



Eighteenth Quarterly Report
of the Independent Monitor
for the Oakland Police Department

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Independent Monitor

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Section One

Introduction

This is the eighteenth quarterly report of the Monitor of the Negotiated Settlement Agreement (NSA) in the case of *Delphine Allen, et al., vs. City of Oakland, et al.*, in the United States District Court for the Northern District of California. In January 2010, under the direction of Judge Thelton E. Henderson, the Parties agreed to my appointment as Monitor of the Oakland Police Department (OPD). In this capacity, I oversee the monitoring process that began in 2003 under the previous monitor. The current Monitoring Team conducted our eighteenth quarterly site visit from May 5, through May 9, 2014, to evaluate the Department's progress with the NSA during the three-month reporting period of January 1, through March 31, 2014.

During our site visit, we met with several Department officials, including the Chief and Assistant Chief of Police and Deputy Chiefs; as well as personnel from the Office of Inspector General (OIG), Bureau of Field Operations (BFO), Bureau of Investigations (BOI), Bureau of Services (BOS), Internal Affairs Division (IAD), Training Section, and Communications Section; OPD officers, managers, supervisors, and commanders – including sergeants, lieutenants, and captains. We also conferred with the Plaintiffs' attorneys, City Administrator, and the Office of the City Attorney (OCA). During and since the time of our site visit, we observed Department meetings and technical demonstrations; reviewed Departmental policies; conducted interviews and made observations in the field; and analyzed OPD documents and files, including misconduct investigations, use of force reports, crime and arrest reports, Stop Data Forms, and other documentation.

In the body of this report, we again report the compliance status with the remaining active Tasks of the Agreement. By the end of the seven-year tenure of the previous monitor, the Department was in full compliance with 32 of the 51 required Tasks, and in partial compliance with 16 additional Tasks. As a result, the Parties agreed to reduce the number of Tasks under "active" monitoring to the current list of 22.

For this reporting period, we continue to find the Department in Phase 1, or policy compliance, with all 22 of the remaining active Tasks. With regard to Phase 2, or full compliance, we find that OPD is in compliance with 17 (77%) of the 22 remaining Tasks, and in partial compliance with four (18%) Tasks. During this reporting period, we also deferred our assessment of Task 20, Span of Control.

These numbers show an increase in compliance levels by one Task from the last reporting period – and the highest number of Tasks in compliance that we have found since the beginning of our tenure. These overall numbers reflect a change from *partial* compliance to *in* compliance with Task 40, Personnel Assessment System (PAS) – Purpose. During the last (seventeenth) reporting period, we found the Department in Phase 2 compliance with 16 Tasks, and in partial compliance with six Tasks.

During this reporting period, the Department completed and issued to the public its Preliminary Stop Data Analysis Report. While commendable, OPD is not yet in compliance with the related Task (Task 34) because it remains to be seen how the Department will *use* the collected data. In December 2012, the Court ordered the Department to develop strategies to “address, resolve and reduce...incidents of racial profiling or biased-based policing.”¹ We will continue to work with OPD to explore ways in which the collected information can serve as the basis for the development of training and other intervention activities.

Also during this reporting period, we observed that the Department is improving the manner in which it conducts its Force Review Boards; the proceedings are now appropriately more formal, structured, and meaningful. We worked closely with OPD to revise the relevant policy so that the Department will formally adopt these changes, and we look forward to observing continued improvements in this area.

And finally, during this reporting period, we noted significant progress related to OPD’s risk management system. The Department has implemented the automatic import of arrest data, continued to apply worthwhile policy changes, employed new data processes, and completed work toward a new risk management database. We will continue to review these developments closely in the coming reporting periods.

We commend the Department for these strides. The Mayor, the new City Administrator, and the recent and permanent appointment of Chief Sean Whent have all contributed to the progress that the Department has made.



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¹United States District Court for the Northern District of California, Master Case File No. C00-4599 TEH, Order Re: Compliance Director, dated December 12, 2012.

Compliance Assessment Methodology

The body of this report is comprised of our assessments of compliance with the individual requirements of the 22 active Tasks of the NSA. Each requirement is followed by information about the compliance status of the requirement during our previous reporting period, a discussion regarding our assessments and the current status of compliance, a summary notation of Phase 1 and Phase 2 compliance (see below), and our planned next steps in each area.

The Monitor's primary responsibility is to determine the status of the Oakland Police Department's compliance with the requirements of the 22 active Tasks. To accomplish this, the Monitoring Team makes quarterly visits to Oakland to meet with OPD's Office of Inspector General (OIG) and other Department personnel – at the Police Department, in the streets, or at the office that we occupy when onsite in the City. We also observe Departmental practices; review Department policies and procedures; collect and analyze data using appropriate sampling and analytic procedures; and inform the Parties and, on a quarterly basis, the Court, with information about the status of OPD's compliance.

Our Team determines compliance through an examination of policies and implementation of practices that are relevant to each of the active Tasks. First, we determine if the Department has established an appropriate policy or set of procedures to support each requirement. Following this, we determine if the Department has effectively implemented that policy.

Based on this process, we report the degree of compliance with requirements on two levels. First, we report if the Department has met policy compliance. Compliance with policy requirements is known as **Phase 1 compliance**, and the Department achieves it when it has promulgated appropriate policies and trained relevant Department members or employees in their content. Second, we report on the extent to which the Department has implemented the required policies. Implementation-level compliance is reported as **Phase 2 compliance**. In general, to achieve full compliance, the Department must achieve both Phase 1 and Phase 2 compliance; that is, an appropriate policy must be adopted, trained to, and operationally implemented.

Our conclusions with regard to Phase 1 or Phase 2 compliance will fall into the following categories:

- **In compliance:** This is reported when policy requirements are met (Phase 1) or effective implementation of a requirement has been achieved (Phase 2).
- **Partial compliance:** This is reported when at least one, but not all, requirements of a Task have achieved compliance, showing progress toward full compliance. Tasks will remain in partial compliance as long as we determine there is continued progress toward reaching substantial, or full, compliance.

- **Not in compliance:** This is reserved for instances where partial compliance has not been achieved and no progress has been made.

Many sub-requirements of the 22 active Tasks require the analysis of multiple instances of activity, cases, or observations. In these circumstances, our analysis is based on a review of all cases or data, or, when appropriate, on statistically valid samples of the population. To reach our conclusions based on analyses of cases, the Department must meet a minimal standard. The Parties have agreed upon these compliance standards, which range from 85% to 95%, or a Yes/No standard.

This methodology supports a sound and rigorous review of the Department's compliance with the requirements of the 22 active Tasks. We recognize, however, that the high demands of this methodology may not be fully realized in all elements of all reviews. There will be circumstances in which we will be unable to determine fully the compliance status of a particular requirement due to a lack of data, incomplete data, or other reasons that do not support the completion of our work in a manner consistent with timely reporting. Under such circumstances, we will opt not to compromise our methodology by forcing a conclusion regarding compliance levels. Instead, we will report a finding as **"Deferred."** This finding is not intended to reflect negatively on the Department or to otherwise imply insufficient progress. In such circumstances, we expect that a more complete assessment of compliance in the area in question will be determined in our next report.

Our compliance assessment methodology directs the Monitoring Team in our work and underlies the findings presented in this report. We fully expect that this methodology will govern our work throughout our tenure in this project. Any consideration of revision or change of this methodology will be presented to the Parties and the Court.

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Task	Phase 1: Policy and Training	Phase 2: Implementation			
	In Compliance	In Compliance	Partial Compliance	Not in Compliance	Deferred
Task 2: Timeliness Standards and Compliance with IAD Investigations	√	√			
Task 3: IAD Integrity Tests	√	√			
Task 4: Complaint Control System for IAD and Informal Complaint Resolution Process	√	√			
Task 5: Complaint Procedures for IAD	√	√			
Task 6: Refusal to Accept or Refer Citizen Complaints	√	√			
Task 7: Methods for Receiving Citizen Complaints	√	√			
Task 16: Supporting IAD Process - Supervisor/ Managerial Accountability	√	√			
Task 18: Approval of Field-Arrest by Supervisor	√	√			
Task 20: Span of Control for Supervisors	√				√
Task 24: Use of Force Reporting Policy	√	√			
Task 25: Use of Force Investigations and Report Responsibility	√	√			
Task 26: Force Review Board (FRB)	√		√		
Task 30: Executive Force Review Board (EFRB)	√		√		
Task 33: Reporting Misconduct	√	√			
Task 34: Vehicle Stops, Field Investigation, and Detentions	√		√		
Task 35: Use of Force Reports – Witness Identification	√	√			
Task 37: Internal Investigations - Retaliation Against Witnesses	√	√			
Task 40: Personnel Assessment System (PAS) – Purpose	√	√			
Task 41: Use of Personnel Assessment System (PAS)	√		√		
Task 42: Field Training Program	√	√			
Task 43: Academy and In-Service Training	√	√			
Task 45: Consistency of Discipline Policy	√	√			
<i>Total Tasks</i>	22	17	4	0	1

Section Two

Compliance Assessments

Task 2: Timeliness Standards and Compliance with IAD Investigations

Requirements:

Fairness to complainants, members/employees and the public requires that internal investigations be completed in a timely fashion.

- 1. On or before December 1, 2003, OPD shall develop policies regarding timeliness standards for the completion of Internal Affairs investigations, administrative findings and recommended discipline.*
- 2. Compliance with these timeliness standards shall be regularly monitored by IAD command and the Department's command staff. If IAD experiences an unusual proliferation of cases and/or workload, IAD staffing shall be increased to maintain timeliness standards.*

(Negotiated Settlement Agreement III. B.)

Discussion:

OPD published Departmental General Order M-03, *Complaints Against Department Personnel and Procedures*, which incorporates the requirements of Task 2, on December 6, 2005. General Order M-03 was revised most recently on August 22, 2013. As the Department has trained at least 95% of relevant personnel on this policy, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with Task 2 since the thirteenth reporting period.

Task 2.1 requires that internal investigations (IAD and Division Level) – including review, approval, findings, and discipline – be completed in accordance with the timeliness standards developed by OPD (compliance standard: 85%). To assess this subtask, we reviewed a list of all internal investigations resulting in formal findings (unfounded, sustained, exonerated, or not sustained) that were approved between January 1, and March 31, 2014, and calculated the number of days between the complaint date and the approval date for each case. We excluded from the dataset cases that were administratively closed, those that involved on-duty traffic accidents or service complaints, and those that did not involve Manual of Rules (MOR) violations. We segregated the remaining cases into Class I or Class II categories. If a case involved at least one alleged Class I violation, we classified it as Class I.

Departmental policy requires that at least 85% of Class I misconduct investigations and at least 85% of Class II misconduct investigations must be completed within 180 days to be considered

timely.² Of the 28 Class I cases we reviewed, 24, or 86%, were in compliance with established timelines – a decrease from the 93% we found during the last reporting period. Also, 14 of the cases were completed in between 170 and 179 days. Of the 37 Class II cases we reviewed, 36, or 97%, were in compliance with established timelines – an increase from the 95% we found during the last reporting period. Two of the Class II cases were completed in exactly 180 days, and 14 cases were completed in between 170 and 179 days. Of the 29 sustained findings that we reviewed, all (100%) were in compliance with established discipline timelines.³ This was the same percentage that we found during the last reporting period.

OPD is in compliance with Task 2.1.

Task 2.2 requires that IAD and OPD command staff regularly monitor compliance with these timeliness standards (compliance standard: Yes/No). The primary responsibility for monitoring compliance with timeliness standards rests with IAD, which generates weekly reports listing the Department’s open investigations and critical deadlines for investigations retained in IAD and those handled at the Division level. The reports are distributed to IAD command staff and the respective Bureau Deputy Chiefs.

In addition to the reports, the IAD Commander discusses pending deadlines for key open investigations during IAD’s weekly meetings with the Chief; the deadlines are also reflected in written agendas for these meetings. IAD also occasionally, as needed, emails individual reminders on cases approaching due dates to investigators and their supervisors. During this reporting period, we received and reviewed copies of individual Bureau and Department-wide Open Investigation Reports, Cases Not Closed Reports, 180-Day Timeline Reports, and agendas for the weekly meetings between the Chief and IAD staff. The content of these documents demonstrates active monitoring of case timeliness. A Monitoring Team representative occasionally attends and observes these weekly meetings. The Department is in compliance with Task 2.2.

Task 2.3 requires that if IAD experiences an unusual proliferation of cases and/or workload, IAD staffing be increased to maintain timeliness standards (compliance standard: Yes/No). During the current reporting period, IAD opened 213 cases, a decrease of 14 cases from the last reporting period. The Chief approved 340 cases, a decrease of 67 cases from the last reporting period. The Department attributes these reduced numbers to the implementation of the revised DGO M-03. In addition, during this reporting period, OPD hired two civilian intake technicians who replaced the two sworn intake officers who were transferred out of IAD. OPD is in compliance with Task 2.3.

² OPD classifies misconduct as either “Class I” or “Class II.” Per DGO M-03, Class I offenses “are the most serious allegations of misconduct and, if sustained, shall result in disciplinary action up to and including dismissal and may serve as the basis for criminal prosecution.” Class II offenses include “all minor misconduct offenses.”

³ We reviewed 16 cases involving sustained findings; several cases involved more than one sustained finding.

OPD is in Phase 2 compliance with Task 2.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Next Steps:

During the next reporting period, we will again confer with IAD command staff regarding workload trends and staffing requirements.

Task 3: IAD Integrity Tests

Requirements:

IAD shall be proactive as well as reactive.

1. *IAD shall conduct integrity tests in situations where members/employees are the subject of repeated allegations of misconduct.*
2. *IAD shall have frequency standards, among other parameters, for such integrity tests.*

(Negotiated Settlement Agreement III. C.)

Discussion:

On January 25, 2007, OPD published Internal Affairs Policy & Procedures 07-01, *Integrity Testing*, which incorporates the requirements of this Task. The Department updated this policy in January 2009. As the Department has trained at least 95% of relevant personnel on this policy, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with this Task since the sixth reporting period.

Task 3.1 requires that IAD conduct integrity tests in situations where members/employees are the subject of repeated allegations of misconduct (compliance standard: Yes/No); and **Task 3.2** requires that IAD's integrity tests be conducted in accordance with the frequency standards and other parameters IAD has established (compliance standard: 90%).

To assess the Department's Phase 2 compliance with these subtasks, we reviewed files – including operations plans, after-action reports, supporting documents, and evidence – related to the 11 integrity tests that were conducted from January 1, through March 31, 2014. Our review focused on the scope of the investigations, whether OPD conducted integrity tests on members and employees who were the subject of repeated allegations, and whether the selective integrity tests that OPD conducted complied with the parameters established by IAD. Of the 11 tests

conducted during this reporting period, five were planned tests, in which the Integrity Testing Unit reviewed the records of OPD members and employees to verify that their vital information and records were current and, therefore, followed Departmental policy.⁴ We found that all five planned tests focused on individual members and employees of OPD who were the subjects of high numbers of allegations of misconduct over the prior 18 months; all five planned tests passed.

The remaining six integrity tests were selective tests, focusing on whether the officers who were subjects of the test failed to adhere to OPD policies.⁵ Two of these tests were conducted on officers who were the subjects of repeated allegations, and addressed the sources of the repeated allegations. Of the six selective tests, five tests passed, and one test failed; it was forwarded to the Criminal Investigation Division for investigation.

The selective tests during this reporting period covered multiple topics. One of the tests focused on whether a Department member was charging the City of Oakland for a rental car he had been operating without authorization for over one year. ITU's investigation confirmed that the vehicle was being used for personal use, and the case was referred for criminal investigation. In two other cases, ITU investigated the on-duty performance of OPD officers who were the subjects of repeated citizen complaints. A review of the officers' responses to calls for service and general conduct found that the two officers acted in accordance with Department policies.

ITU also conducted a citizen complaint test using a community member who contacted dispatch on a municipal holiday to ensure that the complaint was received and processed according to Department policy. The dispatcher who handled the complaint followed proper procedures, and the test passed.

ITU designed another test after IAD received anonymous complaints that ranking members of OPD were abusing overtime and not working their full shifts. The test found that the Department-owned vehicles for three individuals who were the subject of the investigation were not parked at their homes when they were scheduled to be working. While this test passed, we believe that test could have been conducted more thoroughly to actually answer the question of whether the alleged conduct was occurring.

The final selective test was an audit of the cash being held in the Department Property Room. The audit found no missing funds; however, due to the seriousness of storing cash in the Property Room, ITU made recommendations related to security and efficiency.

OPD is in Phase 2 compliance with Task 3.

⁴ Planned integrity tests are designed specifically to test the compliance – with Departmental policies or procedures – of specific members or employees who are identified as the subject of the test.

⁵ Pursuant to Internal Affairs Policy & Procedures 07-01, selective integrity tests are targeted enforcement tools aimed at addressing specific issues regarding specific members, employees, or units.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Next Steps:

During our next site visit, we will again meet with ITU and the IAD Commander to discuss the Integrity Testing Unit and its testing.

Task 4: Complaint Control System for IAD and Informal Complaint Resolution Process

Requirements:

1. *Within 90 days, OPD shall develop a policy regarding an informal complaint resolution process which may be used by supervisors and IAD to resolve service complaints and Class II violations that do not indicate a pattern of misconduct as described in Section III, paragraph H (2). This process shall document the receipt of the complaint, date, time, location, name or the person making the complaint, the name of the person receiving the complaint, how the matter was resolved and that the person making the complaint was advised of the formal complaint process with the CPRB. The documentation shall be forwarded to an IAD Commander for review. If the informal complaint resolution process fails to resolve the complaint or if the person making the complaint still wishes to make a formal complaint, the person receiving the complaint shall initiate the formal complaint process pursuant to Section III, paragraph E. An IAD Commander shall make the final determination whether the ICR process will be utilized to resolve the complaint. OPD personnel shall not unduly influence persons making a complaint to consent to the informal complaint resolution process.*
2. *IAD shall establish a central control system for complaints and Departmental requests to open investigations. Every complaint received by any supervisor or commander shall be reported to IAD on the day of receipt. If IAD is not available, IAD shall be contacted at the start of the next business day. Each complaint shall be assigned an Internal Affairs case number and be entered into a complaint database with identifying information about the complaint. OPD personnel shall notify IAD and the Chief of Police, or designee, as soon as practicable, in cases likely to generate unusual public interest.*
3. *Criteria shall be established which must be met prior to moving, from “open” to “closed,” any investigation in the complaint database.*⁶

(Negotiated Settlement Agreement III. D.)

⁶ The underlined requirements are the only provisions of Task 4 that are being actively monitored under the MOU.

Discussion:

There are four Departmental policies that incorporate the requirements of Task 4: Department General Order M-03, *Complaints Against Department Personnel and Procedures* (published December 6, 2005 and revised most recently on August 22, 2013); Department General Order M-3.1, *Informal Complaint Resolution Process* (published December 6, 2005 and revised most recently on November 10, 2008); Special Order 8552, *Update of Departmental Training Bulletin V-T.1, Internal Investigation Procedure Manual* (published February 1, 2007); and Communications Division Policy & Procedures C-02, *Receiving and Logging Complaints Against Personnel and Use of Force Incidents* (published April 6, 2007). As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

Only two provisions of Task 4 (4.7 and 4.10) are being actively monitored under the MOU. During all of the previous reporting periods, we found OPD in Phase 2 compliance with both of these requirements.

Task 4.7 requires that every complaint received by any supervisor or commander be reported to IAD on the day of receipt (compliance standard: Yes/No). If IAD is not available, the supervisor or commander shall contact IAD at the start of the next business day. To assess Phase 2 compliance for Task 4.7, we reviewed 90 Daily Incident Log (DIL) entries and a random sample of 71 IAD case files that were approved during the period of January 1, through March 31, 2014. The Office of Inspector General forwards completed DILs to us on a daily basis. We found no evidence of unwarranted delay in the delivery of these complaints or in the intake process once IAD was made aware of them. OPD is in compliance with Task 4.7.

Task 4.10 requires that OPD comply with criteria it has established when resolving complaints through informal complaint resolution (ICR), administrative closure, or summary finding (compliance standard: 90%).⁷ This subtask is intended to ensure that OPD provides the proper level of investigation for each complaint, and does not resolve meritorious complaints of misconduct without determining – and documenting – whether the OPD member or employee committed misconduct.

During this reporting period, from a sample of IAD cases that were approved between January 1, and March 31, 2014, we reviewed 10 cases in which at least one allegation was resolved via administrative closure, 10 cases in which at least one allegation was resolved via informal complaint resolution (ICR), and nine cases in which at least one allegation was resolved via summary finding.

In all but one of the ICRs we reviewed, the complainants agreed to the informal complaint resolution process. Where an agreement was secured in a telephone conversation, that

⁷ Summary findings are investigations in which the Department believes a proper conclusion can be determined based on a review of existing documentation with limited or no additional interviews and follow-up.

information was contained in the case documentation (in many cases, the exact minute/second mark of the agreement was recorded) and in follow-up letters to the complainants. Four of the cases involved allegations of poor demeanor. In one case, the complainant alleged that his handcuffs were applied too tightly when he was arrested. In two cases, the complainants alleged that their calls for service were not handled properly. In another case, a complainant expressed his displeasure with an officer using a cell phone while driving.

As mentioned above, in one case, the complainant did not agree to the ICR process. He alleged that officers should have made an arrest for a violation of a temporary restraining order. The allegation was sustained during a Division Level Investigation (DLI), but when the case was presented to the Chief of Police, he ordered that the case be informally resolved pursuant to policy M-3.1, Section III.A.1.b, which affords the IAD Commander – and consequently, the Chief of Police – the discretion to invoke the process.

The administrative closures that we reviewed were investigated before IAD arrived at the determination that such a closure comported with policy. Four cases were administratively closed because they only involved complaints of delayed response times. Three cases were administratively closed because they did not involve MOR violations. In one case, the complainant observed an officer making a DUI arrest and did not believe it was justified. He was not involved in the case, and the documentation supporting the arrest was appropriate. In another case, an employee complained that her supervisor overrode her decision to waive tow fees for a citizen. In the last case, the complainant left IAD without making any allegations after being informed that his statement would be recorded.

The remaining allegations that were administratively closed comported with policy, in that the complaints either lacked specificity, claimed innocence of charges best left to appropriate adjudication venues to decide, or otherwise did not constitute MOR violations. Where they were accompanied by allegations that warranted a full investigation, these additional allegations were investigated in accordance with policy. We also identified several administrative closures in our Task 7.3 (Anonymous Complaints) review, and they are further discussed in that section.

The cases resolved via summary finding were approved for such designation as required by policy. In six of these cases, the interactions between officers and citizens were recorded on PDRDs, negating the need to interview all of the involved officers. In two other cases alleging improper demeanor by dispatchers, the audio recordings of the calls were sufficient to determine the appropriate findings. In another case involving allegations of deficient reports, the actual reports were used to come to a finding. Summary findings are further discussed in Task 5.

OPD is in compliance with Task 4.10.

OPD is in Phase 2 compliance with Task 4.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 5: Complaint Procedures for IAD

Requirements:

1. *On or before December 1, 2003, OPD shall develop a policy so that, OPD personnel who become aware that a citizen wishes to file a complaint shall bring such citizen immediately, or as soon as circumstances permit, to a supervisor or IAD or summon a supervisor to the scene. If there is a delay of greater than three (3) hours, the reason for such delay shall be documented by the person receiving the complaint. In the event that such a complainant refuses to travel to a supervisor or to wait for one, the member/employee involved shall make all reasonable attempts to obtain identification, including address and phone number, as well as a description of the allegedly wrongful conduct and offending personnel, from the complainant and any witnesses. This information, as well as a description of the complaint, shall immediately, or as soon as circumstances permit, be documented on a Complaint Form and submitted to the immediate supervisor or, in his/her absence, the appropriate Area Commander, and shall be treated as a complaint. The supervisor or appropriate Area Commander notified of the complaint shall ensure the Communications Division is notified and forward any pertinent documents to the IAD.*
2. *An on-duty supervisor shall respond to take a complaint received from a jail inmate taken into custody by OPD, who wishes to make a complaint of Class I misconduct contemporaneous with the arrest. The supervisor shall ensure the Communications Division is notified and forward any pertinent documents to the IAD. All other misconduct complaints, by a jail inmate shall be handled in the same manner as other civilian complaints.*
3. *In each complaint investigation, OPD shall consider all relevant evidence, including circumstantial, direct and physical evidence, and make credibility determinations, if feasible. OPD shall make efforts to resolve, by reference to physical evidence, and/or use of follow-up interviews and other objective indicators, inconsistent statements among witnesses.*
4. *OPD shall develop provisions for the permanent retention of all notes, generated and/or received by OPD personnel in the case file.*
5. *OPD shall resolve each allegation in a complaint investigation using the "preponderance of the evidence" standard. Each allegation shall be resolved by making one of the following dispositions: Unfounded, Sustained, Exonerated, Not Sustained, or Administrative Closure. The Department shall use the following criteria for determining the appropriate disposition:*

- a. *Unfounded: The investigation disclosed sufficient evidence to determine that the alleged conduct did not occur. This finding shall also apply when individuals named in the complaint were not involved in the alleged act.*
 - b. *Sustained: The investigation disclosed sufficient evidence to determine that the alleged conduct did occur and was in violation of law and/or Oakland Police Department rules, regulations, or policies.*
 - c. *Exonerated: The investigation disclosed sufficient evidence to determine that the alleged conduct did occur, but was in accord with law and with all Oakland Police Department rules, regulations, or policies.*
 - d. *Not Sustained: The investigation did not disclose sufficient evidence to determine whether or not the alleged conduct occurred.*
 - e. *Administrative Closure: The investigation indicates a service complaint, not involving an MOR violation, was resolved without conducting an internal investigation; OR*
 - f. *To conclude an internal investigation when it has been determined that the investigation cannot proceed to a normal investigative conclusion due to circumstances to include but not limited to the following:*
 - 1) *Complainant wishes to withdraw the complaint and the IAD Commander has determined there is no further reason to continue the investigation and to ensure Departmental policy and procedure has been followed;*
 - 2) *Complaint lacks specificity and complainant refuses or is unable to provide further clarification necessary to investigate the complaint;*
 - 3) *Subject not employed by OPD at the time of the incident; or*
 - 4) *If the subject is no longer employed by OPD, the IAD Commander shall determine whether an internal investigation shall be conducted.*
 - 5) *Complainant fails to articulate an act or failure to act, that, if true, would be an MOR violation; or*
 - 6) *Complaints limited to California Vehicle Code citations and resulting tows, where there is no allegation of misconduct, shall be referred to the appropriate competent authorities (i.e., Traffic Court and Tow Hearing Officer).*
 - g. *Administrative Closures shall be approved by the IAD Commander and entered in the IAD Complaint Database.*
6. *The disposition category of "Filed" is hereby redefined and shall be included under Administrative Dispositions as follows:*
- a. *An investigation that cannot be presently completed. A filed investigation is not a final disposition, but an indication that a case is pending further developments that will allow completion of the investigation.*

- b. *The IAD Commander shall review all filed cases quarterly to determine whether the conditions that prevented investigation and final disposition have changed and may direct the closure or continuation of the investigation.*
7. *Any member or employee who is a subject of an internal investigation, as well as any other member or employee on the scene of an incident at which misconduct has been alleged by a complainant, shall be interviewed and a recorded statement taken. However, investigators, with the approval of an IAD Commander, are not required to interview and/or take a recorded statement from a member or employee who is the subject of a complaint or was on the scene of the incident when additional information, beyond that already provided by the existing set of facts and/or documentation, is not necessary to reach appropriate findings and conclusions.*

(Negotiated Settlement Agreement III. E.)

Discussion:

There are six Departmental policies that incorporate the requirements of Task 5: Department General Order M-03, *Complaints Against Department Personnel and Procedures* (published December 6, 2005 and revised most recently on August 22, 2013); Communications Division Policy & Procedures C-02, *Receiving and Logging Complaints Against Personnel and Use of Force Incidents* (published April 6, 2007); Training Bulletin V-T.1, *Internal Investigation Procedure Manual* (published June 1, 2006); Special Order 8270, *Booking of Prisoners at the Glenn E. Dyer Detention Facility* (published June 24, 2005); Special Order 8565, *Complaints Against Department Personnel* (published May 11, 2007); and IAD Policy & Procedures 05-02, *IAD Investigation Process* (published December 6, 2005). In addition, NSA stipulations issued on December 12, 2005, and March 13, 2007, incorporate the requirements of this Task. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with Task 5 since the fourteenth reporting period. In each of the prior reporting periods, we found the Department in partial compliance with Task 5.⁸

To verify Phase 2 compliance with Tasks 5.1 through 5.5, we reviewed 90 entries that appeared on the Daily Incident Logs (DILs) that were completed between January 1, and March 31, 2014. We identified these by randomly selecting 60 dates during this reporting period and reviewing the entries for each of those dates.

Task 5.1 requires that when a citizen wishes to file a complaint, the citizen is brought to a supervisor or IAD, or a supervisor is summoned to the scene (compliance standard: 95%). During the last reporting period, we found OPD in compliance with this subtask. During the current reporting period, of the 90 DIL entries, 38 complaints were taken by supervisors in the

⁸ Pursuant to an agreement among the Parties, Tasks 5.7- 5.11, and 5.13-5.14 are not subject to active monitoring.

field; two complaints were received via the IAD complaint telephone hotline; and in the remaining 50 cases, complainants called 911 to express their dissatisfaction. In these latter cases, IAD or field supervisors were notified, except when the complaints were against Communications personnel (these were handled by a Communications supervisor) or were clearly service complaints (e.g., slow response time with no specific officer complained of). We noted 28 such service complaints. Seven of these cases, however, did not include any detail that would allow us to verify that they were appropriately classified. We again remind OPD that the DIL entry should contain some notation as to the nature of the service complaint. During this reporting period, OPD remains in compliance with Task 5.1.

Task 5.2 requires that if there is a delay of greater than three hours in supervisory response, the reason for the delay be documented (compliance standard: 85%). OPD has added a checkbox to the DIL to record such delays. In addition to reviewing this section of the logs, we also checked the times of complaint receipt and supervisor contact with the complainant (or attempted contact where the complainant was unavailable – see Task 5.3). We identified one case in which there appeared to be greater than a three-hour delay in contacting the complainant. When the complaint was received, IAD first believed that it was a duplicate of a complaint already filed, and therefore it was not added to the IAD log. Several weeks later, IAD discovered that the complaint was not, in fact, duplicative of another case. The case was added to the IAD log on March 13, even though the complaint was received – and the complainant contacted – on January 31. Since the reason for the delay was explained in the log entry, OPD remains in compliance with Task 5.2.

Task 5.3 requires that where a complainant refuses to travel to a supervisor, or wait for one, personnel make all reasonable attempts to obtain specific information to assist in investigating the complaint (compliance standard: 90%). Of the 90 records in our dataset, we identified 10 instances in which the complainant “refused” interaction with a supervisor. In three cases, the complainants left the scene prior to the arrival of the responding supervisor. In another case, the complainant provided no contact information and wished to remain anonymous. In still another case, the complainant, who was the subject of a psychiatric hold, was sedated when the supervisor responded to the hospital. In the remaining cases, the complainants did not answer the callback telephone numbers provided during their initial calls to Communications. OPD is in compliance with Task 5.3.

Task 5.4 requires that specific information be documented on a complaint form and submitted to the immediate supervisor or, in his/her absence, the appropriate Area Commander (compliance standard: 85%). To achieve compliance with this subtask, the DIL should contain the identification of personnel; witnesses or identifying information, if known (the log should state “unknown” if not known); the date, time, and location of the incident; and the time of contact or attempt to contact the complainant by a supervisor.

During the last reporting period, OPD had a 100% compliance rate with this subtask. During this reporting period, all of the logs we reviewed contained the required information (“unknown” was

checked in 14 records). OPD has a 100% compliance rate during this reporting period, and is in compliance with Task 5.4.

Task 5.5 requires that the supervisor or Area Commander notify Communications and forward any pertinent documents to IAD (compliance standard: 95%). OPD had a compliance rate of 100% with this subtask during the last reporting period. The DILs are administered by the Communications Section and forwarded to IAD each business day. Additionally, the DIL contains a field to record the name of Area Commander notified and the time of notification. This field was properly completed in all of the records we reviewed. OPD is in 100% compliance with Task 5.5 during this reporting period.

Task 5.6 requires that an on-duty supervisor respond to take a complaint received from a jail inmate taken into custody by OPD, who wishes to make a complaint of Class I misconduct contemporaneous with the arrest of the inmate. To assess Task 5.6 during this reporting period, we reviewed all complaints that appeared to have originated from North County Jail, Santa Rita Jail, Glenn E. Dyer Detention Facility, or Juvenile Hall, and were approved between January 1, and March 31, 2014. We identified only one such complaint using the IAD database. We reviewed this complaint for two triggering events: an allegation of Class I misconduct; and the complaint lodged at the time of arrest. If both of these were not present, the case was deemed in compliance if it was “handled in the same manner as other civilian complaints.”

In the one applicable case, the complaint was made contemporaneous with the warrant arrest of the complainant, who alleged potential Class I misconduct. He asserted that the charges that resulted in the warrant he was being arrested for were fabricated. A sergeant responded to the Glen E. Dyer Detention Facility – twice. During the first response, the complainant was uncooperative; but after he was processed at the facility, he requested that the sergeant return. The complainant ultimately recanted his initial allegation, and indicated that his real complaint was the impact his criminal case had on his employment situation. The case was administratively closed.

OPD is in compliance with Task 5.6.

Task 5.12 requires that the Watch Commander ensure that any complaints that are applicable to Task 5.6 are delivered to and logged with IAD (compliance standard: 90%). Since by definition these complaints must be made contemporaneous with the arrest, an on-duty supervisor must respond to the jail. Under current policy, the Communications Section must record on the DIL complaints that are received and/or handled by on-duty supervisors; the DIL is forwarded daily to IAD. As mentioned in past reports, we deem the DIL system as functionally equivalent to the requirements of Task 5.12, and the Department remains in compliance with this subtask.

To assess **Tasks 5.15 through 5.19**, and **Task 5.21**, we reviewed a random sample of 25 IAD cases that were approved between January 1, and March 31, 2014. This sample included investigations completed by IAD and Division-level investigations (DLIs). It also included cases that were resolved via formal investigation and investigations that were resolved via summary finding.

As in our previous reviews, we treated **Tasks 5.15 and 5.16** as a single subtask with several elements, specifically that OPD: gathers all relevant evidence; conducts follow-up interviews where warranted; adequately considers the evidence gathered; makes credibility assessments where feasible; and resolves inconsistent statements (compliance standard: 85%). During the previous assessment period, we deemed the Department in compliance with *all* of these required elements 100% of the time. Of the 25 investigations we reviewed for this reporting period, we deemed 24, or 96%, in compliance with *all* of these required elements.

In seven cases, investigators conducted follow-up interviews with officers or civilians to seek clarification. In three of these cases, complainants and/or witnesses were interviewed multiple times.

Credibility assessments were made in 21 of the 25 cases. Three of the four cases without credibility assessments were handled via summary finding, and by policy, investigators are not required to assess credibility in these instances since a determination can be made without interviewing all involved. In one case involving an allegation of profanity by an officer during a field encounter, the investigator failed to make a credibility determination regarding the complainant.

In four cases, complainants or witnesses were appropriately deemed not credible. In two of the cases, PDRD recordings directly contradicted their statements. In the other two cases, physical evidence and/or their own inconsistent statements appropriately called into question the credibility of some of those interviewed.

We did not identify any cases in which relevant evidence was not identified or considered during this review.

Task 5.17 requires that OPD permanently retain all notes generated and/or received by OPD personnel in the case file (compliance standard: 85%). OPD personnel document that all investigative notes are contained within a particular file by completing IAD Form 11 (Investigative Notes Declaration). During the previous reporting period, we found OPD in 100% compliance with this subtask. During this reporting period, the form was again properly completed in all 25 cases we reviewed. OPD is in compliance with this subtask.

Task 5.18 requires that OPD resolve each allegation in a complaint investigation using the preponderance of the evidence standard (compliance standard: 90%). During the last reporting

period, OPD complied with this subtask in 100% of the cases we reviewed. During this reporting period, OPD complied with this subtask in 23, or 92%, of the 25 cases in our sample. OPD's review and consideration of electronic evidence has certainly contributed to OPD's success in this area. In 13 of the cases we reviewed, PDRD recordings proved material to arriving at the appropriate findings. In another case involving the alleged theft of a cell phone, review of a convenience store's surveillance camera video proved instrumental in determining the correct finding.

In two cases, we do not believe that OPD appropriately used the preponderance of the evidence standard. In the first, we believe that an allegation that an officer failed to take or refer a complaint (unintentional – Class II) should have been sustained rather than not sustained. In the second, we believe the evidence supported a sustained finding for failure to activate a PDRD, rather than the not sustained finding arrived at by OPD.

OPD is in compliance with Task 5.18.

Task 5.19 requires that each allegation of a complaint is identified and resolved with one of the following dispositions: unfounded; sustained; exonerated; not sustained; or administrative closure (compliance standard: 95%). Our sample of 25 cases contained 62 allegations that received dispositions as follows: five exonerated; 23 not sustained; 31 unfounded; one sustained; and two administratively closed. PDRD video continues to be used in more and more cases to arrive at definitive conclusions. We did not agree with two of the findings, as noted in Task 5.18.

With a 97% compliance rate, OPD remains in Phase 2 compliance with this subtask.

Task 5.20 requires that the IAD Commander review all "filed" cases quarterly to determine whether the conditions that prevented investigation and final disposition have changed (compliance standard: 90%). A filed case is defined as an investigation that cannot be presently completed and is pending further developments that will allow completion of the investigation; filed is not a final disposition. As part of our review of this Task, we also review cases that are tolling. OPD defines a tolled case as an administrative investigation that has been held in abeyance in accordance with one of the provisions of Government Code Section 3304.

During our most recent site visit, we met with the Deputy Chief of the Bureau of Risk Management and the commanding officer of IAD, who advised that as of that date, no cases were classified as filed or tolling. Filed and tolling cases are reviewed with the Chief during his weekly IAD meetings and are listed by case number on the printed meeting agendas. OPD is in compliance with this subtask.

Task 5.21 requires that any member or employee who is a subject of an internal investigation, as well as any other member or employee on the scene of an incident at which misconduct has been

alleged by a complainant, shall be interviewed and a recorded statement taken (compliance standard: 90%). However, with the approval of the IAD Commander, investigators are not required to interview and/or take a recorded statement in all cases. For example, interviews are not needed from a member or employee who is the subject of a complaint, or who was on the scene of the incident when additional information – beyond that already provided by the existing set of facts and/or documentation – is not necessary to reach appropriate findings and conclusions. Six of the 25 cases we reviewed were resolved via summary finding, and all were appropriately approved for such closure. (These do not include the cases referenced in Task 4, for which summary findings were also appropriate.) In three of these cases, the availability of PDRD video was the primary reason interviews were unnecessary.

OPD is in compliance with Task 5.21.

OPD is in Phase 2 compliance with Task 5.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 6: Refusal to Accept or Refer Citizen Complaints

Requirements:

Refusal to accept a citizen complaint, failure to refer a citizen to IAD (when that citizen can be reasonably understood to want to make a citizen's complaint), discouraging a person from filing a complaint, and/or knowingly providing false, inaccurate or incomplete information about IAD shall be grounds for discipline for any OPD member or employee.

(Negotiated Settlement Agreement III. F.)

Discussion:

OPD published Departmental General Order M-03, *Complaints Against Department Personnel and Procedures*, which incorporates the requirements of Task 6, on December 6, 2005. General Order M-03 was revised most recently on August 22, 2013. The requirements of this Task are also incorporated into Manual of Rules Sections 314.07, 398.70, and 398.76. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with Task 6 since the eighth reporting period.

Task 6 requires that OPD members and employees who refuse to accept a citizen complaint, fail to refer a citizen to IAD (when the citizen can be reasonably understood to want to make a citizen's complaint), discourage a person from filing a complaint, and/or knowingly provide false, inaccurate, or incomplete information to IAD, are disciplined (compliance standard: 95%).

To assess Phase 2 compliance with this Task, we reviewed a random sample of 90 Daily Incident Log entries from January 1, through March 31, 2014; and a random sample of 25 IAD investigations (conducted by both IAD and via Division-level investigation) that were closed during the same period. We found no cases in which an allegation of Failure to Accept or Refer a Complaint went unaddressed.

We also queried the IAD database to identify any allegations of MOR 398.70-1, Interfering with Investigations; MOR 398.76-1, Refusal to Accept or Refer a Complaint; and MOR 398.76-2, Failure to Accept or Refer a Complaint; that were investigated and approved during this same time period. We identified four such cases. Two of these cases resulted in sustained findings for one or more of the applicable MOR violations.

In one case, a nurse working in a Sacramento hospital called OPD Communications to advise that she was treating a patient who alleged that OPD officers used force on him during a field stop. The dispatcher who took the call failed to handle the call as a complaint, in violation of policy. IAD recommended a two-day suspension for the dispatcher.

In the other case, while an officer was investigating an alleged assault, the victim mentioned Internal Affairs. Per DGO M-03, the officer was required to ask clarifying questions to ascertain if the victim wished to lodge a complaint, but he failed to do so. The victim did, in fact, complain later about the officer's handling of the call. IAD recommended a one-day suspension for the officer.

In two cases, there were no sustained findings for the pertinent MOR violations applicable to Task 6. In one, a complainant indicated that an officer failed to take a complaint regarding the officer's demeanor. The officer was directing traffic at the scene of a possible barricaded gunman, and the investigator concluded that it would not have been practical for the officer to interact with the complainant at that precise moment. Similarly, in the other case, officers were attempting to subdue a combative, mentally ill subject when he asked for their names and badge numbers. While the officers did not respond during the altercation, the possible complaint was properly referred after the situation was stabilized.

OPD remains in Phase 2 compliance with Task 6.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 7: Methods for Receiving Citizen Complaints

Requirements:

On or before December 1, 2003, OPD shall develop a policy to strengthen procedures for receiving citizen complaints:

1. *IAD or Communication Division personnel shall staff a recordable toll-free complaint phone line, 24-hours a day, and receive and process complaints in accordance with the provisions of Departmental General Order M-3. The complainant shall be advised that the call is being recorded when a complaint is taken by IAD.*
2. *Guidelines for filing a citizen's complaint shall be prominently posted and informational brochures shall be made available in key Departmental and municipal locations.*
3. *OPD shall accept anonymous complaints. To the extent possible, OPD shall ask anonymous complainants for corroborating evidence. OPD shall investigate anonymous complaints to the extent reasonably possible to determine whether the allegation can be resolved.*
4. *OPD personnel shall have available complaint forms and informational brochures on the complaint process in their vehicles at all times while on duty. Members/employees shall distribute these complaint forms and informational brochures when a citizen wishes to make a complaint, or upon request.*
5. *IAD shall be located in a dedicated facility removed from the Police Administration Building.*
6. *Complaint forms and informational brochures shall be translated consistent with City policy.*
7. *Complaint forms shall be processed in accordance with controlling state law.⁹*

(Negotiated Settlement Agreement III. G.)

Discussion:

OPD published Departmental General Order M-03, *Complaints Against Department Personnel and Procedures*, which incorporates the requirements of Task 7, on December 6, 2005. General Order M-03 was revised most recently on August 22, 2013. As the Department has trained at least 95% of relevant personnel on this policy, we find OPD in continued Phase 1 compliance with this Task.

Only one provision of Task 7 (7.3) is being actively monitored under the MOU. OPD has been in Phase 2 compliance with this Task since the second reporting period.

⁹ The underlined requirement is the only provision of Task 7 that is being actively monitored under the MOU.

To assess Phase 2 compliance with this Task, we reviewed all cases listed in the Internal Affairs Division database as originating from complainants who were “anonymous,” “unknown,” “refused,” or any forms of those terms (such as “unk”) and that were approved between January 1, and March 31, 2014. We also reviewed all complaints during this selected time period that were tagged by IAD as originating from an anonymous complainant, and complaints in which the complainant field in the database was blank, to determine whether any were made anonymously.

Based on the above-listed criteria, we identified 13 cases as potential anonymous complaints during this reporting period. After review, we determined that seven were true anonymous complaints, and the complainants were not identified during the course of the investigations.

Two of the seven complaints were received via telephone calls to the Communications Division. Three were received via telephone calls directly to IAD. One was received in the field, reported directly to a lieutenant on patrol. The remaining complaint was received from the Alameda County Sheriff’s Office, which forwarded information from a confidential informant who was designated the anonymous complainant.

Where possible, complainants were asked to provide corroborating evidence. In most of the cases, the complainants terminated the contact before OPD could secure additional details of the complaint. However, the complaints were investigated to the extent reasonably possible as required by this subtask. IAD or field supervisors attempted to re-contact complainants if a callback number was available, even if the complainants expressly stated they wished to remain anonymous.

All seven cases were administratively closed. Each met the criteria for such closure, and most lacked the details to identify the specific alleged misconduct and/or OPD personnel involved in the incidents. In two instances, IAD determined that the allegations pertained to School District Officers, and the cases were referred to that jurisdiction for investigation. In another case, the complainant identified an officer by name; however, OPD has no employees – sworn or civilian – with the name provided. In the case referred by ACSO, a confidential informant alleged that a female OPD officer was providing narcotics to her boyfriend. The “boyfriend” was identified, and he has no connection to an OPD officer, and his girlfriend of five years is not an OPD employee.

OPD continues to provide citizens with informational business cards when their intent to file a complaint is unclear. The cards contain the information necessary to file a complaint at a later time if desired, and these citizen contacts are documented in a separate log in Communications. Like the Daily Incident Logs, these are forwarded to IAD – and the Monitoring Team – on a daily basis. This is the third reporting period in which this system has been used, and it appears to be having the desired effect of limiting those cases in which the complaint process is invoked unnecessarily. Informational business cards are further discussed in Task 5.

The Department remains in Phase 2 compliance with Task 7.3.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 16: Supporting IAD Process - Supervisor/Managerial Accountability

Requirements:

On or before December 1, 2003, OPD shall develop a policy to ensure that supervisors and commanders, as well as other managers in the chain of command, shall be held accountable for supporting the IAD process. If an IAD investigation finds that a supervisor or manager should have reasonably determined that a member/employee committed or violated a Class I offense, then that supervisor or manager shall be held accountable, through the Department's administrative discipline process, for failure to supervise, failure to review, and/or failure to intervene.

(Negotiated Settlement Agreement III. O.)

Discussion:

Two Department policies, Departmental General Order M-03 and Training Bulletin V-T.1, incorporate the requirements of Task 16. OPD published Departmental General Order M-03, *Complaints Against Department Personnel and Procedures*, on December 6, 2005. General Order M-03 was revised most recently on August 22, 2013. OPD published Training Bulletin V-T.1, *Internal Investigation Procedure Manual*, on June 1, 2006; and Special Order 8552, *Update of Departmental Training Bulletin V-T.1, Internal Investigation Procedure Manual*, on February 1, 2007. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with Task 16 since the fourteenth reporting period.

Task 16.1 requires that supervisors and commanders, as well as other managers in the chain of *command*, are held accountable for supporting the IAD process (compliance standard: Yes/No); and **Task 16.2** requires that if an IAD investigation finds that a supervisor or manager should have reasonably determined that a member/employee committed or violated a Class I offense, the supervisor or manager is held accountable, through OPD's administrative discipline process, for failure to supervise, failure to review, and/or failure to intervene (compliance standard: 90%).

To assess Task 16 during this reporting period, we examined 90 Daily Incident Log entries from January 1, through March 31, 2014; a random sample of 71 IAD cases (investigated by both IAD and via Division-level investigation, or DLI) that were approved by the Chief of Police between January 1, through March 31, 2014; and the six sustained Class I investigations that were approved by the Chief of Police between January 1, through March 31, 2014.

Each of the six sustained Class I investigations showed acceptable analyses of supervisors' abilities to identify the sustained misconduct. These six cases included three force-related cases, one *Miranda* violation, one pursuit case, and a consumption of intoxicants case.

In the first force-related case, the supervisor determined that the force was not in compliance with Department policy. This incident involved the response by officers to a fight in which subjects were taken into custody. The other two force-related cases involved the same officer, who used a canine to search for a burglary suspect. In both cases, the Force Review Board found that the officer's conduct with the canine that resulted in the bite of a subject was unreasonable and not in compliance. Although the sergeant who conducted the investigation determined that the use of force was proper, the FRB found, 2-1, it to be not in compliance; and the officer was disciplined.

In the *Miranda* violation case, an officer reported to his supervisor that he may not have followed proper policy and legal standards by not providing the suspect with *Miranda* Fifth Amendment waiver warnings when necessary. No supervisory deficiency was located. In another case, officers conducted a pursuit that lasted for 13 blocks, at times driving the wrong way down one-way streets. Upon review, the OPD Public Safety Committee referred the case to IAD because it found the pursuit not in compliance with Department policy. The committee also found that the sergeant failed to properly supervise the pursuit and conduct a sufficient investigation, and that the commander did not properly review the pursuit report.

In the final case, IAD sustained an officer for demeanor-related allegations, consumption of intoxicants, and use of force related to an altercation at a bar while off duty. The officer, while intoxicated, attempted to assist the bar owner to escort an unwanted patron out of the bar. The officer arrested the subject while off duty, and allegedly slammed the subject's head against the pavement. The supervisor and commander who investigated this incident appropriately recognized multiple conduct violations and referred the incident to IAD for further investigation.

As we have discussed with OPD, the investigation report's member/employee accountability section should include an analysis of whether it was reasonable for a supervisor – through reviewing reports, investigating force, or supervising an officer – to identify misconduct. A transparent organization identifies – through close and effective supervision – any possible misconduct of its members.

During this reporting period, the cases that we reviewed properly evaluated supervisors' accountability. OPD is in compliance with this Task.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Next Steps:

During our next site visit, we will, as in the past, meet with the IAD Commander to discuss any Task 16-applicable cases for the next reporting period and steps the Department is taking to improve IAD investigators' evaluations of supervisors' accountability.

Task 18: Approval of Field-Arrest by Supervisor

Requirements:

Within 260 days from the effective date of this Agreement, the Chief of Police shall, based on contemporary police standards and best practices, develop and implement policies to address the following standards and provisions:

Approval of Field-Arrest by Supervisor

1. *OPD shall develop standards for field supervisors that encourage or mandate close and frequent supervisory contacts with subordinates on calls for service. The policies developed in this Section shall require supervisors to respond to the scene of (at least) the following categories of arrest, unless community unrest or other conditions at the scene make this impractical:*
 - a. *All Felonies;*
 - b. *All drug offenses (including narcotics, controlled substances and marijuana arrests if the subject is taken to jail).*
 - c. *Where there is an investigated use of force;*
 - d. *Penal Code §§69, 148 and 243(b)(c).*

*The responding supervisor shall review the arrest documentation to determine whether probable cause for the arrest, or reasonable suspicion for the stop, is articulated, to ensure that available witnesses are identified, to approve or disapprove the arrest in the field, and to log the time of the contact.*¹⁰

(Negotiated Settlement Agreement IV. A.)

Discussion:

Three Departmental policies incorporate the requirements of Task 18.2.2: DGO M-18, *Arrest Approval and Review in the Field* (published May 13, 2004 and updated October 1, 2005); Special Order 8536, *Probable Cause Arrest Authorization and Report Review* (published

¹⁰ The underlined requirement is the only provision of Task 18 that is being actively monitored under the MOU.

December 2006); and Training Bulletin I-O.4, *Legal Aspects Of Searching Persons On Parole And Probation* (published November 23, 2011). As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

Only one provision of Task 18 (18.2.2) is being actively monitored under the MOU. During all of the previous reporting periods, we found the Department in compliance with this subtask.

Task 18.2.2 requires that supervisors review arrest documentation to verify that available witnesses are identified (compliance standard: 90%). To assess Phase 2 compliance with this subtask, we reviewed arrest documentation for all of the applicable arrest categories, as well as documentation for arrests resulting in an investigated use of force. Specifically, we reviewed a random sample of 69 adult and one juvenile arrest reports documenting felony arrests; drug arrests; and arrests for Penal Code 69, 148, and 243(b)(c); as well as documentation for 17 arrests resulting in an investigated use of force; that occurred between January 1, and March 31, 2014. We reviewed these arrests to determine if supervisors reviewed the reports that listed witnesses or appropriately noted “no known witnesses,” or referred to a canvass with no witnesses produced. In keeping with previous practice, if there was no mention of any witnesses in the crime report narrative, we accepted a “0” in the “witness” box on the cover sheet as sufficient documentation.

Of the 69 adult arrest reports, we excluded 36 from our dataset; and we also excluded the one juvenile arrest report from our dataset; for one or more of the following reasons: the arrest involved a warrant or probation or parole warrant detention; the arrest occurred outside of our selected time period; the incident was, in fact, a psychiatric detention that did not involve an arrest; or the arrest involved a misdemeanor offense that was not one of the arrests applicable to Task 18.2.2. Of the remaining 33 adult arrests, there were no reports that did not document the presence of witnesses or no known witnesses; and a supervisor approved all of the arrests. This represents a 100% compliance rate relating to adult/juvenile arrests for this subtask. In addition, of the 17 arrests resulting in an investigated use of force, all were in compliance with Task 18.2.2.¹¹ This represents a 100% compliance rate among arrests resulting in an investigated use of force for this subtask.

Our review revealed an overall 100% compliance rate for Task 18.2.2. OPD is in Phase 2 compliance with this requirement.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

¹¹ This number includes only Level 1, 2, and 3 uses of force because per DGO K-4, the documentation of witnesses of Level 4 uses of force is not required.

Next Steps:

We will meet with OIG to discuss the Department's protocols for conducting audits of this Task to ensure sustainability.

Task 20: Span of Control for Supervisors

Requirements:

On or before August 14, 2003, OPD shall develop and implement a policy to ensure appropriate supervision of its Area Command Field Teams. The policy shall provide that:

- 1. Under normal conditions, OPD shall assign one primary sergeant to each Area Command Field Team, and, in general, (with certain exceptions) that supervisor's span of control shall not exceed eight (8) members.*
- 2. During day-to-day operations, in the absence of the primary supervisor (e.g., due to sickness, vacation, compensatory time off, schools, and other leaves), the appropriate Area Commander shall determine, based on Department policy and operational needs, whether or not to backfill for the absence of the sergeant on leave.*
- 3. If a special operation, (e.g., Beat Feet, Special Traffic Offenders Program (STOP), etc.) requires more than eight (8) members, the appropriate Area Commander shall determine the reasonable span of control for the supervisor.*
- 4. If long-term backfill requires the loan or transfer of a supervisor from another unit, the Chief of Police and/or the Deputy Chief of Police shall make that decision.*

(Negotiated Settlement Agreement IV. C.)

Discussion:

Three Departmental policies incorporate the requirements of Task 20: Departmental General Order A-19, *Supervisory Span of Control*, issued on July 26, 2006; Departmental General Order D-13, *Assignment to Acting Higher Rank or Classification*, issued on June 17, 1999; and Special Order 8435, *Acting Sergeant Selection Process*, issued on July 26, 2006. As the Department has trained at least 95% of relevant personnel on the above-listed policies, we find OPD in continued Phase 1 compliance with this Task.

During all of the previous reporting periods, we found OPD in partial Phase 2 compliance with Task 20.

During this reporting period, we began a series of discussions with Department officials and the Plaintiffs' attorneys regarding our methodology for assessing Tasks 20.2 and 20.3. With the Department's tiered system of supervision now in place for over one year, it is useful for the Parties to consider how we evaluate OPD's progress in the areas of consistency of supervision

(Task 20.2) and span of control (Task 20.3). More significantly, we are working with the Parties to develop an approach to these issues that is both practicable and sustainable in the long term.

Accordingly, we are deferring our assessment of Task 20 for this reporting period.

Compliance Status:

Phase 1: In compliance

Phase 2: Deferred

Task 24: Use of Force Reporting Policy

Requirements:

The policy shall require that:

1. *Members/employees notify their supervisor as soon as practicable following any investigated use of force or allegation of excessive use of force.*
2. *In every investigated use of force incident, every member/employee using force, and every member/employee on the scene of the incident at the time the force was used, shall report all uses of force on the appropriate form, unless otherwise directed by the investigating supervisor.*
3. *OPD personnel document, on the appropriate form, any use of force and/or the drawing and intentional pointing of a firearm at another person.*
4. *A supervisor respond to the scene upon notification of an investigated use of force or an allegation of excessive use of force, unless community unrest or other conditions makes this impracticable.*
5. *OPD notify:*
 - a. *The Alameda County District Attorney's Office immediately or as soon as circumstances permit, following a use of lethal force resulting in death or injury likely to result in death.*
 - b. *The City Attorney's Office as soon as circumstances permit following the use of lethal force resulting in death or serious injury. At the discretion of the City Attorney's Office, a Deputy City Attorney shall respond to the scene. The Deputy City Attorney shall serve only in an advisory capacity and shall communicate only with the incident commander or his/her designee.*
 - c. *Departmental investigators regarding officer-involved shootings, in accordance with the provisions of Section V, paragraph H, of this Agreement.*

6. *OPD enter data regarding use of force into OPD's Personnel Assessment System (PAS).*

(Negotiated Settlement Agreement V. A.)

Discussion:

OPD published Departmental General Order K-4, *Reporting and Investigating the Use of Force* (February 17, 2006), which incorporates the requirements of Task 24. OPD revised DGO K-4 on August 1, 2007. On April 15, 2009, OPD issued Special Order 8977, amending DGO K-4. The revised policy also incorporates the requirements of Task 24. On November 23, 2010, OPD issued Special Order 9057, amending DGO K-4 to extend Level 1 and Level 4 reporting timelines. In December 2012, OPD issued a revision to Special Order 8977, *Use of Force Reporting – Pointing of Firearm/Restrained Subject/Use of Vehicle to Intentionally Strike a Subject*. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with Task 24 since the fourteenth reporting period.

During this reporting period, the sample we requested for review (90 total) included: four Level 2; 13 Level 3; and 73 Level 4 reports completed between January 1, and March 31, 2014.

Task 24.1 requires that members/employees notify their supervisor as soon as practicable following any reportable use of force or allegation of excessive use of force (compliance standard: 95%). To assess this subtask, we reviewed the UOF reports, crime reports (when applicable), and Computer Assisted Dispatch (CAD) purges for all of the force incidents in our dataset. The documentation for all of the incidents we reviewed was in compliance with this requirement.

Level 4 uses of force are self-reporting, and consequently, less documentation is required than for Level 1, 2, and 3 incidents. DGO K-4, Section VI A.1., states that involved personnel shall notify and brief their supervisors immediately or as soon as practicable. In 90 of the 90 incidents we reviewed, a supervisor was promptly notified regarding the force incident. OPD has a 100% compliance rate with this subtask. OPD is in compliance with Task 24.1.

Task 24.2 requires that in every reportable use of force incident, every member/employee on the scene of the incident at the time the force was used, reports all uses of force on the appropriate form, unless otherwise directed by the investigating supervisor (compliance standard: 95%); and **Task 24.3** requires that OPD personnel document, on the appropriate form, every use of force and/or the drawing and intentional pointing of a firearm at another person (compliance standard: 95%). All of the use of force reports, crime reports, and supplemental reports for the incidents in our sample met these requirements. We found that for Level 1 deadly force incidents, this

information was contained in the crime and Internal Affairs Division reports; for Level 2 and Level 3 incidents, this information was contained in the use of force reports; and for Level 4 incidents, the information frequently appeared in the actual use of force, crime, or offense reports.

Officers Pointing Firearms: As indicated above, we reviewed a total of 90 use of force incidents; 64 of those incidents involved officers pointing firearms. The 64 incidents included two Level 2, four Level 3, and 58 Level 4 uses of force; and involved 101 instances of OPD officers drawing and pointing their firearms.¹²

Overall, we determined officers' pointing of their firearms to be appropriate in 97, or 96%, of the 101 instances we assessed.¹³ We also noted with concern, the absence of justification for the pointing of a firearm in four (4%) of the 101 events; specifically, there was no indication that the officer(s) or others faced immediate threat of harm.

The total racial breakdown for the 64 use of force events reviewed is as follows: Black, 71%; Hispanic, 24%; White, 2%; Asian, 1%; and Other, 2%. We also tabulated the racial breakdown of the subjects involved in the events where, in our opinion, the pointing of a firearm was not necessary or appropriate and found the following: the four unjustified pointing of firearms involved two Black subjects and two Hispanic subjects.

In all cases, the supervisory review found the officers' use of force appropriate, objectively reasonable for a legitimate law enforcement purpose, and in compliance with OPD policy. While officers' actions in particular cases are troubling, the continued unquestioned supervisory and command approval – of both the documentation of officers' actions and the actions themselves – is illustrative of a need to address supervisory deficiencies.

OPD is in compliance with Tasks 24.2 and 24.3.

Task 24.4 requires that a supervisor respond to the scene upon notification of a Level 1, 2, or 3 use of force or an allegation of excessive use of force, unless community unrest or other conditions makes such response impracticable (compliance standard: 95%). Supervisors responded to the scene in all 17 applicable Level 2 and 3 incidents in our sample. This represents a 100% compliance rate. OPD is in compliance with Task 24.4.

¹² The majority of the incidents we reviewed fell into one of the following categories: officers making high-risk vehicle stops; officers searching and entering buildings or premises with or without search warrants; and officers were attempting to detain subjects, either by foot pursuit or by searching areas such as alleys and yards.

¹³ As in our more in-depth assessment of such incidents during the sixth reporting period, we gave the benefit of the doubt to involved officers whenever there was a question as to whether an officer's action was appropriate. We also assumed that the pointing of firearms was justified in cases where officers were responding to a burglary or criminal trespass involving an actual structure search, or when making a high-risk vehicle stop based on the legitimate belief that the vehicle was stolen.

Tasks 24.5, 24.6, and 24.8 require certain notifications in uses of force relative to officer-involved shootings and the use of lethal force.¹⁴ Specifically, **Task 24.5** requires that following every use of lethal force resulting in death or injury likely to result in death, OPD notify the Alameda County District Attorney's Office immediately or as soon as circumstances permit (compliance standard: 95%). **Task 24.6** requires that following every use of lethal force resulting in death or injury likely to result in death, OPD notify the City Attorney's Office as soon as circumstances permit (compliance standard: 95%). **Task 24.8** requires that following every officer-involved shooting, OPD notify Homicide and Internal Affairs investigators (compliance standard: 95%). During this reporting period, there were no Level 1 critical firearm discharge events involving the use of lethal force in our dataset. OPD remains in compliance with these subtasks.

Task 24.9 requires OPD to enter data regarding use of force into OPD's Personnel Assessment System (PAS) (compliance standard: 95%). PAS now allows personnel to access use of force reports directly. OPD is in compliance with Task 24.9.

OPD is in Phase 2 compliance with Task 24.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Next Steps:

We will continue to meet with OPD to provide feedback on specific use of force reports and to assess how the Department is addressing the serious issue of pointing firearms – the act of which may not only be unnecessary and inappropriate, but which also elevates the risk for unfortunate and unjustified firearm discharges.

Task 25: Use of Force Investigations and Report Responsibility

Requirements:

An on-scene supervisor is responsible for completing an investigated use of force report in accordance with the provisions of Departmental General Order K-4, "Reporting and Investigating the Use of Force."

1. *OPD shall develop and implement a policy for conducting and documenting use of force investigations that include, at a minimum:*
 - a. *Documentation of the incident in either an Offense or Supplemental Report from the member(s)/employee(s) using force; and/or, when*

¹⁴ Task 24.7 is no longer applicable.

- necessary, a statement taken from the member(s)/employee(s) using force;*
 - b. Separating and separately interviewing all officers who were at the scene at the time of the incident;*
 - c. A Supplemental Report from other members/employees on the scene or a statement taken, if deemed necessary by the investigating supervisor;*
 - d. Identification and interviews of non-Departmental witnesses;*
 - e. Consideration of discrepancies in information obtained from members, employees and witnesses, and statements in the reports filed;*
 - f. Whether arrest reports or use of force reports contain “boilerplate” or “pat language” (e.g., “fighting stance”, “minimal force necessary to control the situation”);*
 - g. Documentation of physical evidence and/or photographs and a summary and analysis of all relevant evidence gathered during the investigation; and*
 - h. Consideration of training/tactical issues involving the availability and practicality of other force options.*
 - i. Supervisor’s justification as to why any element of the policy was not documented; and*
- 2. All supervisors shall be trained in conducting use of force investigations and such training shall be part of a supervisory training course.*
- 3. Use of force investigations shall include a recommendation whether the use of force was objectively reasonable and within Department policy and training. The recommendation shall be based on the totality of the circumstances and shall consider, but is not limited to, the following factors:*
- a. Whether the force used was pursuant to a legitimate law-enforcement objective;*
 - b. Whether the type and amount of force used was proportional to the resistance encountered and reasonably related to the objective the members/employees were attempting to achieve;*
 - c. Whether the member/employee used reasonable verbal means to attempt to resolve the situation without force, if time and circumstances permitted such attempts;*
 - d. Whether the force used was de-escalated or stopped reasonably when resistance decreased or stopped;*
- 4. use of force reports shall be reviewed by the appropriate chain-of-review as defined by policy.*
- The type of force used, the identity of the involved members, and the report preparer shall be the determining criteria for utilizing the appropriate chain-of-review. Reviewers may include, when appropriate, the chain-of-command of the involved personnel, the appropriate Area Commander on duty at the time the incident occurred, other designated Bureau of Field Operations commanders, and as necessary, the chain-of-command of the involved personnel up to the Division*

Commander or Deputy Chief/Director, and the Internal Affairs Division.

Reviewers for Level 1-3 use of force investigations shall:

- a. Make a recommendation as to whether the use of force was in or out of policy,*
 - b. Order additional investigation and investigative resources when necessary, and*
 - c. Comment on any training issue(s) when appropriate.*
- 5. Any recommendation that the use of force did not comply with Department policy shall result in the incident being referred to the Internal Affairs Division to conduct additional investigation/analysis, if necessary.*
 - 6. Members/employees involved in a use of force incident resulting in serious injury or death and/or an officer-involved shooting, shall be separated from each other as soon as practicable at the incident scene, and kept apart until they have completed their reports and been interviewed.*

(Negotiated Settlement Agreement V. B.)

Discussion:

OPD published Departmental General Order K-4, *Reporting and Investigating the Use of Force* (February 17, 2006), which incorporates the requirements of Task 25. OPD revised DGO K-4 on August 1, 2007. The revised policy also incorporates the requirements of Task 25. On November 23, 2010, OPD issued Special Order 9057, amending DGO K-4 to extend Level 1 and Level 4 reporting timelines. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with Task 25 since the fourteenth reporting period.

During this reporting period, we requested and reviewed 90 use of force reports, including: four Level 2; 13 Level 3; and a random sample of 73 Level 4 use of force reports; that were completed between January 1, and March 31, 2014.

Task 25.1 requires IAD to complete a use of force report for every Level 1 use of force, and an on-scene supervisor to complete a use of force report for every Level 2 and 3 use of force (compliance standard: 95%). To assess this requirement during this reporting period, we reviewed documentation for 17 Level 2 and 3 incidents. In all of the incidents, a supervisor responded to the scene and completed a use of force investigation. In addition, 11 Level 3 incidents in our Level 4 sample of 73 incidents were downgraded appropriately to a Level 4 use of force by a supervisor who was at the scene; the changes were documented and comported with the governing documents. OPD is in compliance with Task 25.1.

Task 25.2 requires that use of force reports/investigations include NSA-required elements (compliance standard: 90%) and are timely pursuant to DGO K-4 (compliance standard: 95%). All of the reports we reviewed for this subtask included the NSA-required elements. To assess

investigation timeliness, we used a 75-day time limit for Level 1 incidents (including IAD Commander approval) plus one documented extension approved by the Chief of Police in advance of the due date, and a 15-day time limit for Level 2 and Level 3 incidents. For Level 4 incidents, as of November 23, 2010, OPD requires a review of the report by the end of the reviewing supervisor's next scheduled workday. This is a change – which we supported – from requiring a supervisor's review by the end of the tour of duty; it became effective by Special Order 9057.

During this reporting period, 89, or 99%, of the 90 reports we examined were submitted within the time limits established by this subtask. As noted above, Level 2 and Level 3 force investigations are considered timely if they are completed (including Division Commander approval) within 15 calendar days of the incident, with one documented approved extension by the Division Commander allowed. We only consider extensions if they were approved by the appropriate personnel *prior* to the pre-extension due date.

During this reporting period, OPD commanders took supervisory action against officers for not using their PDRDs as required in the Level 2, 3, and 4 cases we assessed. We encourage OPD to continue to hold supervisors accountable for ensuring that officers are using their PDRDs in accordance with Department policy.

OPD's overall compliance rate for timeliness is 99%, and for NSA-required elements is 100%. OPD is in compliance with Task 25.2.

Task 25.3 requires that all supervisors be trained on how to conduct use of force investigations, and that such training is part of a supervisory training course (compliance standard: 95%). As we have noted previously, OPD has incorporated use of force training into the continued professional training (CPT) that is required for all sergeants every 18 months to two years. During this reporting period, as part of CPT, OPD offered use of force training in areas including: firearms/force options; in-service firearms qualifications; and use of force case law review. Although these courses do not specifically address conducting investigations, they help supervisors to develop their knowledge and understanding in critical areas before being assigned use of force investigations. We encourage OPD to continue to provide periodic refresher training to underscore to supervisors the importance of conducting complete, thorough, and impartial use of force investigations that are submitted in a timely fashion. OPD is in compliance with Task 25.3.

Task 25.4 requires that the investigations include required recommendations (compliance standard: 90%). Areas of recommendation include: whether the force used was pursuant to a legitimate law enforcement objective; whether the type and amount of force used was proportional to the resistance encountered and reasonably related to the objective the officers

were attempting to achieve; whether the officers used reasonable verbal means to attempt to resolve the situation without force, if time and circumstance permitted such attempts; and whether the force used was de-escalated or stopped reasonably when resistance decreased or stopped.

During this reporting period, we reviewed four Level 4 use of force incidents that involved the unjustified pointing of firearms. These four reports did not comport with NSA-required elements; each of the incidents involved an unnecessary escalation to potentially using lethal force in situations where other less lethal force options were available to the officers or should have been considered.

The remainder of the cases, however, contained information showing that the force was used for a legitimate law enforcement purpose, was reasonable to the resistance encountered, and was de-escalated when resistance decrease or stopped; and that verbal means were used to attempt to resolve the situation without force.

OPD's compliance rate for this subtask is 96%. OPD is in compliance with Task 25.4.

Task 25.5 speaks to the review process, which includes chain of command review, making assessments as required by the NSA and policy, and ensuring that any violation of policy results in the incident being referred to Internal Affairs to conduct additional investigations or analysis (compliance standard: 95%). During this reporting period, we found that the supervisors included the required details, and the chain of command conducted critical reviews. In all of the Level 2, 3, and 4 reports – with the exception of the four Level 4 cases involving the unjustified pointing of firearms– the chain of command reviewed and commented on the quality of the investigations, any corrective action that was identified, and the appropriate documentation required for Supervisory Notes Files.

We also noted during this reporting period, especially in the unjustified cases of officers pointing their firearms, officers continue citing their “training and experience” and the location (high-crime area) of the event as justification for their initial encounter with citizens. The officers did not, however, document the additional and/or specific *circumstances present* justifying the particular stop. Of course, all citizens who live in high-crime areas are not all involved in criminal activity – and that should not be assumed from the outset. There has been an increase of these types of justifications for lethal encounters; we will continue to address this with OPD command staff and training personnel during our next site visit in an effort to ensure continued compliance with this requirement.

OPD's compliance rate for this subtask is 96%. OPD is in compliance with Task 25.5.

Task 25.6 addresses the need to keep officers involved in use of force incidents resulting in serious injury or death, or involved in a shooting, be separated from each other at the scene, and kept apart

until they have been interviewed and completed their reports (compliance standard: 95%). We found the applicable Level 2 reports in compliance with this requirement. OPD is in compliance with Task 25.6.

OPD is in Phase 2 compliance with Task 25.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Next Steps:

During our next site visit, we will continue to discuss with OPD the use of force command review process involving the unjustified pointing of firearms.

Task 26: Force Review Board (FRB)

Requirements:

OPD shall develop and implement a policy concerning its FRB proceedings. The policy shall:

- 1. Set out procedures, membership and a timetable for FRB review of use of force investigations involving Level 2 incidents, as defined in Department General Order K-4, REPORTING AND INVESTIGATING THE USE OF FORCE;*
- 2. Require the FRB to review all use of force investigations;*
- 3. Require the FRB to make a recommendation as to whether the use of force was in policy or out of policy;*
- 4. Require the FRB to forward sustained policy violations to the Discipline Officer.*
- 5. Require the FRB not to review any use of force allegation until the internal investigations has been completed;*
- 6. Authorize the FRB to recommend to the Chief of Police additional use of force training or changes in policies or tactics, or additional standards, investigatory policies, or training for use of force investigations;*
- 7. Require the FRB to conduct an annual review of use of force cases examined, so as to identify any patterns of use of force practices that may have policy or training implications, and thereafter, issue a report to the Chief of Police;*
- 8. Require that the FRB membership include, at a minimum, one member from the Training Division, one member from the Field Training Officer program, and either the Bureau of Field Operations Deputy Chief or his/her designee;*
- 9. Minimally, that one member of the FRB shall be replaced at least annually.*

(Negotiated Settlement Agreement V. C.)

Discussion:

Our review of Department General Order K-4.1, *Force Review Boards* (August 1, 2007), determined that this policy comports with the requirements of Task 26. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in partial Phase 2 compliance with Task 26 since the sixteenth reporting period. Prior to that time, OPD was either in compliance or in partial compliance with Task 26.

Task 26.1 requires that the Force Review Board (FRB) review all Level 2 use of force investigations following the completion of the internal investigation (compliance standard: 95%). DGO K-4.1 requires that the FRB chair convene an FRB to review the factual circumstances of all Level 2 cases within 90 days of receipt of the use of force packet from IAD. OPD provided documentation for six incidents that were heard by the board during this reporting period of January 1, through March 31, 2014. We determined that five of the six FRB reports we reviewed were timely. OPD is not in compliance with this subtask.

Task 26.2 requires that for every Level 2 use of force investigation, the FRB make a recommendation as to whether the use of force was in or out of policy (compliance standard: 95%). All six FRB reports we reviewed contained recommendations noting that the use of force was in or not in compliance with policy, and all six noted agreement or disagreement with the recommendation of the FRB by the Chief of Police or his designee.

We attended no FRB proceedings during our February 2014 site visit. We have observed in recent reporting periods that the FRBs are more routinely addressing deficient investigations conducted by investigators; however, the boards should more aggressively address the issue of investigators including justification for the involved officers' actions as part of their presentations moving forward.

OPD is in compliance with Task 26.2.

Task 26.3 requires that all FRB determinations that a use of force is out of compliance with OPD policy be forwarded to the Internal Affairs Division for disposition (compliance standard: 95%). Of the six incidents that were heard by the board during this reporting period, one event was found out of compliance, requiring a referral to IAD that was appropriately documented in the FRB reports provided.

Despite the Department's technical adherence to these provisions, we have noted previously that the board's informality and lack of structure was not consistent with the conduct of a review process of this nature. Over the past few months, we have seen great improvement in this area, and we are continuing to provide technical assistance to the Department regarding the conduct of these boards. As of the publication of this report, the revisions of DGO K-4.1, *Force Review*

Boards, which incorporate these changes formally, are still pending. Accordingly, OPD is not in compliance with this subtask.

Task 26.4 requires that the FRB make recommendations to the Chief of Police regarding additional use of force training, changes in policies or tactics, additional standards, investigatory policies, or training for use of force investigations (compliance standard: Yes/No). During the current reporting period, the FRBs identified training issues; and discussed improper tactics, use of force reporting, activation of the PDRD, and the need for corrective supervisory counseling. OPD is in compliance with this subtask.

Task 26.5 requires that the FRB conduct an annual review of use of force cases examined to identify any patterns of use of force practices (including K-3) that may have policy or training implications (compliance standard: Yes/No); and **Task 26.6** requires that the FRB issue an annual report to the Chief of Police reporting on its annual review (compliance standard: Yes/No). The FRB issued its most recent annual review on April 23, 2013. The review identified several patterns and practices, including: officers are continuing to chase suspects who they believed to be armed with handguns into yards; and are striking resisting suspects to the head with either their fists and/or palm-hammer strikes. In addition, the review found that many officers are documenting in their reports that they *had* to use force because of the risk that a suspect may be armed; and that they are not appropriately considering tactics during high-risk situations. The review also emphasized the need for canine officers, supervisors, and commanders to consider modifying the canine announcement to fit the incident in question – for example, circumstances in which a warning announcement could jeopardize officer safety.

According to the annual review, the FRBs have been tasking supervisors to train their officers after the board has identified training issues. The supervisors are required to document this training in the officers' Supervisory Notes Files and enter the information into PAS. Subject-matter experts conduct more involved training, and a training roster is submitted to the Training Section. The involved officer(s) are directed to be present during the presentation to receive training from the board's voting members and subject-matter experts, and/or praise for any outstanding work. Additionally, as a result of the findings of the FRB, the Department revises or develops new information or training bulletins, which are distributed to OPD personnel via the Department's electronic PowerDMS system. OPD is in compliance with these subtasks.

OPD is in partial Phase 2 compliance with Task 26.

Compliance Status:

Phase 1: In compliance

Phase 2: Partial compliance

Next Steps:

Since the beginning of our tenure, we have requested – in meetings with OPD and in all of our quarterly reports – that the Department schedule FRBs during our quarterly site visits, so that we may attend and observe the proceedings. We again request that the Department schedule its FRB hearings during our quarterly site visits; it is critical to our assessments that we be able to observe and evaluate the FRB process.

Task 30: Executive Force Review Board (EFRB)

Requirements:

1. *An EFRB shall be convened to review the factual circumstances surrounding any Level 1 force, in-custody death, or vehicle pursuit-related death incidents. A firearm discharge at an animal shall be reviewed by the EFRB only at the direction of the Chief of Police. The Board shall have access to recordings and/or transcripts of interviews of all personnel on the scene, including witnesses, and shall be empowered to call any OPD personnel to provide testimony at the hearing.*
2. *OPD shall continue the policies and practices for the conduct of EFRB, in accordance with the provisions of DGO K-4.1, FORCE REVIEW BOARDS.*

(Negotiated Settlement Agreement V. G.)

Discussion:

OPD published Departmental General Order K-4.1, *Force Review Boards* (February 17, 2006), which incorporates the requirements of Task 30. OPD revised DGO K-4.1 on August 1, 2007. The policy also incorporates the requirements of Task 30. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

During the last two reporting periods, we found OPD in partial Phase 2 compliance with this Task. Prior to that time, OPD was either in compliance or in partial compliance with Task 26.

To assess the Department's compliance with this Task, we reviewed EFRB documentation and observed the one EFRB held during our February site visit. (This proceeding, summarized below, was a follow-up to a previously held EFRB).

Task 30.1 requires that OPD convene an EFRB within 45 days of the completion of the use of force (UOF) report by IAD (compliance standard: 95%). The EFRB reviewed one incident during this reporting period. The case was initially reviewed by the EFRB in November 2013; however, at that time, the EFRB could not render a finding due to questions that could not be answered by CID and IAD. The EFRB postponed its review until February 2014, when CID and IAD obtained the necessary follow-up information.

The incident involved a critical firearm discharge by an officer during a Ceasefire operation. OPD received information from a reliable source that a subject was armed with a gun in a vehicle. After officers attempted a traffic stop, the driver of the vehicle fled, leading the officers on a vehicle pursuit (which, as required, was authorized by supervisory personnel). The suspect exited the vehicle and fled on foot and entered a walkway next to a residence where he turned and pointed a firearm at the involved officer. The involved officer discharged his weapon and struck the suspect, who was pronounced dead at the scene. The EFRB's final report was completed during this reporting period.

We verified that the initial EFRB fell within 45 days of the completion of the use of force reports covering the incident. Additionally, we verified that the supplemental EFRB fell within 45 days of the completion of the additional investigation completed by both CID and IAD.

OPD is in compliance with this subtask.

Task 30.2 requires that the EFRB has access to recordings and/or transcripts of interviews of all personnel on scene, including civilian witnesses, and is empowered to call in any OPD personnel it believes should testify (compliance standard: Yes/No). In the documentation we reviewed, recorded statements and/or transcripts were available from all officers on the scene and other personnel needed to testify. OPD is in compliance with this subtask.

Task 30.3 requires that OPD complies with the policies and procedures set forth in DGO K-4.1, *Force Review Boards* (compliance standard: Yes/No). This policy outlines several requirements, including who comprises the board, the material to be made available for the board, the conduct of the board, the information to be memorialized and follow-up actions, if warranted. We reviewed the reports that were prepared for the one incident that was heard by the board during the current reporting period. The required attendees were present. After review and deliberations, the board determined that the subject officers' actions in the one assessed case was in compliance with Departmental policy. The Chief of Police endorsed the EFRB findings within 60 days of the board's decision. The board identified the adequacy of equipment, tactics, completed an analysis of each application of force, noted investigative concerns, and training issues that required the appropriate corrective action.

Despite the Department's technical adherence to these provisions, we have noted previously that the board's informality and lack of structure was not consistent with the conduct of a review process of this nature. Over the past few months, we have seen great improvement in this area,

and we are continuing to provide technical assistance to the Department regarding the conduct of these boards. As of the publication of this report, the revisions of DGO K-4.1, *Force Review Boards*, which incorporate these changes formally, are still pending. Accordingly, OPD is not in compliance with this subtask.

OPD is in partial Phase 2 compliance with Task 30.

Compliance Status:

Phase 1: In compliance

Phase 2: Partial compliance

Next Steps:

Since the beginning of our tenure, we have requested – in meetings with OPD and in all of our quarterly reports – that the Department schedule EFRBs during our quarterly site visits, so that we may attend and observe the proceedings. We again request that the Department schedule any EFRB hearings during our quarterly site visits; it is critical to our assessments that we be able to observe and evaluate the EFRB process.

Compliance Status:

Phase 1: In compliance

Phase 2: Partial compliance

Task 33: Reporting Misconduct

Requirements:

Within 154 days from the effective date of this Agreement, OPD shall establish policy and procedures for the following:

Misconduct

OPD personnel shall report misconduct by any other member or employee of the Department to their supervisor and/or IAD. The policy shall state that corrective action and or discipline shall be assessed for failure to report misconduct. OPD shall require every member and employee encountering a use of force that appears inappropriate, or an arrest that appears improper, to report the incident to his/her supervisor and/or IAD. OPD shall establish and maintain a procedure for a member/employee to report police misconduct on a confidential basis.

- 1. Any member/employee of OPD may report a suspected case of police misconduct confidentially to the commander of IAD.*
- 2. The member/employee reporting this conduct shall indicate clearly to the commander of IAD that the report is being made under these confidential*

provisions.

3. *The report may be made in person, by telephone, or in writing. The IAD Commander shall document the report in a confidential file that shall remain accessible only to the IAD Commander.*
4. *The case shall be investigated without disclosure of the complainant's name, unless and until such disclosure is required by law.*
5. *This confidential reporting procedure shall be made known to every member/employee of OPD and to all new members/employees of OPD within two (2) weeks of hiring.*

(Negotiated Settlement Agreement VI. A.)

Discussion:

OPD has developed several policies that, in concert, incorporate the requirements of this Task. These include: Manual of Rules (MOR) Section 314.48, Reporting Violations of Laws, Ordinances, Rules or Orders; MOR Section 314.49, Confidential Reporting of Police Misconduct; Departmental General Order D-16, Check-In and Orientation; MOR Section 370.18, Arrests; and MOR Section 370.27, Use of Physical Force. The Department has trained at least 95% of relevant personnel on these policies, and remains in Phase 1 compliance with this Task.

Since monitoring under the NSA began, OPD has received confidential reports of misconduct in only four cases. We found OPD in Phase 2 compliance with Task 33 during the last reporting period.

Reporting Misconduct

Task 33.1 requires that in all sustained internal investigations, OPD conduct an assessment to determine whether members/employees/supervisors knew or should have known that misconduct occurred (compliance standard: 95%); and **Task 33.2** requires that where OPD determines that members/employees/supervisors knew or should have known that misconduct occurred but did not report it as required, OPD is required to take appropriate action (compliance standard: 95%).

To assess OPD's Phase 2 compliance with these subtasks during this reporting period, we discussed management of reporting misconduct by officers and employees of the Department with the Commander of Internal Affairs; and queried the IAD database to identify any cases with sustained findings and discipline that were approved between January 1, and March 31, 2014, that were applicable to Task 33. We identified and reviewed 22 cases with a total of 32 sustained findings involving 25 officers and employees that were approved during this reporting period. We found no instances where OPD disregarded indications that its employees or officers failed to report misconduct.

Management Action to Address Reluctance to Report Misconduct

We noted previously that the activation of PDRDs can be key in resolving allegations of use of force that arise from citizen contacts – particularly during demonstrations. Accordingly, it is a serious violation for an officer dealing with such circumstances to fail to activate his/her PDRD.

In our review of the 35 sustained findings, we found seven in which an officer was equipped with an operational PDRD and should have activated it. In one of these findings, the officer had been terminated as a result of an earlier case in which he used force and discipline was, therefore, not decided or imposed in the case we reviewed. IAD informed the officer via letter that should he return to OPD he would be given discipline for this finding. In all of the remaining six findings OPD imposed discipline. Sanctions ranged from written reprimand (two instances) to suspension (four instances ranging from one-, two-, and five-day suspensions).

While there were no cases in which the failure to activate a PDRD went unaddressed, there was one case in which the discipline was sufficient but follow-up was needed. In that case, an officer was cited for the third time for failure to activate his PDRD; and the discipline imposed was a one-day suspension. While we accept the justification for what appears to be a rather light discipline, in the future, this officer's supervisor should more closely monitor his activities. A key responsibility of sergeants is to ensure that the officers they are supervising are complying with OPD policies. In the future, the supervisor could easily compare and review the officer's activities with his PDRD recordings to ensure that he is in compliance with OPD policies. An additional benefit of review of PDRD recordings would be that the sergeant would be able to evaluate the officer's tactics and interactions with citizens.

OPD has added a MOR classification that addresses the failure to activate a PDRD in a new section that will carry more significant discipline than we have observed in the past. The new classification, 314.39-2, Performance of Duty – Personal Digital Recording Device (PDRD), carries discipline of a written reprimand to a five-day suspension for the first offense; a two-day suspension to a 10-day suspension for the second offense; and a 10-day suspension to a 30-day suspension for the third offense.

The Chief of Police discusses the requirements of Task 33, in the context of remaining issues needed to satisfy compliance with the NSA, at the Continuing Professional Training (CPT) courses for both officers and sergeants during 2013. In March, he began speaking to the 2014 CPT classes. He plans to continue this discussion to reinforce the requirements.

Confidential Reporting

Task 33.3 requires that OPD must maintain a functioning procedure that incorporates the NSA requirements related to establishing and maintaining confidential reporting of misconduct. These requirements include: **Task 33.3.1**: confidential reports of suspected misconduct may be made in person, by telephone, or in writing (compliance standard: Yes/No); **Task 33.3.2**: any OPD member/employee may report suspected misconduct confidentially to the IAD Commander, who shall document the report in a confidential file that shall remain accessible only to this IAD

Commander (compliance standard: Yes/No); **Task 33.3.3:** confidentially reported cases are investigated without disclosure of the complainant's name, unless and until such disclosure is required by law (compliance standard: 95%); and **Task 33.3.4:** OPD informs all new and current employees of OPD's confidential reporting procedures (compliance standard: 95%).

As we have reported previously, OPD has established procedures as required by Tasks 33.3.1, 33.3.2, 33.3.3, and 33.3.4. Confidential reports of suspected misconduct may be made by various means to the IAD Commander; cases are investigated without identifying the complainant; and documentation of the report and investigation are kept in a confidential file maintained by the IAD Commander. Since monitoring began under the NSA, OPD has received only four such confidential reports. No new confidential reports were received during the period from January 1, through March 31, 2014.

There were 54 new hires during the current reporting period. All were briefed/trained on confidential reporting procedures as required by Task 33. All of the new employees signed documents to memorialize the training that is a part of the hiring module/practice before new employees report for duty/assignment.

OPD is in Phase 2 compliance with this Task.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 34: Vehicle Stops, Field Investigation, and Detentions

Requirements:

1. *OPD shall require members to complete a basic report on every vehicle stop, field investigation and every detention. This report shall include, at a minimum:*
 - a. *Time, date and location;*
 - b. *Identification of the initiating member or employee commencing after the first year of data collection;*
 - c. *Reason for stop;*
 - d. *Apparent race or ethnicity, and gender of individual(s) stopped;*
 - e. *Outcome of stop (arrest, no arrest);*
 - f. *Whether a search was conducted, and outcome of search;*
 - g. *Offense categories (felony, misdemeanor or infraction).*
2. *This data shall be entered into a database that can be summarized, searched, queried and reported by personnel authorized by OPD.*

3. *The development of this policy shall not pre-empt any other pending or future policies and or policy development, including but not limited to “Promoting Cooperative Strategies to Prevent Racial Profiling.”*
(Negotiated Settlement Agreement VI. B.)

Discussion:

There are four Departmental policies that incorporate the requirements of Task 34: General Order M-19, *Prohibitions Regarding Racial Profiling and Other Bias-Based Policing*; Report Writing Manual (RWM) Inserts R-2, N-1, and N-2; Special Order 9042, *New Procedures Regarding Stop Data Collection* (published June 2010); and Special Order 9101, *Revised Stop Data Collection Procedures* (published November 2012). As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

Task 34.1 requires that officers complete Stop Data Forms for every vehicle stop, field investigation, and detention (compliance standard: 90%). To assess Task 34.1 compliance during this reporting period, we reviewed a random sample of 375 stops to match them with corresponding completed Stop Data Forms. This sample included 125 Computer Aided Dispatch (CAD) entries, 125 Field Contact Cards, and 125 traffic citations. Using the Department’s Forensic Logic Quicksearch program, we were able to locate a corresponding Stop Data Form for 98% of the stops in our sample. OPD is in compliance with Task 34.1.

Task 34.2 requires that Stop Data Forms be filled out with the following information: 1) time; 2) date; 3) location; 4) identification of member making stop; 5) reason for stop; 6) apparent race/ethnicity of individual(s) stopped; 7) gender of individual(s) stopped; 8) outcome of stop (arrest or no arrest); 9) whether a search was conducted; 10) outcome of any search; and 11) offense category (felony, misdemeanor, or infraction) (compliance standard: 85%). The entry of stop data into the Field Based Reporting (FBR) system requires officers to make a selection in each form field. If an officer fails to fill in the information in any field, the system does not allow the form to be completed.

One of the more important data elements required by this Task is the capture of the reason or justification for the stop. This is essentially where any evaluation of the appropriateness of a stop commences. OIG periodically conducts internal reviews of Stop Data Forms to verify compliance with requirements, including the basis for stops. During this reporting period, we also focused on this important element in our review of 250 CAD entries and Field Contact Cards. Of the 250 stops, we eliminated 32 due to the lack of any narrative. Our analysis of the remaining 218 stops found nine to be questionable; accordingly, we determined that 96% of the stops in the sample were valid. This represents a continued improvement by OPD with its documentation of the stops. The Department is in compliance with Task 34.2.

Task 34.3.1 requires that OPD have a stop data database that can be summarized, searched, queried, and reported by personnel authorized by OPD (compliance standard: Yes/No). Special Order 9042 requires that officers “complete an electronic FBR [Field Based Reporting] Stop Data Collection Form (SDF) for certain arrests, every detention not resulting in an arrest (vehicle, walking, and bicycle stops), every consent search of a person conducted and any other investigative encounter.” Officers must also complete a SDF “for consensual encounters (contacts) where the member talks with a person to confirm or dispel a suspicion that the person may be involved in criminal activity, although the person is free to leave.” Data from the electronic Field Based Reporting system is automatically sent to the Department’s Forensic Logic Quicksearch program, which allows Department personnel to search for and query officers’ stop data.

During our quarterly and technical assistance site visits, members of our Team meet with OPD personnel to follow the Department’s progress with data collection and analysis, and with the development of operational and intervention options. OPD organizes the data into tables and graphs depicting – both globally and by district – the breakdown of stops, the reasons for the stops, and any resulting action taken; including searches, the results of searches and arrests, and other actions.

During this reporting period, OPD completed its first Stop Data Analysis Report covering the period of April through November 2013. OPD released this report to the public on March 24 with the caveat that the report was preliminary, and that it did not represent an academic or research level analysis of the data. Nevertheless, the data contained in the report provides the basis upon which the OPD can further explore and/or identify areas where there may be disparities in the treatment of identified population groups. As time passes and the database grows, its predictive value will also increase. The data should provide the basis for determining training and intervention options; and, in accordance with the requirements of the December 12, 2012 Court Order, the development of strategies to “address, resolve and reduce...incidents of racial profiling or biased-based policing.”

The production of this report was a culmination of five years of work by OPD. The collection of data and its analysis is a continuing activity that is expected to result in additional public progress reports. In the meanwhile, we recommend that OPD continue to elevate interest and attention to stop data by officers, supervisors, and command staff through presentations during its regular risk management meetings and training bulletins. In addition, OPD must engage in discussions about the development of intervention options.

We are encouraged by the progress made during recent reporting periods. OPD has developed a data collection process that appears to be reliably accurate. Encouragingly, the Department periodically verifies the accuracy of its data with internal audits. OPD is, however, at a critical

junction where any indicators of disparate treatment among populations groups must be addressed in order to determine whether there is a constitutionally valid basis for the disparity or there is a need for corrective intervention. Recognizing that this is easier said than done, we stand ready to assist the Department wherever possible. OPD is not in compliance with Task 34.3.1.

Task 34.3.2 requires that the data captured on the Stop Data Forms be entered completely and accurately into the database (compliance standard: 85%). As noted above, the entering of stop data into the Field Based Reporting system requires officers to make a selection in each form field. If an officer fails to fill in the information in any field, the system will not allow the form to be completed. Task 34.3.2 was created to govern the submission of data from the written forms to the computerized system. Since this type of data entry is no longer necessary, the Department is in compliance with Task 34.3.2.

OPD is in partial Phase 2 compliance with Task 34.

Compliance Status:

Phase 1: In compliance

Phase 2: Partial compliance

Next Steps:

During our next site visit and upcoming technical assistance visits, we will again meet with relevant Department personnel to discuss the Department's progress in this area. We will further discuss the Department's various Task 34-related data systems to assess their operability, accuracy, and utility in storage, and ease of access to stop data. We will continue to work with OPD on ways to verify the legal basis for stops, searches, and other related activities expeditiously. We will also discuss how conducting internal audits of its stop data forms can help the Department to identify any disparities in its treatment of citizens.

Task 35: Use of Force Reports - Witness Identification

Requirements:

1. *OPD shall require, by policy, that every use of force report, whether felonies were involved or not, include the names, telephone numbers, and addresses of witnesses to the incident, when such information is reasonably available to the members/employees on the scene.*
2. *In situations in which there are no known witnesses, the report shall specifically state this fact. Policy shall further require that in situations in which witnesses were present but circumstances prevented the author of the report from determining the identification or phone number or address of those witnesses, the*

3. *report shall state the reasons why the member/employee was unable to obtain that information. Reports shall also include the names of all other members/employees of OPD witnessing the use of force incident.*

(Negotiated Settlement Agreement VI. C.)

Discussion:

OPD published Special Order 8066, *Use of Force—Witness Identification* (April 12, 2004), which incorporates the requirements of Task 35. Additionally, OPD published Departmental General Order K-4, *Reporting and Investigating the Use of Force* (February 17, 2006), which also incorporates the requirements of Task 35. OPD revised DGO K-4 on August 1, 2007. The revised policy also incorporates the requirements of Task 35. As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

During all of the previous reporting periods, we found OPD in Phase 2 compliance with Task 35.

To assess Phase 2 compliance for Task 35 for this reporting period, we reviewed 17 use of force reports, including: four Level 2 and 13 Level 3 use of reports covering incidents that occurred between January 1, and March 31, 2014. (Per DGO K-4, Level 4 use of force reports do not require witness identification.)

We assessed Task 35.1 in conjunction with Task 35.2. **Task 35.1** requires that use of force reports include the name, telephone number, and addresses of witnesses to the incident when such information is reasonably available to the members/employees on the scene (compliance standard: 90%); and **Task 35.2** requires that when there are no known witnesses, the use of force reports specifically state this fact (compliance standard: 90%). All 17 reports that we reviewed comported with these requirements. OPD is in compliance with these subtasks.

Task 35.3 requires reports to document instances where witnesses are present but circumstances prevent the author of the report from gathering the data (compliance standard: 90%). During this reporting period no incidents fell into this category. OPD is in compliance with Task 35.3.

Task 35.4 requires that use of force reports include the names of all other OPD members/employees witnessing the incident (compliance standard: 90%). We found no instances when an OPD witness was not documented in the 17 reports we reviewed. OPD is in compliance with Task 35.4.

OPD is in Phase 2 compliance with Task 35.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 37: Internal Investigations-Retaliation Against Witnesses

Requirements:

OPD shall prohibit retaliation against any member or employee of the Department who:

1. *Reports misconduct by any other member or employee, or*
2. *Serves as a witness in any proceeding against a member or employee.*

The policy prohibiting retaliation shall acknowledge that retaliation may be informal and subtle, as well as blatant, and shall define retaliation as a violation for which dismissal is the presumptive disciplinary penalty. Supervisors, commanders and managers shall be held accountable for the conduct of their subordinates in this regard. If supervisors, commanders or managers of persons engaging in retaliation knew or reasonably should have known that the behavior was occurring, they shall be subject to the investigative, and if appropriate, the disciplinary process.

(Negotiated Settlement Agreement VI. E.)

Discussion:

We have found OPD in continued Phase 1 compliance with this Task. OPD published Special Order 8092 on November 23, 2003, which incorporated the requirements of Task 37. This policy consists of two Manual of Rules (MOR) Sections: 398.73, *Retaliation Against Witnesses*; and 398.74, *Retaliation Against Witnesses, Accountability*. These MOR provisions (revised in lieu of a City policy on retaliation) incorporate the requirements of Task 37. OPD has trained at least 95% of relevant personnel on these policies.

Following our review of retaliation cases in the fourteenth reporting period, we found OPD not in Phase 2 compliance with Task 37. In that report, we cited a case we regarded as involving serious retaliation after an officer provided information about another officer's beating of a handcuffed prisoner. We noted that the Department did not do enough to identify the perpetrator or protect the reporting officer when the retaliation came to light. In the last reporting period, we found that in all three cases alleging retaliation, OPD conducted thorough investigations; in all three cases, OPD concluded that the charges of retaliation were unfounded.

In addition, the Chief of Police personally provided training regarding retaliation to two Police Service Technician Academies, the four most recent recruit Academies, an Academy for lateral officers (those with experience working in other law enforcement agencies), and Continuing Professional Training (CPT) courses for both officers and sergeants during 2013 to discuss this topic in the context of remaining issues needed to satisfy compliance with the NSA. During the past year, he spoke to a total of 129 sergeants and 383 officers who attended CPT.

Task 37.1 requires that officers be held accountable for retaliating against employees or members who report misconduct or serve as witnesses in proceedings against other members/employees (compliance standard: 95%); and **Task 37.2** requires that supervisors, commanders, and managers be held accountable if they knew or reasonably should have known that persons under their supervision engaged in retaliation (compliance standard: 95%).

We identified two cases during the period of January 1, through March 31, 2014 that possibly contained allegations of retaliation. The first case involved a dispatcher who alleged that her supervisor was disrespectful when the supervisor denied her request for union representation during an interview; however, the dispatcher was not entitled to representation under these circumstances, and we did not consider this case for this Task. The second case involved an acting supervisor whose personal vehicle's tire was deflated, he asserted, because someone he supervised did not like him; we did not consider this case for this Task.

OPD is in Phase 2 compliance with Task 37.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 40: Personnel Assessment System (PAS) – Purpose

Requirements:

Within 635 days from the effective date of this Agreement, OPD shall enhance its existing complaint-tracking and select indicator systems so that it has a fully implemented, computerized relational database for maintaining, integrating and retrieving data necessary for supervision and management of OPD and its personnel. This data shall be used by OPD: to promote professional police practices; to manage the risk of police misconduct; and to evaluate and audit the performance of OPD members of all ranks, employees, and OPD units, subunits and shifts. PAS shall contain information on the following:

- 1. All uses of force required to be reported by OPD;*
- 2. OC spray canister check-out log (see Section V, paragraph D)*
- 3. All police-canine deployments; where the canine is deployed in a search for or to*

apprehend a suspect(s). It does not include, deployments for the purpose of locating bombs, narcotics, missing persons, etc., where the canine is not involved in an investigated use of force (i.e., deliberately or inadvertently bites or injures a person) If such force occurs, a Use of Force report is required.

4. *All officer-involved shootings and firearms discharges, both on duty and off duty, excluding an intentional discharge while at a range facility; a discharge while engaged in a lawful recreational activity, such as hunting or target practice; a discharge by Criminalistics Division personnel for the purpose of scientific examination; and a discharge at an object (e.g., street light, alarm box, door lock or vehicle tire) to accomplish a tactical police purpose that does not result in injury;*
5. *All on-duty vehicle pursuits and on-duty vehicle collisions;*
6. *All complaints, whether made to OPD or CPRB;*
7. *All civil suits and/or tort claims related to members' and employees' employment at OPD, or which contain allegations which rise to the level of a Manual of Rules violation;*
8. *Reports of a financial claim as described in Section VI, paragraph G (3).*
9. *All in-custody deaths and injuries;*
10. *The results of adjudications of all investigations related to items (1) through (9), above, and a record of investigative findings, including actual discipline imposed or non-disciplinary action administered;*
11. *Commendations and awards;*
12. *All criminal arrests of and charges against OPD members and employees;*
13. *All charges of resisting or obstructing a police officer (Penal Code §§69 and 148), assault on a police officer (Penal Code §243(b)(c), or assault-with-a-deadly-weapon on a police officer [Penal Code §245(c)(d)];*
14. *Assignment history and rank history for each member/employee;*
15. *Training history for each member/employee;*
16. *Line-of-duty injuries;*
17. *Sick leave usage, particularly one-day sick leaves;*
18. *Report Review Notices or Case Evaluation Reports for the reporting member/employee and the issuing investigator;*
19. *Criminal cases dropped due to concerns with member veracity, improper searches, false arrests, etc.; and*
20. *Other supervisory observations or concerns.*

(Negotiated Settlement Agreement VII. A.)

Discussion:

DGO D-17, Personnel Assessment Program, which incorporates the requirements of Tasks 40 and 41, was approved and signed off on by the Chief of Police on November 20, 2013. As noted previously, the policy alters the PAS review procedures to incorporate an initial internal review

by the PAS Unit when officers meet thresholds, and then engaging supervisors in developing and implementing risk reduction plans when appropriate. This procedure has been in place for the full quarter under review. The procedure is intended to reduce the number of false positive findings that have created substantial work for supervisors and, in some cases, required resubmission when the supervisory reviews were judged inadequate. One minor but important change has occurred in this process: sergeants are now sent the review reports for their views and additions prior to forwarding reviews up the chain of command. This maintains an appropriate and desirable role for first-line supervisors in the process.

In the previous nine reporting periods, we found OPD to be in partial Phase 2 compliance with Task 40 – following reporting periods of non-compliance that were related to data problems. The temporary solution to these problems had been to enter arrest data by hand as the Department moved forward with plans for the arrest data to be incorporated into the County’s data system. In our last report, we noted that the Department had begun implementing the process across all officers following a smaller pilot program.

The Department reports that automatic import of arrest data has been fully implemented during the current reporting period. Audits conducted by the Risk Management Unit show the data to be accurate. An audit process is in place to assure continued accuracy and to rectify any problems that might arise. Such problems would not be uncommon in a complex data entry system, and the audit process will continue to be important.

The development of a new risk management database has also continued to progress. The RFP was released. A single but highly qualified vendor responded and was selected. The City is in the process of negotiating the scope of work for the contract.

PAS records for the quarter of January 1, through March 31, 2014 indicate that data were entered for all of the fields required by Task 40 – including the arrest data. The required data for the quarter included reports of 579 uses of force. This is an increase of nearly 68% from the previous reporting period and reverses a downward trend begun over a year ago. The overall change is largely due to increases in Level 4 uses of force that reach their nadir last reporting period. The data for the current reporting period indicate that there were 3,743 arrests, a 19% increase from the prior report. The only unexpected finding in the data is the increase in pepper spray checkouts during the quarter. This is explained as related to the outfitting of the new class of OPD officers.

A further breakdown of the types of use of force shows that, for this reporting period, there were no Level 1 uses of force. There was one Level 2, 14 Level 3, and 564 Level 4 uses of force. The figures show declines in all levels of force except, as noted, for level 4. The changes should also be considered against the backdrop of increased arrests. The data counts for the current reporting period and the seven prior reporting periods is presented in the table below.

OPD Performance Activity Comparison by Quarter								
Performance Activity	April 1 to June 30, 2012	July 1 to September 30, 2012	October 1 to December 31, 2012	January 1 to March 31, 2013	April 1 to June 30, 2013	July 1 to Sept 30, 2013	Oct 1 to Dec 30, 2013	Jan 1 to March 31, 2014
Level 1 Uses of Force	3	1	0	1	3	3	0	0
Level 2 Uses of Force	14	5	7	3	10	4	8	1
Level 3 Uses of Force	31	29	15	26	26	12	24	14
Level 4 Uses of Force	962	741	612	509	483	412	314	564
Unintentional Firearms Discharge	0	0	0	0	0	0	0	0
Sick Leave Hours	11229.36	9634.3	9857.65	11286.53	11041.94	11390	10935	9724
Line of Duty Injuries	50	46	30	32	54	54	23	54
Narcotics Related Possessory Offenses Arrests	452	508	280	407	560	496	669	914
Vehicle Collisions	15	15	7	18	12	6	17	34
All Vehicle Pursuits	99	83	57	18	64	87	68	43
All Arrest	3649	3516	2943	2853	3697	2759	3156	3743
Arrests including PC 69, 148(a), 243(b)(c) & 245(c)(d)	72	58	31	34	36	28	27	27
Arrests only for PC 69, 148(a), 243(b)(c) & 245(c)(d)	24	8	7	9	4	5	2	1
Awards	99	121		76	55	65	124	102
Assignment History	9588	9720	9791	10361	10337	10257	10361	11156
Case Evaluation Reports	191	453	203	635	444	338	497	315
Report Review Notices--Positive	7	12	12	5	8	1	1	1
Report Review Notices--Negative	0	0	0	0	0	0	0	1
Canine Deployments	93	63	43	64	59	57	50	66
Financial Claims	0	0	0	0	0	0	0	0
Internal Affairs Complaints	375	465	277	186	295	140	136	150
In-Custody Injuries	39	24	13	21	13	2	31	4
Civil Suits (Tort Claims)	7	11	3	4	4	2	4	0
Criminal Cases Dropped	87	300	91	416	282	207	352	226
O.C. Checkouts	29	15	11	58	16	61	13	116
Officer Involved Shootings	3	2	1	2	3	1	0	1
Rank / Class History	2272	2338	2326	2391	2334	2357	7302	2519
Training History	11255	5182	2096	20108	19589	8557	13827	17239
Supervisory Notes	3139	3072	3117	3139	3304	2852	2957	3114
Arrest Made Against OPD	2	1	0	0	0	0	1	1

During this reporting period, the Department moved forward in areas relevant to compliance. The associated policy was in place, and the implementation of the new arrest data processes were functioning. The resolution of the arrest data problem is significant and sufficient to return the Department to Phase 2 compliance after nearly two years during which this PAS key data were not reliably collected and maintained.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 41: Use of Personnel Assessment System (PAS)

Requirements:

Within 375 days from the effective date of this Agreement, OPD shall develop a policy for use of the system, including supervision and audit of the performance of specific members, employees, supervisors, managers, and OPD units, as well as OPD as a whole. The policy shall include the following elements:

- 1. The Chief of Police shall designate a PAS Administration Unit. The PAS Administration Unit shall be responsible for administering the PAS policy and, no less frequently than quarterly, shall notify, in writing, the appropriate Deputy Chief/Director and the responsible commander/manager of an identified member/employee who meets the PAS criteria. PAS is to be electronically maintained by the City Information Technology Department.*
- 2. The Department shall retain all PAS data for at least five (5) years.*
- 3. The Monitor, Inspector General and Compliance Coordinator shall have full access to PAS to the extent necessary for the performance of their duties under this Agreement and consistent with Section XIII, paragraph K, and Section XIV of this Agreement.*
- 4. PAS, the PAS data, and reports are confidential and not public information.*
- 5. On a quarterly basis, commanders/managers shall review and analyze all relevant PAS information concerning personnel under their command, to detect any pattern or series of incidents which may indicate that a member/employee, supervisor, or group of members/employees under his/her supervision may be engaging in at-risk behavior. The policy shall define specific criteria for determining when a member/employee or group of members/employees may be engaging in at-risk behavior.*
- 6. Notwithstanding any other provisions of the PAS policy to be developed, the Department shall develop policy defining peer group comparison and methodology in consultation with Plaintiffs' Counsel and the IMT. The policy shall include, at a minimum, a requirement that any member/employee who is identified using a peer group comparison methodology for complaints received during a 30-month period, or any member who is identified using a peer group comparison methodology for Penal Code §§69, 148 and 243(b)(c) arrests within a 30-month period, shall be identified as a subject for PAS intervention review. For the purposes of these two criteria, a single incident shall be counted as "one" even if there are multiple complaints arising from the incident or combined with*

an arrest for Penal Code §§69, 148 or 243(b)(c).

7. *When review and analysis of the PAS threshold report data indicate that a member/employee may be engaging in at-risk behavior, the member/employee's immediate supervisor shall conduct a more intensive review of the member/employee's performance and personnel history and prepare a PAS Activity Review and Report. Members/employees recommended for intervention shall be required to attend a documented, non-disciplinary PAS intervention meeting with their designated commander/manager and supervisor. The purpose of this meeting shall be to review the member/employee's performance and discuss the issues and recommended intervention strategies. The member/employee shall be dismissed from the meeting, and the designated commander/manager and the member/employee's immediate supervisor shall remain and discuss the situation and the member/employee's response. The primary responsibility for any intervention strategies shall be placed upon the supervisor. Intervention strategies may include additional training, reassignment, additional supervision, coaching or personal counseling. The performance of members/ employees subject to PAS review shall be monitored by their designated commander/manager for the specified period of time following the initial meeting, unless released early or extended (as outlined in Section VII, paragraph B (8)).*
8. *Members/employees who meet the PAS threshold specified in Section VII, paragraph B (6) shall be subject to one of the following options: no action, supervisory monitoring, or PAS intervention. Each of these options shall be approved by the chain-of-command, up to the Deputy Chief/Director and/or the PAS Activity Review Panel.*

Members/employees recommended for supervisory monitoring shall be monitored for a minimum of three (3) months and include two (2) documented, mandatory follow-up meetings with the member/employee's immediate supervisor. The first at the end of one (1) month and the second at the end of three (3) months.

Members/employees recommended for PAS intervention shall be monitored for a minimum of 12 months and include two (2) documented, mandatory follow-up meetings with the member/employee's immediate supervisor and designated commander/manager: The first at three (3) months and the second at one (1) year. Member/employees subject to PAS intervention for minor, easily correctable performance deficiencies may be dismissed from the jurisdiction of PAS upon the written approval of the member/employee's responsible Deputy Chief, following a recommendation in writing from the member/employee's immediate supervisor. This may occur at the three (3)-month follow-up meeting or at any time thereafter, as justified by reviews of the member/employee's performance. When a member/employee is not discharged from PAS jurisdiction at the one (1)-year follow-up meeting, PAS jurisdiction shall be extended, in writing, for a specific period in three (3)-month increments at the discretion of the member/employee's responsible Deputy Chief. When PAS jurisdiction is extended beyond the minimum one (1)-year review period, additional review meetings

involving the member/employee, the member/ employee's designated commander/manager and immediate supervisor, shall take place no less frequently than every three (3) months.

9. *On a quarterly basis, Division/appropriate Area Commanders and managers shall review and analyze relevant data in PAS about subordinate commanders and/or managers and supervisors regarding their ability to adhere to policy and address at-risk behavior. All Division/appropriate Area Commanders and managers shall conduct quarterly meetings with their supervisory staff for the purpose of assessing and sharing information about the state of the unit and identifying potential or actual performance problems within the unit. These meetings shall be scheduled to follow-up on supervisors' assessments of their subordinates' for PAS intervention. These meetings shall consider all relevant PAS data, potential patterns of at-risk behavior, and recommended intervention strategies since the last meeting. Also considered shall be patterns involving use of force, sick leave, line-of-duty injuries, narcotics-related possessory offenses, and vehicle collisions that are out of the norm among either personnel in the unit or among the unit's subunits. Division/appropriate Area Commanders and managers shall ensure that minutes of the meetings are taken and retained for a period of five (5) years. Commanders/managers shall take appropriate action on identified patterns of at-risk behavior and/or misconduct.*
10. *Division/appropriate Area Commanders and managers shall meet at least annually with his/her Deputy Chief/Director and the IAD Commander to discuss the state of their commands and any exceptional performance, potential or actual performance problems or other potential patterns of at-risk behavior within the unit. Division/appropriate Area Commanders and managers shall be responsible for developing and documenting plans to ensure the managerial and supervisory accountability of their units, and for addressing any real or potential problems that may be apparent.*
11. *PAS information shall be taken into account for a commendation or award recommendation; promotion, transfer, and special assignment, and in connection with annual performance appraisals. For this specific purpose, the only disciplinary information from PAS that shall be considered are sustained and not sustained complaints completed within the time limits imposed by Government Code Section 3304.*
12. *Intervention strategies implemented as a result of a PAS Activity Review and Report shall be documented in a timely manner.*
13. *Relevant and appropriate PAS information shall be taken into account in connection with determinations of appropriate discipline for sustained misconduct allegations. For this specific purpose, the only disciplinary information from PAS that shall be considered are sustained and not sustained complaints completed within the time limits imposed by Government Code Section 3304.*
14. *The member/employee's designated commander/manager shall schedule a PAS Activity Review meeting to be held no later than 20 days following notification to*

the Deputy Chief/Director that the member/employee has met a PAS threshold and when intervention is recommended.

15. *The PAS policy to be developed shall include a provision that a member/employee making unsatisfactory progress during PAS intervention may be transferred and/or loaned to another supervisor, another assignment or another Division, at the discretion of the Bureau Chief/Director if the transfer is within his/her Bureau. Inter-Bureau transfers shall be approved by the Chief of Police. If a member/employee is transferred because of unsatisfactory progress, that transfer shall be to a position with little or no public contact when there is a nexus between the at-risk behavior and the "no public contact" restriction. Sustained complaints from incidents subsequent to a member/employee's referral to PAS shall continue to result in corrective measures; however, such corrective measures shall not necessarily result in a member/employee's exclusion from, or continued inclusion in, PAS. The member/employee's exclusion or continued inclusion in PAS shall be at the discretion of the Chief of Police or his/her designee and shall be documented.*
16. *In parallel with the PAS program described above, the Department may wish to continue the Early Intervention Review Panel.*
17. *On a semi-annual basis, beginning within 90 days from the effective date of this Agreement, the Chief of Police, the PAS Activity Review Panel, PAS Oversight Committee, and the IAD Commander shall meet with the Monitor to review the operation and progress of the PAS. At these meetings, OPD administrators shall summarize, for the Monitor, the number of members/employees who have been identified for review, pursuant to the PAS policy, and the number of members/employees who have been identified for PAS intervention. The Department administrators shall also provide data summarizing the various intervention strategies that have been utilized as a result of all PAS Activity Review and Reports. The major objectives of each of these semi-annual meetings shall be consideration of whether the PAS policy is adequate with regard to detecting patterns of misconduct or poor performance issues as expeditiously as possible and if PAS reviews are achieving their goals.*
18. *Nothing in this Agreement, and more specifically, no provision of PAS, shall be construed as waiving, abrogating or in any way modifying the Department's rights with regard to discipline of its members/employees. The Department may choose, at its discretion, to initiate the administrative discipline process, to initiate PAS review or to use both processes concurrently or consecutively.*

(Negotiated Settlement Agreement VII. B.)

Discussion:

OPD revised Departmental General Order D-17, *Personnel Assessment Program*, on November 20, 2013. Based on the policy, we again find OPD in continued Phase 1 compliance with this Task.

This requirement addresses the effectiveness of the use of PAS to manage risk in the Department. Much of the discussion below addresses the Department's process of identifying and assessing individual officers based on risk-related behavior – and intervening as appropriate. The system also supports a broader approach to managing risk in which the Department continuously assesses activity and seeks to incorporate those assessments more broadly. The Department is continuing to hold monthly Risk Management Meetings at which police district data are reviewed with command and district staff. Our observations of these meetings and discussions with key participants support the view of this process as contributing to the management of risk within the Department.

For this reporting period, we continued our examination of the stages of the PAS process consistent with this Task. We examined the threshold analyses that were performed for the period of January 1, through March 31, 2014. This included a review of peer-based threshold analyses completed by the PAS Administration Unit and the identification of officers meeting the single-event threshold.

In accordance with this Task requirement, we reviewed PAS processes for the system's use in placement of officers on special assignment, transfer of officers, and commendations. An important function of PAS is to regularly provide supervisors with relevant information on officers. To consider that function, we again reviewed reports of regular quarterly PAS command reviews of officers by supervisors. We again found appropriate use of the system and no significant issues.

The PAS process also calls for follow-up reports of officers under supervision or monitoring, as well as reports of officers not discharged from the process by the end of one year. We again reviewed reports that were completed during the current reporting period. These document supervisory reviews of officers who have been selected for some form of action as a result of PAS reviews.

For the reporting period ending March 31, 2014, OPD concluded a total of 10 PAS reviews. There were 11 in the previous quarter. The numbers of reviews have fallen in the transition to the process involving initial internal reviews by PAS staff. This is what explains that fact that no reviews were completed in February. The procedural change was an effort to reduce the number of false positive findings where reviews revealed no significant problems. Reviews are included in the table below only after they are signed off through the level of the PAS Review Panel. Examination of the reviews shows them to be thorough. The new system of internal PAS Unit reviews has thus far resulted in high quality and complete documentation. The table also shows that 30 officers exceeded thresholds for review during this reporting period, and that a relatively large number of reviews (26) were listed as pending at the end of the quarter.

The table below tracks the review process and shows that supervisors recommended that no action be taken in six, or 60% of the 10 reviews for the current reporting period. That is down from 90% the previous quarter. The table also shows that commanders and the Deputy Chief

disagreed with four lower-level recommendations and supported monitoring or supervisions. The PAS Review Panel reversed one case by requiring monitoring.

The overall situation regarding level of reviews and related action continues as it was described last quarter. The new policy on internal initial reviews within the PAS, and extensive work being done with regard to the development and implementation of the new risk management database, may contribute of the outcomes showing low levels of monitoring and intervention for the quarter. We will continue to scrutinize the process to assure that appropriate standards are maintained.

The value of the data in the chart below is in tracking data over time, and using it to increase the rigors of the review process as it serves the goal of risk reduction.

Summary of PAS Reviews and Recommendations 2012-13																	
	PAS Reviews Complete	Supervisor Rec- no				Supervisor Rec- Monitoring		Supervisor Rec- Intervention		Commander rec Concurs w Supervisor		Dep. Chief Concurs w Commander		PAS Panel Concurs w DC		Pending	Number of personnel that exceeded a threshold
		action	%	Recognition	%		%		%		%		%		%		
2012																	
April	25	17	68%	0	0%	5	20%	3	12%	25	100%	25	100%	25	100%	22	41
May	27	17	63%	0	0%	2	7%	0	0%	26	96%	25	92%	27	100%	14	58
June	43	41	95%	0	0%	2	5%	0	0%	41	95%	42	98%	43	100%	15	17
July	66	61	92%	1	5%	3	5%	2	30%	65	98%	65	98%	64	97%	0	18
August	32	29	90%	1	0%	2	6%	0	0%	27	84%	26	81%	27	84%	8	35
September	15	10	67%	1	0.1	3	20%	1	7%	15	100%	11	73%	13	87%	1	16
October	12	10	83%	0	0%	2	17%	0	0%	11	92%	11	92%	12	100%	0	26
November	16	11	69%	1	1%	2	13%	3	19%	15	94%	10	63%	12	75%	0	47
December	22	16	73%	0	0%	6	27%	0	0%	21	95%	19	86%	22	100%	0	14
Total	258	212		4		27		9		246		234		245		60	272
Average	28.7	23.6	78%	0.4	1%	3.0	0	1.0	8%	27.3	95%	26.0	87%	27.2	94%	6.7	30.2
2013																	
January	27	19	70%	1	4%	7	26%	0	0%	27	100%	27	100%	24	89%	5	14
February	13	13	100%	0	0%	0	0%	0	0%	9	69%	8	62%	10	77%	5	7
March	10	10	100%	0	0%	1	10%	0	0%	10	100%	10	100%	6	60%	6	11
April	10	10	100%	0	0%	0	0%	0	0%	10	100%	10	100%	9	90%	2	4
May	14	8	57%	2	14%	2	14%	2	14%	14	100%	13	93%	12	86%	8	18
June	11	10	91%	0	0%	1	9%	0	0%	11	100%	10	91%	8	73%	1	4
July	4	2	50%	0	0%	1	25%	1	25%	4	100%	4	100%	4	100%	2	12
August	9	6	67%	0	0%	3	33%	0	0%	7	78%	8	89%	7	78%	1	12
September	8	7	88%	0	0%	0	0%	1	13%	8	100%	8	100%	7	88%	0	0
October	2	2	100%	0	0%	0	0%	0	0%	2	100%	2	100%	2	100%	0	0
November	2	2	100%	0	0%	0	0%	0	0%	2	100%	2	100%	1	50%	5	11
December	7	6	86%	0	0%	1	14%	0	0%	7	100%	7	100%	7	100%	4	15
Total	117	94		3	1%	16		4		111		109		97		39	108
Average	9.8	7.8	83%	0.3	1%	1.3	11%	0.3	4%	9.3	96%	9.1	95%	8.1	82%	3.3	9.0
2014																	
January	3	2	67%	0	0%	1	33%	0	0%	3	100%	3	100%	2	67%	5	18
February	0	0		0		0		0		0		0		0		13	1
March	7	4	57%	0	0%	2	29%	1	14%	7	100%	7	100%	7	100%	8	11
Total	10	6	60%	0	0%	3	33%	1	10%	10	100%	10	100%	9	90%	26	30
Running Average	3.3	2.0	62%	0.0	0%	1.3	31%	0.3	7%	3.3	100%	3.3	100%	3.0	83%	9.0	10.0

For our quarterly reports, we also review the PAS histories of officers who had a Level 1 use of force. For this reporting period, as was true in the last reporting period, no officers fell into these categories.

During our most recent site visit, we attended the Semi-Annual PAS review of the operation and progress of PAS. The meeting included an extensive presentation of data and detailed discussion of the status of the risk management system. The discussion revealed that approximately 30 officers are on monitoring or supervision at any time; OPD is considering whether this number is reasonable given the size of the Department. The Department has also expressed interest in considering the problem of IPAS repeaters, officers who continue to meet thresholds either on or

after monitoring or supervision. The PAS Unit will identify the extent and nature of this problem over the coming reporting period; we will discuss this further in our next quarterly report.

The development work on IPAS2 is continuing, with the consulting firm managing the process in an efficient and effective manner. The system vendor has indicated that a 10-month turnaround time on the project should be expected, beginning after the scope of work is agreed upon. Defining the scope of work is a very important step in the process and there is some concern that the vendor's expectations of the client required effort may turn out not to be consistent with the client's expectation as presented in the original RFP. Given the importance of this project, we will consider this in our continued review of progress on the new system.

During this reporting period, significant progress was made across key risk management-related areas. But as previously noted, the outcome of all of this effort is, as yet, unclear. We remain concerned that the large number of issues may distract from the day-to-day work of risk management. The data on identification and intervention are unclear given the small number of cases but we again see the potential for problems suggested by the low levels of monitoring and intervention for the quarter's cases. This is an issue we will continue to consider closely in our next review. We look forward to further consideration of these concerns in our next review of both the technical and applied dimensions of the risk management process.

Compliance Status:

Phase 1: In compliance

Phase 2: Partial compliance

Next Steps:

For the next reporting period, we again anticipate that there will be significant further developments regarding risk management. Progress should continue on the development of IPAS2. We will consider all of these matters in the next reporting period. We will also be particularly interested to examine the PAS review process, paying attention to the number and outcomes of reviews and the issue of PAS repeaters as noted above. Our chief focus will remain on the effective use of the risk management system during the quarter.

Task 42: Field Training Program

Requirements:

Within 323 days of the effective date of this Agreement, OPD shall develop and implement a plan to enhance its Field Training Program. This plan shall address the criteria and method for selecting FTOs, the training provided to FTOs to perform their duty, supervision and evaluation of FTOs, the length of time that trainee officers spend in the program, and the methods by which FTOs assess and evaluate trainee officers in field training. The plan must ensure proper reporting, review and approval of probationary officers' reports.

Field Training Program Coordinator

The Chief of Police shall assign a full-time sergeant for the first year who shall develop and implement the new policies and procedures described in this section. The Chief of Police shall determine, upon successful completion of the development and implementation of these policies, if it is necessary to continue the position at the rank of sergeant, but in any event, the position shall continue as a full-time position.

Trainee Rotation

During their field training, trainee officers shall rotate to a new FTO and a new geographic area of the City at predetermined intervals. Prior to rotation, trainee officers shall be interviewed by the Field Training Program Coordinator or his/her designee and given an opportunity to raise any questions or concerns they may have about the quality of training provided to them.

FTO Participation Incentives

OPD shall increase the incentives for participation in the FTO program so that the Department will have a larger pool of qualified, experienced candidates from which to choose.

FTO Candidate Nomination and Requirements

FTO candidates shall be nominated by field supervisors and commanders, but shall be approved for assignments to this duty, and for retention in it, by the Chief of Police. All FTO candidates must have completed three (3) years of Departmental service before selection, unless specifically authorized by the Chief of Police. FTO candidates shall be required to demonstrate their commitment to community policing, and their problem-solving and leadership abilities. Ethics, professionalism, relationships with the community, quality of citizen contacts and commitment to OPD philosophy shall be primary criteria in the selection of FTOs. Excessive numbers of sustained and not sustained complaints completed within the time limits imposed by Government Code Section 3304, or excessive numbers of use of force incidents shall bar a candidate from selection as an FTO for no less than two (2) years.

Decertification

The presumptive result of sustained disciplinary action, completed within the time limits imposed

by Government Code Section 3304, against an FTO or the FTO Program Coordinator for excessive force, unlawful arrest, false testimony, racial, ethnic, sexual-orientation or gender-based discrimination or slurs, or other serious examples of police misconduct, shall be removal from the FTO program. The Deputy Chief of the member's chain of command may recommend to the Chief of Police to grant an exception to this presumption after conducting a hearing on the facts of the matter. The Chief of Police shall document the approval/disapproval in writing.

FTO Assignment

Assignment to an FTO position shall be contingent upon successful completion of a training course designed for this position and shall be approved by OPD and the State of California Peace Officers' Standards and Training.

FTO Evaluation

At the end of a complete FTO cycle, trainee officers leaving the FTO program shall anonymously evaluate each of their FTOs. OPD shall develop a form for such evaluations which emphasize effectiveness at training and effectiveness at supervision. The evaluation form shall also assess the degree to which the FTO program reflected policies, procedures, values and other information taught in the recruit academy. The FTO evaluation forms shall be reviewed by the Field Training Program Coordinator and the individual FTO's commander and supervisor. The Field Training Program Coordinator shall provide evaluation information to the FTOs as a group, concerning program effectiveness. Each FTO shall also be provided with evaluation information regarding their individual performance. The individual evaluation forms shall not be made available to individual FTOs in the interest of maintaining anonymity of trainee officers who have completed the forms.

Daily Evaluation Audit

The Field Training Program Coordinator, or his/her designee, shall conduct random audits of the FTO program to ensure that FTOs complete daily evaluations of trainee officers and that the selection standards for FTOs are maintained.

Trainee Officer Assignment

When a trainee officer's FTO is absent, the trainee officer shall not be assigned to field duties with an "acting" FTO. They shall be placed with another certified FTO, or shall be assigned to non-field duties, pending the availability of a certified FTO.

Field Commander and FTO Supervisor Training

OPD shall provide field commanders and supervisors with training on the FTO program, including the field-training curriculum, the role of the FTO, supervision of FTOs and probationary employees, the evaluation process and the individual duties and responsibilities within the FTO program.

Focus Groups

The Field Training Program Coordinator and Academy staff shall conduct focus groups with randomly selected trainee officers midway through the field-training cycle, upon completion of field training, and six (6) months after completion of the field training program, to determine the extent to which the Academy instructors and curriculum prepared the new officers for their duties.

Consistency of Training

The results of these focus group sessions shall be reviewed at a meeting to include the Training Division Commander, the FTO Program Coordinator, the BFO Deputy Chief, and the BOS Deputy Chief. If it is determined that there is a substantial discrepancy between what is taught in the Academy and what is taught in the FTO program, there shall be a determination as to which is correct, and either the training Academy or the FTO program shall make the necessary changes so that the desired training information is consistent. In the event that the discrepancies appear to be the result of one or more individual FTOs, rather than the FTO program as a whole, the review group shall determine whether the discrepancies are serious enough to warrant removal of that officer or officers from the FTO program. The results of the meeting of this review group shall be documented and this information shall be provided to the Monitor. (Negotiated Settlement Agreement VIII. A.-L.)

Discussion:

OPD published Departmental General Order B-8, *Field Training Program*, which incorporates the requirements of Task 42, on March 2, 2009. As the Department has trained at least 95% of relevant personnel on this policy, we find OPD in continued Phase 1 compliance with this Task.

OPD has been in Phase 2 compliance with this Task for the last five reporting periods.

During our most recent review, we interviewed the sergeant who serves as Field Training Coordinator and the two senior FTOs who assist him and reviewed related memoranda, evaluation forms, and other documentation. During our previous site visit, the former FTO Coordinator had been transferred to a new assignment but loaned back to the FTO Unit to ensure that the new coordinator has the full advantage of his knowledge about the program. At the time of this review the former FTO Coordinator had completed his assignment in support of the FTO Program and was working in patrol.

In our last review we noted that 36 trainees from Basic Class 167 were in the field during the fourth quarter of 2013 assigned to FTO officers. These trainees had begun their FTO Program assignments in September and in January 2014, 33 successfully completed the FTO Program and moved to full assignment as police officers. Three members of Class 167 were terminated or resigned. Four additional probationary officers from a Transitional Course successfully completed the FTO Program in February 2014. Additional classes will graduate and enter the FTO Program in the next reporting period.

As of our last site visit, there were 61 FTOs – 10 of whom were unavailable for assignment as FTOs due to their current work assignment. Twenty-three officers were being processed to serve as FTOs. The processing of 20 FTOs was completed in March 2014. At present, OPD has 74 approved FTOs, 70 of whom are available for FTO assignment.

Task 42.1 requires that the Field Training Program Coordinator is a full-time position (compliance standard: Yes/No). A full-time sergeant is currently assigned to supervise the program. There are two police officers assigned to assist the FTO Coordinator. OPD is in compliance with this subtask.

Task 42.2.1 requires that trainee officers rotate to a new Field Training Officer (FTO) and a new geographic area of the City at predetermined intervals (compliance standard: 90%). Trainees are rotated every four weeks to a new assignment and new FTO. While the FTO Program Coordinator reports that he finds it difficult to assign trainees to different sections of the City, when the recent rotations occurred, he was able to accomplish the required rotation.

Task 42.3.1 requires that incentives for participation as an FTO be increased (compliance standard: Yes/No). Officers who serve as FTOs are paid incentive pay for their service. In addition, the program includes several incentives (e.g., chevrons, administrative days, and priority for selection as training) as incentives for participation. No changes to the incentives for participation in the FTO Program have occurred during the current reporting period. OPD is in compliance with this subtask.

Task 42.4.1 requires that field supervisors and commanders nominate FTO candidates (compliance standard: 90%), and the Chief of Police determines FTO assignments and retention (compliance standard: Yes/No); **Task 42.4.2** requires that FTO candidates complete three years of service before selection, unless authorized by the Chief of Police (compliance standard: Yes/No); **Task 42.4.3** requires that FTO candidates are required to demonstrate commitment to community policing and problem solving and leadership abilities (compliance standard: 95%); **Task 42.4.4** requires that ethics, professionalism, relationships with the community, quality of citizen contacts and commitment to OPD philosophy are primary criteria in the selection of FTOs (compliance standard: 95%); and **Task 42.4.5** requires that candidates with excessive numbers of citizen complaints, sustained investigations or excessive numbers of use of force incidents are barred from selection as an FTO for no less than two years (compliance standard: 95%). Supervisors and commanders recommend candidates, who must have work and performance records as required by this section. FTOs are screened for commitment to community policing and candidates with excessive numbers of complaints and/or sustained instances of uses of force are not selected. The selection of all FTOs to be certified (newly selected FTOs) and those to be recertified (FTO previously selected and decertified when new officers were not being hired) followed the requirements outlined in the NSA. As noted above, the screening of the 20 new candidates was completed. OPD is in compliance with these subtasks.

Task 42.5 requires that FTOs be decertified following sustained disciplinary action for serious misconduct specified (compliance standard: Yes/No). During the current reporting period, no officers were decertified for sustained Class 1 violation. Four officers were decertified; three of whom were promoted to sergeant and one who was transferred to a helicopter unit. The FTO Program Coordinator reviews IAD sustained findings on a monthly basis. OPD is in compliance with this subtask.

Task 42.6 requires that assignment to a FTO position is contingent upon successful completion of a training course for the position (compliance standard: Yes/No). FTOs are not assigned until they have successfully completed program training. OPD is in compliance with this subtask.

Task 42.7.1 requires that at the end of a complete FTO cycle, trainee officers anonymously evaluate each of their FTOs (compliance standard: 95%); **Task 42.7.2** requires that FTO evaluation forms are reviewed by the Program Coordinator and the FTO's commander and supervisor (compliance standard: 95%); **Task 42.7.3** requires that the Field Training Program Coordinator provides evaluation information to the FTOs as a group, concerning program effectiveness (compliance standard: Yes/No); **Task 42.7.4** requires that each FTO is provided with evaluation information regarding his/her individual performance (compliance standard: Yes/No); and **Task 42.7.5** requires that individual evaluation forms are not made available to individual FTOs in the interest of maintaining anonymity of trainee officers who have completed the forms (compliance standard: Yes/No). Trainees are evaluated by their FTOs on a daily basis beginning with their second week of field assignment. The patrol sergeant prepares a weekly progress report; and at the end of each four-week cycle, the FTO prepares an end-of-phase report. Trainee officers anonymously evaluate their FTOs at the end of each phase. Trainees are provided evaluations of their performance throughout the program. FTOs do not receive individual evaluation forms but do receive feedback regarding their performance. The evaluation forms are reviewed by the FTP Coordinator, commander, and supervisor; and filed in the FTO Coordinator's office. OPD is in compliance with these subtasks.

Task 42.8 requires that the Field Training Program Coordinator, or his/her designee, conduct random audits of the FTO program to ensure that FTOs complete daily evaluations of trainee officers (compliance standard: Yes/No). FTOs complete a daily evaluation of the trainees; and the FTO Program Coordinator receives, reviews, audits, and files all evaluation forms. OPD is in compliance with this subtask.

Task 42.9 requires that when a trainee officer's FTO is absent, the trainee officer is not assigned to field duties with an "acting" FTO, but is placed with another certified FTO, or assigned to non-field duties, pending the availability of a certified FTO (compliance standard: 95%). If a trainee's FTO is unavailable, the trainee is assigned to another FTO. If no FTO is available, the trainee is assigned to a sergeant or non-patrol assignment. In the past there have been situations in which the FTO Coordinator discovered that a trainee officer had been assigned for a brief period to work with an officer who had not been approved as an FTO by the Chief of Police.

The FTO Coordinator moved quickly to ensure that the trainee was reassigned to an approved FTO and that the supervisors and commanders were aware of the requirement that trainees can only work with Department-certified FTOs. No such incident occurred during the first quarter of 2014 or in the third or fourth quarters of 2013. OPD is in compliance with this subtask.

Task 42.10 requires that Field Commanders and FTO Supervisors be provided training (compliance standard: 95%). All sergeants and commanders to whom FTOs would be assigned were trained by the program in both group and individual sessions before they were assigned FTO duties. OPD is in compliance with this subtask.

Task 42.11 requires that focus groups are conducted by the Field Training Program Coordinator and Academy staff with randomly selected trainee officers midway through the field-training cycle, upon completion of field training, and six months after completion of the field training program (compliance standard: Yes/No). The coordinator conducts focus groups with randomly selected trainees, as required by the NSA. The focus group is designed to elicit issues encountered in the program and ensure that inconsistencies in training are identified and rectified. During the current reporting period, the FTO Unit conducted the third focus group for the trainees in the 166th Academy and the second focus group session for the 167th Academy. OPD is in compliance with this subtask.

Task 42.12 requires that the results of the focus group sessions be reviewed at a meeting to include the Training Section Commander, the FTO Program Coordinator, the BFO Deputy Chief, and the BOS Deputy Chief (compliance standard: Yes/No). The required meeting for the two focus groups during the first quarter was held on March 14, 2014, and attended by the required persons. The results were documented in a memorandum for the Chief of Police.

The FTO Program Coordinator explores the consistency of field training with that of the Academy at several points during the program. He interviews every trainee every four weeks before they are rotated to new assignments and new FTOs. He also participates in biweekly meetings with the Training Commander in which the FTO training is discussed to identify training issues. At the end of the FTO training cycle, a final evaluation report of the trainee's performance is prepared; and trainees rate the FTOs and the program. To ensure that training and the FTO Program are consistent, biweekly meetings attended by the Training Commander, the FTO Coordinator, and his lieutenant are held. A final focus group was held on January 14, 2014, for the 166th Academy. The information generated in that focus group was documented in a memorandum for the Chief of Police and was considered at the March 2014 quarterly panel review.

As we observed in our last six reports, OPD has fulfilled the requirements of Task 42. Increasing the number of approved and trained FTOs who are available to work alongside a larger number of trainees is important to the continued success of the program.

OPD is in Phase 2 compliance with Task 42.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 43: Academy and In-Service Training

Requirements:

A. Academy Training Plan

Within 540 days of the effective date of this Agreement, OPD shall develop and implement a plan to enhance its Academy and in-service training to ensure that OPD members, dispatchers, and civilian evidence technicians are adequately trained for their positions, and aware of and able to implement the most contemporary developments in police training. This plan shall include a review of OPD's training curriculum, with additional emphasis on ethics and professionalism, critical thinking and problem solving, conflict resolution, and relationships with the community. The plan shall also address the criteria and method for selecting OPD training instructors, the training provided to instructors, procedures for evaluating the content and quality of training provided to OPD personnel and procedures for maintaining training records for OPD personnel. In arriving at the plan regarding staffing, training content and methodology, OPD shall consult with at least four (4) other, large law-enforcement agencies within the United States which have excellent reputations for professionalism. In particular, OPD shall consult with these agencies about qualifications and other criteria to be used in selecting staff for training positions. OPD shall also review the approach of these other law enforcement agencies in training both new staff and experienced staff on ethics and professionalism, critical thinking and problem solving, conflict resolution, and relationships with the community.

B. Professionalism and Ethics

OPD shall expand professionalism and ethics as a training topic within the recruit academy, in-service training, and field training. Wherever possible, OPD shall include and address issues of professionalism and ethics using curricula that employ realistic scenario-based training exercises.

C. Supervisory and Command Training

OPD shall provide all sergeants and commanders with mandatory 40-hour in-service supervisory and leadership training. Officers shall attend training prior to promotion to the rank of sergeant. Lieutenants shall attend training within six (6) months of promotion. Such training shall include supervisory and command accountability, and ethics and professionalism, with emphasis on supervisory and management functions and situations, and shall include both scenario-based training and case studies.

D. In-Service Training

OPD shall provide all members with forty (40) hours of in-service training every eighteen (18) months.

- 1. Sergeants shall receive at least 20 hours of training designed for supervisors every 18 months.*
- 2. Members at the rank of lieutenant and above shall receive at least 20 hours of training designed for commanders every 18 months.*

E. Training Staff Record Review

Appointment to the Academy staff or other staff training position shall also require a review of the record of the individual being considered, to ensure that the individual does not have a record of any Class I offense, as defined in Section III, paragraph H (1), within the prior two (2) years, and that the individual is supportive of the philosophy and values of OPD.¹⁵

(Negotiated Settlement Agreement IX. A.-E.)

Discussion:

OPD published General Order B-20, *Departmental Training Program* (April 6, 2005), which incorporates the requirements of Task 43. As the Department has trained at least 95% of relevant personnel on this policy, OPD is in continued Phase 1 compliance with this Task.

Only one provision of Task 43 (43.1.1) is being actively monitored under the MOU. This subtask requires OPD to ensure that OPD members, dispatchers, and civilian evidence technicians are adequately trained for their positions. During the last reporting period, we found that 100% of the members and employees in our random sample received the required in-service training. We expressed concern, however, for the training of the Police Evidence Technicians, and noted that OPD had recently taken steps to develop a plan to ensure its PETs receive ongoing job training, including enrolling PETs in POST-certified courses on crime scene investigation and evidence recovery, and DNA evidence; developing a PET field training program manual; and exploring the possibility of offering training by Crime Lab personnel.

Task 43.1.1 requires that OPD's training plan ensure that OPD members, dispatchers, and civilian evidence technicians are adequately trained for their positions (compliance standard: Yes/No). For this reporting period, inasmuch as OPD has been in compliance since our first report (dated April 22, 2010) with providing adequate training to its members and dispatchers for over two years, we reduced the numbers of records we sampled to 30. Our sample included 22 officers, two lieutenants, three sergeants, and three dispatchers to determine if the members and employees received adequate training for their positions. PETs were reviewed separately and will be discussed below.

¹⁵The underlined requirement is the only provision of Task 43 that is being actively monitored under the MOU.

The Department produced a record for each member and employee in our sample. For each, we reviewed the training s/he received during previous years, and calculated the number of hours recorded in his/her record. For the sworn officers in our sample, we credited the California Peace Officer Standards and Training (POST)-certified Continued Professional Training (CPT) as counting toward the requirement. CPT is, according to California state requirements, to be delivered to every officer every two years; OPD uses an 18-month cycle.

Overall, all 30 (100%) of the 30 members and dispatchers in our sample who were available to train received appropriate training to their jobs.

Training of PETs

Training of Police Evidence Technicians (PETs) is the responsibility of the BFO where PETs are assigned. The new PET Coordinator was appointed in January 2013. During our last review, we found several continuing deficiencies in PET training. The PETs are assigned to the BFO, and the PET Coordinator is a police officer. In our last report, we observed that the first and most obvious deficiency was the absence of an initial training program.

In this review we found that the Department recently recruited four new PETs and is conducting a background investigation to hire another. We reviewed the training records for each of the 16 then current PETs, and found all (100%) had received adequate training. Particularly significant was the fact that four PETs had received 16 hours of training in evidence collection and recognition during the first month they were on the job. In addition, the PET Coordinator has arranged for evidence technicians to attend a three-day (24-hour) course in DNA Evidence and a one-week course in crime scene evidence. Some of the PETs have been placed in a Police Service Technician three-week course on general police topics such as photography, courtroom procedures and so forth.

While the Department has made excellent progress in training for its PETs it hasn't yet developed a documented plan for their training. OPD is encouraged to develop and document a training plan for its PETs that addresses their initial training and continuing professional training through the years of their employment.

The following chart reflects the results of our surveys of training received by members, dispatchers and PETs.

	Records Reviewed	Adequate Training Received	%
Officers	21	21	100%
Sergeants	3	3	100%
Lieutenants	2	2	100%
Dispatchers	3	2	66%
Evidence Technicians	16	16	100%
Total	445	44	98%

OPD is in Phase 2 compliance with Task 43.1.1.

Compliance Status:

Phase 1: In compliance

Phase 2: In compliance

Task 45: Consistency of Discipline Policy

Requirements:

On or before October 6, 2003, OPD shall revise and update its disciplinary policy to ensure that discipline is imposed in a fair and consistent manner.

1. *The policy shall describe the circumstances in which disciplinary action is appropriate and those in which Division-level corrective action is appropriate.*
2. *The policy shall establish a centralized system for documenting and tracking all forms of discipline and corrective action, whether imposed centrally or at the Division level.*
3. *All internal investigations which result in a sustained finding shall be submitted to the Discipline Officer for a disciplinary recommendation. The Discipline Officer shall convene a meeting with the Deputy Chief or designee in the affected chain-of-command for a confidential discussion of the misconduct, including the mitigating and aggravating factors and the member/employee's overall performance.*
4. *The COP may direct the Discipline Officer to prepare a Discipline Recommendation without convening a Discipline Conference.*

(Negotiated Settlement Agreement X. B.)

Discussion:

Five Departmental policies incorporate the requirements of Task 45: Departmental General Order M-03, *Complaints Against Department Personnel and Procedures* (published December 6, 2005 and revised most recently on August 22, 2013); Special Order 8552, *Update of Departmental Training Bulletin V-T.1, Internal Investigation Procedure Manual* (published February 1, 2007); Training Bulletin V-T.1 and V-T.2, *Internal Investigation Procedure Manual* (published June 1, 2006); Internal Affairs Policy and Procedure Manual (published December 6, 2005); and Training Bulletin V-T, *Departmental Discipline Policy* (published September 3, 2010). As the Department has trained at least 95% of relevant personnel on these policies, we find OPD in continued Phase 1 compliance with this Task.

During the last three reporting periods, we found OPD in compliance with Task 45.

Task 45.1 requires that OPD maintain a centralized system for documenting and tracking all OPD forms of discipline and corrective action, whether imposed centrally or at the Division level (compliance standard: Yes/No). To assess Phase 2 compliance with this subtask, we queried the IAD database to identify all of the cases with at least one sustained finding that were approved between January 1, through March 31, 2014. This query yielded 24 cases, containing 34 sustained findings. Of these 24 cases, 22 (92%) contained all of the necessary information available. Of the 34 findings, 32 (94%) contained all the necessary information. OPD is in compliance with the requirement that it maintain an adequate system for documenting and tracking discipline and corrective action.

Task 45.4 requires that discipline be imposed in a manner that is fair and consistent (compliance standard: 95%). To this end, the Department has developed and revised a Discipline Matrix. The Department most recently updated and revised its Discipline Matrix on March 14, 2014. This matrix will apply to violations after that date. The new revised Discipline Matrix that applied to all the cases we examined was effective as of September 2, 2010.

We reviewed all the cases with sustained findings that were decided during the period of January 1, through March 31, 2014. Two findings involved an officer who left OPD before discipline was imposed. IAD advised him that should he return, the Department would impose discipline. In five cases in which there were five sustained findings, discipline was not imposed until the second quarter of 2014. We will review these cases during the next reporting period. One case involved one finding against OPD; no individual officer was still employed who was responsible. Five cases involved five findings had sustained findings during the first quarter but discipline was not approved until the second quarter. Of the remaining 26 findings, 24 fell within the discipline matrix in effect at the time of the action for which discipline was imposed. The two cases that were outside the range of the discipline matrix were justified and reasonable.

During the period of January 1, through March 31, 2014, Skelly hearings were held for 14 IAD cases involving 15 employees and 28 sustained findings in which discipline of a one-day suspension or greater was recommended. In nine cases discipline was upheld, in four cases the

discipline was reduced but fell within the Discipline Matrix, and in one case the discipline was reduced below the Matrix with reasonable and complete justification.

In one of the cases in which the reduction fell within the Matrix range the decision was not fully justified. The Skelly official simply quoted the arguments made by the officer's attorney (i.e., "The discipline in this case is too severe") and lowered the discipline from an eight-day suspension to a three-day suspension. More is required of a Skelly hearing official than simply lowering without justification the well thought out reasoning of the command officers as to the discipline to be imposed. OPD is in compliance Phase 2 compliance with Task 45.

Compliance Status:

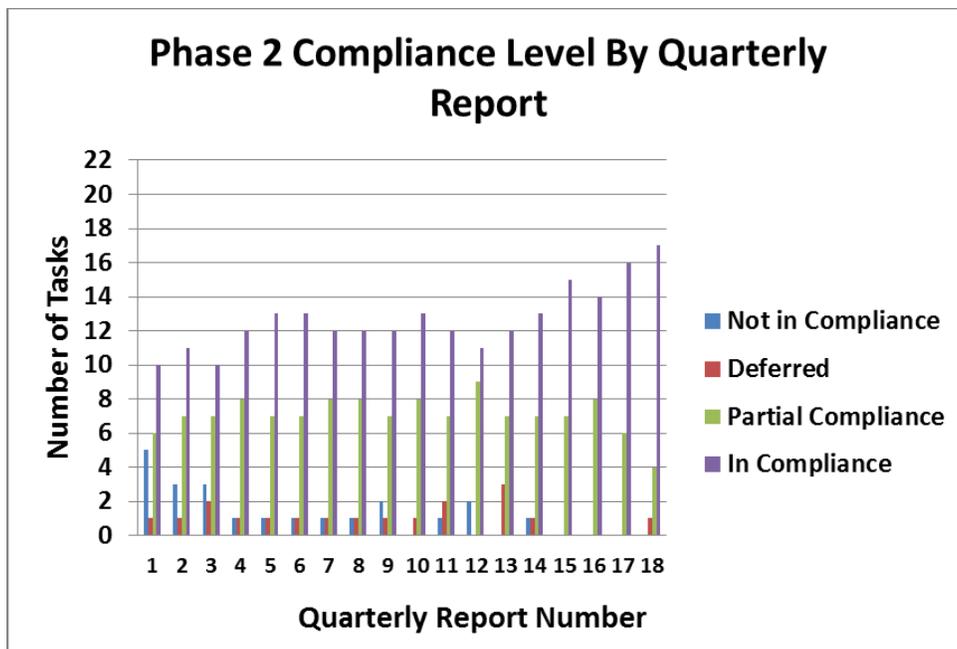
Phase 1: In compliance

Phase 2: In compliance

Section Three

Conclusion

This is our eighteenth quarterly report. The status of compliance with the 22 active requirements of the Negotiated Settlement Agreement is shown for all of our quarterly reports in the graph below. It shows an improvement during this reporting period by one Task; the Department is now at its highest level of compliance since the beginning of our tenure. In all, 17, or 77%, of the Tasks are in Phase 2 compliance; and four, or 18%, of the Tasks are in partial compliance. (We deferred our assessment of one additional Task.).



Appendix A

Cumulative Key Indicator Data

	PAS ADMIN UNIT STATISTICAL COMPARISON OAKLAND POLICE DEPARTMENT - KEY INDICATOR BY MONTH 2012 - 2014																								Graph				
	Jan 12	Feb 12	Mar 12	Apr 12	MAY 12	JUN 12	12-Jul	12-Aug	12-Sep	12-Oct	12-Nov	12-Dec	13-Jan	13-Feb	13-Mar	13-Apr	13-May	13-Jun	13-Jul	13-Aug	13-Sep	13-Oct	13-Nov	13-Dec		14-Jan	14-Feb	14-Mar	
Percent of Arrests Associated with 1,2,3,4** - per reporting officer	3.01	2.42	1.24	2.11	1.76	0.71	0.80	1.26	0.99	0.88	0.53	1.38	0.84	1.87	0.91	1.28	1.07	0.86	0.86	0.45	0.59	1.30	0.75	0.95	0.55	0.48	0.16		
A Use of Force (levels 1,2,3,4** - per reporting officer)	26.05	34.35	31.86	34.62	27.22	24.57	24.66	23.13	18.33	26.44	17.90	20.75	20.68	17.93	16.67	13.91	16.52	17.57	11.25	18.33	13.60	9.08	8.73	11.76	6.33	4.54			
A Police Pursuit (per reporting officer)	1.74	2.34	2.17	3.60	2.53	0.79	3.83	2.10	0.90	3.41	1.67	0.53	2.53	5.05	0.47	1.82	2.24	3.63	4.61	1.06	1.94	1.03	0.28	1.49	1.82	0.08			
All IA Complaint (per subject officer own only)	9.26	12.64	8.28	11.16	7.21	2.84	12.93	10.85	8.89	11.61	5.21	7.49	5.73	6.74	3.65	6.28	8.39	7.73	6.48	4.61	5.64	3.46	3.13	3.37	2.93	2.66			
All In-Custody Injury	3.09	2.08	1.24	2.02	0.84	0.47	0.96	0.59	0.45	0.39	0.79	0.11	0.46	0.48	0.19	0.25	0.40	0.44	0.11	0.24	1.02	0.75	1.14	0.00	0.32	0.00			
Each Hour of Sick Leave (excludes callians)	229.77	246.75	276.95	283.70	209.65	158.94	168.79	177.80	192.72	244.93	226.6	188.1	300.7	208.4	172.1	155.1	252.3	243.1	261.1	241.62	356.24	246.99	213.01	227.38	161.28	137.74			
Number of Arrests per (blank fire cases)	Jan 12	Feb 12	Mar 12	Apr 12	MAY 12	JUN 12	12-Jul	12-Aug	12-Sep	12-Oct	12-Nov	12-Dec	13-Jan	13-Feb	13-Mar	13-Apr	13-May	13-Jun	13-Jul	13-Aug	13-Sep	13-Oct	13-Nov	13-Dec	14-Jan	14-Feb	14-Mar		
Officer involved shooting (includes all cases including animal bites includes force by Vehicle Citations (excludes callians)	577.50	431.00	652.00	1266.00	1253.00	870	831	606	1251	1019	298	510	216.2	356	255	211	1263	1263	1277										
Civil Suit (excludes callians)	180.43	0.00	215.50	189.67	326.00	313.25	198.17	0.00	205.00	598.50	108.75	277.05	1068.00	302.75	250.20	261.50	510	298	216.2	356	255	211	1263	1263	1277				
All Arrest (includes all cases events to count)	421	96	323	379	652	1266	627	170	1113	513	1017	935	870	831	1068	1211	1251	1126	1019	859	850	1081	1054	1276	1263	1277			

Appendix B

Selected Inactive Task Assessments

During this reporting period, we conducted an assessment of inactive Task 36.

Task 36 requires the following:

- **Task 36.1:** Members and employees log in and out on the radio when transporting a detainee or any other citizen (unless the transport is done by wagon) (compliance standard: 90%).
- **Task 36.2:** The radio report includes: time; mileage; location; purpose of transport; gender of individual being transported; and identification of the member or employee involved in the transport (compliance standard: 85%).

We assessed compliance with these subtasks by reviewing the sample of 70 arrest reports that we requested for our assessment of Task 18.2.2. Fourteen of the arrests were not applicable because either the transport was completed by an outside agency or the subject was only issued a citation and then released. For each of the other 56 arrests, there was an indication that the members and employees logged in and out on the radio when transporting a detainee or any other citizen, as required. OPD is in compliance with Task 36.1.

For Task 36.2, the starting and ending mileage for the transports was provided, as required, in 51 (91%) of the 56 radio reports we reviewed. The time, location, purpose of transport, gender of individual being transported, and identification of the member or employee involved in the transport was provided in all 56 radio reports we reviewed. Accordingly, the overall rate at which the required elements were included in radio reports was 99%. OPD is in compliance with Task 36.2.

OPD is in compliance with Task 36. We will review this Task again in a future reporting period.

During this reporting period, we also reviewed the second segment of a two-part audit recently conducted by an outside consultant retained by OIG – for inactive Task 47, Community Policing.

Task 47 requires, in part, that the Department host at least one community meeting per quarter in each Patrol Service Area (Task 47.1); and that each patrol supervisor, and officer assigned to a regular beat or geographic area of the City, attend a minimum of one community meeting per quarter in the Area s/he is regularly assigned (Task 47.2).

As of the publication of our last report, OIG's outside consultant had issued the first segment of its two-part Task 47 assessment. The assessment noted that officers attended community

meetings, as required by this Task, but we noted in our last report that it did not contain any descriptive information about the *content* of these meetings. At that time, OPD advised us that the second segment of the audit would include this information.

We reviewed the second segment of the assessment and found that it contained several valuable recommendations for improving the documentation and tracking of community meetings. We also reviewed the Department's response to the assessment, and understand that OPD is making several improvements in this area. We are still interested in learning more about the *content* of the community meetings hosted by OPD. We will follow up with the Department on this issue and on the changes OPD is implementing as a result of the audit's findings, and we will discuss this further in a future quarterly report.

Appendix C

Acronyms

The following is a listing of acronyms frequently used in our quarterly reports:

ACSO	Alameda County Sheriff's Office
AWS	Automated Warrant System
BART	Bay Area Rapid Transit
BFO	Bureau of Field Operations
BOI	Bureau of Investigation
BOS	Bureau of Services
CAD	Computer Assisted Dispatch
CHP	California Highway Patrol
CID	Criminal Investigation Division
CORPUS	Criminal Oriented Records Production Unified System
CPRB	Citizens' Police Review Board
CPT	Continued Professional Training
CRIMS	Consolidated Records Information Management System
DGO	Departmental General Order
DIL	Daily Incident Log
DLI	Division-level investigation
EFRB	Executive Force Review Board
FRB	Force Review Board
FTO	Field Training Officer
FTP	Field Training Program
FTU	Field Training Unit
IAD	Internal Affairs Division
IB	Information Bulletin
IBC	Informational Business Card
ICR	Informal Complaint Resolution
IPAS	Input for Personnel Assessment System
LEWI	Law Enforcement Warrants Inquiry System
MOR	Manual of Rules
NSA	Negotiated Settlement Agreement
OCA	Office of the City Attorney
OIG	Office of Inspector General
OPD	Oakland Police Department
PAS	Personnel Assessment System
PDRD	Portable Digital Recording Device
POST	Peace Officer Standards and Training
RMM	Risk Management Memorandum
RWM	Report Writing Manual
SDF	Stop Data Form
SME	Subject matter expert
SO	Special Order
TB	Training Bulletin
UOF	Use of force