

# OAKLAND POLICE DEPARTMENT

## Members', Employees' and Supervisors' Review/Task 21 Audit Report

Project No.: E2013OPDT21PR

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**FINAL**

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ATTACHMENT #1: Task 21 Members', Employees' & Supervisors' Performance Review  
(Summary)

**Members', Employees' and Supervisors' Performance Review/Task 21 Audit Report**  
**Project No: E2014OPDT21PR**  
**Conducted by**  
**ELITE PERFORMANCE ASSESSMENT CONSULTANTS, LLC**  
**FOR**  
**OAKLAND POLICE DEPARTMENT**

**Date:** June 26, 2014

**PURPOSE**

This audit is being conducted in order to assess compliance of the Oakland Police Department (OPD) adherence to established policies and procedures, and Task 21 (Members', Employees' and Supervisors' Performance Review) 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, which was updated on February 4, 2004. The NSA's Task 21 requires that OPD implement the following:

*D. Members', Employees' and Supervisors' Performance Review*

- 1. Every OPD commander/manager shall meet at least twice per year with each of his/her immediate subordinate members, employees and supervisors, to coach them regarding their strengths and weaknesses<sup>1</sup> (Objective #1).*
- 2. Supervisors of the following units shall meet individually with members and employees at least twice per month for informal performance reviews. Supervisors shall maintain a record of these informal reviews. Affected units include:*
  - a. Patrol Division (team);*
  - b. Crime Reduction Teams (CRT);*
  - c. Internal Affairs Division;*
  - d. Intelligence Division;*
  - e. Parole and Corrections (PAC) team;*
  - f. Special Duty Units (SDU);*
  - g. Traffic Operations Section;*
  - h. Special Operations Section;*
  - i. Fugitive Unit;*
  - j. Problem Solving Officers (PSO); and*
  - k. Campus Life and School Safety (CLASS).*

*Members and employees assigned to administrative duties within these units and civilian crossing guards are exempt from this requirement (Objective #2).*

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<sup>1</sup> The additional mandates of Task 21.1 are assessed in Tasks 41 and 46.

The OPD established policies and procedures to implement the requirements of Task 21 under Departmental General Order (DGO) B-6: Performance Appraisal, indexed as: Performance Failures & Deficiencies dated May 26, 2006, and DGO B-6m: Performance Appraisal (rev.) dated May 27, 2006.

### **PRIOR AUDITS**

This is the first audit conducted by Elite Performance Assessment Consultants, LLC (EPAC), a contracted external audit firm. The OPD have conducted several reviews and assessments to determine compliance with Task 21.

### **REFERENCE MATERIAL**

The reference material utilized during this audit includes:

- Negotiated Settlement Agreement (NSA) between Delphine Allen, et al. (plaintiff) and the City of Oakland, et al. (defendant), updated: February 4, 2004
- DGO B-6: Performance Appraisal, indexed as: Performance Failures & Deficiencies, May 26, 2006
- DGO B-6m: Performance Appraisal (rev.), May 27, 2006
- Task 21 Members', Employees' and Supervisors' Performance Review Protocol, July 30, 2007
- DGO B-22: Supervisory Notes Files, May 29, 2009
- Special Order No. 8832: Update of Departmental General Order B-6, PERFORMANCE APPRAISAL, March 5, 2008
- OPD Organizational Chart, March 10, 2014
- Members', Employees' and Supervisors' Performance Reviews Task 21 (S.A. IV.D.), January 2008
- Audit of Task 21 Members', Employees' and Supervisors' Performance Review, March 25, 2008
- City of Oakland. (2008). *OPD Negotiated Settlement Agreement (NSA)*. Retrieved November 7, 2013, from Oakland City Attorney: <http://www.oaklandcityattorney.org/notable/Riders.html>

### **AUDIT SCOPE, PERIOD AND POPULATION**

The audit scope were the objectives specified in NSA Task 21 and DGO B-6 mandates. The established time period was from February 1, 2013 through March 31, 2014 for Objective #1 and

from January 1, through March 31, 2014 for Objective #2. The audit population consisted of personnel assigned to the following entities<sup>2</sup>:

1. Objective #1:

- a. Bureau of Field Operations (BFO) #1;
- b. Bureau of Field Operations #2;
- c. Bureau of Risk Management;
- d. Bureau of Services;
- e. Cease-Fire Unit;
- f. Criminal Investigation Division;
- g. District #1 (Area 1);
- h. District #2 (Area 2);
- i. District #3 (Area 3);
- j. District #4 (Area 4);
- k. District #5 (Area 5);
- l. Internal Affairs Division;
- m. Office of the Chief of Police;
- n. Office of the Inspector General;
- o. Parking Enforcement;
- p. PAS Administration;
- q. Patrol Area #1 (BFO #1 Patrol Operations);
- r. Patrol Area #2 (BFO #2 Patrol Operations);
- s. Personnel-Medical Unit;
- t. Personnel Resource and Training;
- u. Recruit Training;
- v. Special Operations Division;
- w. Special Resources Section;
- x. Special Victims Unit;
- y. SSU-Juvenile Intake;
- z. Traffic;
- aa. Training Section:
- bb. Vice and Child Exploitation;
- cc. YFSD-Field Services Section; and,
- dd. Youth and School Services.

2. Objective #2:

- a. Internal Affairs Division;
- b. Intelligence;
- c. Patrol Area #1(BFO #1 Patrol Operations);

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<sup>2</sup> The Department Personnel Roster identified Area commands as Districts, Bureau of Field Operations #1 Patrol Operations as Patrol Area #1 and Bureau of Field Operations #2 Patrol Operations as Patrol Area #2.

- d. Patrol Area #1(BFO #1 Patrol Operations) CRT;
- e. Patrol Area #1(BFO #1 Patrol Operations) PSO;
- f. Patrol Area #2(BFO #2 Patrol Operations);
- g. Patrol Area #2(BFO #2 Patrol Operations) CRT;
- h. Patrol Area #2(BFO #2 Patrol Operations) PSO;
- i. Special Operations Division; and,
- j. Traffic

### Sample Selection

The EPAC staff received the OPD Departmental Roster from the OPD staff, consisting of 1,111 names. The EPAC staff stratified the roster's names according to entities of assignment. The auditors then selected the entities to be reviewed under Objective #1 or #2, specific to the mandates of Task 21. Personnel within their entities were then placed into either Objective #1 or #2 depending on their assignment, rank and the directives of NSA Task 21. The total population for Objective #1 was 195 names and EPAC auditors used a one-tail test, with a 95% confidence level, +/-4% error rate, to compute a sample size of 65 names. The total population for Objective #2 was 389 names and a one-tail test, with a 95% confidence level, +/-4% error rate, was used to compute a sample size of 77 names.

The auditors then stratified both samples and computed a sample size for each of the entities to be assessed. The sample size for Objective #1 after stratification was 77 names and for Objective #2 was 81 names (see Tables 1 and 2). The entities round-up sample sizes are listed in Tables 1 and 2.

**TABLE 1 – OBJECTIVE #1/TASK 21.1 STRATIFIED SAMPLE SIZE TABLE**

Entities	# of employ/Div Total Population	Total pop/GT % of Total	% of Total x 65 Sample Size	Round-Up Sample Size Round-Up
Bureau of Field Operations #1 (BF1)	10	5%	3.316326531	4
Bureau of Field Operations #2 (BF2)	6	3%	2	2
Bureau of Risk Management (BRM)	1	1%	0.333333333	1
Bureau of Services (BOS)	6	3%	2	2
Cease-Fire Unit (CFU)	4	2%	1.333333333	2
Criminal Investigation Division (CID)	18	9%	6	6
District #1/Area 1 (D1C)	6	3%	2	2
District #2/Area 2 (D2C)	6	3%	2	2
District #3/Area 3 (D3C)	7	4%	2.333333333	3
District #4/Area 4 (D4C)	13	7%	4.333333333	5
District #5/Area 5 (D5C)	8	4%	2.666666667	3
Internal Affairs Division (IAD)	16	8%	5.333333333	6
Office of the Chief of Police (COP)	8	4%	2.666666667	3
Office of the Inspector General (OIG)	6	3%	2	2
Parking Enforcement (PKE)	1	1%	0.333333333	1
PAS Administration (PAS)	6	3%	2	2

Entities	# of employ/Div Total Population	Total pop/GT % of Total	% of Total x 65 Sample Size	Round-Up Sample Size Round-Up
Patrol Area #1/BFO #1 Patrol (1PA) <sup>3</sup>	26	13%	8.666666667	9
Patrol Area #2/BFO #2 Patrol (2PA) <sup>4</sup>	18	9%	6	6
Personnel-Medical (PER)	8	4%	2.666666667	3
Personnel Resource & Training (PRT)	1	1%	0.333333333	1
Recruit Training (RTT)	1	1%	0.333333333	1
Special Operations Division (SOD)	6	3%	2	2
Special Resources Section (SRS)	1	1%	0.333333333	1
Special Victims Unit (SVU)	1	1%	0.333333333	1
SSU-Juvenile Intake (SSU)	1	1%	0.333333333	1
Traffic (TED)	2	1%	0.666666667	1
Training Section (TNG)	1	1%	0.333333333	1
Vice & Child Exploitation (VCE)	2	1%	0.666666667	1
YFSD Field Services Section (YFS)	2	1%	0.666666667	1
Youth & School Services (YSS)	4	2%	1.333333333	2
<b>TOTAL</b>	<b>196</b>	<b>100%</b>	<b>65</b>	<b>77</b>

**TABLE 2 – OBJECTIVE #2/TASK 21.2 STRATIFIED SAMPLE SIZE TABLE**

Entities <sup>5</sup>	# of employ/Div Total Population	Total pop/GT % of Total	% of Total x 77 Sample Size	Round up Sample Size Round Up
Internal Affairs Division (IAD)	6	2%	1.187660668	2
Intelligence (INT)	6	2%	1.187660668	2
Patrol Area #1/BFO #1 Patrol (1PA)	151	39%	29.88946015	30
Patrol Area #1/BFO #1 Patrol CRT (1CR)	24	6%	4.750642674	5
Patrol Area #1/BFO #1 Patrol PSO (1PS)	29	7%	5.740359897	6
Patrol Area #2/BFO #2 Patrol (2PA)	102	26%	20.19023136	21
Patrol Area #2/BFO #2 Patrol (2CR)	15	4%	2.969151671	3
Patrol Area #2/BFO #2 Patrol (2PS)	13	3%	2.573264781	3
Special Operations Division (SOD)	19	5%	3.76092545	4
Traffic (TED)	24	6%	4.750642674	5
<b>TOTAL</b>	<b>389</b>	<b>100%</b>	<b>77</b>	<b>81</b>

Each of the names within their entities was assigned a specific number that were used in the random sample selection process. A random sample for each listed entity was generated through the use of a random number generator computer program.<sup>6</sup> The random sample included the names of the personnel from the listed entities, which comprised the Department-wide strata. The process allowed for each name to have an equal chance to be selected. The selected names were placed on a list within their assigned entity and their performance appraisals and personnel files were reviewed to determine compliance with Task 21.

<sup>3</sup> The population for BFO #1 Patrol includes Area Commands 1, 2 and 3.

<sup>4</sup> The population for BFO #2 Patrol includes Area Commands 4 and 5.

<sup>5</sup> The population for BFO #1 Patrol, CRT and PSO includes Area Commands 1, 2 and 3. The population for BFO #2 Patrol, CRT and PSO includes Area Commands 4 and 5.

<sup>6</sup> The random number generator was found at [www.randomizer.org](http://www.randomizer.org).

## **METHODOLOGY/AUDIT STEPS**

The EPAC staff used U. S. Government Auditing Standards as guidance when conducting this audit engagement.

### **Audit Steps:**

The following audit steps were conducted to complete this audit engagement within the specified due date of July 31, 2014. The EPAC auditing staff conducted an opening meeting with OPD staff to address the audit's procedures and to answer questions. The engagement was then assigned to an EPAC staff member as the Project Manager (PM) and contact person. This information was relayed to the OPD Audit Manager along with the estimated due dates and audit time line.

The PM requested the following documents from OPD staff:

- The OPD assignment rosters for command/managers and personnel assigned to the following units:<sup>7</sup>
  - Patrol Division (team);
  - Crime Reduction Teams (CRT);
  - Internal Affairs Division;
  - Intelligence Division;
  - Parole and Corrections (PAC) team;
  - Special Duty Units (SDU);
  - Traffic Operations Section;
  - Special Operations Section;
  - Fugitive Unit;
  - Problem Solving Officers (PSO); and
  - Campus Life and School Safety (CLASS).
  
- All OPD Organizational Charts for command/managers and all non-administrative personnel assigned to the above listed units.
  
- All reference documents (see Reference Material)

The PM reviewed all the above listed documents and then prepared the Audit Work Plan report documenting the engagement's process. The PM then developed the Compliance/Performance Testing Instruments (CPTI) that was used to assess the OPD's compliance with Objectives #1 and #2.

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<sup>7</sup>The following entities were not listed on the OPD Organizational Chart or Departmental Roster: 1) Parole and Corrections (PAC) team, 2) Special Duty Units (SDU), 3) Fugitive Unit and 4) Campus Life and School Safety (CLASS). These units were not assessed during this audit engagement.



The EPAC staff received the OPD Departmental-wide roster that was used to select the sample population for the audit engagement. Auditors selected the sample by using the procedures described in the Audit Scope, Period and Population section of this audit report.

The EPAC audit staff conducted on-site fieldwork by reviewing pertinent documents within the OPD Internal Personnel Assessment System (iPAS) to determine the audit findings. The auditors also reviewed other source documents there were provided by OPD staff. The findings were analyzed and documented on the Audit Report. The EPAC staff contacted OPD staff if serious exception(s) were discovered during the audit engagement. This allowed OPD staff to respond and clarify the finding(s). A draft report was submitted to OPD staff for review and response to the findings. The EPAC staff requested that OPD submit a response to the draft audit report within 5 working days from receiving the document.

The EPAC staff reviewed and considered OPD's response upon receiving it and was commented in the audit report. An exit conference was conducted with OPD staff to discuss the audit report. The EPAC staff then completed the audit report and it was submitted to the OPD Audit Manager.

### **Methodology:**

The EPAC staff followed the described methodology as specified in the Task 21 Members', Employees' and Supervisors' Performance Review Protocol, dated July 30, 2007.

1. Objective #1:

The EPAC staff reviewed the OPD organizational chart and personnel roster to identify all commanders, managers, the directly subordinate members, employees and supervisors reporting to them. They then select a stratified random sample by division of the commanders and managers, and reviewed documentation of the semi-annual meetings they held with their direct subordinates. (*Task 21.1*)

2. Objective #2:

The EPAC staff reviewed the OPD organizational chart and personnel roster to identify all non-administrative members or employees of the units listed in the Audit Scope, Period and Population section of this Audit Report. They selected a stratified random sample by units and reviewed documentation of bi-monthly meetings over a three-month time period for a sample of these members and employees. (*Task 21.2*)

The EPAC staff used CPTIs as a data collection instrument for Objective #1/Task 21.1 and Objective #2/Task 21.2. The questions were formatted into the following three types:

- Control – These questions direct the auditors actions by prompting them to the relevant Data Capture and Key Indicator Questions,

- Data Capture – These questions capture associated information which will assist in reporting on exceptions, or;
- Key Indicators - These questions measure compliance with the standard for each objective by identifying exceptions.

After the CPTIs were completed, the PM confirmed and tabulated the exceptions associated with the evaluated documents. All documents containing confirmed exceptions were considered non-compliant and did not meet the standard for the corresponding objective. Documents that did not meet the standard for any one objective or any combination of objectives were considered non-compliant. The documents that were considered non-compliant were totaled and reported on by objective. The total number of documents compliant in any one objective was identified by a percentage of documents complaint relative to the respective NSA and DGO mandates.

### **SUMMARY OF FINDINGS**

The mandates as set forth in NSA Task 21 and DGO B-6 were examined as identified in Objectives #1 and #2 (see Attachment #1 and Table 3). The overall evaluation of each audit objective with its corresponding NSA task and OPD publication is summarized in Table 3.

**TABLE 3 – SUMMARY OF FINDINGS**

Objective No.	Objective	Task No.	OPD Publication	Compliance Analysis	Objective Compliance
1.	Every OPD commander/manager meets at least twice per year with each of his/her directly subordinate members, employees & supervisors, to coach them regarding their strengths & weaknesses, and documents these meetings. <u>Compliance Standard: 90%</u>	21.1	DGO B-6 ¶ III. A., C., D. & E.	92%	Compliant
2.	Supervisors of the selected units defined in the NSA Task 21.2 units shall meet individually with members and employees at least twice per month for informal performance reviews. Supervisors shall maintain a record of these informal reviews. <u>Compliance Standard: 85%</u>	21.2	DGO B-6 ¶ III. A. & B. 1.  DGO B-22, ¶ II. B.	46%	Non-Compliant

### **DETAILED FINDINGS**

#### **Audit Steps for On-Site Fieldwork**

During this audit engagement, EPAC staff conducted on-site fieldwork at the Police Administration Building. The OPD staff was provided with a Department computer and access to the iPAS system. The auditors used CPTIs to test and document the findings reviewed from personnel files contained in the system.

**Objective #1 – Task 21.1 Every OPD commander/manager meets at least twice per year with each of his/her directly subordinate members, employees & supervisors, to coach them regarding their strengths & weaknesses, and documents these meetings. (Compliance Standard: 90%)**

**Criteria**

The following criteria required by the DGO B-6 ¶ III. A., C., D. & E., mandates the following:

- Supervisors, commanders, and managers shall provide on-going feedback to subordinates concerning their performance.
- Commanders and managers shall meet at least twice per year with each of his/her immediate subordinates, to review performance and to coach them regarding their strengths and weaknesses.
- Commanders and managers shall promptly meet with all affected subordinates regarding commendations and/or complaints.
- Commander/Manager meetings shall be documented on a Performance Review Form.

**Audit Steps**

The EPAC auditors used the on-site fieldwork audit steps to test Objective #1. A total of 81 names were reviewed through the iPAS system, including three names that were deselected from the sample population. Listed below are the following deselected personnel work paper number and the reason:

- WP# CPTI T21.1 000040: Interim Chief of Police, Appraisal prepared by the city manager.
- WP# CPTI T21.1 000041: Temporary employee.
- WP# CPTI T21.1 000076: Not documented in iPAS. New employee as of 2013, assigned to the entity on 4/12/14, which is outside of the audit time period.

The auditors also conducted off-site fieldwork during the analysis portion of the findings. The EPAC staff consulted with OPD staff regarding the findings and additional documentation was provided, which included PAS Command Review documents, and Performance Appraisal dates. The information from these documents was used in the final assessment for Objective #1/ Task 21.1.

## Findings

The EPAC auditors noticed the following exceptions. The reason is documented with the associated CPTI work paper number within each entity.

- Bureau of Field Operation #2:
  - WP# CPTI T21.1 000005: No notes in iPAS.
- District #3/Area 3:
  - WP# CPTI T21.1 000023: No notes in iPAS.
- Internal Affairs Division:
  - WP# CPTI T21.1 000034: Not documented in iPAS.
  - WP# CPTI T21.1 000039: Not documented in iPAS.
- PAS Administration:
  - WP# CPTI T21.1 000048: Not documented in iPAS/no history.
  - WP# CPTI T21.1 000049: Not documented in iPAS/no history.

## Analysis of findings

The following is a compliance analysis for Objective #1/Task 21.1.

Of the 81 names reviewed, only 78 were applicable to this objective. A total 56 had more than six months, but less than 12 months in their assignments, 16 had 12 or more months in their assignments. There were six individuals that auditors were unable to determine their duration within an assignment. Of the 78 subordinates, their superiors met with 72 of them, to discuss their performance as described in Task 21.1 (see Table 4). Therefore Objective #1 was at 92% (Compliant). (See Attachment #1, Tables 3 and 4.)

**TABLE 4 – COMPLIANCE ANALYSIS FOR OBJECTIVE #1/TASK 21.1**

Category	Objective #1 Analysis
Total Population Reviewed	81
Deselected Names	-3
Population After De-selection	78
< 1 Year in Assignment	56
1 Year > in Assignment	16
Unknown Time in Assignment	6
Total Compliant	72
Compliance Percentage	92%
Objective Compliance	Compliant

**Objective #2 – Task 21.2 Supervisors of the selected units defined in the NSA Task 21.2 units shall meet individually with members and employees at least twice per month for informal performance reviews. Supervisors shall maintain a record of these informal reviews. (Compliance Standard: 85%)**

**Criteria**

The following criteria required by DGO B-6 ¶ III. A. & B. 1., mandates the following:

- Supervisors, commanders, and managers shall provide on-going feedback to subordinates concerning their performance.
- First-line supervisors shall meet twice per month, individually with their immediate subordinates, for a review of their performance.

The following criteria required by DGO B-22, ¶ II. B., mandates the following:

- All supervisory observations, corrective action, and PAS File Review information shall be entered into iPAS.

**Audit Steps**

The EPAC auditors used the on-site fieldwork audit steps to test Objective #2. A total of 97 names were reviewed through the iPAS system, including 16 names that were deselected from the sample population. Listed below are the following deselected personnel work paper number and the reason:

- WP# CPTI T21.2 000029: In recruit training.
- WP# CPTI T21.2 000033: In recruit training.
- WP# CPTI T21.2 000041: In recruit training.
- WP# CPTI T21.2 000050: In recruit training.
- WP# CPTI T21.2 000056: Three days in assignment.
- WP# CPTI T21.2 000058: In recruit training.
- WP# CPTI T21.2 000063: Not found.
- WP# CPTI T21.2 000072: In recruit training.
- WP# CPTI T21.2 000073: In recruit training.
- WP# CPTI T21.2 000074: In recruit training.
- WP# CPTI T21.2 000077: In recruit training.
- WP# CPTI T21.2 000082: In recruit training.
- WP# CPTI T21.2 000085: No documentation in iPAS.
- WP# CPTI T21.2 000087: No documentation in iPAS.
- WP# CPTI T21.2 000088: No documentation in iPAS.

- WP# CPTI T21.2 000091: No documentation in iPAS.
- WP# CPTI T21.2 000092: No documentation in iPAS.

The auditors also conducted off-site fieldwork during the analysis portion of the findings. The EPAC staff consulted with OPD staff regarding the findings and additional documentation was provided, which included a second review of the iPAS files. The information from these documents was used in the final assessment for Objective #1/Task 21.2.

## Findings

The EPAC auditors noticed the following exceptions. The number of meetings and dates are documented with the associated CPTI and iPAS work paper numbers within each entity.

- Internal Affairs Division:
  - WP# CPTI T2 1.2 0000 02: 1-Jan/ 2 Feb /1 Mar iPAS T21.2 – 1
- Patrol Area #1/BFO #1 Patrol:
  - WP# CPTI T2 1.2 0000 06: 1-Jan/ 0-Feb/ 3-Mar iPAS T21.2 - 2
  - WP# CPTI T2 1.2 0000 08: 1-Jan/ 1-Feb/ 2-Mar iPAS T21.2 - 4
  - WP# CPTI T2 1.2 0000 12: 2-Jan/ 3-Feb/ 0-Mar iPAS T21.2 - 6
  - WP# CPTI T2 1.2 0000 14: 2-Jan/ 1-Feb/ 2-Mar iPAS T21.2 - 8
  - WP# CPTI T2 1.2 0000 16: 0-Jan/ 2-Feb/ 2-Mar iPAS T21.2 - 9
  - WP# CPTI T2 1.2 0000 17: 2-Jan/ 5-Feb/ 0-Mar iPAS T21.2 - 10
  - WP# CPTI T2 1.2 0000 18: 2-Jan/ 1-Feb/ 1-Mar iPAS T21.2 - 11
  - WP# CPTI T2 1.2 0000 19: 0-Jan/ 1-Feb/ 1-Mar iPAS T21.2 - 12
  - WP# CPTI T2 1.2 0000 26: 1-Jan/ 4-Feb/ 2-Mar iPAS T21.2 - 14
  - WP# CPTI T2 1.2 0000 27: 3-Jan/ 1-Feb/ 0-Mar iPAS T21.2 - 15
  - WP# CPTI T2 1.2 0000 30: 0-Jan/ 2-Feb/ 2-Mar iPAS T21.2 - 16
  - WP# CPTI T2 1.2 0000 31: 1-Jan/ 2-Feb/ 1-Mar iPAS T21.2 - 17
  - WP# CPTI T2 1.2 0000 32: 2-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 18
  - WP# CPTI T2 1.2 0000 35: 1-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 19
  - WP# CPTI T2 1.2 0000 36: 0-Jan/ 1-Feb/ 2-Mar iPAS T21.2 – 20
- Patrol Area #1/BFO #1 Patrol PSO:
  - WP# CPTI T2 1.2 0000 43: 1-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 23
  - WP# CPTI T2 1.2 0000 44: 1-Feb/ 0-Mar iPAS T21.2 - 24
  - WP# CPTI T2 1.2 0000 45: 0-Jan/ 3-Feb/ 0-Mar iPAS T21.2 - 25
  - WP# CPTI T2 1.2 0000 46: 1-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 26
  - WP# CPTI T2 1.2 0000 47: 1-Jan/ 4-Feb/ 0-Mar iPAS T21.2 - 27
- Patrol Area #2/BFO #2 Patrol:
  - WP# CPTI T2 1.2 0000 49: 1-Jan/ 3-Feb/ 4-Mar iPAS T21.2 - 28
  - WP# CPTI T2 1.2 0000 51: 1-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 29

- WP# CPTI T2 1.2 0000 52: 1-Jan/ 1-Feb/ 1-Mar iPAS T21.2 - 30
- WP# CPTI T2 1.2 0000 54: 3-Jan/ 0-Feb/ 2-Mar iPAS T21.2 - 31
- WP# CPTI T2 1.2 0000 55: 1-Jan/ 1-Feb/ 2-Mar iPAS T21.2 - 32
- WP# CPTI T2 1.2 0000 60: 3-Jan/ 0-Feb/ 2-Mar iPAS T21.2 - 33
- WP# CPTI T2 1.2 0000 61: 2-Jan/ 2-Feb/ 1-Mar iPAS T21.2 - 34
- WP# CPTI T2 1.2 0000 62: 2-Jan/ 1-Feb/ 0-Mar iPAS T21.2 - 35
- WP# CPTI T2 1.2 0000 66: 0-Jan/ 1-Feb/ 2-Mar iPAS T21.2 - 36
- WP# CPTI T2 1.2 0000 67: 0-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 37
- WP# CPTI T2 1.2 0000 68: 3-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 38
- WP# CPTI T2 1.2 0000 70: 1-Jan/ 0-Feb/ 3-Mar iPAS T21.2 - 39
- WP# CPTI T2 1.2 0000 71: 1-Jan/ 1-Feb/ 2-Mar iPAS T21.2 - 40
- WP# CPTI T2 1.2 0000 75: 0-Jan/ 2-Feb/ 0-Mar iPAS T21.2 - 41
- WP# CPTI T2 1.2 0000 76: 1-Jan/ 3-Feb/ 0-Mar iPAS T21.2 - 42
  
- Patrol Area 2/BFO #2 Patrol CRT:
  - WP# CPTI T2 1.2 0000 79: 1-Jan/ 1-Feb/ 1-Mar iPAS T21.2 - 43
  - WP# CPTI T2 1.2 0000 80: 1-Jan/ 1-Feb/ 1-Mar iPAS T21.2 - 44
  
- Patrol Area 2/BFO #2 Patrol PSO:
  - WP# CPTI T2 1.2 0000 81: 1-Jan/ 2-Feb/ 2-Mar iPAS T21.2 - 45
  - WP# CPTI T2 1.2 0000 83: 1-Jan/ 2-Feb/ 2-Mar iPAS T21.2 - 46
  - WP# CPTI T2 1.2 0000 84: 3-Jan/ 0-Feb/ 1-Mar iPAS T21.2 - 47
  
- Special Operations Division:
  - WP# CPTI T2 1.2 0000 86: 1-Jan/ 1-Feb/ 1-Mar iPAS T21.2 - 48
  - WP# CPTI T2 1.2 0000 90: 1-Jan/ 4-Feb/ 2-Mar iPAS T21.2 - 50
  - WP# CPTI T2 1.2 0000 93: 1-Jan/ 3-Feb/ 2-Mar iPAS T21.2 - 51

### Analysis of findings

The following is a compliance analysis for Objective #21.2/Task 21.2.

Of the 97 names reviewed, only 81 were applicable to this objective. A total 45 had more than two, but less than three weeks in their assignments, 36 had three or more weeks in their assignments. Of the 81 subordinates, their supervisors met with 37 of them bi-monthly, to discuss their performance as described in Task 21.2 (see Table 5). Therefore Objective #2 was at 46% (Non-Compliant). (See Attachment #1, Table 3 and 5.)

**TABLE 5 – COMPLIANCE ANALYSIS FOR OBJECTIVE #2/TASK 21.2**

Category	Objective #2 Analysis
Total Population Reviewed	97
Deselected Names	-16
Population After De-selection	81
< 3 weeks for the month assigned	45
3 > weeks for the month assigned	36
Unknown Time in Assignment	0
Total Compliant	37
Compliant Percentage	46%
Objective Compliance	Non-Compliant

**OTHER RELATED MATTER**

During this audit engagement, OPD staff advised EPAC auditors that there was a conflict on how OPD personnel assignments were categorized, specifically within the Bureaus of Field Operations. Personnel Division categorizes bureau patrol assignments as Patrol Area #1 and #2. These same bureau assignments were categorized on the Department Organizational Chart as BFO #1 and #2. Also, Personnel Division categorizes Areas as Districts, while the Department Organizational Chart showed them as Areas. The Personnel Division entity categorizations are also used in iPAS. According to OPD staff, the Department recognizes the organizational chart designations as the actual OPD structure. This conflict in entity categorizations can cause confusion within the Department.

**RECOMMENDATIONS/ACTIONS TAKEN**

**Recommendations**

None.

**Actions Taken**

**Other Related Matter:**

During this audit engagement, OPD staff advised EPAC auditors that there was a conflict of entity categorizations, specifically within the Bureaus of Field Operations. Personnel Division were identifying BFO patrol operations as Patrol Areas and Areas as Districts. This conflict can cause confusion within the Department regarding the assignment of personnel. The OPD/OIG staff plans to meet with Personnel Division to discuss changing the categorizations to match the actual Department structure.



# **Task 21 Members', Employees' & Supervisors' Performance Review (Summary)**

conducted for

## **Oakland Police Department**

**Document No.**

WP# CPTI T21 000001 S

**Audit Title**

Task 21 Members', Employees' & Supervisors' Performance Review (Summary)

**Conducted on**

6/5/14 7:04 PM

**Prepared by**

Christopher Figueroa

**Location**

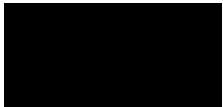
455 7th Street  
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Assistant Project Manager: Randy Khatami, CFE, CFS, CLEA, CRMA

**Completed on**

6/26/14 11:27 AM



**Disclaimer**

The assessors believe the information contained within this risk assessment report to be correct at the time of printing. The assessors do not accept responsibility for any consequences arising from the use of the information herein. The report is based on matters which were observed or came to the attention of the assessors during the day of the assessment and should not be relied upon as an exhaustive record of all possible risks or hazards that may exist or potential improvements that can be made.

Information on the latest workers compensation and OHS / WHS laws can be found at the relevant State WorkCover / WorkSafe Authority.

**Confidentiality Statement**

In order to maintain the integrity and credibility of the risk assessment processes and to protect the parties involved, it is understood that the assessors will not divulge to unauthorized persons any information obtained during this risk assessment unless legally obligated to do so.

WP# CPTI T21 000001 S  
Task 21 Members', Employees' &  
Supervisors' Performance Review  
(Summary)

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Objective 1: Task 21.1 Every OPD commander/manager meets at least twice per year with each of his/her directly subordinate members, employees & supervisors, to coach them regarding their strengths & weaknesses, and documents these meetings.	4
Objective #2: Task 21.2 Review all non-administrative personnel assigned to selected unites defined in the NSA Task 21.2 to ensure they have met with their supervisor bi-monthly.	5
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**Audit - [REDACTED]**

Question	Response	Details
<p><b>Objective 1: Task 21.1 Every OPD commander/manager meets at least twice per year with each of his/her directly subordinate members, employees &amp; supervisors, to coach them regarding their strengths &amp; weaknesses, and documents these meetings.</b> [REDACTED]</p>		
<p>INFORMATION: Audit time period is between February 1, 2013 through March 31, 2014.</p>		
<p>21.1.1) Did this employee meet with his/her supervisor as prescribe in NSA Task 21.1?</p>	<p>Compliant</p>	<p>Compliance Analysis: Total Compliant: 72/ Sample: 78 = 92%</p> <p>Total Sample with deselects = 81</p> <p>Deselected Personnel:</p> <p>WP# CPTI T21.1 000040: Interim Chief of Police, Appraisal prepared by the city manager. WP# CPTI T21.1 000041: Temporary employee. WP# CPTI T21.1 000076: Not documented in iPAS. New employee as of 2013, assigned to entity on 4/12/14, which is out of the audit time period.</p>
<p>Assigned more than 6 months, but less than 12 months. One (or more) documented meetings.</p>	<p>56</p>	
<p>Assigned 12 months or more. Two (or more) documented meetings</p>	<p>16</p>	
<p>Unknown</p>	<p>6</p>	
<p>Deselect</p>	<p>3</p>	
<p>21.1.2) Were the meetings documented.</p>	<p>Compliant</p>	<p>Compliance Analysis: Total Compliant: 72/ Sample: 78 = 92%</p>
<p>21.1.3) Was the subordinate's strengths &amp; weakness documented.</p>	<p>Compliant</p>	<p>Compliance Analysis: Total Compliant: 72/ Sample: 78 = 92%</p>

Question	Response	Details
NARRATIVE:		<p>Compliance Analysis: Total Compliant: 72/Sample: 78 = 92%</p> <p>The EPAC auditors noticed the following exceptions.</p> <p>WP# CPTI T21.1 000001: No notes in iPAS.            WP# CPTI T21.1 000023: No notes in iPAS.            WP# CPTI T21.1 000034: Not documented in iPAS.            WP# CPTI T21.1 000039: Not documented in iPAS.            WP# CPTI T21.1 000048: Not documented in iPAS/no history.            WP# CPTI T21.1 000049: Not documented in iPAS/no history.</p>
<p><b>Objective #2: Task 21.2 Review all non-administrative personnel assigned to selected unites defined in the NSA Task 21.2 to ensure they have met with their supervisor bi-monthly.</b></p>		
<p>INFORMATION: Audit time period is between January 1, 2014 through March 31, 2014.</p>		
<p>21.2.1) Did this employee meet with his/her supervisor as prescribe in NSA Task 21.2?</p>	<p>Non-Compliant</p>	<p>Compliance Analysis: Total Compliant: 37/ Sample: 81 = 46%</p> <p>Total Sample with deselects = 97</p> <p>Deselected Personnel.</p> <p>WP# CPTI T21.2 000029: In recruit training.            WP# CPTI T21.2 000033: In recruit training.            WP# CPTI T21.2 000041: In recruit training.            WP# CPTI T21.2 000050: In recruit training.            WP# CPTI T21.2 000056: Three days in assignment.            WP# CPTI T21.2 000058: In recruit training.            WP# CPTI T21.2 000063: Not found.            WP# CPTI T21.2 000072: In recruit training.            WP# CPTI T21.2 000073: In recruit training.            WP# CPTI T21.2 000074: In recruit training.            WP# CPTI T21.2 000077: In recruit training.            WP# CPTI T21.2 000082: In recruit training.            WP# CPTI T21.2 000085: No documentation in iPAS.            WP# CPTI T21.2 000087: No documentation in iPAS.            WP# CPTI T21.2 000088: No documentation in iPAS.            WP# CPTI T21.2 000091: No documentation in iPAS.            WP# CPTI T21.2 000092: No documentation in iPAS.</p>

Question	Response	Details
Assigned at least for 2 weeks, but less than 3 weeks for the month assigned. One (or more) documented meetings	45	
Assigned 3 or more weeks, for the month assigned. Two (or more) documented meetings	36	
Unknown	0	
Deselect	16	
21.2.2) Were the meetings documented.	Non-Compliant	Compliance Analysis: Total Compliant: 37/ Sample: 81 = 46%
21.2.3) Was the subordinate's strengths & weakness documented.	Non-Compliant	Compliance Analysis: Total Compliant: 37/ Sample: 81 = 46%
NARRATIVE:	<p>Compliance Analysis: Total Compliant: 37/Sample: 81 = 46%</p> <p>The EPAC auditors noticed the exceptions listed in page 6a of this document. The number of meetings and dates are documented with the associated CPTI and iPAS work paper numbers</p> <p>(See attached Narrative T21.2 for exceptions.)</p>	

**Other Related Matter** [REDACTED]

Question	Response	Details
<p>Where there any other issues that needed attention that the Compliant/Performance Testing Instrument (CPTI) did not cover?</p>	<p>At Risk</p>	<p>During this audit engagement, OPD staff advised EPAC auditors that there was a conflict on how OPD personnel assignments were categorized, specifically within the Bureau of Field Operations. Personnel Division categorizes bureau patrol assignments as Patrol Area #1 &amp; #2. The same bureau assignments were categorized on the Department Organizational Chart as BFO 1 &amp; 2. Also, Personnel Division categorizes Areas and Districts, while the Department Organizational Chart showed them as Areas. The Personnel Division entity categorization are also used in iPAS. According to OPD staff, the Department recognizes the organizational chart designations as the actual OPD structure. This conflict in entity categorizations can cause confusion within the Department.</p>

## Attestation of Audit

Question	Response	Details	
I the undersigned attest to the findings of this audit within this document as being true and accurate to the best of my knowledge.			
Project Manager	Project Manager: Christopher Figueroa, DPA, CGAP, CFE, CFS, CLEA, CRMA	6/5/14 8:14 PM	