

OAKLAND POLICE DEPARTMENT

Community Policing Plan/Task 47 Audit Report

Project No.: E2013OPDT47CP-A

Project Manager: Dawn Reynolds, JD, CLEA, CPO

Staff Auditor: Christopher Figueroa, DPA, CGAP, CFE, CFS, CLEA, CRMA



FINAL

Table of Contents

Audit Report	
• Purpose	1
• Background	1
• Prior Audits	2
• Reference Material	2
• Audit Period and Population	2
• Audit Steps/Methodology	3
• Audit Steps	3
• Methodology	4
• Summary of Findings	4
• Objective 1 – Task 47.1 Host at least (1) community meeting per quarter each PSA	5
• Objective 2 – Task 47.2 Each OPD Patrol Supervisor and Officer shall attend (1) community meeting per quarter within assigned Area	6
• Recommendations/Action Taken	7
• Recommendations	7
• Actions Taken	7

**Community Policing Plan/Task 47 Audit Report
Project No.: E2013OPDT47CP-A**

**Conducted by
ELITE PERFORMANCE ASSESSMENT CONSULTANTS, LLC
FOR
OAKLAND POLICE DEPARTMENT**

Date: December 31, 2013

PURPOSE

This audit was conducted in order to assess compliance of the Oakland Police Department (OPD) adherence to established policies and procedures, and Task 47 (Community Policing Plan) of the Negotiated Settlement Agreement (NSA) between Delphine Allen, et al. (Plaintiff) and the City of Oakland, et al. (Defendant).

BACKGROUND

On January 22, 2003, the OPD was placed under a NSA; the NSA was updated on February 4, 2004. The NSA's Task 47 requires that OPD:

Within 138 days from the effective date of this Agreement, OPD shall develop and implement a plan to strengthen its commitment to relationships with local communities including, but not limited to, the following:

- A. *Host at least one (1) community meeting per quarter in each Patrol Service Area (Objective 1).*
- B. *Each patrol supervisor, and officer assigned to a regular beat or geographic area of the City, shall attend a minimum of one (1) community meeting per quarter in the Area he/she is regularly assigned (Objective 2).*
- C. *OPD shall develop mechanisms to measure its community policing and problem solving activities (Objective 3).*
- D. *OPD shall incorporate positive statistics on community policing and problem solving activities in "Crime-Stop" meetings, along with information on citizen complaints and use of force incidents (Objective 4).*
- E. *The appropriate Departmental personnel shall arrange a meeting within 60 days unless not feasible with representatives of an established organization active within Oakland (PUEBLO, ACLU, NAACP, etc.) community groups or church groups, if an organization communicates a concern regarding specific police personnel or practices (Objective 5).*

The OPD established policies and procedures to implement the requirements of Task 47. This included Department General Order (DGO) B-7 Public Appearances, dated December 30, 2005 and Policy 11-01, Bureau of Field Operations (BFO), Problem Solving Officer Deployment, dated May 27, 2011.

In consultation with OPD staff, this audit was bifurcated and only Objective 1 and 2 are addressed in this report. Objectives 3 through 5 shall be addressed in a later audit report, Project No. E2013OPDT47CP-B. Objectives 3 through 5 are more complex and need additional review, but the Department wanted immediate feedback on Objectives 1 and 2.

PRIOR AUDITS

This was the first audit conducted by Elite Performance Assessment Consultants, LLC (EPAC), a contracted external consulting firm. The OPD has conducted several reviews and assessments to determine compliance with Task 47 (see References).

REFERENCE MATERIAL

The reference materials used in this audit include:

- Negotiated Settlement Agreement (NSA) between Delphine Allen, et al. (plaintiff) and the City of Oakland, et al. (defendant), updated: February 4, 2004, at pages 42-43
- Departmental General Order (DGO) B-7: Public Appearances, December 16, 2003
- Bureau of Field Operations (BFO) Policy & Procedure Manual (P & P) 11-01
- Community Meetings Training Bulletin (TB) III-A.5 Community Oriented Policing
- 15th Report Monitor, October 31, 2013
- Oakland NSA Compliance Report,
- Oakland City Council Resolution 72727, Establishing Implementation of the City of Oakland's Community Policing Policy, June 11, 1996
- Oakland City Council Resolution 79235, Amending the City of Oakland's Community Policing Policy, to Provide a Structured Approach to Community Involvement.
- Measure "Y" Community Policing, April 15, 2011 Quarterly Report.¹
- *Best Practices Review*, Oakland Police Department, Strategic Policy Partnership, October 31, 2013.
- *Community Policing Defined*, US Department of Justice, COPS.

AUDIT PERIOD AND POPULATION

The audit scope for Objectives 1 and 2 was the established time frame from July 1, 2013 through September 30, 2013. Objective 1 required each Police Service Area (PSA) to hold one community meeting per quarter. The population for this objective included 106 Public Appearance Report (PAR) forms and 13 Weekly Patrol Assignment Rosters for the designated audit period. Additional lists containing exempt OPD personnel was also considered.

Objective 2 required supervisors and officers to attend one public meeting per quarter in their assigned PSA. The population for Objective 2 contained the same documents as Objective 1.

¹ This was the most recent Measure Y Community Policing Report available on the city's website.

TABLE 1 – AUDIT PERIOD AND POPULATION

Objective	Period	Population
1. Host one community meeting per quarter.	July 1 through September 30, 2013	<ul style="list-style-type: none"> • 108 PAR Reports • 13 Weekly Patrol Assignment Rosters • Additional Exempt Officers' List
2. Supervisors and officers attend one public meeting per quarter in the area to which they are assigned.	July 1 through September 30, 2013	<ul style="list-style-type: none"> • 108 PAR Reports • 13 Weekly Patrol Assignment Rosters • Additional Exempt Officers' List

AUDIT STEPS/METHODOLOGY

Audit Steps:

The following audit steps were followed to complete this audit within the specified due date of December 31, 2013. An opening conference was conducted with OPD staff to address the audit's procedures and to answer questions. The engagement was then assigned to an EPAC staff member who was selected as the Project Manager (PM) and contact person. A staff auditor (SA) was also assigned to assist.

The PM requested and received all or portions of the following documents from OPD staff:

- All Public Appearance Report (PAR) forms from July 1, 2013 through September 30, 2013.
- All documentation of tracking Public Appearances.
- All reference documents (see Reference Material)
- All Weekly Patrol Assignment Rosters from July 1, 2013 through September 30, 2013.

The PM reviewed the above listed documents and then prepared the Audit Work Plan Report documenting the engagement's process. The PM prepared the following Excel spreadsheets to test compliance

- The PAR Evaluation Form
- Objective 1 & 2 Community Meeting Compliance Testing Instrument

The EPAC audit staff determined the compliance standards for Objective 1 to be 95% and for Objective 2 to be 85% per the Task 47 Review protocols. The EPAC audit staff conducted fieldwork by reviewing pertinent documents to determine the audit findings. The findings were analyzed and documented in the Audit Report. The EPAC staff contacted OPD staff for clarification of exceptions that were discovered during the audit engagement. This allowed OPD staff to respond and clarify the findings. The EPAC staff received OPD's responses and they were reviewed and considered.

After consultation with OPD staff, a decision was made to bifurcate the Task 47/Community Policing Plan audit engagement. The PM prepared this audit report and it was submitted to the OPD Audit Manager for OPD staff review and comment. An exit conference was conducted with OPD staff to discuss the audit findings.

Methodology:

The EPAC staff followed the described methodology. All the documents were stratified by month within the established time frames. The EPAC auditors tabulated all PAR reports from July 1, 2013 through September 30, 2013 and the information fields were measured for thoroughness, accuracy, supervisory controls and timely reporting of data.

The EPAC auditors inputted and merged the information from the Weekly Patrol Assignment Rosters into an Excel spreadsheet. The information included the officer's name, title, PSA and serial number. The information was used to develop the Objectives 1 and 2 Compliance Testing Instrument (CTI). The information from the PAR report tabulations was then crosschecked against information from the CTI and a District/Beat map downloaded from the OPD website to determine compliance with Objectives 1 and 2. The EPAC staff received additional information containing names of other OPD personnel who were exempt from attending community meetings. The EPAC auditors included that information to determine compliance with Objective 2.

After the reviews were completed, the PM analyzed the findings. The PM confirmed and tabulated the exceptions associated with the evaluated documents. All documents containing confirmed exceptions were considered out of compliance for the corresponding objective. A lack of documentation was also considered out of compliance. Documents that were unable to meet the standard for any one objective or any combination of objectives were considered out of compliance. The documents that were considered out of compliance were totaled and reported on by objective. The total number of documents compliant in any one objective was identified by a percentage relative to the respective NSA and OPD DGO mandates.

SUMMARY OF FINDINGS

The OPD has undertaken a number of programs to enhance community policing objectives and focus resources on effective problem solving policing and has done so with marked results. Their approach has been described as “holistic” and the term seems apropos to the effort in policy development, training, deployment and outreach. From on-site visits, reviews of reports and interviews, the commitment to community policing appears at every level of OPD and its mission. Findings in this audit primarily relate to shortfalls in OPD personnel not meeting the community meeting requirements specified in the NSA.

TABLE 2 – SUMMARY OF FINDINGS

Objective No.	Objective Title	Task No.	DGO B7 ↑	Objective %	Objective Compliance
1.	Host at least one (1) community meeting per quarter in each Patrol Service Area	47.1		100%	Compliant
2.	Each OPD Patrol Supervisor and Officer shall attend (1) community meeting per quarter within assigned Area.	47.2		79%	Non-Compliant
2.1.	<i>Within the quarter</i>	47.2		86%	<i>Compliant</i>
2.2.	<i>Within the assigned Area</i>	47.2		71%	<i>Non-Compliant</i>

Objective 1 - Task 47.1 Host at least one (1) community meeting per quarter in each Patrol Service Area

Criteria

The OPD shall host at least (1) community meeting per quarter in each Patrol Service Area (*Objective 1*). Task 47 Review Protocol compliance is 95%.

Audit Steps

The EPAC staff requested documentation on OPD personnel attending community meetings. The EPAC auditors received 106 PAR forms and patrol assignment rosters from the week of June 6 through September 28, 2013. The names of OPD patrol personnel with the rank of officer and sergeant, and also those assigned to Measure "Y" details were inputted into an Excel spreadsheet. Exempt personnel that included K-9, special assignment, medical, officers on loan, recent graduating recruit officers, retirements, terminations and civilian personnel were excluded. The captured information contained the OPD personnel's name, rank, Police Service Area (PSA) of assignment and serial number.

The captured personnel information and the PAR forms were reviewed, and analyzed to determine the number of community meetings hosted within the months of July through September 2013. The beat numbers indicated in the PAR and reconciling with the OPD District/Beat map, determined the PSA. The following analysis disclosed that PSA #1 conducted 21 meetings, PSA #2 conducted 28 meetings, PSA #3 conducted 18 meetings, PSA #4 conducted 10 meetings and PSA #5 conducted 18 meetings. Also, a combination of two or more PSAs hosted meetings were PSA #1 and #2 conducting two meetings, and PSA #2 and #3 conducting one meeting. Eight additional meetings were conducted during the audit period, but EPAC staff was unable to determine who hosted them because the Areas were not documented in the PAR forms. A total of 106 community meetings were hosted during the quarter (see table 3).

TABLE 3 – OBJECTIVE 1: HOSTED COMMUNITY MEETINGS BY AREA

AREA 1	AREA 2	AREA 3	AREA 4	AREA 5	2 OR MORE AREAS	UNKNOWN AREAS	TOTAL MEETINGS
21	28	18	10	18	3	8	106

Findings

Objective 1 was found to be 100% in compliance.

Objective 2 – Task 47.2 Each OPD Patrol Supervisor and Officer shall attend (1) community meeting per quarter within assigned Area.

Criteria

Each patrol supervisor, and officer assigned to a regular beat or geographic area of the City, shall attend a minimum of one (1) community meeting per quarter (*Objective 2.1*) in the Area he/she is regularly assigned (*Objective 2.2*). Task 47 Review Protocol compliance is 85%.

Audit Procedure

The EPAC staff followed Objective 1 procedures to capture the information needed to test compliance with Objective 2. The captured OPD personnel information and the PAR forms were analyzed to determine and verify whether personnel required attend community meetings met the requirement. The EPAC personnel also reviewed an additional list containing the names of OPD personnel who were not required to attend community meetings.

The analysis revealed that 272 OPD personnel were required to attend community meetings during the evaluated quarter. A total of 234 (86%) attended community meetings, of those, 193 (71%) attended in their PSA of assignment (see Table 4). Also, 19 officers attended community meetings that they were not required to attend. The EPAC auditors also found that on 51 occasions, OPD personnel had attended additional meetings. Of the 51 occasions, 42 of those were within their assigned PSA.

Table 4 – Objective 2: OPD Personnel Required to Attend (1) Community Meeting in Assigned Area

Objective 2.1: Required to Attend Meeting		Objective 2.2: Required to Attend in PSA of Assignment	
Total Required to Attend:	272	Total Required to Attend:	272
Total Attending:	234	Total Attending in Area:	193
Total Not Attending:	38	Total Not Attending:	79
Percentage Attending:	86%	Percentage Attending:	71%
Objective 2 Compliance			
Total Percentage Determining Compliance			79%

Findings

Objective 2.1 was found in compliance with 86% of OPD required personnel attending community meetings. Objective 2.2 was found out of compliance with only 71% attending in their PSA. As a result, OPD did not meet compliance with Objective 2 due attaining a total percentage of 79%.

RECOMMENDATIONS/ACTIONS TAKEN

Recommendations

Objective 2

Verifying compliance with this objective required crosschecking rosters and maps for each week of the audit period. Achieving greater efficiency in record keeping is advised and will aid in supervision of personnel and accountability. Supervisors and commanders must be aware that tracking officers' requirements to attend community meetings must be done constantly.

1. It is recommended that the quarterly meeting requirements be recorded and tracked in the revised PAR database; this will streamline the process for recording and verifying participation in the meetings and their timeliness. Commanders must ensure that officers under their command are participating in community meetings on a monthly basis.

Actions Taken

The OPD's response to this audit report articulates that "Our new District based policing has increased community interactions with the Police Department, but we recognize the need to improve our documentation and tracking systems under this new system. We look forward to resolving this issue very quickly."