



### Case Study #1

Agency X is located in a multi-storied building, occupied by various state agencies that are open to the public (including the main lobby, and elevator areas on each floor). However, access to Agency X itself is controlled by employee's key card access and video surveillance monitors located on the receptionist's desk. Entry can only be gained through two locked doors, one of which requires entering the reception area, the other opens directly into the hallway out of view of the receptionist where a number of offices are located. These doors can be propped open. Rest rooms are in the elevator areas and have coded entry locks, but the code for rest rooms is the same for all floors of the building. Rest room doors automatically close and lock after being opened, but can be propped open.

Within the Agency X location, all employee offices are open and accessible during working hours except the main computer room. Support staff has open architecture offices, but only the receptionist can view people entering the reception area. Employees' personal offices have doors that maybe locked when the agency is not open for business.

Many employees work on sensitive information, much of which can be accessed through designated employees' PCs. Additionally, as do most employees, this agency's employees keep personal belongings, including wallets, purses, radios, etc. in their work areas.

Employees, on occasion, leave their identification/key cards on their desks or remove them in the rest rooms and leave them on the shelves. Also, on occasion, one employee may lend his or her card to another employee who has forgotten to bring his or her card to work or that employee may prop open the entry door when making short trips to other floors of the building or the rest room.



### Case Study #2

You are in charge of a six-county region of the state, dealing with licensed **day care centers**.

In a significant percentage of cases the families involved may be eligible for Federal subsidies (based on family size and income).



Each county has established a different per diem rate structure (including different rates for different ages), and each county determines eligibility of its residents.

You are under pressure to recruit additional day care resources, to meet local needs and encourage unemployed parents to pursue gainful employment.

At the same time, you are under pressure to ensure that those day care centers licensed by the State meet health and safety standards (staffing ratios, background checks, educational qualifications of lead staff, hygiene and sanitation, food and fire safety) as well as accounting requirements (no subsidies for no-shows). Of course, there are plenty of unlicensed operations out there (beyond your control), which give the licensed centers a bad name.

Of all your competing demands, which one is your number one priority? How do you make that happen?

Fortunately, you have a staff of six (one per county) who visit current and fledgling day care centers, to inspect their physical plant (for fire safety, cleanliness, heating and ventilation, and adequate square footage per child), their staff to child ratio, and observation of child interaction.



## Internal Control – More Than a Good Idea – It’s Also the Law!



Following the principles of triage, you have informally divided day care centers into three categories:

- Terrific - I'd send my own kids there
- Passable – You can send your kids there
- Terrible – Don't go there

Of your six staff, three have been on board for more than ten years (the “old China hands”), two have been with you for three years, and one just started six month ago (“new kid on the block”). Does this mean your office qualifies as a “stable operation?”

Monthly inspection reports from five of your counties are about the same – 10 percent of the reports are negative, requiring a remediation plan and follow-up visits (which usually yield the proper results). License revocation usually involves a small-scale operation, where the owner is unwilling to make the investment in physical plant and staffing (and may even decide to drop out of the business, rather than fight the revocation).

Your newest staff person has just completed two months of on-site inspection of the day care centers in her county, and reported to you that fully one-third of these centers should be closed for serious compliance issues. Can these allegations be true? She also claims that in half a dozen cases, there was nobody at home (staff or client).



How can her experience in this one county differ so markedly from the other five counties? Does she realize that shutting down so many centers would hurt the families affected (e.g. employability)? Is she misconstruing the regulations, or playing hardball with the centers? What other possibilities can you imagine?

**What do you do about it?**

### Case Study #3

You are responsible for transporting defendants (in criminal court proceedings) from the county jail to the court house for trial.



Those jailed pre-trial are generally individuals with few financial assets and limited roots in the community.

They could not make bail (or qualify for ROR – Release on Own Recognizance), so many of them have been waiting for three to six months for trial.

The accused is innocent until proven guilty, so you may not do anything to compromise the defendant before a jury. Hence, defendants must enter the courtroom uncuffed, and in street clothes (not orange coveralls). Plea bargains for violent felonies are rare in your jurisdiction.

On a given day, you must transport a six foot, 200 lb. former college football player to court for a new trial on a rape charge that could carry with it a 20 year sentence. On the previous day, the defendant had attempted to smuggle two “shanks” (hand-made knives) into the court house (in his shoes). Do you:

- Assign two equally large, armed deputies to escort the handcuffed and leg-shackled prisoner to court,
- Search the prisoner thoroughly before he leaves the holding pen,
- Keep the prisoner in handcuffs until he is at the door of the specific courtroom, or
- Send the un-cuffed prisoner up the elevator with one armed 5 ft 3 inch, 130 lb. female deputy, and hope for the best.

This is not to make light of the recent tragedy in Atlanta. It is to show you that common sense and policy may clash on occasion. Fulton County (Atlanta) had a long established practice since the Civil War that shackles were considered demeaning and onerous. Still, the sheriff's office could have delivered the prisoner in a more secure fashion (e.g. two deputies as escort) without compromising the trial or influencing the jury.