

OAKLAND POLICE DEPARTMENT

IAD Staffing and Resources Review/Task 1 Audit Report

Project No.: E2013OPDT1IAD

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FINAL

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IAD Staffing and Resources Review/Task 1 Audit Report
Project No.: E2014OPDT1IAD
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 1 (IAD Staffing and Resources Review) of the Negotiated Settlement Agreement between Delphine Allen, et al. (plaintiff) and the City of Oakland, et al. (defendant) (NSA).

BACKGROUND

On January 22, 2003, the OPD was placed under a NSA, which was updated on February 4, 2004. The NSA's Task 1 requires that OPD implement the following:

[Internal Affairs Division (IAD)] *IAD Staffing and Resources*

- 1. Assignment (Objective #1);*
- 2. Rotation (Objective #2);*
- 3. Training and qualifications of members and other personnel in IAD (Objective #3);*
- 4. Appropriate background checks on IAD personnel (Objective #1);*
- 5. Confidentiality of IAD information (Objective #4).*

The OPD established policies and procedures to implement the requirements of Task 1 under Internal Affairs Division Policy 10-01 (Formally 05-01), indexed as: Internal Affairs Policy and Procedures Manual dated January 19, 2010.

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 1.

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
- Internal Affairs Policy and Procedures Manual, Policy 10-01 (IAD P&P 10-01) (Formally 05-01), January 19, 2010
- Department General Order (DGO) E-3.1 Index as: Department Notification Compliance Verification, October 9, 2009
- DGO B-6: Performance Appraisal, indexed as: Performance Failures & Deficiencies, May 26, 2006
- Special Order 8064, April 13, 2004
- Training Bulletin V-T.1, PART III INTERNAL INVESTIGATION PROCEDURE MANUAL, July 17, 2008
- Task 1 IAD Staffing and Resources Review Protocol, June 21, 2007
- IAD Staffing And Resources Audit Task 1 (S.A. III.A.), November 2006
- 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 1 and the established time frame was from January 1, 2014 through March 31, 2014. The audit population consisted of 31 names of personnel assigned to IAD during the audit period. Due to the small population, a random sample was not necessary.

AUDIT STEPS/METHODOLOGY

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 June 30, 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. The OPD Audit Manager also received the estimated due dates and time line for the audit.

The PM requested the following documents from OPD staff:

- The IAD Employee Roster, Updated in March 14, 2014
- All reference documents (see Reference Material)

The PM reviewed all the above listed documents and then prepared the Audit Work Plan report and Task 1 Methodology Flow Chart (see Attachment #1) documenting the engagement's process. The PM then developed the Compliance/Performance Testing Instruments (CPTI) and survey instruments that were used to assess the OPD's compliance with Objectives #1 through #4.

The EPAC audit staff then conducted fieldwork by reviewing pertinent documents and administering surveys to appropriate personnel to determine the audit findings. The fieldwork was conducted both on and off-site. 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 a response within 5 working days from OPD receiving the document.

Upon EPAC receiving OPD's response, they were reviewed and considered. The OPD's response 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 1 IAD Staffing and Resources Review Protocol, dated June 21, 2007. They reviewed IAD personnel files and interviewed personnel via survey instruments to determine whether the following criteria required by the IAD manual were met for each individual assigned to IAD.

The surveys was developed on the "Survey Monkey" website. The EPAC staff developed two survey instruments, one for all IAD personnel and the other for IAD commanders. Upon receiving approval from OPD, EPAC received the email addresses for all IAD personnel and emailed the surveys to them. The email note requested that they participate in the survey. They were also told by OPD staff to participate in the survey. The participants were also guaranteed full confidentiality.

The EPAC staff used CPTIs and surveys consisting of questions as a data collection instrument for Tasks 1.1 through 1.5. 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 and survey instruments were completed, the PM confirmed and tabulated the exceptions associated with the evaluated documents/surveys. All documents/surveys containing confirmed exceptions were considered non-compliant and would not meet the standard for the corresponding objective. Documents/surveys that did not meet the standard for any one objective or any combination of objectives were considered non-compliant. The documents/surveys that were considered non-compliant were totaled and reported on by objective. The total number of documents/surveys compliant in any one objective was identified by a percentage of documents/surveys compliant relative to the respective NSA and IAD P&P mandates.

SUMMARY OF FINDINGS

The mandates as set forth in NSA Task 1 and IAD P&P 10-01 were examined as identified in Objectives #1 through #4 (see Attachment #2). The overall evaluation of each audit objective with its corresponding NSA task, IAD P&P and Training Bulletin V-T.1 paragraphs (¶) are summarized in Table 1.

TABLE 1 – SUMMARY OF FINDINGS

Objective No.	Objective Title	Task No.	OPD Publication	Compliance Analysis	Objective Compliance
1.	Internal Affairs Division (IAD) assignments are made in accordance with the IAD manual. <u>Compliance Standard: 85%*</u>	1.1 & 1.4	IAD P&P 10-01 ¶ II. B.	28%	Non-Compliant
2.	IAD rotations are in accordance with the IAD manual.	1.2	IAD P&P 10-01 ¶ II. A.		
2.1.	<i>Rotation to IAD is exempt from the transfer policy. <u>Compliance Standard: Yes/No (Y/N)</u></i>	1.2	IAD P&P 10-01 ¶ II. A. 1.	Yes	Compliant
2.2.	<i>The IAD is a career development opportunity within OPD. <u>Compliance Standard: Y/N</u></i>	1.2	IAD P&P 10-01 ¶ II. A. 4.	Yes	Compliant
2.3.	<i>The IAD considers the rotation of personnel on an annual basis when preparing performance appraisals and this consideration is documented. <u>Compliance Standard: 85%</u></i>	1.2	IAD P&P 10-01 ¶ II. A. 5.	19%	Non-Compliant
2.4.	<i>The IAD staff may request voluntary transfers and the IAD commander makes every effort to accommodate such requests as soon as possible in the light of the operational needs of the Division and the Department. <u>Compliance Standard: Y/N</u></i>	1.2	IAD P&P 10-01 ¶ II. A. 6.	Yes	Compliant

Objective No.	Objective Title	Task No.	OPD Publication	Compliance Analysis	Objective Compliance
3.	Training and qualifications of personnel in IAD are consistent with the IAD manual. <u>Compliance Standard: 90%**</u>	1.3	IAD P&P 10-01 ¶ II. C.	32%	Non-Compliant
4.	Oakland Police Department's (OPD) maintains confidential Internal Affairs Division (IAD) information in accordance with the IAD manual. <u>Compliance Standard: Y/N</u>	1.5	TB V-T.1 ¶ D.	No	Non-Compliant
<p><i>Note: *Compliance Standard for Objective 1 is that personnel must have <u>undergone all of the eight elements</u> of the selection process.</i></p> <p><i>**Compliance Standard for Objective 3 is that personnel must have <u>met each of the requirements listed in Sub-Objectives 3.1 through 3.4.</u></i></p>					

DETAILED FINDINGS

Audit Steps for On-site Fieldwork

During this audit engagement, EPAC staff conducted on-site fieldwork at the IAD facility. The OPD staff was provided with a list of the 31 IAD employees. An IAD staffer met the auditors at the facility and provided them with the necessary files to be reviewed. The auditors using CPTIs to test and document the findings reviewed 26 of 31 personnel files. The OPD staffer did not provided the EPAC auditors with the remaining five files.

The EPAC staff requested from OPD copies of those five files and three previously reviewed files for additional evaluation. Copies of two non-reviewed files and the three for additional evaluation were received. Auditors reviewed these files off-site. The OPD staff advised that there were no folders for three non-reviewed employees.

- WP# CPTI T1 000010
- WP# CPTI T1 000018
- WP# CPTI T1 000020

Audit Steps for Surveys

The EPAC staff also administered the surveys that were emailed to IAD personnel via the "Survey Monkey" website. The following two surveys were used to collect data:

1. Task 1 IAD Staffing & Resources Review Audit/E2014OPDT1IAD, (Supervisor) Survey (Survey #1).
2. Task 1 IAD Staffing & Resources Review Audit/E2014OPDT1IAD Survey (Survey #2).

Survey #1 was emailed to the four IAD commanders and consisted of 12 multiple-choice questions (see Attachment #3). Survey #2 was emailed to all 31 IAD personnel and also consisted of 12 multiple-choice questions (see Attachment #4). Space was provided for each question allowing the participants to enter comments on both surveys.

Of the four Surveys #1's emailed to IAD commanders, only three responded, for a 75% response rate. Of the 31 Surveys #2's emailed to all IAD personnel, there were 26 responses, five non-responses, of which two opted out, for an 84% response rate. The EPAC auditors reviewed the participants' responses to evaluate and document its findings.

Objective #1 - Task 1.1 IAD assignments are made in accordance with the IAD manual. Task 1.4 IAD conducts appropriate background checks on IAD personnel. (Compliance Standard: 85%).

Criteria

The following criteria, required by the IAD manual, must be met for each individual assigned to IAD:

- Personnel interview with the IAD commander (*Task 1.1*);
- Compliance with the provisions of Special Order 8064 (*Task 1.1*);
- Review of the member or employee's complaint history with close examination of complaints involving truthfulness, use of force and any violations related to ethical matters that would preclude one from assignment to such a position (*Task 1.4*);
- Willingness to accept assignment (*Task 1.1*);
- Review of the member or employee's Departmental seniority, time, rank, performance appraisals and use of sick time (*Task 1.4*);
- Review of report-writing and ability to conduct investigations (*Task 1.4*);
- Interviews with current supervisor and/or commander (*Task 1.4*); and,
- Consultation with the Chief of Police (COP) and final assignment decisions made by the Chief of Police (*Task 1.1*).

In order to comply with Objective #1/Task 1.1 and 1.4, 85% or more of the IAD personnel reviewed must have undergone all of the eight elements of the selection process listed above.

Audit Steps

The EPAC auditors used the on-site fieldwork and/or survey audit steps to test Objective #1.

Sub-Objective #1.1 - Did personnel have a personal interview with the IAD commander prior to being assigned?

Findings

The EPAC auditors noticed the following exceptions for Sub-Objective #1.1.

- WP# CPTI T1 000001: No documentation.
- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000008: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.1.

Of the 31 individuals assigned to IAD, only 29 were applicable to this sub-objective. Only 18 of them had a personal interview with the IAD commander. Therefore this sub-objective was at 66% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.1a [Supervisory, Survey #1] - Did you personally interview any of the applicants for an IAD assignment?

Findings

Only two of the three respondents answered this question on Survey #1. Both of them (100%) answered, "Yes." Sub-Objective #1.1a was Compliant. (See Attachment #2 and #3.)

Sub-Objective #1.1b [Personnel, Survey #2] - Did the IAD commander interview you prior to your assignment in IAD?

Findings

Of the 26 respondents, only 24 answered this question for Survey #2. A total of 16 (67%) participants answered "Yes", while eight (33%) answered "No." Sub-Objective #1.1b was Non-Compliant. (See Attachment #2 and #4.)

Sub-Objective #1.2 - Was compliance with the provisions Special Order 8064/Department General Order E3.1 met by this employee during the selection process?

Findings

The EPAC auditors noticed the following exceptions for Sub Objective #1.2.

- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000005: No documentation.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000008: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000021: No documentation.
- WP# CPTI T1 000027: No documentation.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.2.

The number of IAD personnel applicable to this sub objective was 30. The findings indicated that 20 employees fulfilled the provisions of Special Order 8064/Department General Order E3.1 during the selection process. This sub-objective was at 67% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.3 - Was close examination of the employee's complaint history involving truthfulness, use of force and violations of ethical matters that would preclude one from assignment to IAD conducted?

Findings

The EPAC auditors noticed the following exceptions for Sub Objective #1.3.

- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000008: No documentation.
- WP# CPTI T1 000010: No documentation.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.3.

There were only 19 employees, of the 29 that were applicable to this sub-objective that had a complete examination of their complaint history. This sub-objective was at 66% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.4 - Did this employee consider a willingness to accept this assignment?

Findings

The EPAC auditors found the following exceptions for Sub-Objective #1.4.

- WP# CPTI T1 000001: No documentation.
- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's Police Officer information was documented.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000008: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000016: No documentation.

- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.4.

This objective was applicable with 29 IAD employees. Only 18 employees considered a willingness to accept this assignment. This sub-objective was at 62% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.4a [Supervisory, Survey #1] - When selecting personnel to IAD, did any of the applicants decline this assignment?

Findings

Only two of the three respondents answered this question for Survey # 1. Both of them (100%) answered, "Yes." Sub-Objective #1.4a was Compliant. (See Attachment #2 and #3.)

Sub-Objective #1.4b [Personnel, Survey #2] - When selected to IAD, did willingly accept this assignment?

Findings

Of the 26 respondents, 25 answered this question for Survey #2. A total of 23 (92%) participants answered "Yes", while two (8%) answered "No." Sub-Objective #1.4b was Compliant. (See Attachment #2 and #4.)

Sub-Objective #1.5 - Was the employee's Departmental seniority, time in rank, performance appraisals and use of sick time reviewed during the selection process?

Findings

The EPAC auditors noticed the following exceptions for Sub-Objective #1.5.

- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000016: No documentation.

- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000031: Indicated Not-Applicable on the checklist.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.5.

There were 29 IAD personnel who were applicable toward this sub-objective. Only 19 persons' Departmental seniority, time in rank, performance appraisals and use of sick time were reviewed during the selection process. Sub-Objective #1.5 was at 66% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.6 - Were reviews of the employee's report writing ability and ability to conduct preliminary and/or follow-up investigations done during the selection process?

Findings

The EPAC auditors noticed the following exceptions for Sub-Objective #1.6.

- WP# CPTI T1 000001: No documentation.
- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000024: No documentation.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000028: No documentation.
- WP# CPTI T1 000031: Indicated Not-Applicable on the checklist.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.6.

Only 15 of the 28 applicable IAD employees were reviewed for report writing ability and ability to conduct preliminary and/or follow-up investigations during the selection process. Sub-Objective #1.6 was at 54% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.7 - During the background process, were the employees' current (last assignment) supervisor and/or commander interviewed?

Findings

The EPAC auditors noticed the following exceptions for Sub-Objective #1.7.

- WP# CPTI T1 000001: No documentation.
- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000003: No documentation.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000008: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000025: No documentation.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000028: No documentation.
- WP# CPTI T1 000031: Indicated Not-Applicable on the checklist.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.7.

There were 29 employees that were applicable toward Sub-Objective #1.7. During the background process, 14 employees' current (last assignment) supervisor and/or commander were interviewed during the selection process. Sub-Objective #1.7 was at 48% (Non-Compliant). (See Attachment #2 and Table 2.)

Sub-Objective #1.8 - Did the IAD commander consult with the Chief of Police (COP) regarding this employee and did the COP make the final selection?

Audit Steps

The EPAC auditors verified this task via the OPD Internal Personnel Assessment System (iPAS) computer printouts that were provided by OPD staff. According to OPD staff, the COP approves all personnel changes every week, including IAD, which is then inputted into the iPAS system. The COP's signature on the weekly personnel change is considered approval for an IAD assignment. The EPAC auditors reviewed the printouts to obtain the start dates for each IAD employee.

Findings

The EPAC auditors noticed the following exception for Sub-Objective #1.8.

- WP# CPTI T1 000019: There was no documentation in the file and the employee was not entered into the iPAS system, so auditors were unable to determine if this person was approved by the COP for an IAD assignment.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #1.8.

All 31 IAD personnel listed on the personnel roster were applicable toward this sub-objective. The COP approved 30 employees listed on the personnel roster to be assigned to IAD. Sub-Objective #1.8 was at 97% (Compliant). (See Attachment #2 and Table 2.)

Objective #1 Summary

Audit Steps

The audit findings from Sub-Objectives #1.1 through #1.8 were inputted into a table (Table 2). Those CPTI questions that were compliant scored one point and questions that were non-compliant scored zero point. Each column was added and then divided by the number of personnel that were applicable to the objective. This determined the percentage of the objective, therefore determining compliance. As indicated in Objective #1 criteria, all elements of the selection process had to be met for compliance.

Findings

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Of the 31 files reviewed by EPAC auditors, 29 were applicable to Objective #1. The remaining two files belonged to civilian employees that were new hires. As a result, an internal background investigation was not feasible; therefore these two files were not applicable to Objective #1.

Analysis of Findings

The following is a compliance analysis for Objective #1.

Only eight files met the criteria for IAD assignments in accordance with the IAD manual and the appropriate background checks for IAD personnel. The overall compliance analysis for Objective 1 was at 28% (Non-Compliant). (See Attachment #2 and Table 2.)

TABLE 2 – OBJECTIVE #1 FINDINGS

IAD TASK 7 OBJECTIVE 1		Objective 1										IPAS WP#	IPAS Date	O-1 Compl	Applicable Pers	NOTES
WORKPAPER NUMBERS		1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9						
WP# CPTI T1 000001		0	1	1	0	1	0	0	1	1	1	T101 1-1	5/18/13	0	1	
WP# CPTI T1 000002		0	0	0	0	0	0	0	1	1	1	T101 1-3	5/19/12	0	1	
WP# CPTI T1 000003		1	1	1	1	1	1	0	1	1	1	T101 1-5	12/14/12	0	1	
WP# CPTI T1 000004		1	1	1	1	1	1	1	1	1	1	T101 1-6	1/17/14	0	1	
WP# CPTI T1 000005		1	0	1	1	1	1	1	1	1	1	T101 1-8	2/4/12	0	1	
WP# CPTI T1 000006		1	1	1	1	1	1	1	1	1	1	T101 1-9	1/18/14	1	1	
WP# CPTI T1 000007		0	0	0	0	0	0	0	1	1	1	T101 1-10	3/12/14	0	1	
WP# CPTI T1 000008		0	1	0	0	1	1	0	1	1	1	T101 2-1	12/21/12	0	1	
WP# CPTI T1 000009		1	1	1	1	1	1	1	1	1	1	T101 2-2	3/10/14	1	1	
WP# CPTI T1 000010		0	0	0	0	0	0	0	1	1	1	T101 2-4	1/18/14	0	1	No Folder.
WP# CPTI T1 000011		1	1	0	0	0	0	0	1	1	1	T101 2-5	3/7/14	0	1	
WP# CPTI T1 000012		1	1	1	1	1	1	1	1	1	1	T101 2-7	2/15/14	1	1	
WP# CPTI T1 000013		1	0	1	1	1	1	1	1	1	1	T101 2-8	2/4/12	0	1	
WP# CPTI T1 000014			1						1	1	1	T101 2-9	1/27/09			Hired & assigned to IAD.
WP# CPTI T1 000015		1	1	1	1	1	1	1	1	1	1	T101 2-10	1/5/13	1	1	
WP# CPTI T1 000016		0	0	0	0	0	0	0	1	1	1	T101 3-1	10/15/11	0	1	
WP# CPTI T1 000017									1	1	1	T101 3-2	1/20/14			Hired & assigned to IAD.
WP# CPTI T1 000018		0	0	0	0	0	0	0	1	1	1	T101 3-3	10/29/13	0	1	No Folder.
WP# CPTI T1 000019		1	1	1	1	1	1	1	0	1	1	T101 3-4	No Date	0	1	
WP# CPTI T1 000020		0	0	0	0	0	0	0	1	1	1	T101 3-5	5/19/12	0	1	No Folder.
WP# CPTI T1 000021		1	0	1	1	1	1	1	1	1	1	T101 3-6	10/15/11	0	1	
WP# CPTI T1 000022		1	1	1	1	1	1	1	1	1	1	T101 3-8	1/18/13	1	1	
WP# CPTI T1 000023		1	1	1	1	1	1	1	1	1	1	T101 3-9	12/17/11	1	1	
WP# CPTI T1 000024		1	1	1	1	1	0	1	1	1	1	T101 4-1	10/30/10	0	1	
WP# CPTI T1 000025		1	1	1	1	1	1	0	1	1	1	T101 4-2	1/17/14	0	1	
WP# CPTI T1 000026		0	1	0	0	0	0	0	1	1	1	T101 4-3	4/5/13	0	1	
WP# CPTI T1 000027		0	0	0	0	0	0	0	1	1	1	T101 4-4	5/14/12	0	1	
WP# CPTI T1 000028		1	1	1	1	1	1	0	1	1	1	T101 4-6	1/17/14	0	1	
WP# CPTI T1 000029		1	1	1	1	1	1	1	1	1	1	T101 4-8	10/12/12	1	1	
WP# CPTI T1 000030		1	1	1	1	1	1	1	1	1	1	T101 4-9	5/3/13	1	1	
WP# CPTI T1 000031		1	1	1	1	0	0	0	1	1	1	T101 4-11	11/26/11	0	1	
# of Compliant OPD Personnel		19	20	19	18	19	15	14	30			TOTAL		8	29	
% Compliant		66%	67%	66%	62%	66%	54%	48%	97%					28%		
# of Applicable OPD Personnel		29	30	29	29	29	28	29	31					29		
Legend		1	Compliant													
		0	Non-compliant													
			Not Applicable													

Objective #2 - Task 1.2 IAD rotations are in accordance with the IAD manual.

Criteria

In order to comply with Objective #2/Task 1.2, rotation to IAD must be exempt from the transfer policy, IAD must represent a career development opportunity within OPD, IAD staff must be

allowed to request voluntary transfers, and the IAD commander must make every effort to accommodate such a request as soon as possible in the light of the operational needs of IAD and OPD. In addition, 85% or more of the personnel reviewed must have consideration of rotation documented in their most recent annual appraisal.

Audit Steps

The EPAC auditors used the on-site fieldwork and survey audit steps to test Objective #2, unless other audit steps were documented for their respective objective.

Objective #2.1 - Rotation to IAD is exempt from the transfer policy. Compliance Standard: Yes/No (Y/N).

Audit Steps/Findings

The EPAC auditors reviewed IAD P&P 10-01 ¶ II. A. 1.; and verified that IAD personnel were exempt from the rotation transfer policy. Objective #2.1 was Compliant. (See Attachment #2.)

Objective #2.2 - The IAD is a career development opportunity within OPD. Compliance Standard: Y/N.

Audit Steps/Findings

The results for Objective #2.2 were obtained from Survey #2. Only 25 of the 26 respondents answered this question, 21 (84%) answered "Yes" and four (16%) answered "No." Objective #2.2 was Compliant. (See Attachment #2 and #4.)

Objective #2.3 - The IAD considers the rotation of personnel on an annual basis when preparing performance appraisals and this consideration is documented. Compliance Standard: 85%.

Audit Steps

The audit findings for Objectives #2.3 were inputted into a table (Table 3). Those CPTI questions that were compliant scored one point and questions that were non-compliant scored zero point. Each column was added and then divided by the number of personnel that were applicable to the objective. This determined the percentage of the objective, therefore determining compliance.

Findings

The EPAC auditors noticed the following exception for Objective #2.3.

- WP# CPTI T1 000001: No documentation.
- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000003: No documentation.
- WP# CPTI T1 000004: No documentation.
- WP# CPTI T1 000005: No documentation.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000008: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000013: No documentation.
- WP# CPTI T1 000015: No documentation.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000022: No documentation.
- WP# CPTI T1 000023: No documentation.
- WP# CPTI T1 000024: No documentation.
- WP# CPTI T1 000026: No documentation.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000028: No documentation.
- WP# CPTI T1 000030: No documentation.

Analysis of Findings

The following is a compliance analysis for Objective #2.3.

Only five of the 26 applicable IAD employee performance appraisals had documentation on the consideration of personnel rotation on an annual basis. The remaining five files belonged to civilian staffers, four who had less than one year as OPD employees and one who was directly hired into IAD. Therefore these employees were not applicable to this sub-objective. Objective #2.3 was at 19% (Non-Compliant). (See Attachment #2 and Table 3.)

TABLE 3 –OBJECTIVE #2.3 FINDINGS

IAD TASK 7 OBJECTIVE 2		Objective 2		Applicable Pers	NOTES
WORKPAPER NUMBER	2.3	O-2 Compl			
WP# CPTI T1 000001	0	0		1	
WP# CPTI T1 000002	0	0		1	
WP# CPTI T1 000003	0	0		1	
WP# CPTI T1 000004	0	0		1	
WP# CPTI T1 000005	0	0		1	
WP# CPTI T1 000006	1	1		1	
WP# CPTI T1 000007	0	0		1	
WP# CPTI T1 000008	0	0		1	
WP# CPTI T1 000009	1	1		1	
WP# CPTI T1 000010	0	0		1	No Folder.
WP# CPTI T1 000011	0	0		1	
WP# CPTI T1 000012					
WP# CPTI T1 000013	0	0		1	
WP# CPTI T1 000014					Hired & assigned to IAD.
WP# CPTI T1 000015	0	0		1	
WP# CPTI T1 000016	0	0		1	
WP# CPTI T1 000017					Hired & assigned to IAD.
WP# CPTI T1 000018	0	0		1	No Folder.
WP# CPTI T1 000019					
WP# CPTI T1 000020	0	0		1	No Folder.
WP# CPTI T1 000021	1	1		1	
WP# CPTI T1 000022	0	0		1	
WP# CPTI T1 000023	0	0		1	
WP# CPTI T1 000024	0	0		1	
WP# CPTI T1 000025					
WP# CPTI T1 000026	0	0		1	
WP# CPTI T1 000027	0	0		1	
WP# CPTI T1 000028	0	0		1	
WP# CPTI T1 000029	1	1		1	
WP# CPTI T1 000030	0	0		1	
WP# CPTI T1 000031	1	1		1	
# of Compliant OPD Personnel		TOTAL	5	26	
% Compliant			19%		
# of Applicable OPD Personnel			26		
Legend	1	Compliant			
	0	Non-compliant			
		Not Applicable			

Objective #2.4 - The IAD staff may request voluntary transfers and the IAD commander makes every effort to accommodate such requests as soon as possible in the light of the operational needs of the Division and the Department. Compliance Standard: Y/N.

Sub-Objective #2.4a [Supervisory, Survey #1] - Have any of your assigned personnel requested a voluntary transfer from IAD?

Findings

Only 2 of the 3 respondents answered this question and both of them (100%) responded, "Yes." Sub-Objective #2.4a was Compliant. (See Attachment #2 and #3.)

Sub-Objective #2.4a.1 [Supervisory, Survey #1] - If "Yes," was their request for voluntary transfer denied.

Findings

Only 2 of the 3 respondents answered this question, and one (50%) responded "Yes" and one (5%) responded, "No." Sub-Objective #2.4a.1 was found Compliant because; "Any member or employee may request a voluntary transfer from IAD at any time. The IAD Commander shall endeavor to accommodate the member or employee as soon as possible, considering the operational needs of the Division and the Department." (IAD P&P 10-01 ¶ II. A. 6.) One respondent commented on "staffing needs." (See Attachment #2 and #3.)

Sub-Objective #2.4b [Personnel, Survey #2] - Have you requested a voluntary transfer from IAD?

Findings

A total 25 of the 26 respondents answered this question. Six of them (24%) answered, "Yes" and 19 (76%) answered "No." Objective #2.4b was Compliant. (See Attachment #2 and #4.)

Sub-Objective #2.4b.1 [Personnel, Survey #2] - If "Yes," was your request for voluntary transfer denied.

Findings

A total 24 of the 26 respondents answered this question. Two of them (8.33%) answered, "Yes," two (8.33%) answered "No" and 20 (83.33%) answered "Not Applicable." Objective #2.4b.1 was Not Applicable. (See Attachment #2 and #4.)

Objective #3 - Task 1.3 Training and qualifications of members and other personnel in IAD are consistent with the IAD manual. Completion Standard: 90%.

Criteria

In order to comply with Objective #3/Task 1.3, 90% or more of the personnel reviewed must meet each of the requirements listed below.

- New personnel received an orientation from the IAD commander that includes a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, individual officers and the importance of maintaining the confidentiality of IAD information;

- New personnel receive a facilities orientation;
- Intake officers, case management officers, Pitchess Motion officers, IAD investigators and IAD Commanders attended a California Commission on Peace Officer Standards and Training (POST) certified internal affairs course as soon as possible; New members worked with an experienced and trained investigator until they have successfully completed a POST certified internal affairs investigator's course and been approved by the IAD Commander or his/her designee; and,
- The Administrative Sergeant and Investigation Supervisor positions are selected from experienced staff already trained in the IAD process with the skills and abilities of staff, and operational needs of the Department.

Audit Steps

The EPAC auditors used the on-site fieldwork and survey audit steps to test Objective #3, unless other audit steps were documented for their respective sub-objective.

Sub-Objective #3.1 - Do employees receive orientation from the IAD commander that includes a discussion regarding their critical nature of the assignment, including the significance of misconduct investigation to the community, the Department, individual officers and the importance of maintaining confidentiality of IAD information?

Findings

The EPAC auditors noticed the following exception for Sub-Objective #3.1.

- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000003: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000013: No documentation.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000017: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000028: No documentation.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #3.1.

The EPAC auditors reviewed 30 files applicable to this sub-objective and noticed that 19 employees receive orientation from the IAD commander that included a discussion regarding their critical nature of the assignment, including the significance of misconduct investigation to the community, the Department, individual officers and the importance of maintaining confidentiality of IAD information. Sub-Objective #3.1 was at 63% (Non-Compliant). (See Attachment #2 and Table 4.)

Sub-Objective #3.1a [Supervisory, Survey #1] - Do new personnel receive an orientation briefing from the IAD commander upon being assigned to the division?

Findings

On Survey #1, all three (100%) respondents answered, "Yes" to this question. Sub-Objective #3.1a was Compliant. (See Attachment #2 and #3.)

Sub-Objective #3.1a1 [Supervisory, Survey # 1] Does the IAD commander's orientation briefing include a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, and individual officers and the importance of maintaining confidentiality of IAD information?

Findings

On Survey #1, all three (100%) respondents answered, "Yes" to this question. Sub-Objective #3.1a1 was Compliant. (See Attachment #2 and #3.)

Sub-Objective #3.1b [Personnel, Survey # 2] - Did you receive an orientation briefing from the IAD commander upon being assigned to the division?

Findings

Of the 26 respondents to Survey #2, only 24 answered this question. The results were 17 (71%) answered, "Yes," and seven (29%) answered, "No." Sub-Objective #3.1b was Non-Compliant. (See Attachment #2 and #4.)

Sub-Objective 3.1b1 [Personnel, Survey #2] - Did the IAD commander's orientation briefing include a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, and individual officers and the importance of maintaining confidentiality of IAD information?

Findings

Of the 26 respondents to Survey #2, only 21 answered this question. The results were 18 (86%) answered, "Yes," and three (14%) answered, "No." Sub-Objective #3.lb 1 was Compliant. (See Attachment #2 and #4.)

Sub-Objective #3.2 - Do new personnel received a facilities orientation?

Findings

The EPAC auditors noticed the following exception for Sub-Objective #3.2.

- WP# CPTI T1 000002: No information as a lieutenant. Only the employee's police officer information was documented.
- WP# CPTI T1 000003: No documentation.
- WP# CPTI T1 000015: No documentation.
- WP# CPTI T1 000010: No documentation.
- WP# CPTI T1 000011: No folder.
- WP# CPTI T1 000016: No documentation.
- WP# CPTI T1 000018: No folder.
- WP# CPTI T1 000020: No folder.
- WP# CPTI T1 000025: No documentation.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000028: No documentation.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #3.2.

Of the 30 applicable files reviewed, 19 noted that new personnel had received a facility orientation. Sub-Objective #3.2 was at 63% (Non-Compliant). (See Attachment #2 and Table 4.)

Sub-Objective #3.2a [Supervisory, Survey #1] - Do new personnel receive a facilities orientation upon being assigned to IAD?

Findings

On Survey #1, all three (100%) respondents answered, "Yes" to this question. Sub-Objective #3.2a was Compliant. (See Attachment #2 and #3.)

Sub-Objective #3.2b [Personnel, Survey # 2] - Did you receive a facilities orientation upon being assigned to IAD?

Findings

Of the 26 respondents to Survey #2, only 24 answered this question. The results were 14 (58%) answered, "Yes," and 10 (42%) answered, "No." Sub-Objective #3.2b was Non-Compliant. (See Attachment #2 and #4.)

Sub-Objective #3.3 - Have personnel attended a California POST certified course as soon as possible?

Findings

There were no exceptions found with this sub-objective. Sub-Objective #3.5 was at 100% (See Attachment #2 and Table 4.)

Sub-Objective #3.3a [Supervisory, Survey #1] Have all your assigned sworn personnel attended a California POST approved internal affairs course?

Findings

All three respondents to Survey #1 answered this question. The results were two (67%) answered, "Yes," and 1 (33%) answered, "No." Sub-Objective #3.3a was Non-Compliant. (See Attachment #2 and #3.)

Sub-Objective #3.3b [Personnel, Survey #2] - Have you attended a California POST approved internal affairs course?

Findings

Of the 26 respondents to Survey #2, only 24 answered this question. The results were 17 (71%) answered, "Yes," and 7 (29%) answered, "No." Sub-Objective #3.3b was Non-Compliant. (See Attachment #2 and #4.)

Sub-Objective #3.4 - Do new personnel work with an experienced and trained investigator until he/she completed a POST certified investigators course and was approved by the IAD commander or designee?

Findings

The EPAC auditors noticed the following exceptions for Sub-Objective #3.4.

- WP# CPTI T1 000003: No documentation.
- WP# CPTI T1 000005: No documentation.
- WP# CPTI T1 000007: No documentation.
- WP# CPTI T1 000010: No folder.
- WP# CPTI T1 000011: No documentation.
- WP# CPTI T1 000020: No folder..
- WP# CPTI T1 000021: No documentation.
- WP# CPTI T1 000025: Documented on date this employee was assigned to IAD.
- WP# CPTI T1 000026: Documented on date this employee was assigned to IAD.
- WP# CPTI T1 000027: No documentation.
- WP# CPTI T1 000030: No documentation.
- WP# CPTI T1 000031: Documented on date this employee was assigned to IAD.

Analysis of Findings

The following is a compliance analysis for Sub-Objective #3.4.

Sub-Objective #3.4 had 23 applicable files and the auditors' review noticed that 11 employees worked with an experienced and trained investigator until he/she completed a POST certified investigators course and was approved by the IAD commander or designee. Sub-Objective #3.4 was at 48% (Non-Compliant). (See Attachment #2 and Table 4.)

Sub-Objective #3.4a [Supervisory, Survey #1] Do new sworn personnel work with an experienced and trained investigator until they have successfully completed a California POST approved internal affairs course?

Findings

On Survey #1 all three (100%) respondents answered, "Yes" to this question. Sub-Objective #3.4a was Compliant. (See Attachment #2 and #3.)

Sub-Objective #3.4b) [Personnel, Survey # 2] If you have not attended a California POST approved internal affairs course, are you working with an experienced and trained investigator?

Findings

Survey #2 had 26 respondents but only 25 answered this question. The results were 3 (12%) answered, "Yes," one (4%) answered, "No" and 21 (84%) answered "Not Applicable." Sub-Objective #3.3b was Not Applicable. (See Attachment #2 and #4.)

Sub-Objective #3.5 - The administrative sergeant and investigative supervisor position are selected from experienced staff already trained with the IAD process.

Findings

There were no exceptions found with this sub-objective. Sub-Objective #3.5 was at 100% (Compliant). (See Attachment #2 and Table 4.)

Sub-Objective #3.5a) [Supervisory, Survey #1] Are the Administrative Sergeant and Investigative Supervisor positions selected from experienced staff already trained in the IAD process?

Findings

On Survey #1, all three (100%) respondents answered, "Yes" to this question. Sub-Objective #3.5a was Compliant. (See Attachment #2 and #3.)

Objective #3 Summary

Audit Steps

The audit findings from Sub-Objectives #3.1 through #3.5 were inputted into a table (Table 4). Those CPTI questions that were compliant scored one point and questions that were non-compliant scored zero point. Each column was added and then divided by the number of personnel that were applicable to the objective. This determined the percentage of the objective, therefore determining compliance. As indicated in Objective #4 criteria, the personnel files reviewed must each meet of the requirements of this objective to be compliant with Task 1.3.

Findings

All 31 files reviewed by EPAC auditors were applicable to Objective #3. There were certain sub-objectives where personnel were not applicable due to specific requirements. Those requirements involved POST training for sworn members that were not required for civilians. Also, selection of the administrative sergeant and investigative supervisor applied to only two files.

Analysis of Findings

The following is a compliance analysis for Objective #3.

The EPAC auditors noticed that 13 files met the criteria for training and qualifications of members and other personnel in IAD in accordance with the IAD manual. The overall compliance analysis for Objective #3 was at 42% (Non-Compliant). (See Attachment #2 and Table 4.)

TABLE 4 – OBJECTIVE #3 FINDINGS

IAD TASK 7 OBJECTIVE 3		Objective 3						O-3 Compl	Applicable Pers	NOTES
WORKPAPER NUMBERS	3.1	3.2	3.3	3.4	3.5	3.6/3.5 (S)				
WP# CPTI T1 000001			1					1	1	
WP# CPTI T1 000002	0	0	1	1				0	1	Attended per Tng Status Rpt 4/1/2014
WP# CPTI T1 000003	0	0	1	0				0	1	
WP# CPTI T1 000004	1	1	1		1	1		1	1	
WP# CPTI T1 000005	1	1	1	0				0	1	
WP# CPTI T1 000006	1	1	1	1				1	1	
WP# CPTI T1 000007	1	1	1	0				0	1	
WP# CPTI T1 000008	1	1	1	1				1	1	
WP# CPTI T1 000009	1	1	1	1				1	1	
WP# CPTI T1 000010	0	0	1	0				0	1	No Folder. Attended per Tng Status Rpt 4/1/2014
WP# CPTI T1 000011	0	0	1	0				0	1	Attended per Tng Status Rpt 4/1/2014
WP# CPTI T1 000012	1	1	1	1				1	1	
WP# CPTI T1 000013	0	1	1	1				0	1	
WP# CPTI T1 000014	1	1	1					1	1	Hired & assigned to IAD.
WP# CPTI T1 000015	1	1						1	1	
WP# CPTI T1 000016	0	0						0	1	
WP# CPTI T1 000017	0	1						0	1	Hired & assigned to IAD.
WP# CPTI T1 000018	0	0						0	1	No Folder.
WP# CPTI T1 000019	1	1						1	1	
WP# CPTI T1 000020	0	0	1	0				0	1	No Folder. Attended per Tng Status Rpt 4/1/2014
WP# CPTI T1 000021	1	1	1	0				0	1	
WP# CPTI T1 000022	1	1	1	1				1	1	
WP# CPTI T1 000023	1	1	1	1				1	1	
WP# CPTI T1 000024	1	1	1	1				1	1	
WP# CPTI T1 000025	1	0	1	0				0	1	Attended per Tng Status Rpt 4/1/2014
WP# CPTI T1 000026	1	1	1		1	1		0	1	
WP# CPTI T1 000027	0	0	1					0	1	
WP# CPTI T1 000028	0	0	1	1	1	1		0	1	Attended per Tng Status Rpt 4/1/2014
WP# CPTI T1 000029	1	1	1	1				1	1	
WP# CPTI T1 000030	1	1	1	0				0	1	
WP# CPTI T1 000031	1	1	1	0				0	1	Attended per Tng Status Rpt 4/1/2014
# of Compliant OPD Personnel	19	19	23	12	3	3	TOTAL	13	31	
% Compliant	63%	63%	100%	52%	100%	100%		42%		
# of Applicable OPD Personnel	30	30	23	23	3	3		31		
Legend										
	1	Compliant								
	0	Non-compliant								
		Not Applicable								

Objective #4 - Task 1.5 Confidential information is maintained in accordance with the IAD manual. Compliance Standard: Y/N.

Criteria

In order to comply with Task 1.5, EPAC staff observations and interviews must establish that IAD controls access to its offices, limits access to IAD files and file cabinets to IAD personnel; and secures files and file cabinets.

Audit Steps

The EPAC auditors conducted a site inspection of the IAD facility for controls access to its offices, access to files and file cabinets by IAD personnel; and security of files and file cabinets.

Sub-Objective #4.1) - Does IAD have high security access control into their facility?

Findings

The EPAC auditors noticed the following exception for Sub-Objective #4.1.

- WP# CPTI T1.5 000001:

The Intake Section had open access from the lobby area to the workspace area. There was a separation between the lobby and workspace area with a waist high panel and glass, but there is no door to block access. The EPAC auditors observed a paper sign on a beam by the entryway of the workspace area containing a printed red colored octagon and the word "STOP."

The Investigation Section, which is in a separate facility, is fully secured. Access to this facility is via a secured door. Only authorized personnel have access to this area and the Intake Section personnel do not have keys to enter the premises.

Sub-Objective #4.1 was Non-Compliant. (See Attachment #2 and Table 5.)

Sub-objective #4.2) - The case files are stored in secured file cabinets.

Findings

The EPAC auditors noticed the following exception for Sub-Objective #4.2.

- WP# CPTI T1.5 000001:

The current control files are locked in a secure file cabinet, but older files that are due to be taken for archive and storage, are in boxes. The auditors observed several boxes on top of file cabinets. The IAD staffer explained that there was no space to secure these files at the IAD facility. There are plans to add space for more file cabinets once the unused cubicles are removed.

Sub-Objective #4.2 was Non-Compliant. (See Attachment #2 and Table 5.)

Sub-Objective #4.3) - The IAD file cabinets are secured with high quality pad or combination locks.

Findings

The file cabinets were secured with built-in locks. Sub-Objective #4.3 was Compliant. (See Attachment #2 and Table 5.)

Sub-Objective #4.4) - Only authorized personnel have access to the IAD file cabinets.

Only IAD staff has access to the file cabinets. Sub-Objective #4.4 was Compliant. (See Attachment #2 and Table 5.)

Sub-Objective #4.5) - Only authorized personnel have access to the IAD case files.

Only authorized personnel have access to the case files. Control files are stored in the file cabinets in the Intake Section and copies of the files are made as working documents for the investigators, who are in a completely secured area. Sub-Objective #4.5 was Compliant. (See Attachment #2 and Table 5.)

Objective #4 Summary

Objective #4 was Non-Compliant due to the security issues addressed in Sub-Objective #4.1 and #4.2.

TABLE 5 – OBJECTIVE #4 FINDINGS

Objective No.	Objective Title	Task No.	Work Paper #	Compliance Analysis	Objective Compliance
4.	OPD maintains confidential IAD information in accordance with the IAD manual. <u>Compliance Standard: Y/N</u>	1.5		No	Non-Compliant
4.1.	Does IAD have high security access control into their facility?	1.5	WP# CPTI T1.5 000001	No	Non-Compliant
4.2.	The case files are stored in secured file cabinets.	1.5	WP# CPTI T1.5 000001	No	Non-Compliant
4.3.	The IAD file cabinets are secured with high quality pad or combination locks.	1.5	None.	Yes	Compliant
4.4.	Only authorized personnel have access to the IAD file cabinets.	1.5	None.	Yes	Compliant
4.5.	Only authorized personnel have access to the IAD case files.	1.5	None.	Yes	Compliant

OTHER RELATED MATTERS

Survey

There were some comments made regarding personnel and staffing in the surveys that should be addressed by OPD staff. (See Attachments #3 and #4.)

Auditors' Review of IAD Files

The EPAC auditors noticed the following concerns that were not within the scope of this audit engagement, but should be addressed as risk management issues.

- WP# CPTI T1 000003: Background conducted after being assigned to IAD.
- WP# CPTI T1 000015: The selection process was documented after being assigned to IAD.
- WP# CPTI T1 000019: Background documented after being assigned to IAD.
- WP# CPTI T1 000021: This sergeant's background was documented after being assigned to IAD.
- WP# CPTI T1 000022: Documentation of background for IAD assignment did not have specific dates.
- WP# CPTI T1 000023: Officer's background was documented on the date being assigned to IAD.
- WP# CPTI T1 000024: Documentation issues. This folder indicated the employee was a sergeant, but the file contained information when this employee was a police officer. The folder was not updated when reassigned.
- WP# CPTI T1 000025: The sergeant's background was documented on the date assigned to IAD.
- WP# CPTI T1 000028: The sergeant's background was documented on the date assigned to IAD.
- WP# CPTI T1 000029: The sergeant had a prior tour at IAD as a police officer. According to the IAD staffer, some folders were not updated.
- WP# CPTI T1 000030: The sergeant's background was documented on the date assigned to IAD.
- WP# CPTI T1 000031: The sergeant's background was documented on the date assigned to IAD.

This audit engagement found that internal background investigation results were not being documented and placed in the IAD personnel folders. Also, auditors observed that many of the files contained information on employees who had previous tours at IAD and there was no documentation of updated internal background investigations. It is also important to note that there was an absence of supervisory oversight regarding the maintenance of these folders.

RECOMMENDATION/ACTIONS TAKEN

Recommendations

Objective #1

The selection of personnel to IAD is of utmost importance to the organization whether the individual is a sworn member or a civilian employee. Personnel complaint investigations are very sensitive in nature and confidentiality of these cases is paramount. As a result, assignment to IAD must be from OPD personnel who have an established history with the Department. During this audit engagement, EPAC auditors found that two new hired civilians were assigned

to IAD without a proven history. Although the need for personnel is important, especially if the entity is short staffed, it should draw its staff from those who already OPD employees. It is recommended that civilian staff assigned to IAD be from existing OPD personnel and the units where the individuals were transferred from be replaced by the new hires.

Sub-Objective #2.3

Task 1.2 requires that IAD consider the rotation of personnel on an annual basis when preparing performance appraisals and this consideration is documented. A review of the IAD personnel performance appraisals contained in the files showed that five of the 26 applicable employees had documentation indicating consideration of rotation from IAD. It is recommended that IAD commanders inspect the IAD personnel files quarterly and that it be documented in the folders. A quarterly inspection checklist should be designed with signature and date blocks.

Sub-Objective #4.1

Task 1.5 requires that confidential information be maintained in accordance with the IAD manual. This includes that IAD controls access to its offices, limits access to IAD files and file cabinets to IAD personnel; and secures files and file cabinets. The EPAC auditors observed that the Intake Section had open access from the lobby to the workspace area.

The security of confidential files and the safety of personnel are vitally important, especially when it involves complaints against the police. Because the IAD facility is off-site, in the Civic Center, which contains a high-volume of people, makes this facility high risk for volatile incidents. It is recommended that the IAD Intake Section have a secured counter with locking doors be constructed to separate the lobby from the workspace area.

Other Related Matters

The importance of documenting an internal background investigation of prospective IAD personnel is to ensure that there is evidence that the most qualified individuals are being selected for the position. Several of the IAD personnel files reviewed by EPAC auditors had outdated information and/or no documentation at all. It is a risk issue not to have the most qualified individuals, whether sworn members or civilian staff assigned to IAD. Supervisory and command personnel must periodically review these files to ensure that they contain the most updated information.

It is recommended that OPD amend their IAD P&P 10-01 to require that all elements listed in ¶II. B.; be completed, documented and signed by the IAD Commander before the individual is assigned to IAD. A form should be designed listing all of the elements listed in IAD P&P 10-01 ¶II. B., with a signature and date block for the IAD Commander. Also, the IAD commanders should conduct quarterly inspections of these files and an inspection form with signature and date blocks be designed.

Actions Taken

Sub-Objective #4.2

Task 1.5 requires that case files be stored in secured file cabinets. During the EPAC auditors IAD facility site inspection, they observed several boxes containing files on top of file cabinets in the workspace area of the Intake Section. The auditors brought this to the attention of both the IAD staffer and later to the Commander. Both individuals said that IAD was in the process of removing unused cubicles and replacing them with secured file cabinets to store those files.

Internal Affairs Division Commander's Response to Task #1 Audit Findings

“Upon receiving the findings of EPAC’s audit, IAD has completed or is in the process of addressing points of concern and recommendations in order to facilitate compliance for Task 1. IAD has completed the following:

1. Provided preliminary Task 1 awareness training for all supervisory and command personnel;
2. Created a new “IAD Selection Check List” form which consolidates a pre-existing form and EPAC’s audit checklist;
3. Created or updated Task 1 folders for all current IAD personnel; designated specific Task 1 responsibilities to supervisory and command staff; and,
4. Complied with all facets of Task 1 with the newest civilian hires since receiving the audit findings.

IAD is in progress with the following:

1. Writing formal Task 1 protocols which includes, but is not limited to, establishing responsibilities for specific positions within IAD;
2. Requiring [Internal Personnel Assessment System] PAS [Supervisory Notes Function] SNF entries at performance appraisal time documenting current performance review and willingness to remain in IAD; and,
3. Creating a more secure storage system for the confidential files.”

TASK 1 METHODOLOGY FLOW CHART

Project No.: E2014OPDT1IAD

Task 1 Methodology



ATTACHMENT #1

Task 1 IAD Staffing and Resources Review (Summary)

conducted for

Oakland Police Department

Document No.

WP# CPTI T1 000002 S

Audit Title

Task 1 IAD Staffing and Resources Preview (Summary)

Conducted on

5/12/14 2:06 PM

Prepared by

Christopher Figueroa

Location

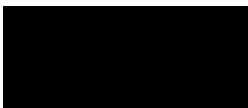
Internal Affairs Division
250 Frank H. Ogawa Plaza, Suite "C"
Oakland, California 94612

Personnel

Project Manager: Christopher Figueroa, DPA, CGAP, CFE, CFS, CLEA, CRMA
Assistant Project Manager: Randy Khatami, CFE, CFS, CLEA, CRMA

Completed on

5/27/14 5:32 PM



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.

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Audit [REDACTED]

Question	Response	Details
Objective 1: Task 1.1 & 1.4 Internal Affairs Division (IAD) assignments are made in accordance with the IAD manual. Score (4/13) 30% Compliance Standard: 85%		
Compliance standard for Objective 1 is that personnel must have undergone all of the eight elements of the selection process listed below.	Non-Compliant	8/29 = 28%
1.1) Did personnel have a personal interview with the IAD commander prior to being assigned?	Non-Compliant	18/29 = 66% WP# CPTI T1 000001: No documentation. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000008: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation.
1.1a) [Supervisory Survey] Did you personally interview any of the applicants for an IAD assignment?	Yes	Yes: 2 = 100%/ No: 0/ Not Applicable: 0. Total Respondents: 2/3.
1.1b) [Personnel Survey] Did the IAD commander interview you prior to your assignment in IAD?	No	Yes: 16 = 66.67%/ No: 8 = 33.33%. Total Respondents: 24/26.
1.2) Was compliance with the provisions Special Order 8064/Department General Order E3.1 met by this employee during the selection process?	Non-Compliant	20/30 = 67% WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000005: No documentation. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000008: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000021: No documentation. WP# CPTI T1 000027: No documentation.

Question	Response	Details
1.3) Was close examination of the employee's complaint history involving: a) truthfulness, use of force and violations of ethical matters that would preclude one from assignment to IAD conducted?	Non-Compliant	19/29 = 66% WP# CPTI T1 000002 WP# CPTI T1 000007: No documentation. WP# CPTI T1 000008: No documentation. WP# CPTI T1 000010: No documentation. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation.
1.4) Did this employee consider a willingness to accept this assignment.	Non-Compliant	18/29 = 62%. WP# CPTI T1 000001: No documentation. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000008: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation.
1.4a) [Supervisory Survey] When selecting personnel to IAD, did any of the applicants decline this assignment?	Yes	Yes: 2 = 100%/ No: 0/ Unknown: 0. Total Respondents: 2/3
1.4b) [Personnel Survey] When selecting personnel to IAD, did any of the applicants decline this assignment?	Yes	Yes: 23 = 92%/ No: 2 = 8%. Total Respondents: 25/26
1.5) Was the employee's Departmental seniority, time in rank, performance appraisals and use of sick time reviewed during the selection process?	Non-Compliant	19/29 = 66%. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000031: Indicated NA on the checklist.

Question	Response	Details
1.6) Were reviews of the employee's report writing ability and ability to conduct preliminary and/or follow-up investigations done during the selection process?	Non-Compliant	15/28 = 54%. WP# CPTI T1 000001: No documentation. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000024: No documentation. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000028: No documentation. WP# CPTI T1 000031: Indicated NA on the checklist.
1.7) During the background process, were the employees' current (last assignment) supervisor and/or commander interviewed?	Non-Compliant	14/29 = 48%. WP# CPTI T1 000001: No documentation. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000003: No documentation. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000008: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000025: No documentation. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000028: No documentation. WP# CPTI T1 000031: Indicated NA on the checklist.
1.8) Did the IAD commander consult with the COP regarding this employee & was the final selection made by the COP?	Compliant	30/31 = 97%. Verified via iPAS. WP# CPTI T1 000019: No documentation & not entered in iPAS.
NARRATIVE:		
Objective 2: Task 1.2 IAD rotations are in accordance with the IAD manual. Compliance Standard: 85%		Score (4/7) 57%
2.1) Rotation to IAD is exempt from the transfer policy.	Yes	
2.2) [Personnel Survey] IAD is a career development opportunity within OPD.	No	Yes: 21 = 84%/ No: 4 = 16%. Total Respondents: 25/26.

Question	Response	Details
2.3) Does the employee's performance appraisal indicate that he/she was considered for rotation from IAD on an annual basis?	Non-Compliant	<p>5/26 = 19%.</p> <p>WP# CPTI T1 000001: No documentation. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000003: No documentation. WP# CPTI T1 000004: No documentation. WP# CPTI T1 000005: No documentation. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000008: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000013: No documentation. WP# CPTI T1 000015: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000022: No documentation. WP# CPTI T1 000023: No documentation. WP# CPTI T1 000024: No documentation. WP# CPTI T1 000026: No documentation. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000028: No documentation. WP# CPTI T1 000030: No documentation.</p>
2.4) IAD staff may request voluntary transfers and the IAD commander makes every effort to accommodate such requests as soon as possible in light of the operational needs of the division and the Department.	Yes	
2.4a) [Supervisory Survey) Have any of your assigned personnel requested a voluntary transfer from IAD?	Yes	Yes: 2 = 100%/ No: 0/ Unknown: 0. Total Respondents: 2/3.
2.4a.1) [Supervisory Survey] If "Yes," was their request for voluntary transfer denied.	Yes	Yes: 1 = 50%/ No: 1 = 50%/ Not Applicable: 0. Total Respondents: 2/3.
2.4b) [Personnel Survey) Have you requested a voluntary transfer from IAD?	No	Yes: 6 = 24%/ No: 19 = 76%. Total Respondents: 25/26.
2.4b.1) [Personnel Survey] If "Yes," was your request for voluntary transfer denied.	N/A	Yes: 2 = 8.33%/ No: 2 = 8.33%/ Not Applicable: 20 = 83.33%. Total Respondents: 24/26.
NARRATIVE:		
Objective 3: Task 1.3 Training and qualifications of personnel in IAD are consistent with the IAD manual. Compliance Standard: 90%		Score (6/15) 40%

Question	Response	Details
Compliance standard for Objective 3 is that personnel must have met each of the requirements listed in 3.1 through 3.4.	Non-Compliant	10/31 = 32%
3.1) Do employees receive orientation from the IAD commander that includes a discussion regarding their critical nature of the assignment, including the significance of misconduct investigation to the community, the Department, individual officers and the importance of maintaining confidentiality of IAD information?	Non-Compliant	19/30 = 63% WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000003: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000013: No documentation. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000017: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000028: No documentation.
3.1a) [Supervisory Survey] Do new personnel receive an orientation briefing from the IAD commander upon being assigned to the division?	Yes	Yes: 3 = 100%/ No: 0/ Unknown: 0. Total Respondents: 3/3.
3.1a1) [Supervisory Survey] Does the IAD commander's orientation briefing include a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, and individual officers and the importance of maintaining confidentiality of IAD information?	Yes	Yes: 3 = 100%/ No: 0/ Unknown: 0. Total Respondents: 3/3.
3.1b) [Personnel Survey] Did you receive an orientation briefing from the IAD commander upon being assigned to the division?	No	Yes: 17 = 70.83%/ No: 7 = 29.17%. Total Respondents: 24/26.
3.1b1) [Personnel Survey] Did the IAD commander's orientation briefing include a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, and individual officers and the importance of maintaining confidentiality of IAD information?	Yes	Yes: 18 = 85.71%/ No: 3 = 14.29%. Total Respondents: 21/26.

Question	Response	Details
3.2) Do new personnel received a facilities orientation?	Non-Compliant	19/30 = 63%. WP# CPTI T1 000002: No info as a Lt. Only info when employee was a Police Officer. WP# CPTI T1 000003: No documentation. WP# CPTI T1 000015: No documentation. WP# CPTI T1 000010: No documentation. WP# CPTI T1 000011: No folder. WP# CPTI T1 000016: No documentation. WP# CPTI T1 000018: No folder. WP# CPTI T1 000020: No folder. WP# CPTI T1 000025: No documentation. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000028: No documentation.
3.2a) [Supervisory Survey] Do new personnel receive a facilities orientation upon being assigned to IAD?	Yes	Yes: 3 = 100%/ No: 0/ Unknown: 0. Total Respondents: 3/3
3.2b) [Personnel Survey] Did you receive a facilities orientation upon being assigned to IAD?	No	Yes: 14 = 58.33%/ No: 10 = 41.67%. Total Respondents: 24/26.
3.3) Have personnel attend a California POST certified course as soon as possible?	Non-Compliant	15/23 = 65% WP# CPTI T1 000003: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000020: No folder. WP# CPTI T1 000025: No documentation. WP# CPTI T1 000028: No documentation. WP# CPTI T1 000031: No documentation.
3.3a) [Supervisory Personnel] Have all your assigned sworn personnel attended a California POST approved internal affairs course?	No	Yes: 2 = 66.67%/ No: 1 = 33.33%/ Unknown: 0. Total Respondents: 3/3
3.3b) [Personnel Personnel] Have you attended a California POST approved internal affairs course?	No	Yes: 17 = 70.83%/ No: 7 = 29.1%. Total Respondents: 24/26.


Question	Response	Details
3.4) Do new personnel work with an experienced and trained investigator until he/she completed a POST certified investigator's course and was approved by the IAD commander or designee?	Non-Compliant	11/23 = 48% WP# CPTI T1 000003: No documentation. WP# CPTI T1 000005: No documentation. WP# CPTI T1 000007: No documentation. WP# CPTI T1 000010: No folder. WP# CPTI T1 000011: No documentation. WP# CPTI T1 000020: No folder. WP# CPTI T1 000021: No documentation. WP# CPTI T1 000025: Documented on date this employee was assigned to IAD. WP# CPTI T1 000026: Documented on date this employee was assigned to IAD. WP# CPTI T1 000027: No documentation. WP# CPTI T1 000030: No documentation. WP# CPTI T1 000031: Documented on date this employee was assigned to IAD.
3.4a) [Supervisory Survey] Do new sworn personnel work with an experienced and trained investigator until they have successfully completed a California POST approved internal affairs course?	Yes	Yes: 3 = 100%/ No: 0/ Unknown: 0. Total Respondents: 3/3.
3.4b) [Personnel Survey] If you have not attended a California POST approved internal affairs course, are you working with an experienced and trained investigator?	N/A	Yes: 3 = 12%/ No: 1 = 4%/ Not Applicable: 21 = 84%. Total Respondents: 25/26.
3.5) The administrative sergeant and investigative supervisor position are selected from experienced staff already trained with the IAD process.	Yes	
3.5a) [Supervisory Survey] Are the Administrative Sergeant and Investigative Supervisor positions selected from experienced staff already trained in the IAD process?	Yes	Yes: 3 = 100%/ No: 0/ Unknown: 0. Total Respondents: 3/3
NARRATIVE:		
Objective 4: Task 1.5 Oakland Police Department's (OPD) maintains confidential Internal Affairs Division (IAD) information in accordance with the IAD manual. Compliance Standard: Y/N Score (3/5) 60%		

Question	Response	Details
4.1) Does IAD have high security access control into their facility?	No	<p>WP# CPTI T1.5 000001:</p> <p>The Intake Section has open access from the lobby area to the work space area. There is a separation between the lobby and work space area with a waist high panel and glass, but there is no door to block access.</p> <p>The Investigation Section, which is in a separate facility is fully secured. Access to this office is via a secure door. Only authorized personnel have access to this area and Intake staff do not have keys to enter the location.</p>
4.2) The case files are stored in secured file cabinets.	No	<p>WP# CPTI T1.5 000001:</p> <p>The current control files are locked in a secure file cabinet, but older files that are due to be taken for archive and storage, are in boxes. The auditors observed several boxes on top of file cabinets. The IAD staffer explained that there was no space to secure these files at the IAD facility. There are plans to add space for more file cabinets once the unused cubicles are removed.</p>
4.3) The IAD file cabinets are secured with high quality pad or combination locks.	Yes	The file cabinets are secured with built-in locks.
4.4) Only authorized personnel have access to the IAD file cabinets.	Yes	Only IAD staff have access to the file cabinets.
4.5) Only authorized personnel have access to the IAD case files.	Yes	Only authorized personnel have access to the case files. Control files are stored in the file cabinets in the Intake Section and copies of the files are made as working documents for the investigators, who are in a completely secured area.
NARRATIVE:		

Other Related Matter - 0/1 - 0%

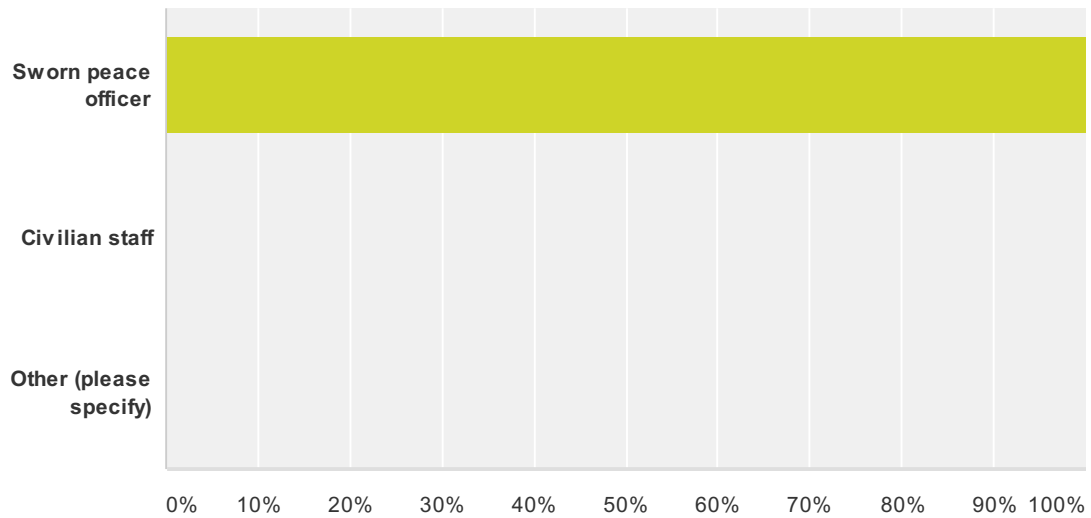
Question	Response	Details
Where there any other issues that needed attention that the Compliant/Performance Testing Instrument (CPTI) did not cover?	At Risk	<p>There were some comments regarding personnel and staffing in the surveys that should be addressed. See Attachments 1 and 2.</p> <p>WP# CPTI T1 000003: Background conducted after being assigned to IAD.</p> <p>WP# CPTI T1 000015: The selection process was documented after being assigned to IAD.</p> <p>WP# CPTI T1 000019: Background documented after being assigned to IAD.</p> <p>WP# CPTI T1 000021: This sergeant's background was documented after being assigned to IAD.</p> <p>WP# CPTI T1 000022: Documentation of background for IAD assignment did not have specific dates.</p> <p>WP# CPTI T1 000023: Officer's background was documented on the date being assigned to IAD.</p> <p>WP# CPTI T1 000024: Documentation issues. Folder indicated Sgt. was a PO. Folders not updated when reassigned.</p> <p>WP# CPTI T1 000025: The Sgt.'s background was documented on the date assigned to IAD.</p> <p>WP# CPTI T1 000028: The Sgt.'s background was documented on the date assigned to IAD.</p> <p>WP# CPTI T1 000029: The Sgt. had a prior tour at IAD as a PO. According to IAD staffer, folders are not updated.</p> <p>WP# CPTI T1 000030: The Sgt.'s background was documented on the date assigned to IAD.</p> <p>WP# CPTI T1 000031: The Sgt.'s background was documented on the date assigned to IAD.</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	Christopher Figueroa, DPA, CGAP, CFE, CFS, CLEA, CRMA	5/12/14 4:14 PM	

Q1 What is your job classification at IAD?

Answered: 1 Skipped: 2

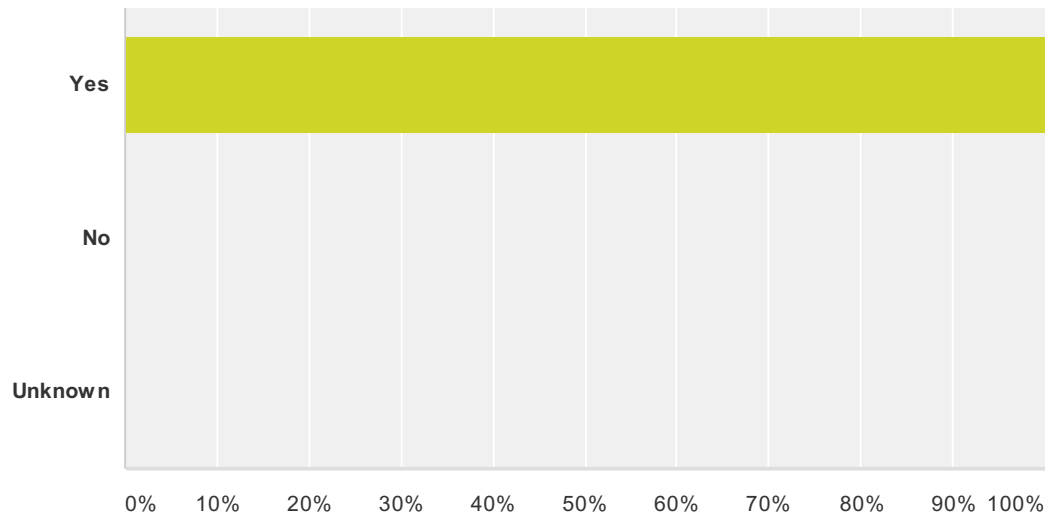


Answer Choices		Responses	
Sworn peace officer		100.00%	1
Civilian staff		0.00%	0
Other (please specify)		0.00%	0
Total			1
#	Other (please specify)	Date	
	There are no responses.		

ATTACHMENT #3

Q2 When selecting personnel to IAD, did any of the applicants decline this assignment?

Answered: 2 Skipped: 1

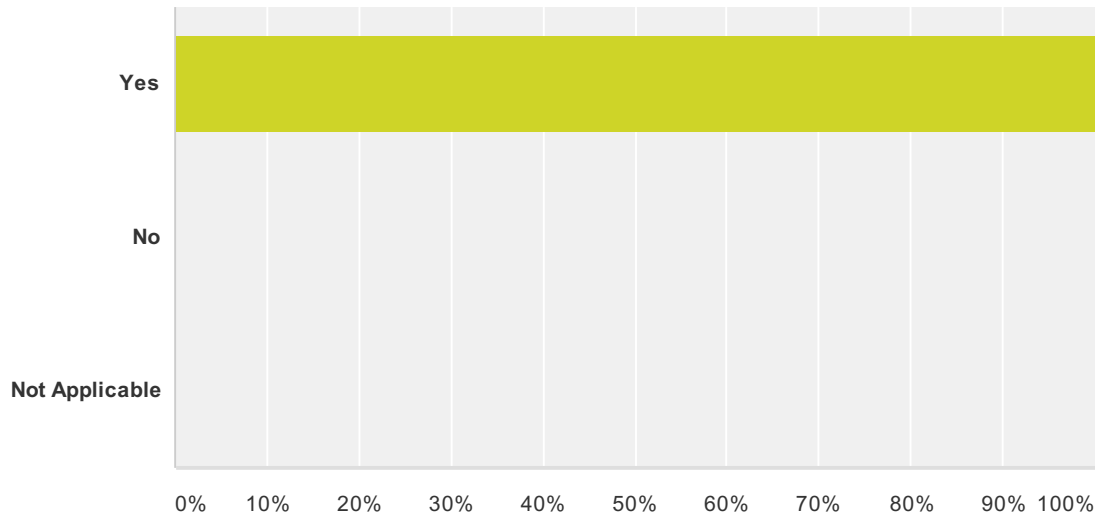


Answer Choices		Responses	
Yes		100.00%	2
No		0.00%	0
Unknown		0.00%	0
Total			2
#	Comment	Date	
	There are no responses.		

Objective 1: Task 1.1 & 1.4

Q3 Did you personally interview any of the applicants applying for an IAD assignment?

Answered: 2 Skipped: 1

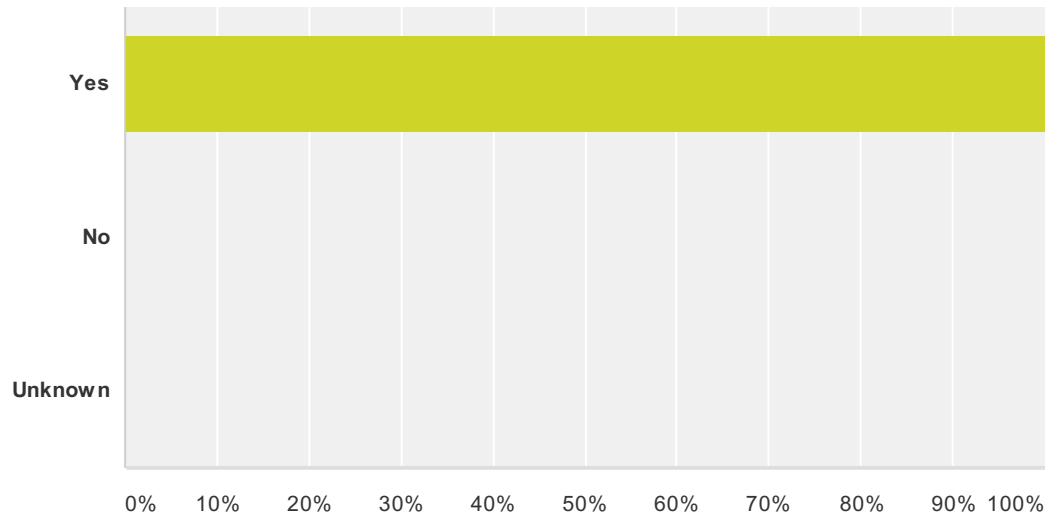


Answer Choices		Responses	
Yes		100.00%	2
No		0.00%	0
Not Applicable		0.00%	0
Total			2
#	Comment	Date	
	There are no responses.		

Objective 1: Task 1.1 & 1.4

Q4 Have any of your assigned personnel requested a voluntary transfer from IAD?

Answered: 2 Skipped: 1

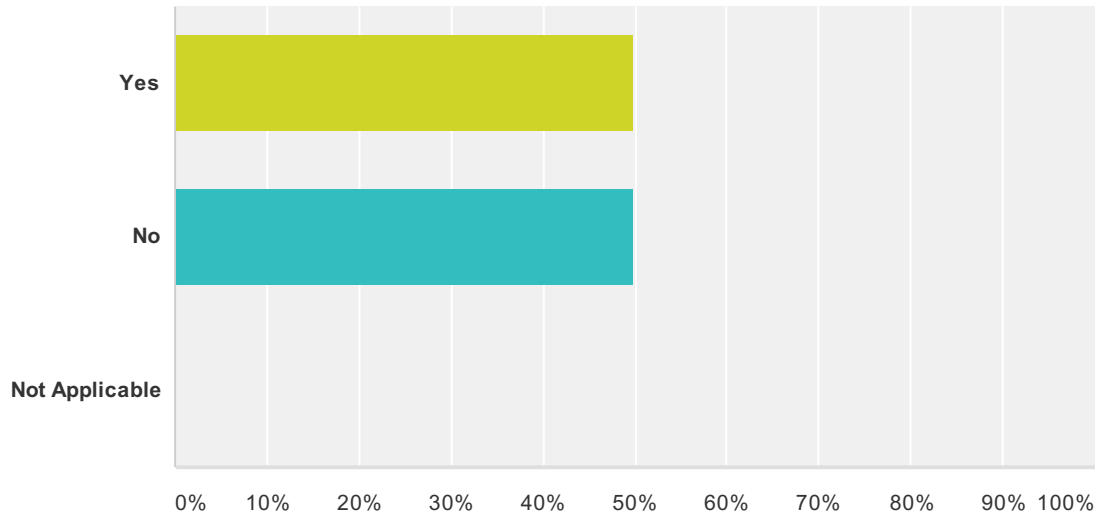


Answer Choices		Responses	
Yes		100.00%	2
No		0.00%	0
Unknown		0.00%	0
Total			2
#	Comment	Date	
1	Administration Sgt of investigations requested to leave when the acting lieutenant was promoted	4/4/2014 10:22 AM	

Objective 2: Task 1.2

Q5 If “Yes,” was their request for a voluntary transfer denied? (Answer this question only if you answered, "Yes" to question #6, otherwise check "Not Applicable".)

Answered: 2 Skipped: 1



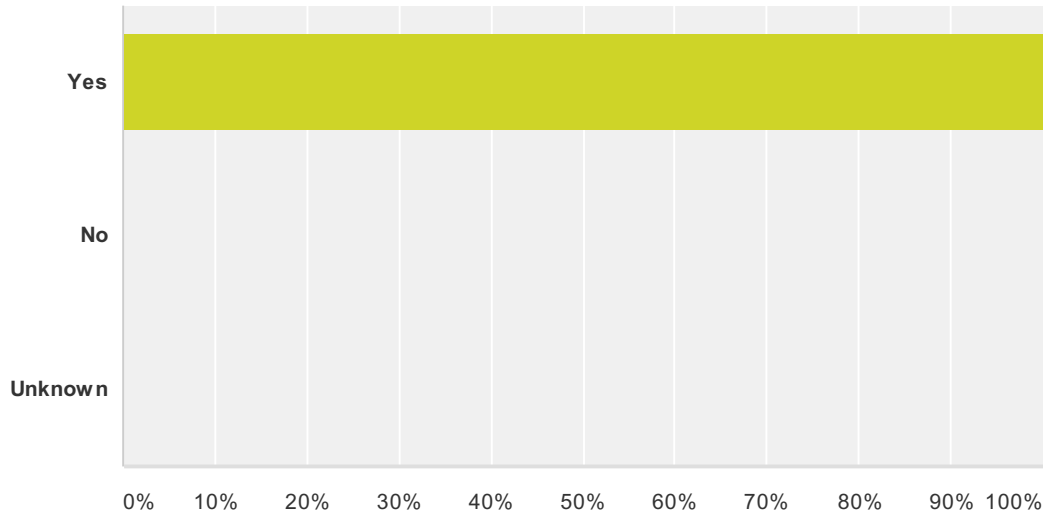
Answer Choices		Responses	
Yes		50.00%	1
No		50.00%	1
Not Applicable		0.00%	0
Total			2

#	Comment	Date
1	Still pending	4/4/2014 10:22 AM
2	Staffing needs	4/3/2014 1:39 PM

Objective 2: Task 1.2

Q6 Do new personnel receive an orientation briefing from the IAD commander upon being assigned to the Division?

Answered: 3 Skipped: 0

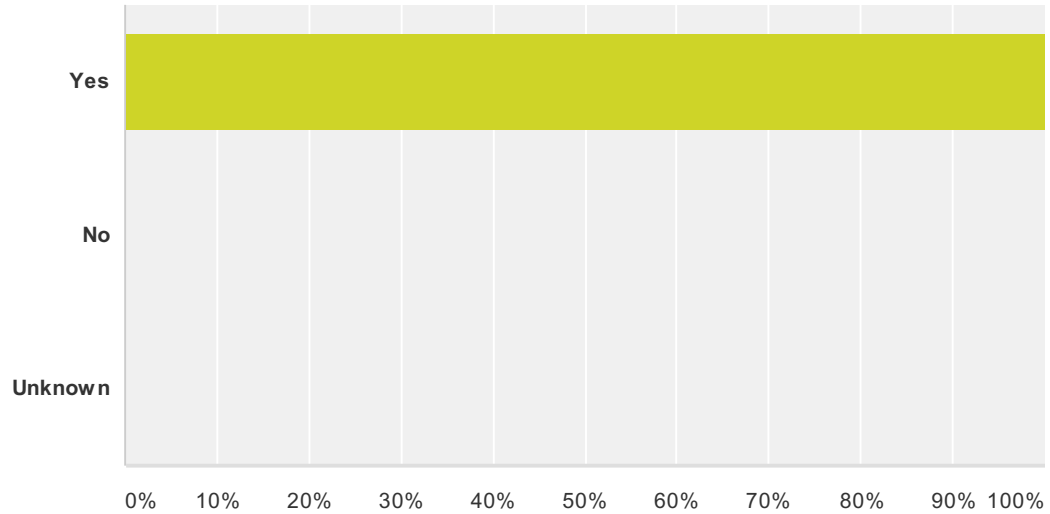


Answer Choices		Responses	
Yes		100.00%	3
No		0.00%	0
Unknown		0.00%	0
Total			3
#	Comment	Date	
1	Only two since my arrival Mar2013	4/4/2014 10:25 AM	

Objective 3: Task 1.3

Q7 Does the IAD commander's orientation briefing include a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, and individual officers and the importance of maintaining confidentiality of IAD information?

Answered: 3 Skipped: 0



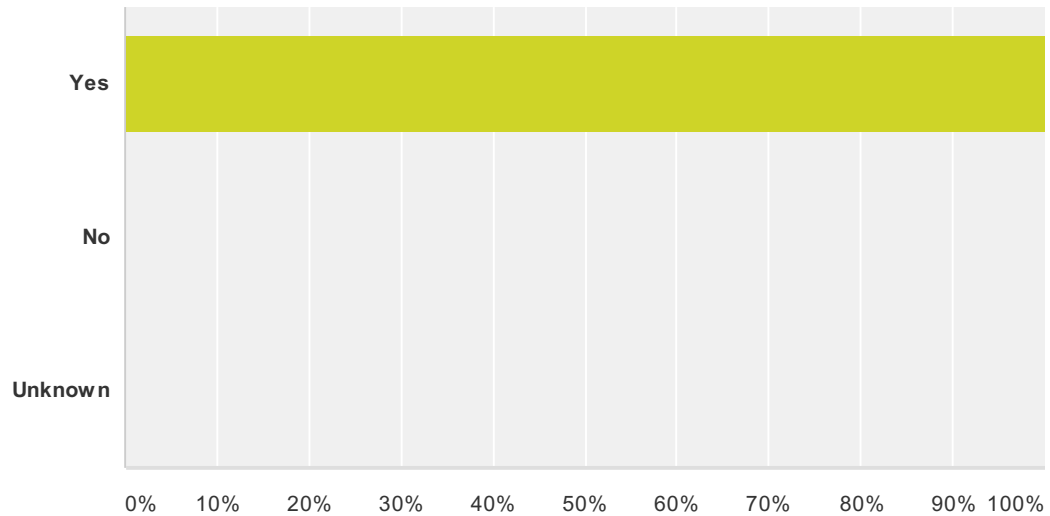
Answer Choices	Responses
Yes	100.00% 3
No	0.00% 0
Unknown	0.00% 0
Total	3

#	Comment	Date
	There are no responses.	

Objective 3: Task 1.3

Q8 Do new personnel receive a facilities orientation upon being assigned to IAD?

Answered: 3 Skipped: 0

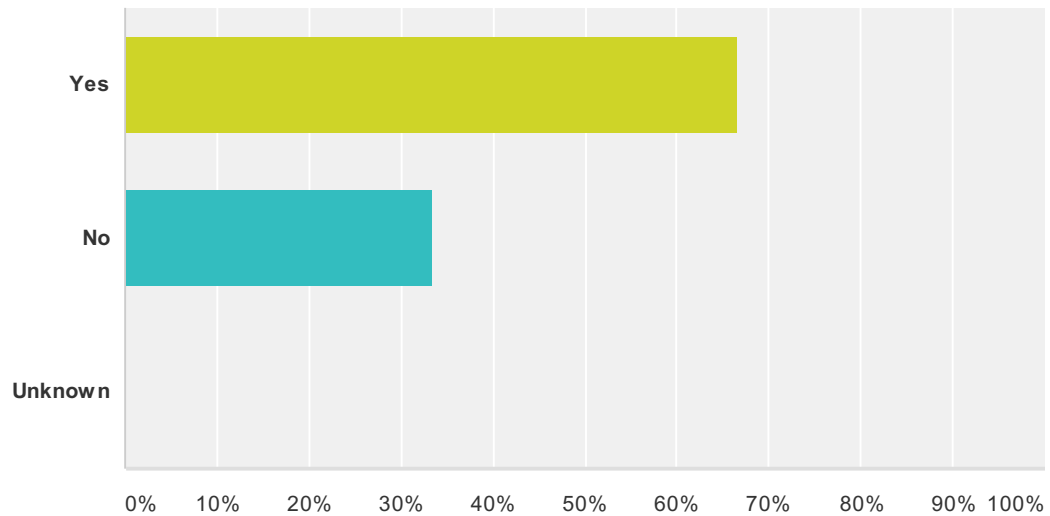


Answer Choices		Responses	
Yes		100.00%	3
No		0.00%	0
Unknown		0.00%	0
Total			3
#	Comment	Date	
1	by the section lieutenant or designee	4/4/2014 10:25 AM	

Objective 3: Task 1.3

Q9 Have all your assigned sworn personnel attended a California POST approved internal affairs course?

Answered: 3 Skipped: 0



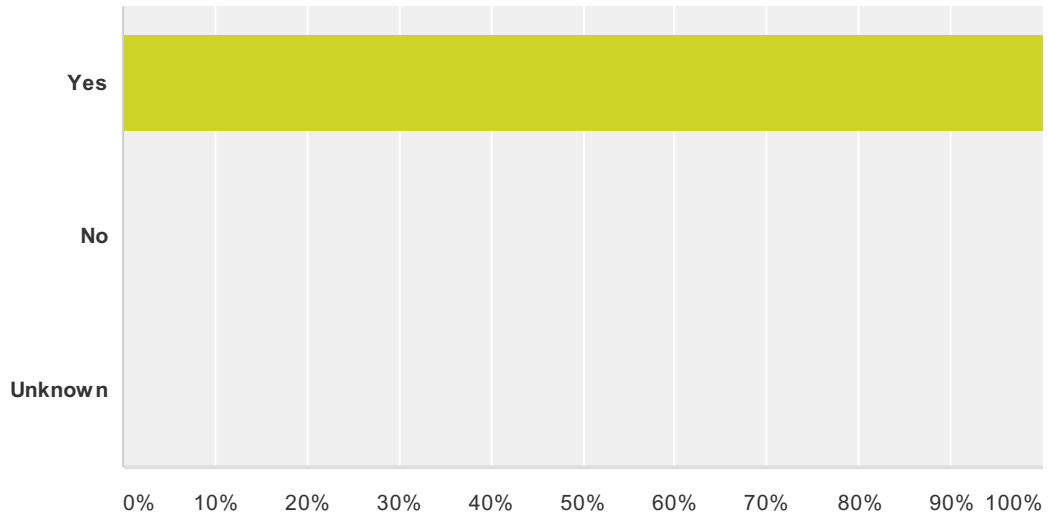
Answer Choices	Responses
Yes	66.67% 2
No	33.33% 1
Unknown	0.00% 0
Total	3

#	Comment	Date
1	The IAD Commander has some discretion here	4/15/2014 12:07 PM

Objective 3: Task 1.3

Q10 Do new sworn personnel work with an experienced and trained investigator until they have successfully completed a California POST approved internal affairs course?

Answered: 3 Skipped: 0

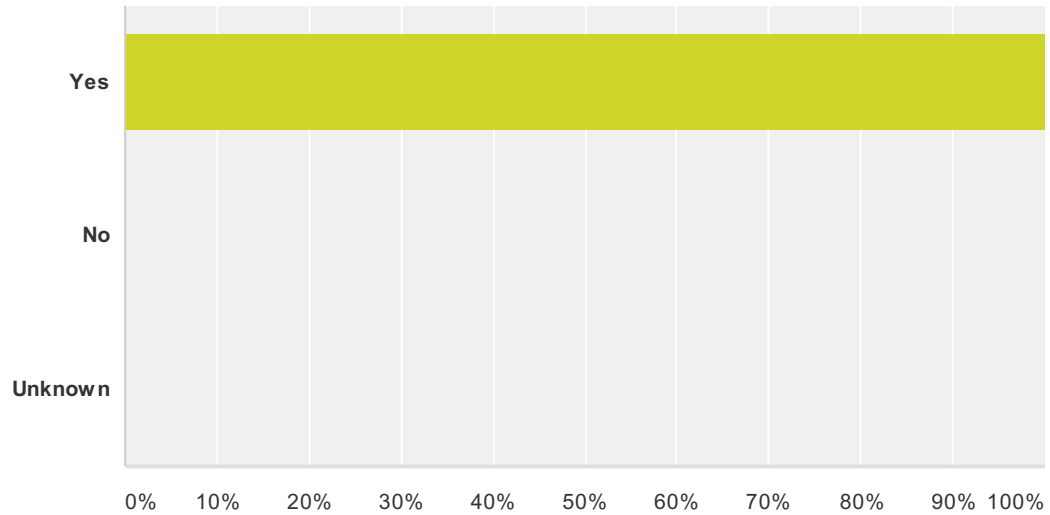


Answer Choices		Responses	
Yes		100.00%	3
No		0.00%	0
Unknown		0.00%	0
Total			3
#	Comment	Date	
1	It depends on previous experience or proven aptitude	4/4/2014 10:25 AM	

Objective 3: Task 1.3

Q11 Are the Administrative Sergeant and Investigation Supervisor positions selected from experienced staff already trained in the IAD process?

Answered: 3 Skipped: 0

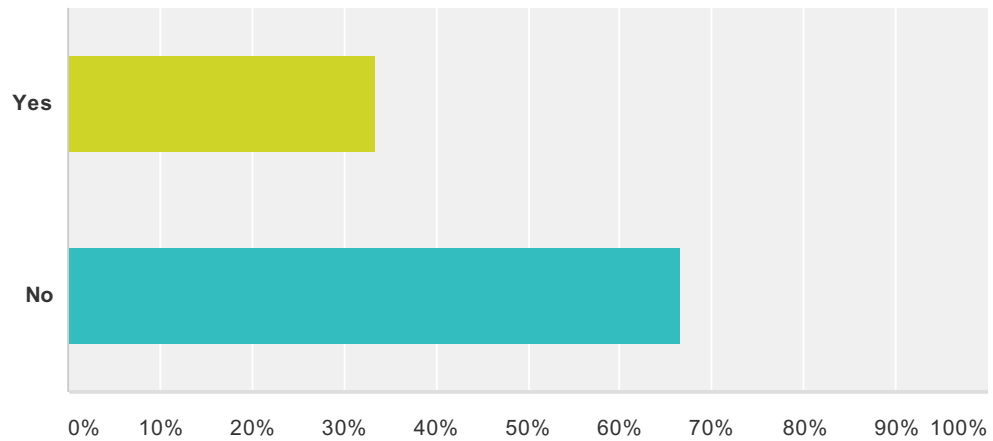


Answer Choices		Responses	
Yes		100.00%	3
No		0.00%	0
Unknown		0.00%	0
Total			3
#	Comment	Date	
	There are no responses.		

Objective 3: Task 1.3

Q12 Are there any insights or comments on issues regarding IAD not mentioned in this survey?

Answered: 3 Skipped: 0



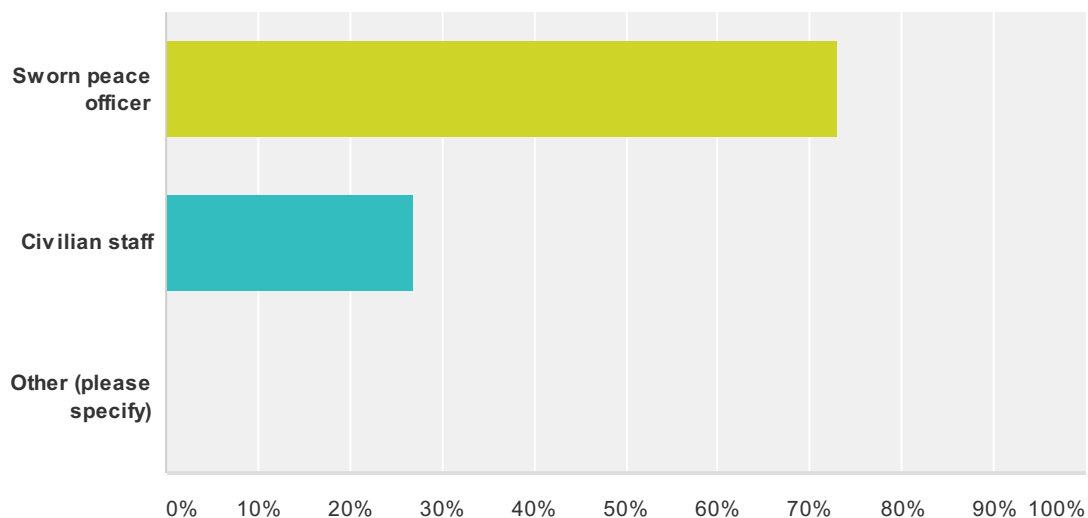
Answer Choices	Responses
Yes	33.33% 1
No	66.67% 2
Total	3

#	Comment	Date
1	Sworn personnel are being replaced with civilian in the Administration Section. Training is in progress but the orientation has been completed	4/4/2014 10:27 AM

Other Related Matter

Q1 What is your job classification at IAD?

Answered: 26 Skipped: 0

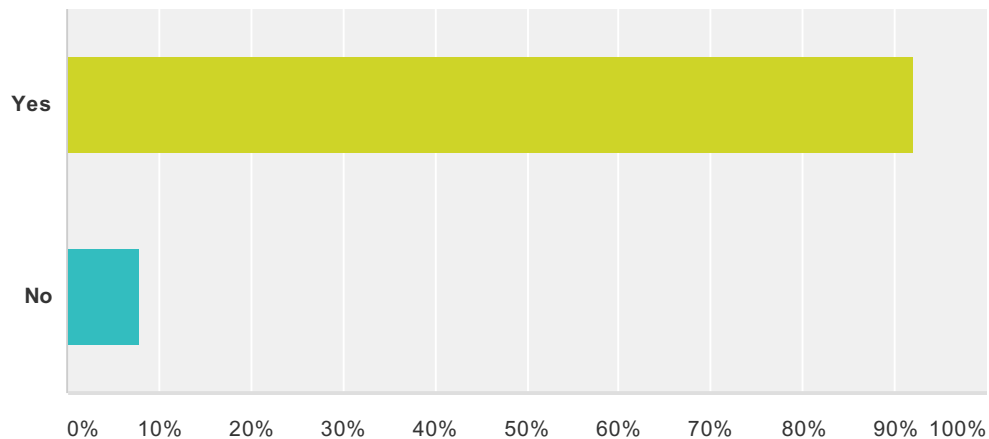


Answer Choices		Responses	
Sworn peace officer		73.08%	19
Civilian staff		26.92%	7
Other (please specify)		0.00%	0
Total			26
#	Other (please specify)	Date	
	There are no responses.		

ATTACHMENT #4

Q2 When selected to IAD, did you willingly accept this assignment?

Answered: 25 Skipped: 1



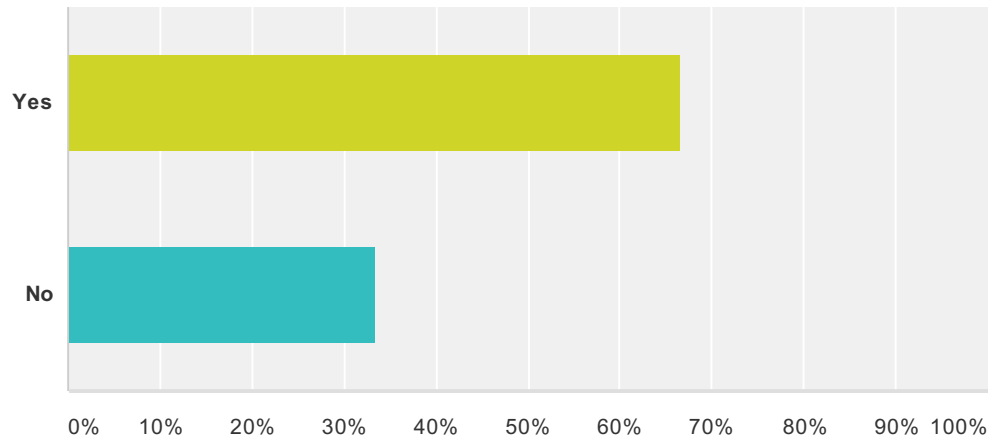
Answer Choices	Responses
Yes	92.00% 23
No	8.00% 2
Total	25

#	Comment	Date
1	Can not answer. I went because I was asked on probation. I was told the choice was mine. The chief at the time was remembered for saying, "I have a long memory." I accepted, everything else is nuance.	4/10/2014 11:40 PM
2	I sought out to be assigned here.	4/10/2014 10:00 AM
3	I was forced to come to OPD by the City Administrator	4/4/2014 11:06 AM
4	Initially, no. Lt Elzey told me that i did not have a choice and I would be involuntarily loaned to IAD. After 6 months were up, I told DC Whent that I would voluntarily stay.	4/3/2014 1:59 PM

Objective 1: Tasks 1.1 & 1.4

Q3 Did the IAD commander interview you prior to your assignment in IAD?

Answered: 24 Skipped: 2



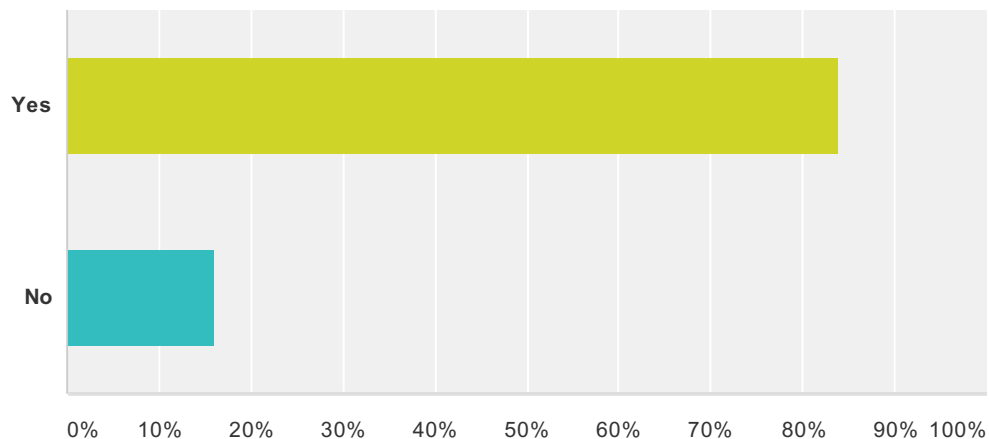
Answer Choices	Responses
Yes	66.67% 16
No	33.33% 8
Total	24

#	Comment	Date
1	No. I was assigned to a sergeant, who I was higher in rank than and he did not what what to do with me. Subsequentl I made an appoint to meet with the commander to recommend how I could be useful to IAD	4/4/2014 11:06 AM
2	n/a	4/4/2014 10:16 AM
3	Two Sergeants interviewed me prior to me being transferred here. I did meet with the IAD commander numerous times while working in IAD.	4/3/2014 1:27 PM

Objective 1: Tasks 1.1 & 1.4

Q4 Do you believe that an IAD assignment is a career development opportunity within the OPD?

Answered: 25 Skipped: 1



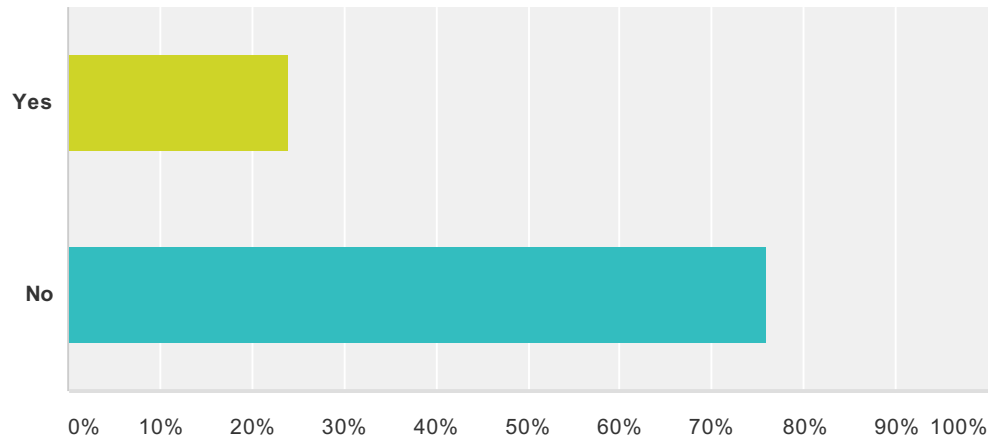
Answer Choices	Responses
Yes	84.00% 21
No	16.00% 4
Total	25

#	Comment	Date
1	Only in the sense that the opportunity to learn about hot button issues and City issues exists. I have many friends from other law enforcement agencies and a common belief among them is that assignment to IAD is an indication that the assignee is being groomed for advancement.	4/11/2014 10:44 AM
2	It is a political mine field. The sergeants in place have an on-going joke about when they will get the case that will end their stint in IA.	4/10/2014 11:47 PM
3	Since IAD is managed by sworn, it is the belief that all civilians, whether managers or supervisors should answer and report to any sworn personnel	4/4/2014 11:06 AM
4	IAD is definitely a career development for intelligent officers, sergeants and commanders. It provides great insight and training into supervisory/management needs and thought processes in today's extremely risk adverse world of policing. I do not believe that it is a career development opportunity for anyone that wants to increase their policing skills or become a criminal investigator.	4/3/2014 2:03 PM
5	I did when I first came, but no longer.	4/3/2014 1:44 PM

Objective 2: Task 1.2

Q5 Have you requested a voluntary transfer from IAD?

Answered: 25 Skipped: 1



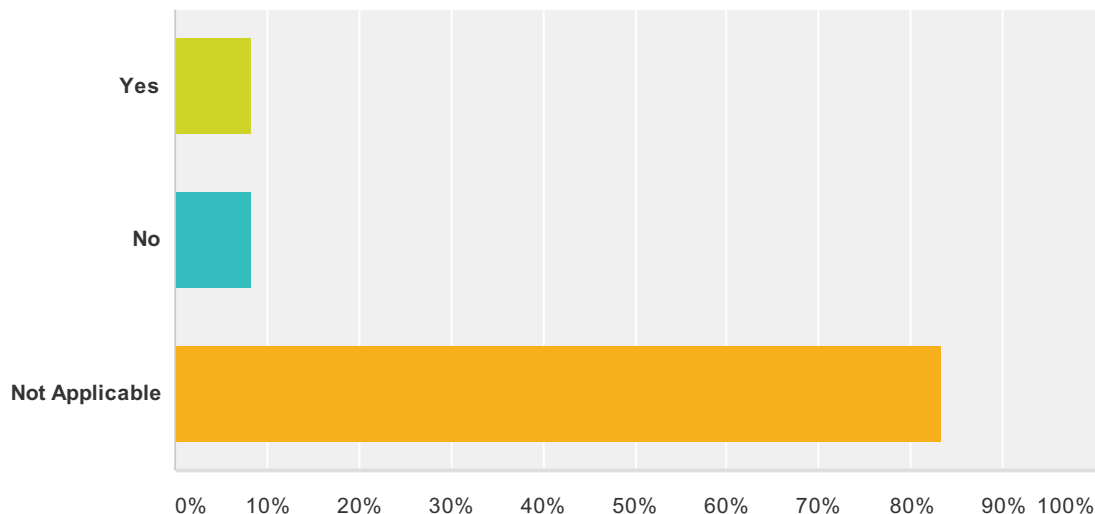
Answer Choices		Responses	
Yes		24.00%	6
No		76.00%	19
Total			25

#	Comment	Date
1	There is nowhere I can transfer to with my position title, other than the City Auditor's Office. I was transferred out of that office involuntarily. My job title is really is not appropriate for IAD.	4/4/2014 11:06 AM
2	I will be.	4/3/2014 1:44 PM

Objective 2: Task 1.2

Q6 Was your request for a voluntary transfer denied? (Answer this question only if you answered, "Yes" to question #5, otherwise check "Not Applicable".)

Answered: 24 Skipped: 2



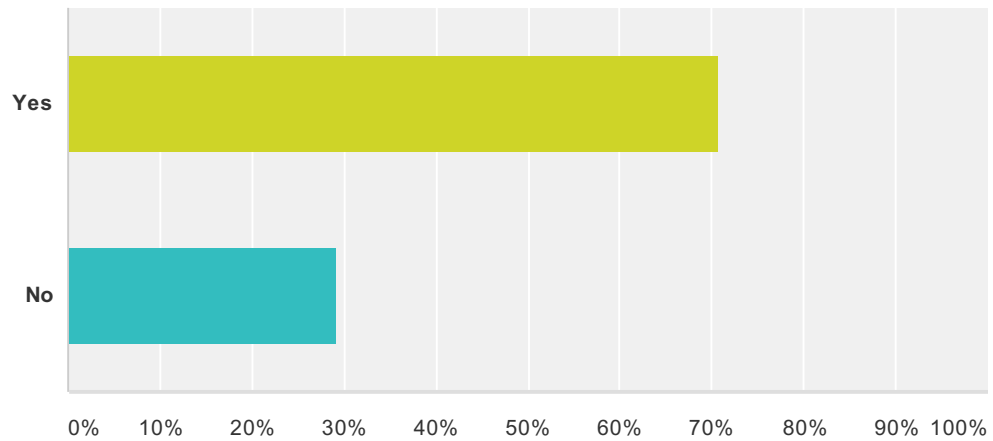
Answer Choices	Responses
Yes	8.33% 2
No	8.33% 2
Not Applicable	83.33% 20
Total	24

#	Comment	Date
1	For next year.	4/15/2014 9:15 AM
2	Being uncomfortable with requesting a transfer makes getting denied unlikely. This creates a survey that may not completely address underlying issues.	4/10/2014 11:47 PM
3	I have asked repeatedly to leave IAD and have been told I wasn't going anywhere. I have been on the transfer list since I got here over two years ago. People have asked for me and have been told no.	4/4/2014 12:06 PM
4	Was told they needed me.	4/3/2014 1:16 PM

Objective 2: Task 1.2

Q7 Did you receive an orientation briefing from the IAD commander upon being assigned to the Division?

Answered: 24 Skipped: 2



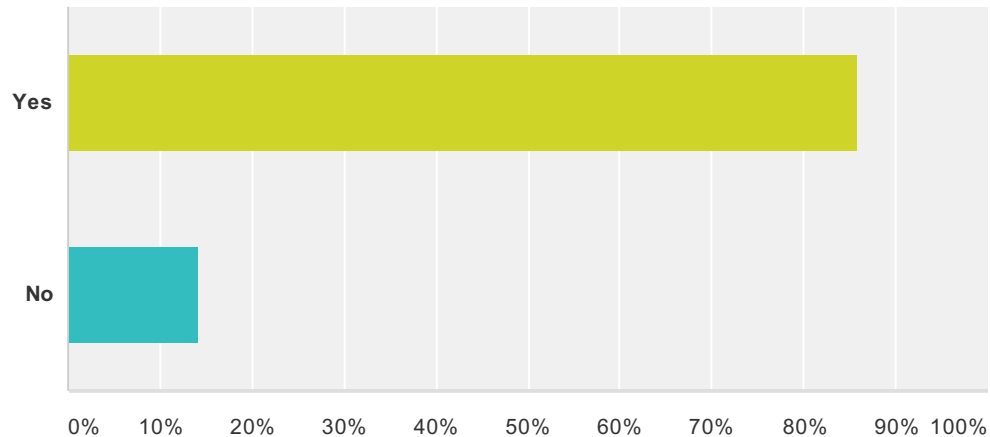
Answer Choices	Responses
Yes	70.83% 17
No	29.17% 7
Total	24

#	Comment	Date
1	I am a new hire. I received orientation on my first day of work	4/10/2014 3:22 PM
2	I did not receive an orientation from anyone. The only person who spoke with ws a sergeant that told me what he did in IAD. He told me that my rank was higher than his so he didn't know if he shouold tell me what to do.	4/4/2014 11:06 AM
3	na	4/4/2014 10:17 AM
4	Not on this tour, but I did on my previous assignment here approximately 10 years ago.	4/3/2014 2:05 PM

Objective 3: Task 1.3

Q8 Did the IAD commander's orientation briefing include a discussion regarding the critical nature of the assignment, including the significance of misconduct investigations to the community, the Department, and individual officers and the importance of maintaining confidentiality of IAD information?

Answered: 21 Skipped: 5



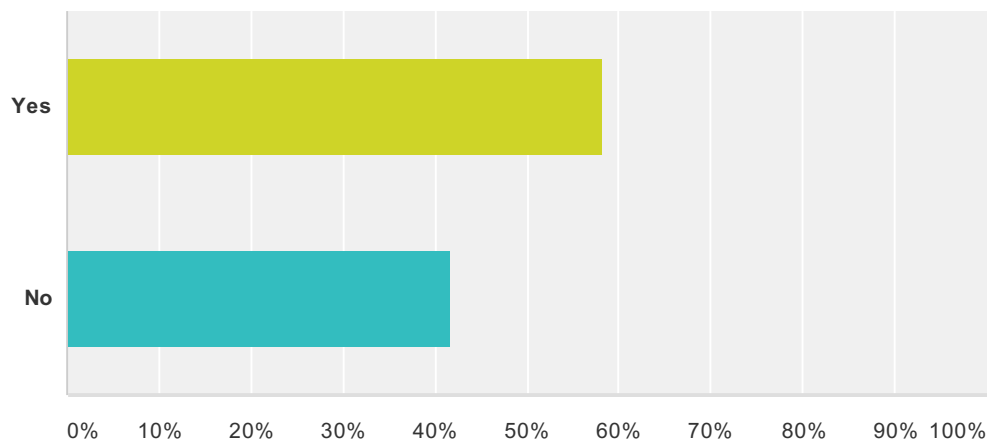
Answer Choices		Responses	
Yes		85.71%	18
No		14.29%	3
Total			21

#	Comment	Date
1	I washanded a confidentiality statement to sign and that was it.	4/4/2014 11:06 AM
2	na	4/4/2014 10:17 AM
3	N/A	4/3/2014 2:05 PM

Objective 3: Task 1.3

Q9 Did you receive a facilities orientation upon being assigned to IAD?

Answered: 24 Skipped: 2



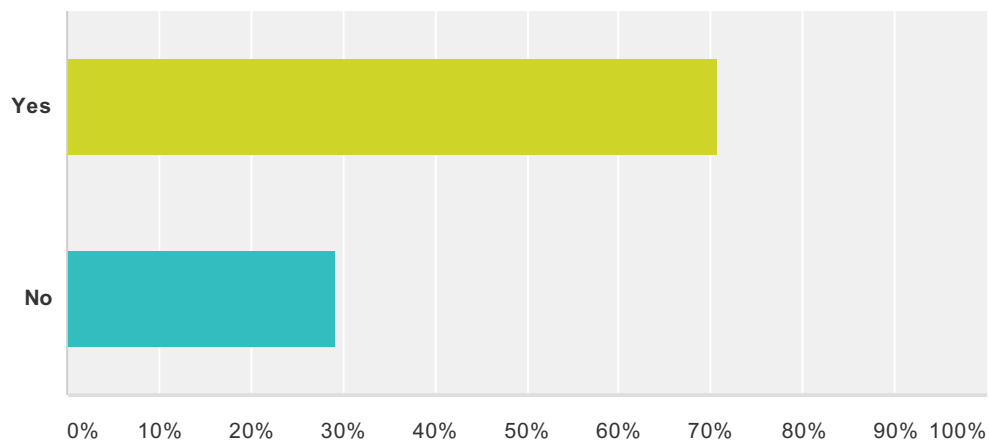
Answer Choices	Responses
Yes	58.33% 14
No	41.67% 10
Total	24

#	Comment	Date
1	One was not needed.	4/15/2014 9:15 AM
2	The import of the job and need for confidentiality as well as integrity were stressed, operations and function were learned on the job.	4/11/2014 12:11 AM
3	Because I was already familiar.	4/10/2014 10:33 AM
4	I was tole to read MOR violations and General Orders before I officially began work in the IAD office, while my background was being done. Nobody tole me anything. I had to find out through trial and error	4/4/2014 11:06 AM
5	na	4/4/2014 10:17 AM

Objective 3: Task 1.3

Q10 Have you attended a California POST approved internal affairs course?

Answered: 24 Skipped: 2



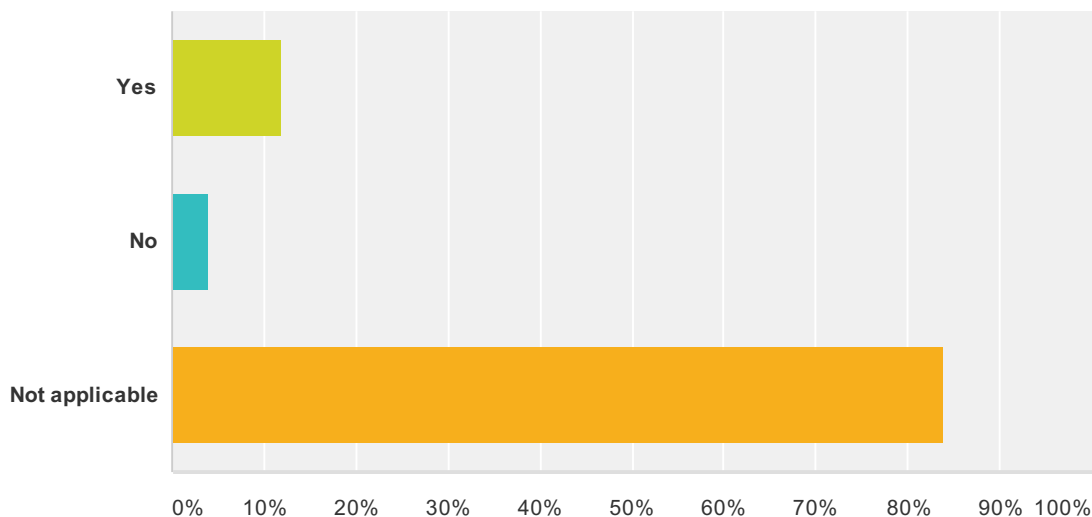
Answer Choices	Responses
Yes	70.83% 17
No	29.17% 7
Total	24

#	Comment	Date
1	Yes	4/15/2014 9:15 AM
2	I do plan on attending soon	4/11/2014 10:46 AM
3	This does not constitute the needed learning for IA. The recommended interview courses do not apply to the interviews we do. It is funny to send investigators to learn to conduct tough interviews that are prohibited and contrary to POBR.	4/11/2014 12:11 AM
4	going to	4/10/2014 3:23 PM
5	I am scheduled to attend one.	4/10/2014 3:22 PM
6	I did attend a POST Civilian Management class about three years after I started to work in IAD	4/4/2014 11:06 AM

Objective 3: Task 1.3

Q11 If you have not attended a California POST approved internal affairs course, are you working with a an experienced and trained investigator? (Answer this question only if you answered, "No" to question #10, otherwise check "Not Applicable".)

Answered: 25 Skipped: 1



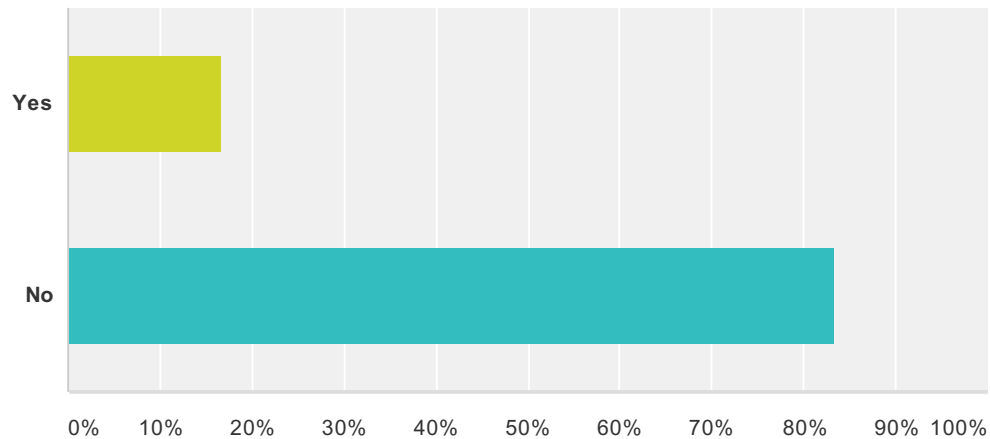
Answer Choices	Responses
Yes	12.00% 3
No	4.00% 1
Not applicable	84.00% 21
Total	25

#	Comment	Date
1	This is our primary method of training, I believe we are getting better at talking out the processes	4/11/2014 10:46 AM
2	I'm classified as a PRS	4/3/2014 2:39 PM

Objective 3: Task 1.3

Q12 Are there any insights or comments on issues regarding IAD not mentioned in this survey?

Answered: 24 Skipped: 2



Answer Choices	Responses
Yes	16.67% 4
No	83.33% 20
Total	24

#	Comment	Date
1	Yes	4/11/2014 8:07 AM
2	This survey does not dig into the issues. An IA investigation done this poorly would be unacceptable. Even worse is the fact that many chose not to answer because of the fear that it is not anonymous. The subsequent "direction" from command to complete the survey makes it worse. Many will not provide answers that could upset command. Integrity and honesty are often not rewarded. There is some trepidation in submitting this survey.	4/11/2014 12:14 AM
3	IAD is inadequately staffed. The Civilian Admin staff was previously four F/T employees. It was reduced to three and then two. This is not the place for probationary or provisional employees. These types of employees have no historical knowledge about the department and they are given access to the most confidential, sensitive informatin in the Department. These employees may or may not make it through probation. In the 2 1/2 years I have been here, there have been (4) Commanders. This is no consistency in leadership or expectations. The sworn Intake officers have lost bodies and weren't even increased during the insane influx of cases during Occupy Oakland. That was a poor decision. There is nothing wrong with having civilians to the intake portion of IAD. This is not brain surgery. If you take the time to hire the right people, there would be no reason they couldn't successfully do the job.	4/4/2014 12:17 PM
4	IAD needs to be managed by a civilian. I think there shouldl be a cobination of civilian and sworn investigators. The intake unit should be 75 percent civilian and 25 percent som. Sworn intake personnel should be available to handle those unique police related situations on-the-job that are a civilian may not be able to easily analyze. The same is true for investigators. Police officers should be on the street, out in the community working to reduce crime so that citiens can have safer and peaceful living conditions. It should be the role of wom officers or sworn management to to entrench themselves in mcromanaging. Some of the sworn personnel in OPD talk to civilian staff as if they are engaging a possible suspect. They ccan be rede, disrespectful and condescending to civilian staff. Not all, but somoe.	4/4/2014 11:06 AM
5	No. Thank you for the opportunity to assist the department in this capacity [REDACTED]	4/3/2014 4:18 PM

