

OAKLAND POLICE DEPARTMENT

Office of Inspector General



AUDIT OF TASK 41 PERFORMANCE ASSESSMENT SYSTEM

November 23, 2011
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CITY OF OAKLAND

Memorandum

To: Chief Anthony Batts

From: Captain Anthony Toribio, Deputy Inspector General

Date: November 23, 2011

Subject: Task 41 – Performance Assessment System Audit

On June 15, 2011, the Audit and Inspections Unit of the Office of Inspector General initiated an audit of Task 41, Performance Assessment System. The audit is an analysis of the Department's compliance with 14 components of Task 41 related to portions of the Performance Assessment System (PAS) review process.

The purpose of the audit is to determine Departmental compliance with the requirements set forth in Departmental General Order D-17 and requirements of the Negotiated Settlement Agreement, and to assess the Department's compliance with the monitoring of its personnel (i.e. supervisory monitoring and intervention).

To conduct the audit, the auditor met with the PAS Coordinator, and reviewed the PAS database, members/employees' PAS Files and Command Review Meeting Reports.

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EXECUTIVE SUMMARY

In June 2011, the Office of Inspector General (OIG) initiated an audit of Task 41, Performance Assessment System (PAS). Although Task 41 consists of 40 separate task requirements, this audit includes an assessment of only 14. The 14 tasks chosen for this review cover the more technical requirements of Task 41. This audit provides the Department with findings of its progress toward adherence to timelines and completion of required documents and reports. The Monitor provides the Department with a quarterly qualitative assessment of Task 41, including the quality of supervisory reviews of members/employees performance and the Department's identification of exceptional performance, potential or actual performance problems, or potential patterns of at-risk behavior of its personnel. While a quantitative analysis of PAS Command Review Meeting Reports was conducted during this audit, issues with the quality of reports were noted. The following is a summary of the findings.

Tasks 41.11, 41.12.1, and 41.12.2 – Intervention Disposition Meetings

The audit indicated the Department is 100% in compliance with individuals in intervention attending a disposition meeting with their respective commanders/managers and supervisors. The audit also showed that a discussion of the member/employee's performance and issues and recommended intervention strategies occurred at the disposition meetings. The audit did indicate however that the Department is short of compliance with the requirement of the members/employees being dismissed from the meeting as required by policy. The compliance requirement for this task is 90% and the audit finding is 83%.

Task 41.14 – Duration of Supervisory Monitoring and Intervention Performance Monitoring

The audit indicated the Department is in compliance with Task 41.14. The audit determined that 94% of those in supervisory monitoring or intervention were observed for the specified period of time (i.e. supervisory monitoring a minimum of three months and intervention a minimum of 12 months, unless released early) following the disposition meeting.

Tasks 41.16 and 41.17 – Supervisory Monitoring and Intervention Required Meetings

The audit determined the Department is not in compliance with Task 41.16. The audit found that 52% of the first follow-up meetings occurred within the required time period and 52% of the second follow-up meetings were held within the requisite time. The audit determined that 92% of individuals were monitored for a minimum of three months.

The audit indicated the Department is not in full compliance with Task 41.17. The audit found 64% of the first follow-up meetings occurred within the required time period, which was short of the compliance requirement. The audit found 100% of the second follow-up meetings were in compliance and occurred within the required period of time.

The audit determined 100% individuals in intervention were monitored for a minimum of 12 months.

Task 41.18 – Early Release from PAS Intervention

The audit determined the Department is 100% in compliance with this task. There were three individuals who were released early from intervention during the audit period and all releases were in accordance with policy; supervisor recommendations for early release were approved by the appropriate Deputy Chief.

Tasks 41.19 and 41.19.1 – Extension of PAS Intervention

The audit indicated the Department is 100% in compliance with Tasks 41.19 and 41.19.1. During the audit period, there were three individuals who were extended beyond one year of intervention. The extensions were recommended by their supervisors and approved by their Deputy Chiefs. The follow-up meetings were held according to the required schedule.

Tasks 41.21 and 41.22 – Command Review Meetings

The audit determined the Department is in compliance with Task 41.21 and not in compliance with Task 41.22. The audit found that 94% of the Department's division/watch commanders and managers conducted quarterly meetings with their supervisory staff. The audit however determined that there was not clear documentation supporting that all division/watch commanders and managers met at least annually with his/her designated Deputy Chief/Director and IAD Commander.

Task 41.23 – Command Management and Supervisory Accountability Plans

The audit found the majority of the reports reviewed included some documentation regarding the PAS dispositions of the various units' members/employees (i.e. the status of those individuals who entered intervention or supervisory monitoring during the reporting periods). Reports also included summaries of matters such as patterns of uses of force, sick leave usage, and vehicle collisions occurring among unit personnel.

Although the reviewed reports varied in detail from unit to unit, the reports all illustrated that the commanders/managers made an assessment of potential and/or actual problems related to their units and when problems were identified, a plan of action was provided.

Task 41.25 – Intervention Strategies Documented in a Timely Manner

The audit indicated the Department is not in compliance with Task 41.25. Of the intervention strategies documented during the audit period, only 55% were documented in a timely manner (i.e. seven days).

Task 41.27 – Intervention Disposition Meetings Following Notifications to Deputy Chief

The audit determined the Department is in compliance with Task 41.27. The audit found that 94% of intervention disposition meetings were held no later than 20 days following notification to the Deputy Chief/Director that the individual met a PAS threshold *and* intervention was recommended.

PURPOSE

On June 15, 2011, the Audit and Inspections Unit (Audit Unit) of the OIG initiated its audit of 14 components of Task 41, Performance Assessment System. The purpose of this audit was to make an assessment of the Department's compliance with various aspects of the Performance Assessment System related to supervisory monitoring, intervention, and command review meetings. The table below provides a synopsis of the tasks assessed.

Tasks	Subject Area Assessed
41.11 41.12.1 41.12.2	Intervention Disposition Meetings
41.14	Supervisory Monitoring and Intervention Performance Monitoring Duration
41.16 41.17	Supervisory Monitoring and Intervention Required Meetings
41.18	Early Release From PAS Intervention
41.19 41.19.1	Extension of PAS Intervention
41.21 41.22	Command Review Meetings
41.23	Command Management and Supervisory Accountability Plans
41.25	Intervention Strategies Documented in a Timely Manner
41.27	Intervention Disposition Meetings Following Notification to Deputy Chief

If the audit determined compliance with any of the tasks had not occurred, solutions for any deficiencies discovered would be proposed.

BACKGROUND

This audit is the Office of Inspector General's first audit of Task 41. The Monitor conducts an audit of Task 41 quarterly and released his most recent findings in the Seventh Quarterly Report, October 2011.

Seventh Quarterly Report, August 2011

The Monitor continued his ongoing assessment of the PAS process specific to Task 41. The Monitor reviewed the quarterly threshold analyses, PAS activity review and report documents, quarterly PAS command reviews of officers, and follow up reports to assess the system as a whole. The Monitor reported the PAS reviews were generally thorough and complete, citing beneficial changes in the review write-up format. The Monitor also reported that follow-up documentation provided appropriate descriptions and explanations. The Monitor noted that while there have been improvements in the system, there is still need for improvement in the overall risk management process and outcomes.

COMPLIANCE OVERVIEW

Task 41.11 *Members/employees recommended for intervention attend a documented, non-disciplinary PAS intervention meeting with their designated commander/manager and supervisor.*

In Compliance

Compliance Requirement: 95%

Audit Finding: 100%

Task 41.12.1 *The purpose of these meetings is to review the member/employee's performance and discuss the issues and recommended intervention strategies.*

In Compliance

Yes/No Compliance

Audit Finding: Yes

Task 41.12.2 *After discussing the issues, the member/employee is dismissed from the meeting, and the designated commander/manager and the member/employee's immediate supervisor remain and discuss the situation and the member/employee's response.*

Not In Compliance

Compliance Requirement: 90%

Audit Finding: 83%

Task 41.14 *The performance of members/employees subject to PAS review shall be monitored by their designated commander/manager for the specified period of time following the initial meeting, unless released early or extended (as outlined in Section VII, paragraph B (8)).*

In Compliance

Compliance Requirement:90%

Audit Finding: 94%

Task 41.16 *Members employees recommended for supervisory monitoring are monitored for a minimum of three months and attend two documented, mandatory follow-up meetings, the first at the end of one month and the second at the end of three months, with the member/employee's immediate supervisor.*

Not In Compliance

Compliance Requirement:95%

Audit Findings

Three Months Minimum Monitoring: 92%

First Follow-up Meeting Requirement: 52%

Second Follow-up Meeting Requirement: 52%

Task 41.17 *Members/employees recommended for PAS intervention are monitored for a minimum of 12 months and attend two documented, mandatory follow-up meetings the first at three months and the second at one year, with member/employee's immediate supervisor and designated commander/manager.*

Not In Compliance

Compliance Requirement:95%

Audit Findings

12 Months Minimum Monitoring: 100%

First Follow-up Meeting Requirement: 64%

Second Follow-up Meeting Requirement: 100%

Task 41.18 *Member/employee subject to PAS intervention for minor, easily correctable performance deficiencies may be dismissed from the jurisdiction of PAS upon the written approval of the member/employee's responsible Deputy Chief following a recommendation in writing from the member/employee's immediate supervisor. This may occur at the three-month follow-up meeting or at any time thereafter, as justified by reviews of the member/employee's performance.*

In Compliance

Compliance Requirement:90%

Audit Finding: 100%

Task 41.19 *When a member/employee is not discharged from PAS jurisdiction at the one-year follow-up meeting, PAS jurisdiction is extended, in writing, for a*

specific period in three-month increments at the discretion of the member/employee's responsible Deputy Chief.

In Compliance

Compliance Requirement:90%

Audit Finding: 100%

Task 41.19.1 *When PAS jurisdiction is extended beyond the minimum one-year review period, additional review meetings involving the member/employee, the member/employee's designated commander/manager and immediate supervisor, take place no less frequently than every three months.*

In Compliance

Compliance Requirement:90%

Audit Finding: 100%

Task 41.21 *All division/watch commanders and manager conduct quarterly meetings with their supervisory staff for the purpose of assessing and sharing information about the state of the unit and identifying potential or actual performance problems within the unit. These meetings are scheduled to follow-up on supervisors' assessments of their subordinates' for PAS intervention.*

In Compliance

Compliance Requirement:90%

Audit Finding: 94%

Task 41.22 *Division/watch commanders and managers meet at least annually with his/her Deputy Chief/Director and the IAD Commander to discuss the state of their commands and any exceptional performances, potential or actual performance problems or other potential patterns of at-risk behavior within the unit.*

Not in Compliance

Compliance Requirement:90%

Task 41.23 *Division/watch commanders and managers develop and document plans to ensure the managerial and supervisory accountability of their units, and for addressing any real or potential problems that may be apparent.*

In Compliance

Compliance Requirement:90%

Task 41.25 *Intervention strategies implemented as a result of a PAS Activity Review and Report are documented in a timely manner.*

Not In Compliance

Yes/No Compliance
Audit Finding: No

Task 41.27 *The member/employee's designated commander/manager schedules a PAS Activity Review meeting to be held no later than 20 days following notification to the Deputy Chief/Director that the member/employee has met a PAS threshold and when intervention is recommended.*

In Compliance
Compliance Requirement: 90%
Audit Finding: 94%

SCOPE AND POPULATION

Audit Scope

The audit was an assessment of various aspects the PAS. The activities (e.g. performance monitoring, disposition meetings, intervention strategy documenting, and command meetings) that occurred in of 2009 and 2010 were assessed to determine compliance with Department policy.

Audit Populations

There were various populations used to audit the various subtasks.

Tasks 41.11, 41.12.1 and 41.12.2

The audit population was created by reviewing the PAS Review Timeline, a database maintained by the PAS Administration Unit (PAS Admin), to identify those individuals who entered intervention between April 1, 2010 and April 30, 2011. This period was selected to gain a more current view of the Department's practices with regards to intervention disposition meetings. There were a total of 18 members/employees who entered intervention during the audit period. The disposition meetings for the 18 members were assessed.

Task 41.14

The audit population was determined by reviewing the PAS Review Timeline to identify those individuals who entered supervisory monitoring and intervention between January 1, 2009 and December 31, 2010. The supervisory monitoring and intervention durations for 41 individuals was assessed.

Task 41.16

The audit population was determined by reviewing the PAS Review Timeline to identify those individuals who entered supervisory monitoring between January 1, 2009 and December 31, 2010. A total of 29 individuals were placed in supervisory monitoring during the time period. The required supervisory monitoring meetings and performance monitoring of the 29 individuals were assessed.

Tasks 41.17, 41.18, 41.19, and 41.19.1

The audit population was created by reviewing the PAS Review Timeline, to identify those individuals who entered intervention between January 1, 2009 and July 31, 2010. This timeframe allows for the inclusion of a significant amount data while also capturing a snapshot of the intervention process from beginning to end (i.e. an individual enters intervention on July 31, 2010 should be discharged, unless extended, before the conclusion of the audit). There were 12 members/employees who entered intervention during the audit period. The performance monitoring and follow-up meetings for the 12 members/employees were audited.

Tasks 41.21, 41.22 and 41.23

The auditor reviewed all 2010 PAS Quarterly Command Review Meeting Reports and 2010 Annual PAS Command Review Meeting Reports.

Task 41.25

The auditor reviewed all PAS Intervention Strategy Confirmation Reports and Disposition/Follow-up Meeting Reports received by the PAS Admin Unit between January 1, 2011 and April 30, 2011. There were 51 strategies documented on the reports. The reporting of the 51 strategies was assessed.

Task 41.27

The audit population was created by reviewing the PAS Review Timeline, to identify those members/employees who entered intervention between January 1, 2009 and December 31, 2010. There were 16 individuals who entered intervention during the period. Since the population was relatively small, the disposition meetings for each individual were assessed.

Reference Material

The documents below were used in the assessment of the Personnel Assessment System.

- Department General Order D-17, Personnel Assessment System
- Department General Order A-7, Annual Management and Departmental Reports
- PAS Command Review Meeting Report (TF-3279)
- Personnel Assessment System Review and Report (TF-3275)
- Disposition/Follow-up Meeting Reports (TF-3275a)
- PAS Activity Panel Response Report
- PAS Review Timeline Database
- Negotiated Settlement Agreement

AUDIT STEPS AND FINDINGS

Task 41.11

Members/employees recommended for intervention attend a documented, non-disciplinary PAS intervention meeting with their designated commander/manager and supervisor.

Audit Steps

The auditor reviewed the Disposition/Follow-up Meeting Reports for those members/employees recommended for intervention between April 1, 2010 and April 30, 2011 to determine whether the meetings were documented and if the individuals' met with their designated commanders/managers and supervisors.

Findings

The Department is in compliance with this Task. Of the 18 Disposition/Follow-up Meeting Reports reviewed, all (100%) documented the meeting occurrences. Seventeen individuals met with his/her designated commander/manager and supervisor. One individual met with only his designated manager and not a supervisor. The auditor was able to determine that at the time the employee was placed in intervention, his chain-of-command consisted of only a manager; the auditor therefore determined the meeting compliant with the requirements of Task 41.11.

Tasks 41.12.1 and 41.12.2

The purpose of these meetings is to review the member/employee's performance and discuss the issues and recommended intervention strategies.

After discussing the issues, the member/employee is dismissed from the meeting, and the designated commander/manager and the member/employee's immediate supervisor remain and discuss the situation and the member/employee's response.

Audit Steps

The auditor reviewed the Disposition Follow-up Meeting Reports assessed in Task 41.11 to determine if each report clearly documented that during the disposition meetings the member/employee's performance, issues and recommended strategies were discussed. The auditor also assessed each report to determine if during the documented meeting the member/employee was dismissed and the supervisor and commander remained to discuss the individual's response and intervention strategies.

Findings

The Department is in compliance with Task 41.12.1. Of the 18 Disposition/Follow-up Meeting Reports reviewed, all (100%) contained clear documentation that during each disposition meeting a discussion regarding the member/employee's performance, issues and recommended strategies were discussed.

The audit determined that the Department is not in compliance with Task 41.21.2. Fifteen (83%) of the reports documented that the individual was dismissed from the meeting and a discussion between the supervisor and commander/manager regarding the individual's performance, issues and strategies occurred. The Disposition/Follow-up Meeting Reports include a check box option for the author to check either 'yes' or 'no' to document if the employee/member was dismissed from the meeting. In three of the reports, the members/employees dismissal box was checked 'no' and there was no documentation in the report narratives that illustrated the individuals were dismissed from the meeting prior to the conversation between his/her supervisor and commander/manager ensuing.

Task 41.14

The performance of members/employees subject to PAS review shall be monitored by their designated commander/manager for the specified period of time following the initial meeting, unless released early or extended (as outlined in Section VII, paragraph B (8))

Audit Steps

The auditor reviewed Disposition/Follow-up Meeting Reports for those individuals who entered into intervention and supervisory monitoring between January 1, 2009 and December 31, 2010. The auditor reviewed the reports to determine if each individual was monitored by their designated commander/manager for the specified period of time following the disposition meeting. The performance of members/employees in supervisory monitoring are required to be observed for a minimum of three months. Members/employees in intervention are required to be monitored for a minimum of one year unless released early with the approval of the Bureau Deputy Chief/Director.

Findings

The Department is in compliance with this Task. There were 41 members/employees placed in supervisory monitoring and intervention during the audit period. Five members/employees were on leave during the monitoring span and two were released early from intervention. These seven members/employees were removed from the audit assessment. As a result, the monitoring durations for 34 members/employees were reviewed for Task 41.14.

Of the 34 members/employees who entered either supervisory monitoring (3 month minimum) or intervention (12 month minimum) during the audit period, 32 (94%) were observed for the specified period of time following the disposition meeting. For two members/employees, the auditor was unable to determine compliance for the duration of their monitoring.

In one individual's case, the PAS Admin Unit received the second follow-up meeting report, but at the time of the audit the unit had not received documentation of the disposition or first follow-up meeting. While in supervisory monitoring, the individual was transferred between two supervisors. The individual's PAS file contained a copy of

an email from the individual's second supervisor stating that he received notification that the employee's disposition meeting and first follow-up meeting reports were delinquent. The supervisor advised command that he was not aware the individual was in supervisory monitoring, explaining the delinquency. The PAS Admin Unit has sent numerous delinquent notices to the individual's chain-of-command, but at the time of the audit, the PAS Admin Unit had not received the required reports.

In the other individual's case, there was a similar problem. At the time of the audit, the PAS Admin Unit had not received any documentation that the individual's first or second meetings occurred. As a result, an assessment of the duration of monitoring could not be assessed.

Task 41.16

Members employees recommended for supervisory monitoring are monitored for a minimum of three months and attend two documented, mandatory follow-up meetings, the first at the end of one month and the second at the end of three months, with the member/employee's immediate supervisor.

Audit Steps

The auditor reviewed Disposition/Follow-up Meeting Reports for those individuals who entered in supervisory monitoring between January 1, 2009 and December 31, 2010 to determine whether they were monitored for the minimum three months and attended two documented, mandatory follow-up meetings at the end of one month and at the end of three months following their disposition meeting. Recognizing that meetings can't always occur at exactly the one month or three month targeted time periods, the auditor used best judgment to determine if the meetings were held within a reasonable time.

Findings

The Department is not in compliance with Task 41.16. The findings for the different components of Task 41.16 are provided below.

First Follow-up Meetings

Twenty-nine members/employees entered supervisory monitoring during the audit period. Two of the individuals were on medical leave after being placed on supervisory monitoring and did not attend the first follow-up meeting. For the remaining 27 members/employees, 14 (52%) of the required initial follow-up meetings were held at the end of one month, or within a reasonable time. While some of the meetings occurred after the deadlines, the delays were not unreasonable.

There were ten first follow-up meetings that occurred either much earlier or later than the one month requirement and were deemed out of compliance. An assessment of the first follow-up meetings for three individuals could not be made. One individual's file contained documentation of a discussion between the individual's supervisor and commander that the initial follow-up meeting was to be held on a specific date, but at the time of the audit, the PAS Admin Unit had not received written confirmation that the meeting occurred. As a result, the PAS Admin Unit sent delinquent notifications to the

proper chain-of-command. The first follow-up meeting of one individual could not be assessed due to lack of documentation. The PAS file contained copies of emails between the individual's prior and current supervisor in which the current supervisor was unaware the individual was placed on supervisory monitoring. This is also the case with another individual's PAS file which did not have documentation that the first follow-up meeting occurred. With these three cases, the PAS Admin Unit sent several delinquent meeting notices, but has not yet received any reports documenting the first follow-up meeting has occurred.

Second Follow-Up Meetings

Three members/employees were on medical leave and did not attend a second follow-up meeting. One individual was removed from supervisory monitoring and entered intervention thus did not attend the second follow-up meeting. Of the remaining 25 individuals, 13 (52%) attended a second follow-up meeting and those meetings were deemed in compliance with the three month requirement or held within a reasonable time. As with the first follow-up meeting audit findings, some meetings occurred later than the required time period, but the delays were not unreasonable.

There were ten follow-up meetings that occurred either much earlier or later than the three month requirement; these meetings were deemed out of compliance. The audit was unable to assess two meetings due to lack of documentation supporting the meetings occurred. The PAS Admin Unit has sent delinquent notifications to the individuals' chains of command.

Monitoring

Of the 29 members/employees who entered supervisory monitoring during the audit period, three were on medical leave and one was transferred to intervention. Monitoring durations for these four individuals were not included in the assessment.

Of the 25 members/employees included in the audit population, the audit determined that 23 (92%) members/employees were monitored for a minimum of three months. The duration of monitoring for two individuals could not be assessed due to lack of supporting documentation and were therefore held out of compliance.

Task 41.17

Members/employees recommended for PAS intervention are monitored for a minimum of 12 months and attend two documented, mandatory follow-up meetings the first at three months and the second at one year, with member/employee's immediate supervisor and designated commander/manager.

Audit Steps

The auditor reviewed Disposition/Follow-up Meeting Reports for those individuals who entered intervention between January 1, 2009 and July 31, 2010 to determine whether they were monitored for the minimum 12 months and attended two documented, mandatory follow-up meetings at the end of three months and at the second at one year following their disposition meeting. Recognizing that meetings can't always occur exactly at the three month or twelve month targeted time periods, the auditor used best judgment to determine if the meetings were held within a reasonable time.

Findings

The Department is not in compliance with of Task 41.17. The findings for the different components of this task are provided below.

First Follow-up Meetings

Twelve members/employees entered intervention during the audit period. One individual was on medical leave shortly following his disposition meeting and did not attend a follow-up meeting. For the remaining 11 individuals, seven (64%) of the required initial follow-up meetings were in compliance with the three month requirement. Some of the meetings were held later than three months following the disposition meeting, but the delays were not unreasonable.

There were four initial follow-up meetings that occurred less than three months following the disposition meetings. In error, the PAS Admin Unit provided each individual's chain-of-command with a projected meeting schedule that did not coincide with the three month first follow-up meeting requirement. While not clearly documented as a cause for the premature meetings, it appears each supervisor was attempting to meet the projected schedule timeline provided; these meetings were determined to be not in compliance. The PAS Admin Unit has since remedied the potential of this type of timeline calculation errors from occurring in the future.

Second Follow-up Meetings

Of the 12 members/employees who entered intervention, two members/employees were released following their first follow-up meeting and one individual was on medical leave while monitored; the second follow-up meetings for these individuals were not required and thus not applicable to this audit. All (100%) of the remaining nine individuals attended a second follow-up meeting 12 months after the disposition meeting. Some of the meetings occurred prematurely (i.e., before the 12 month requirement), but the audit found these occurrences to be reasonable. There were also some noted delays in the occurrences, but they were not excessive and were not unreasonable.

Monitoring

The audit determined that 100% of the members/employees who entered intervention and were not exempt from the duration requirement due to medical leave or early release, were monitored for a minimum of 12 months.

Task 41.18

Member/employee subject to PAS intervention for minor, easily correctable performance deficiencies may be dismissed from the jurisdiction of PAS upon the written approval of the member/employee's responsible Deputy Chief following a recommendation in writing from the member/employee's immediate supervisor. This may occur at the three-month follow-up meeting or at any time thereafter, as justified by reviews of the member/employee's performance.

Audit Steps

The auditor reviewed the PAS Timeline database to identify those members/employees who were released early from PAS intervention between January 1, 2009 and July 31, 2010. Each individual's PAS file was reviewed to locate documentation that the employee/member's immediate supervisor recommended an early release after the individual's three month follow-up meeting. After identifying the recommendation, the auditor reviewed documents to ascertain if the responsible Deputy Chief provided a written approval of the early release.

Findings

The Department is in compliance with this Task. There were three individuals who were released early from intervention during the audit period. The supervisors' recommendations and appropriate written approval of the responsible Deputy Chiefs were identified for all (100%) early releases. These releases all occurred after the individuals' three month follow-up meetings. The supervisors recorded their recommendations on the Disposition/Follow-up Meeting Reports, which were acknowledged and signed through individuals' the chain-of-command and ultimately approved by their respective Deputy Chief.

Tasks 41.19 and 41.19.1

When a member/employee is not discharged from PAS jurisdiction at the one-year follow-up meeting, PAS jurisdiction is extended, in writing, for a specific period in three-month increments at the discretion of the member/employee's responsible Deputy Chief.

When PAS jurisdiction is extended beyond the minimum one-year review period, additional review meetings involving the member/employee, the member/employee's designated commander/manager and immediate supervisor, take place no less frequently than every three months.

Audit Steps

The auditor reviewed the PAS Timeline Database to identify those members/employees in intervention between January 1, 2009 and July 31, 2010 and whose PAS jurisdictions were extended beyond one year of monitoring. The auditor reviewed these individuals' PAS files to assess documents to determine if the extensions were for a period of three month increments and if the extensions were the result of the responsible Deputy Chief's decision.

After assessing the duration of the extensions, the auditor determined if the individuals met with their respective supervisors and commanders at a minimum of every three months. The auditor reviewed the individuals' files to determine if the follow-up meetings were memorialized in the Disposition/Follow-up Meeting Reports and if not, to see if documented in another manner (i.e. email correspondents).

Findings

The Department is in compliance with Tasks 41.19 and 41.19.1. There were three individuals identified who were extended beyond one year of intervention during the audit period. All extensions (100%) were in compliance. The monitoring extensions for the individuals were recommended by their supervisors; the Deputy Chiefs concurred with the recommendations. The timelines for the extensions were documented on Disposition/Follow-up Meeting Reports and signed by the respective Deputy Chiefs. The extensions were in three month increments. Two individuals were extended for three months and one for six months.

One individual extended for three months attended a follow-up meeting with his immediate supervisor and commander in accordance with the three month requirement. The three month follow-up meeting for another individual, who was extended for six months, did occur and was attended by his supervisor and commander. At the time of the audit, the six month meeting had not occurred.

The third individual's monitoring extension is temporarily suspended pending the individual's return to duty and thus, no follow-up meetings have occurred.

Task 41.21

All division/watch commanders and manager conduct quarterly meetings with their supervisory staff for the purpose of assessing and sharing information about the state of the unit and identifying potential or actual performance problems within the unit. These meetings are scheduled to follow-up on supervisors' assessments of their subordinates' for PAS intervention.

Audit Steps

The auditor reviewed the PAS Command Quarterly Review Meeting Reports for the entire year of 2010. The auditor reviewed the reports to ascertain whether commanders met quarterly with their designated supervisory staff. In addition, the auditor assessed the reports to determine if information regarding the state of the unit was shared and if identified potential or actual performance issues or patterns of at-risk behavior within the unit were discussed.

Findings

The Department is in compliance with Task 41.21. In 2010, a total of 72 quarterly meetings should have taken place; however, there were 68 PAS Command Quarterly Review Meeting Reports on file in the PAS Admin Unit. There were no minutes for four quarterly meetings in 2010. The 68 (94%) PAS Command Review Meeting Reports

reviewed included some discussion on the state of the unit and any identified potential or actual performance issues or patterns of at-risk behavior.

Report documentation for the units varied from brief to very detailed. Some reports from smaller units read much the same from quarter to quarter with no significant changes or issues documented in the report narratives. The Bureau of Field Operations' quarterly reports were very detailed, providing specific information regarding personnel and an overview of the state of the unit.

All reports illustrated that the commanders/managers met with their subordinates and engaged in some dialogue pertaining to the state of the unit and any identified potential or actual performance issues or patterns of at-risk behavior (e.g. use of force, sick leave usage, vehicle collisions, and complaints).

Task 41.22

Division/watch commanders and managers meet at least annually with his/her Deputy Chief/Director and the IAD Commander to discuss the state of their commands and any exceptional performances, potential or actual performance problems or other potential patterns of at-risk.

Audit Steps

The auditor reviewed the minutes from the 2010 Annual PAS Command Review Meeting Reports for the meetings held between Division/Watch Commanders and managers and their respective Deputy Chief/Director and the Internal Affairs Division Commander. An assessment of the meeting minutes was made to determine whether the annual meetings with all commanders/managers occurred during the year. In addition, the auditor reviewed the minutes to determine if during such meetings the state of the commands/units, any exceptional performance, potential or actual performance problems, or potential patterns of at-risk behavior within the unit were discussed.

Findings

The Department is not in compliance with Task 41.22. There were meeting minutes documenting that the Bureaus of Field Operations (BFO) and Bureau of Investigations (BOI) commanders/managers met with their respective Deputy Chiefs. The BFO meeting minutes recorded the attendance of the IAD Commander; the minutes from the BOI however, did not record the attendance of the IAD Commander. Meeting minutes for both bureaus were very brief and provided little more than the list of attendees and short verbiage of the state of the units.

In 2010, the Bureau of Services (BOS) did not have a Deputy Chief, but was instead commanded by a captain. There is documentation that the BOS lieutenants/managers met with the captain in 2010, but as with the BOI, there is no documentation the IAD Commander was in attendance.

Although there was no record of the IAD commander's attendance at the BOI and BOS meetings, the commander who served as IAD Commander in 2010 recalls attending the annual meetings with the bureau deputy chiefs.

There were no records supporting that the commanders of the IAD and the Office of Inspector General (OIG) met with their superiors in 2010 to discuss the state of their units and matters pertaining to performances as outlined in Task 41.22. This was also the case for the Fiscal Services Division Manager. There was no record that the manager met the Fiscal Services Division Director in 2010 to discuss performances and the state of the unit.

Although the Annual PAS Command Review Meeting Reports provided limited documentation specific to Task 41.22, the Annual Management Report process accomplishes similar goals as outlined in Department General Order A-7. Division commanders and managers are required to prepare Annual Management Reports, which are reviewed by their Deputy Chief or Director, and make presentations to the Chief of Police and Deputy Chiefs/Director. These meetings and reports incorporate significant accomplishments, productivity performance data, risk management data (i.e. uses of force, complaints, pursuits, etc.), and plans and goals (State of the Unit), which are key elements of Task 41.22. These are scheduled meetings that occur annually.

Task 41.23

Division/watch commanders and managers develop and document plans to ensure the managerial and supervisory accountability of their units, and for addressing any real or potential problems that may be apparent.

Audit Steps

The auditor reviewed the PAS Command Quarterly Review Meeting Reports for the entire year of 2010. The auditor reviewed the reports to determine if commanders and managers developed and documented plans to address any problems or potential problems pertaining to their units, when it was apparent.

Findings

The audit determined the Department is in compliance with Task 41.23. The vast majority of the reports reviewed included some documentation regarding the PAS dispositions of the various units' members/employees. These reports included a summary of the status of those individuals who entered intervention or supervisory monitoring during the reporting period. Commanders/managers reported such matters as patterns of uses of force, sick leave usage, and vehicle collisions occurring among their assigned personnel.

Some reports were not as detailed and provided only a brief description of issues related to personnel, while others did not document any issues or problems pertaining to the unit and thus no plan or action was necessary. Of the reports reviewed, issues discussed were

specific to individuals rather than the overall state of the unit (e.g. use of force trends for a specific group within a unit, increase in sick of leave usage within a squad).

Although varied in details from unit to unit, the reports illustrated that the commanders/managers made an assessment of potential and/or actual problems related to their units and when problems were identified, a plan of action was provided.

Task 41.25

Intervention strategies implemented as a result of a PAS Activity Review and Report are documented in a timely manner.

Audit Steps

The auditor reviewed PAS Intervention Strategy Confirmation Reports and Disposition/Follow-up Meeting Reports received by the PAS Admin Unit between January 1, 2011 and April 30, 2011. Each listed report was examined to determine if the implemented intervention strategies listed on the report were documented within seven days of their attempt or completion.

For purposes of the audit, the auditor defined the date of documentation as the date of the either the PAS Intervention Strategy Confirmation Report and/or the Disposition/Follow-up Meeting Report. To determine if the strategies were documented in a timely manner (i.e. seven days), the report date was then compared to the strategies attempted or completion dates.

In cases where more than seven days lapsed between the date of the reviewed report and the strategies attempted or completion dates, the auditor reviewed the member/employee's Supervisory Notes Files and documents maintained in the individual's PAS file to determine if the strategies were previously documented within these records.

Findings

The Department is not in compliance with Task 41.25. There were 51 strategies reported on the PAS Intervention Strategy Confirmation Reports and Disposition/Follow-up Meetings reviewed. Of the 51 strategies, 28 (55%) were documented in a timely manner (i.e. seven days). Five strategies for one individual were documented on a Disposition/Follow-up Meeting Report, but did not include start dates. A review of the individual's Supervisory Notes Files and PAS file did not show record of the attempted or completion dates of the strategies.

There were 18 strategies that were not documented within seven days of completion or attempt; however, documentation and tracking of the strategies did occur. The largest span of time between the strategies attempted or completion and documentation was more than 60 days. Although timely documentation is important and required by policy, the delayed recordings of these strategies do not hinder or negatively affect the PAS process.

Task 41.27

The member/employee's designated commander/manager schedules a PAS Activity Review meeting to be held no later than 20 days following notification to the Deputy Chief/Director that the member/employee has met a PAS threshold and when intervention is recommended.

Audit Steps

The auditor reviewed the PAS Review Timeline to identify those members/employees who entered intervention between January 1, 2009 and December 31, 2010. A review of each individual's file was conducted to determine if the individual, his/her designated commander/manager and immediate supervisor attended a disposition meeting within 20 days of the PAS Activity Review Panel notification to the Deputy Chief/Director that the individual met a threshold *and* intervention was recommended.

To conduct this assessment, the auditor first reviewed the PAS Activity Panel Response Report to identify the notification date. The notification date is recorded on the PAS Activity Panel Response Report which is forwarded to the individual's chain-of-command, including the Deputy Chief. This report serves as notification that the member/employee met a PAS threshold *and*, when applicable, intervention has been recommended.

The auditor reviewed the Disposition/Follow-up Meeting Report for each individual to ascertain whether the disposition meeting occurred no later than 20 days following the notification date.

Findings

The Department is in compliance with Task 41.27. There were 16 disposition meetings held for individuals who entered intervention during the audit period. Of the 16 meetings, 15 (94%) were held no later than 20 days following notification to the Deputy Chief/Director that the individual met a PAS threshold and intervention was recommended. One meeting did not occur within the stipulated timeframe, but did occur 22 days following notification, two days more than the requirement.

There were four incidents in which the disposition meeting occurred prior to notification from the PAS Activity Panel to the Deputy Chief/Director. With these incidents, the individuals' chain-of-command recommended intervention and proceeded to hold disposition meetings before the PAS Panel made notifications of its recommendations. The PAS Panel concurred with each individual's chain-of-command, recorded its recommendation for intervention and forwarded notification to the designated Deputy Chief/Director. These incidents were determined to be in compliance.

RECOMMENDATIONS

1. Supervisors should ensure members/employees are dismissed from his/her disposition meeting and the dismissal should be documented in the Disposition/Follow-up Meeting Report.
2. Supervisors and commanders/managers should ensure PAS follow-up meetings occur within the timelines stipulated in DGO D-17. If meetings are held early or are delayed more than two weeks, the reason should be documented and forwarded to the PAS Admin Unit to be filed in the individual's PAS file (e.g. conflicts with projected meeting dates, leaves of absences, scheduled vacations etc.).
3. In cases where a member/employee is transferred to a new assignment, the current supervisor should consult with the PAS Admin Unit and/or the individual's previous supervisor to determine if the member/employee is in supervisory monitoring or intervention.
4. Commanders/managers should maintain thorough quarterly meeting minutes, recording discussions regarding supervisory accountability of their units and addressing potential or real problems within the unit. Meeting discussions should, when applicable, include not only individual personnel issues, but also the potential or real problems that affect the unit as a whole (e.g. increased number of complaints within a squad, increase in uses of force within a unit).
5. For annual meetings with the Deputy Chiefs/Director and IAD Commander, the Office of the Chief of Police should issue a memo each year stating which Units/Divisions are required to meet and include the required attendance of the IAD Commander. Bureau Deputy Chiefs/Director should include a list of attendees with the annual meeting report minutes to ensure all attending participants' are accurately recorded.
6. Supervisors should document all intervention strategies immediately upon implementation and completion. Supervisors should be required to record strategies on the PAS Intervention Strategy Confirmation Report (TF-3275b).

Appendix 1, Task 41.11, PAS Disposition Meetings

Audit Tracking #	Disposition Meeting	Supervisor Present	Com/Mgr Present	Comments
1	11-Apr-11	YES	YES	
2	15-Sep-10	YES	YES	
3	22-Apr-10	YES	YES	
4	12-Apr-11	YES	YES	
5	19-Oct-10	YES	YES	
6	10-Apr-11	YES	YES	
7	30-Jan-11	YES	N/A	One tier chain; unit manager was also the individual's supervisor.
8	11-Apr-11	YES	YES	
9	15-May-11	YES	YES	
10	26-Apr-11	YES	YES	
11	20-Jan-11	YES	YES	
12	21-Mar-11	YES	YES	
13	16-Mar-11	YES	YES	
14	6-Apr-11	YES	YES	
15	1-Oct-10	YES	YES	
16	7-Oct-10	YES	YES	
17	15-Jan-11	YES	YES	
18	10-Apr-11	YES	YES	
	YES	18	17	
	NO	0	0	
	UTD	0	0	
	N/A	0	1	
	TOTAL	18	17	
	COMPLIANCE	100%	100%	

Appendix 2, Tasks 41.12.1 and 41.12.2, PAS Disposition Meetings

Audit Tracking #	Disposition Meeting	TASK 41.12.1 Issues and recomm. strategies discussed?	TASK 41.12.2 Was member/employee dismissed from meeting?	TASK 41.12.2 Did the sup and com/mgr remain and discuss situation and response?	Comments
1	11-Apr-11	YES	YES	YES	
2	15-Sep-10	YES	YES	YES	
3	22-Apr-10	YES	YES	YES	
4	12-Apr-11	YES	YES	YES	
5	19-Oct-10	YES	YES	YES	
6	10-Apr-11	YES	YES	YES	
7	30-Jan-11	YES	YES	N/A	One tier chain; unit manager was also the individual's supervisor.
8	11-Apr-11	YES	YES	YES	
9	15-May-11	YES	NO	NO	Dismissal box checked 'no'. Unable to determine if discussion between sup and com/mgr occurred. No other documentation in narrative.
10	26-Apr-11	YES	NO	NO	Dismissal box checked 'no'. Unable to determine if discussion between sup and com/mgr occurred. No other documentation in narrative.
11	20-Jan-11	YES	NO	NO	Dismissal box checked 'no'. Unable to determine if discussion between sup and com/mgr occurred. No other documentation in narrative.
12	21-Mar-11	YES	YES	YES	

Appendix 2, Tasks 41.12.1 and 41.12.2, PAS Disposition Meetings (cont.)

Audit Tracking #	Disposition Meeting	TASK 41.12.1 Issues and recomm. strategies discussed?	TASK 41.12.2 Was member/employee dismissed from meeting?	TASK 41.12.2 Did the sup and com/mgr remain and discuss situation and EE response?	Comments
13	16-Mar-11	YES	YES	YES	
14	6-Apr-11	YES	YES	YES	
15	1-Oct-10	YES	YES	YES	
16	7-Oct-10	YES	YES	YES	
17	15-Jan-11	YES	YES	YES	
18	10-Apr-11	YES	YES	YES	
	YES	18	15	14	
	NO	0	3	3	
	UTD	0	0	0	
	TOTAL	18	18	17	
	COMPLIANCE	100%	83%	82%	

Appendix 3, Task 41.14, Duration of Supervisory Monitoring and Intervention (cont.)

Audit Tracking #	Disposition	Disposition Meeting	1st Follow-up	2nd Follow-up	Released	Monitored for specified period?	Comments
1	SM	6-Oct-09	3-Nov-09	31-Dec-09	29-Jan-10	YES	
2	SM	10-Feb-10	UTD	UTD	UTD	UTD	PAS Admin Unit had not received reports.
3	SM	10-Dec-09	14-Jan-10	17-Feb-10	22-Apr-10	YES	
4	SM	20-Jan-10	11-Feb-10	26-Mar-10	9-Oct-10	YES	
5	SM	5-Aug-09	5-Sep-09	25-Oct-09	27-Jan-10	YES	
6	SM	27-May-09	N/A	N/A	N/A	N/A	Medical leave
7	SM	3-Sep-10	UTD	10-Dec-10	7-Jan-11	YES	Per PAS file, PAS Admin Unit has not received report for first follow-up mtg after requesting from supervisor. Appears there was some discussion of follow-up meeting to be held on 10/7/10, but PAS has not rec'd doc. Delinquent notifications sent.
8	SM	7-Oct-10	18-Nov-10	29-Dec-10	UTD	YES	Placed on intv in 2011. Was under sup mon for min time.
9	SM	8-Apr-09	11-Jun-09	6-Aug-09	25-Sep-09	YES	
10	SM	UTD	UTD	8-Apr-11	TBD	UTD	Individual was transferred from one supervisor to another. Second supervisor did not know individual was on supervisory monitoring. PAS Admin Unit is awaiting the reports.
11	SM	14-Jun-10	19-Jul-10	22-Sep-10	19-Nov-10	YES	
12	SM	9-Jan-09	23-Feb-09	1-Jun-09	25-Sep-09	YES	
13	SM	13-Feb-09	2-Apr-09	N/A	N/A	N/A	Medical leave
14	SM	13-Sep-10	23-Sep-10	25-Jan-11	18-Feb-11	YES	
15	SM	27-Aug-10	27-Sep-10	14-Jan-11	N/A	YES	Extended
16	SM	25-Apr-10	3-Jul-10	7-Sep-10	10-Mar-11	YES	
17	SM	7-Oct-09	6-Nov-09	14-Jan-10	29-Jan-10	YES	
18	SM	11-Sep-09	1-Oct-09	7-Jan-10	22-Apr-10	YES	

Appendix 3, Task 41.14, Duration of Supervisory Monitoring and Intervention (cont.)

Audit Tracking #	Disposition	Disposition Meeting	1st Follow-up	2nd Follow-up	Released	Monitored for specified period?	Comments
19	SM	17-Dec-09	14-Apr-10	29-Apr-10	19-Nov-10	YES	
20	SM	4-Oct-10	23-Mar-11	24-May-11	TBD	YES	Not released but has been extended and monitored for a minimum of three months.
21	SM	16-Dec-10	19-Jan-11	N/A	3/21/2011	N/A	Medical leave
22	SM	19-Dec-10	24-Mar-11	24-May-11	TBD	YES	
23	SM	26-Aug-09	28-Oct-09	17-Dec-09	25-May-11	YES	
24	SM	5-Feb-09	1-Apr-09	13-May-09	TBD	YES	Not released but has been extended and monitored for a minimum of three months.
25	SM	11-Dec-10	10-Jan-11	26-Mar-11	TBD	YES	Not released but has been extended and monitored for a minimum of three months.
26	SM	23-Jun-09	23-Jul-09	6-Oct-09	6-Nov-09	YES	
27	SM	18-Aug-09	N/A	N/A	N/A	N/A	Medical leave
28	SM	6-May-10	23-Jul-10	22-Sep-10	18-Feb-11	YES	
29	SM	24-Dec-10	15-Feb-11	27-Mar-11	21-Apr-10	YES	
30	INT	1-Jan-09	7-May-09	EARLY RELEASE	N/A	N/A	Early release
31	INT	22-Apr-10	27-Jul-10	12-Apr-11	13-Apr-11	YES	
32	INT	10-Jul-09	1-Oct-09	EARLY RELEASE	11/6/2009	N/A	Early release
33	INT	15-Oct-09	24-Dec-09	19-Oct-10	19-Nov-10	YES	
34	INT	21-Apr-10	24-Jun-10	16-Mar-11	21-Apr-11	YES	
35	INT	14-Mar-09	9-Jul-09	31-Mar-10	22-Apr-10	YES	In error, the PAS Admin Unit provided a projected mtg schedule of 6/30/10 and 3/30/11. It appears the sup was attempting to meet the dates and scheduled the 1st mtg sooner than 90 days and the 2nd before 1 yr.

Appendix 3, Task 41.14, Duration of Supervisory Monitoring and Intervention (cont.)

Audit Tracking #	Disposition	Disposition Meeting	1st Follow-up	2nd Follow-up	Released	Monitored for specified period?	Comments
36	INT	5-Feb-09	6-Mar-09	10-Feb-10	22-Apr-10	YES	
37	INT	15-Jul-09	30-Sep-09	22-Oct-10	EXTENDED	YES	
38	INT	19-Aug-10	MED LEAVE	MED LEAVE	N/A	N/A	Medical leave
39	INT	6-Nov-09	6-Jan-10	9-Nov-10	21-Apr-11	YES	
40	INT	3-Mar-09	3-Jun-09	10-Mar-10	EXTENDED	YES	
41	INT	3-Apr-10	27-Jun-10	19-Mar-11	TBD	YES	Not released...has been extended, but has been monitored for a min of 12 months.
				YES		32	
				NO		0	
				UTD		2	
				N/A		7	
				TOTAL		34	
				COMPLIANCE		94%	

Appendix 4, Task 41.16, Supervisory Monitoring

Audit Tracking #	Disposition Meeting	First Follow-up Meeting	First follow-up after one month?	Second Follow-up Meeting	Second follow-up at end of three months?	Monitored for min. of three months?	Two documented follow-up meetings?	Comments
1	6-Oct-09	3-Nov-09	YES	31-Dec-09	YES	YES	YES	
2	10-Feb-10	UTD	UTD	UTD	UTD	UTD	UTD	PAS Admin Unit had not received any reports supporting that any SM follow-ups took place. Numerous delinquent notices.
3	10-Dec-09	14-Jan-10	YES	17-Feb-10	YES	YES	YES	
4	20-Jan-10	11-Feb-10	YES	26-Mar-10	NO	YES	YES	Released 3 sep 10 - was extended four months
5	5-Aug-09	5-Sep-09	YES	25-Oct-09	YES	YES	YES	
6	27-May-09	N/A	N/A	N/A	N/A	N/A	N/A	Medical leave
7	3-Sep-10	UTD	UTD	10-Dec-10	YES	YES	UTD	PAS Admin Unit has not received report for first follow-up meeting. Delinquent notifications sent. Time between disposition meeting and 2 nd follow-up is three months, supporting that individual was monitored for minimum required time.
8	7-Oct-10	18-Nov-10	YES	29-Dec-10	YES	YES	YES	Multiple meetings held throughout process
9	8-Apr-09	11-Jun-09	NO	6-Aug-09	NO	YES	YES	
10	UTD	UTD	UTD	8-Apr-11	UTD	UTD	UTD	Individual trfd from one sup to another. 2nd sup did not know individual was on sup monitoring. Numerous delinquent notices sent out.
11	14-Jun-10	19-Jul-10	YES	22-Sep-10	YES	YES	YES	
12	9-Jan-09	23-Feb-09	YES	1-Jun-09	NO	YES	YES	
13	13-Feb-09	2-Apr-09	YES	N/A	N/A	N/A	N/A	Medical leave

Appendix 4, Task 41.16, Supervisory Monitoring (con.t)

Audit Tracking #	Disposition Meeting	First Follow-up Meeting	First follow-up after one month?	Second Follow-up Meeting	Second follow-up at end of three months?	Monitored for min. of three months?	Two documented follow-up meetings?	Comments
14	13-Sep-10	23-Sep-10	NO	25-Jan-11	NO	YES	YES	
15	27-Aug-10	27-Sep-10	YES	14-Jan-11	NO	YES	YES	
16	25-Apr-10	3-Jul-10	NO	7-Sep-10	NO	YES	YES	
17	7-Oct-09	6-Nov-09	YES	14-Jan-10	YES	YES	YES	
18	11-Sep-09	1-Oct-09	YES	7-Jan-10	YES	YES	YES	
19	17-Dec-09	14-Apr-10	NO	29-Apr-10	NO	YES	YES	
20	4-Oct-10	23-Mar-11	NO	24-May-11	NO	YES	YES	
21	16-Dec-10	19-Jan-11	YES	N/A	N/A	N/A	N/A	Individual moved to intervention; second follow-up meeting not applicable.
22	19-Dec-10	24-Mar-11	NO	24-May-11	NO	YES	YES	
23	26-Aug-09	28-Oct-09	NO	17-Dec-09	YES	YES	YES	
24	5-Feb-09	1-Apr-09	NO	13-May-09	YES	YES	YES	
25	11-Dec-10	10-Jan-11	YES	26-Mar-11	YES	YES	YES	

Appendix 4, Task 41.16, Supervisory Monitoring (cont.)

Audit Tracking #	Disposition Meeting	First Follow-up Meeting	First follow-up after one month?	Second Follow-up Meeting	Second follow-up at end of three months?	Monitored for min. of three months?	Two documented follow-up meetings?	Comments
26	23-Jun-09	23-Jul-09	YES	6-Oct-09	YES	YES	YES	
27	18-Aug-09	N/A	N/A	N/A	N/A	N/A	N/A	Medical leave
28	6-May-10	23-Jul-10	NO	22-Sep-10	NO	YES	YES	
29	24-Dec-10	15-Feb-11	NO	27-Mar-11	YES	YES	YES	
		YES	14		13	23	22	
		NO	10		10	0	0	
		UTD	3		2	2	3	
		N/A	2		4	4	4	
		TOTAL	27		25	25	25	
		COMPLIANCE	52%		52%	92%	88%	

Appendix 5, Task 41.17, Intervention

Audit Tracking #	Disposition Meeting	First Follow-up Meeting	First Follow-up at three months?	Second Follow-up Meeting	Second follow-up at one year?	Monitored for min of 12 months?	Two documented follow-up meetings?	Comments
1	1-Jan-09	7-May-09	YES	EARLY RELEASE	N/A	N/A	N/A	Early release
2	22-Apr-10	27-Jul-10	YES	12-Apr-11	YES	YES	YES	
3	10-Jul-09	1-Oct-09	YES	EARLY RELEASE	N/A	N/A	N/A	Early release
4	15-Oct-09	24-Dec-09	NO	19-Oct-10	YES	YES	YES	
5	21-Apr-10	24-Jun-10	NO	21 Apr 11	YES	YES	YES	
6	14-Mar-09	9-Jul-09	YES	31-Mar-10	YES	YES	YES	
7	5-Feb-09	6-Mar-09	NO	10-Feb-10	YES	YES	YES	
8	15-Jul-09	30-Sep-09	YES	22-Oct-10	YES	YES	YES	
9	19-Aug-10	MED LEAVE	N/A	MED LEAVE	N/A	N/A	N/A	Medical leave
10	6-Nov-09	6-Jan-10	NO	9-Nov-10	YES	YES	YES	
11	3-Mar-09	3-Jun-09	YES	10-Mar-10	YES	YES	YES	
12	3-Apr-10	27-Jun-10	YES	19-Mar-11	YES	YES	YES	
		YES	7		9	9	9	
		NO	4		0	0	0	
		UTD	0		0	0	0	
		N/A	1		3	3	3	
		TOTAL	11		9	9	9	
		COMPLIANCE	64%		100%	100%	100%	

Appendix 6, Task 41.21, Quarterly Meetings

Division/Office	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Internal Affairs Division	YES	YES	YES	YES
Intelligence Unit	YES	YES	YES	No report
Office of Inspector General	YES	YES	YES	YES
Fiscal Services Division	YES	No report	YES	YES
Bureau of Field Operations - Area 1	YES	YES	YES	YES
Bureau of Field Operations - Area 2	YES	YES	YES	YES
Bureau of Field Operations - Area 3	YES	YES	YES	YES
Special Operations Division	YES	YES	YES	YES
Bureau of Field Operations - Admin	No report	YES	YES	YES
Research and Planning Division	YES	YES	YES	YES
Communications Division	YES	YES	YES	YES
Training Division	YES	No report	YES	YES
Records Division	YES	YES	YES	YES
Animal Services Division	YES	YES	YES	YES
Youth and Family Services Division	YES	YES	YES	YES
Criminalistics Division	YES	YES	YES	YES
Property and Evidence Unit	YES	YES	YES	YES
Criminal Investigations Division	YES	YES	YES	YES
		Meetings/Year	72	
		Total Meeting Reports	68	
		Compliance	94%	

Appendix 7, Task 41.25, Intervention Strategies

Audit Tracking #	Strategy Documentation	# of Strategies	Days between documentation dates and strategies start/completion dates	# Not within seven days	# Within seven days
1	Three strategies with start date of 11 Apr 11. Documented on PAS Intervention Strategy Confirmation Report dated 11 Apr 11.	3	0		3
2	Three strategies all having start dates in September 2010. Per PAS file, the first documentation of these strategies is on PAS Intervention Strategy Confirmation Report dated 10 Nov 10. Supervisory Notes File entry dated 27 Sep 10 refers to a strategy with a start date of 16 Sep 10.	3	70	3	
3	Five strategies all with start dates of 24 Mar 11. Documented on PAS Intervention Strategy Confirmation Report dated 21 Apr 11.	5	28	5	
4	Five strategies with 12 Apr 11 start dates. Documented on PAS Intervention Strategy Confirmation Report dated 12 Apr 11. When strategies were attempted or completed is not clear.	5	0		5
5	Three strategies with 11 Apr 11 start dates. Documented on PAS Intervention Strategy Confirmation Report dated 11 Apr 11.	3	0		3

Appendix 7, Task 41.25, Intervention Strategies (cont.)

Audit Tracking #	Strategy Documentation	# of Strategies	Days between documentation dates and strategies start/completion dates	# Not within seven days	# Within seven days
6	One strategy with start date of 16 Mar 11. Documented on PAS Intervention Strategy Confirmation Report dated 6 Apr 11	1	21	1	
7	One strategy with start date of 30 Jan 11. Documented on PAS Intervention Strategy Confirmation Report dated 30 Jan 11.	1	0		1
8	Two strategies with 11 Apr 11 start dates documented on PAS Int Str Conf Rpt dated 11 Apr 11.	2	0		2
9	Five strategies. Per Disposition Meeting Report dated 26 Apr 11 all strategies are to begin immediately.	5	0		5
10	Two strategies with start dates in November 2010. SNF entry dated 10 Nov 10 states individual started strategy on his own. Documented on Int Str Conf Report dated 3 Feb 11.	2	10	2	
11	One strategy documented on 20 Dec 10 with a start date of 20 Dec 10.	1	0		1
12	Three strategies with 14 Mar 11 start dates. Information documented on PAS Int Str Conf Report dated 7 Mar 11.	3	7		3
13	Two strategies 10 Feb 10 and 15 Jan 10 start dates documented on PAS Intervention Strategy Confirmation Report dated 25 Mar 11. Typo with years - s/b 2011 not 2010.	2	69+	2	

Appendix 7, Task 41.25, Intervention Strategies (cont.)

Audit Tracking #	Strategy Documentation	# of Strategies	Days between documentation dates and strategies start/completion dates	# Not within seven days	# Within seven days
14	Two strategies with 16 Dec 10 start dates documented on PAS Int Str Conf Report dated 7 Jan 11.	2	22	2	
15	Five strategies documented on Disposition Meeting Report dated 18 May 11. Start dates not recorded.	5	No dates	5	
16	One strategy with start date 15 Dec 10 documented on PAS Intervention Strategy Confirmation Report dated 15 Dec 10.	1	0		1
17	One strategy with start date 15 Jan 11 documented on PAS Intervention Strategy Confirmation Report dated 16 Mar 11.	1	22	1	
18	Two strategies -- 2 Feb 11 and 27 Dec 10 documented on PAS Intervention Strategy Confirmation Report dated 27 Mar 11.	2	42	2	
19	Four strategies -- 8 Jan 11 and Jan/Feb 2011 start dates documented on PAS Intervention Strategy Confirmation Report 5 Jan 11.	4	0		4
	Total # of Strategies	51		23	28
			YES	28	
			NO	23	
			TOTAL	51	
			COMPLIANCE	55%	

Appendix 8, Task 41.27, Intervention Disposition Meetings Following Notifications

Audit Tracking #	Date of Notification	Meeting Date	# of days	Compliance	Comments
1	22-Dec-08	1-Jan-09	10	YES	
2	11-Jan-11	15-Sep-10	0	YES	Proactive; intervention began before Panel review
3	10-Jun-10	22-Apr-10	0	YES	Proactive; intervention began before Panel review
4	9-Oct-10	19-Oct-10	10	YES	
5	28-Jun-09	10-Jul-09	12	YES	
6	29-Sep-09	15-Oct-09	16	YES	
7	30-Mar-10	21-Apr-10	22	NO	
8	20-Apr-09	14-Mar-09	0	YES	Proactive; intervention began before Panel review
9	2-Feb-09	5-Feb-09	3	YES	
10	26-Jun-09	15-Jul-09	19	YES	
11	22-Dec-08	10-Jan-09	19	YES	
12	17-Dec-10	19-Aug-10	0	YES	Meeting was delay due to medical leave. Meeting occurred upon return.
13	6-Nov-09	20-Nov-10	14	YES	
14	17-Dec-10	1-Oct-10	0	YES	Proactive; intervention began before Panel review
15	20-Apr-10	3-Mar-09	0	YES	Proactive; intervention began before Panel review
16	30-Sep-09	7-Oct-10	7	YES	
17	30-Mar-10	3-Apr-10	4	YES	
			YES	16	
			NO	1	
			UTD	0	
			N/A	0	
			TOTAL	17	
			COMPLIANCE	94%	