- Security should compile monthly, quarterly, and yearly reports that document the performance of the department and of individual officers.