

Auditor's Sixteenth Draft Quarterly Report
Quarter Ending August 16, 2001

1 Introduction

This document represents the sixteenth of an anticipated 20 "Auditor's Quarterly Reports" (AQR) assessing the levels of compliance of the City of Pittsburgh (city) with the requirements of the consent decree (decree) entered into between the city and the United States Department of Justice (justice) on April 16, 1997. The document consists of three sections, identified below:

- Introduction;
- Compliance Assessment; and
- Summary.

The methodology employed by the auditor, definitions used by the auditor, key dates for the audit process, a description of the compliance audit process, and operational definitions of "compliance" are described in Section One, "Introduction." Section Two, "Compliance Assessment," includes the findings of the audit, and specific examples of compliance and non-compliance observed during the audit process. Section Three, "Summary," provides an overall assessment of the city's performance for this quarter.

1.1 Overall Status Assessment

1.1.2 Dates of Project Deliverables

Two specific dates accrue to deliverables for the decree: the date of entry of the decree (April 16, 1997), which times deliverables of the city; and the date of appointment of the auditor (September 16, 1997), which times deliverables for the compliance audit.

1.2 Format for Compliance Assessment

The AQR is organized to be congruent with the structure of the consent decree. It reports on the city's compliance using the individual requirements of the decree. For example, the first section of actual compliance assessment deals with the requirements, in paragraph 12 of the decree, relating to development of an automated "early warning system," now known to the Bureau of Police as the Performance Assessment and Review System (PARS). The following components of the decree are treated similarly. Compliance is classified as primary, secondary and "operational," with the definitions specified in Section 1.4, below.

1.3 Compliance Assessment Processes

1.3.1 Structure of the Task Assessment Process

Members of the audit team have collected data on-site and have been provided data, pursuant to specific requests, by the Pittsburgh Bureau of Police (PBP) and the Office of Municipal Investigations (OMI). All data collected were of one of two types. They were either collected by:

- Selection of a random sample, or
- Selecting all available records of that type.

Under no circumstances were the data selected by the audit team based on provision of records of preference by personnel from the Police Bureau or OMI. In every instance of selection of random samples, PBP personnel were provided with lists requesting specific data, or the samples were drawn directly by the auditor or the auditor's staff while on-site.

The performance of the PBP and the City of Pittsburgh (city) on each task outlined in the consent decree was assessed by the auditor during the quarter ending August 16, 2001. The site visit for this quarterly report was conducted during the week of August 6, 2001.

All determinations of status for the city and the PBP are data-based, and were formed by review of the following types of documents:

- Official PBP documents prepared in the normal course of business;
- Official Office of Municipal Investigations (OMI) documents prepared during the normal course of business; and/or
- Electronic documents prepared by the city or components of city government during the normal course of business.

Where practicable, documentation forming the database for this audit was selected by the auditor and the auditor's staff directly from PBP, OMI or city files. Where this was not the case, the auditor verified the accuracy of documents provided by checking secondary sources. For example, records of complaints filed against police officers, and the status of those complaints, were assessed by reviewing OMI files, OMI electronic files, and zone performance files.

1.4 Operational Definition of Compliance

For the purposes of this audit, "compliance" consists of three components: primary compliance, secondary compliance, and operational compliance.

Primary compliance is viewed as the administrative piece of compliance. It entails the creation of policy, procedure, rule, regulation, directive or command to "comply" as required by the text of the decree. Secondary compliance deals with training, supervision, audit and inspection, and discipline to ensure that a specific policy is being implemented as designed. To achieve operational compliance, both the primary—policy and directives—and secondary—training, supervision, audit and inspection, and discipline—must be achieved, and the directives must, by matter of evidence, be followed in day-to-day operations of the bureau.

During the sixteenth quarter of the decree, the city, the bureau and OMI have continued to implement the changes required by the decree, with specific exceptions noted in section 2.54, below.

1.5 Depicting Compliance Levels

This report uses both a narrative and graphic schema to depict compliance levels with the requirements of the consent decree. The narrative depiction labels compliance in the three categories as follows:

Status: Primary: Compliance Level
 Secondary: Compliance Level
 Operational: Compliance Level

With appropriate compliance levels reported for each level of assessment.

The graphical depiction shows each level of compliance in relation to the time provided by the decree to reach compliance. The figure below depicts compliance levels on a hypothetical task.

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

The solid blue bar indicates the time allowed by the decree to reach compliance, in this case, one quarter. The “primary,” “secondary,” and “operational” task bars indicate the time the agency took to achieve the various levels of compliance. A vertically patterned light blue bar indicates compliance achieved within the time allowed. A checkered yellow-bar depicts compliance which was achieved in a period of time that was longer than that allowed by the decree, but which does not, in the opinion of the auditor, seriously affect the city’s successful compliance with the decree. A horizontally patterned orange bar indicates that compliance was

achieved in a period of time that was longer than that allowed by the decree, and which *may* affect eventual compliance. A solid red bar depicts that compliance was achieved in a period of time that is longer than that allowed by the decree, and which, in the opinion of the auditor, *does* affect eventual compliance.

2 Assessment of Compliance

2.1 Methodology

The auditor assessed the city's compliance using the *Auditor's Manual*, included as Appendix A of the first quarterly report. The *Manual* identifies each task required by the consent decree and stipulates the methodology used to assess compliance. Compliance was assessed as primary, secondary and "operational" (see section 1.4, above).

The following sections of the sixteenth Auditor's Quarterly Report contain a detailed assessment of the degree to which the city has complied with the 74 tasks to which it agreed on April 16, 1997.

2.2 Assessing Compliance with Task 12: Automate the PBP Early Warning System (PARS)

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 12-a of the decree requires the city and the PBP to automate the database tracking system currently in use to assess police officer performance, and to add functionality to the system, transitioning it to an "early warning system" which will assist the bureau in identifying and managing officer performance which may need improvement. The bureau has expanded the EWS concept into a Performance Assessment and Review System (PARS).

Methodology

During the site visit for the sixteenth quarterly audit, the auditor reviewed the operational PARS for conformance to the requirements of the decree. The review was conducted by obtaining PARS-specific data for the first quarter of

2001 and reviewing the performance factors for all PBP personnel. As part of this review, data were assessed for all active police officers, assessing particularly the officers whose activity levels were assessed to be one or more standard deviations above the mean for their workgroups in the areas of citizen complaints, search and seizure activity, use of force, discretionary arrests and traffic stop activity. Results of the auditor’s review are noted below.

A review of PARs data by command staff this quarter noted:

- 31 police officers who were continued on monitoring status based on previous indicators from earlier quarterly audits;
- 109 police officers whose performance in the area of warrantless search and seizure fell one or more standard deviations above their work group means;
- 124 officers whose performance in the area of the application of force fell one or more standard deviations above their work group means;
- 10 officers who were selected for review due to combined rankings for sick leave, citizens complaints, missed court, discretionary arrests and other indicators; and
- Three officers who were the subject of gender or racial bias complaints.

In each of these cases, command staff review was appropriate, and related to the tenets of good supervision. A total of 58 supervisory actions (monitoring, discipline, counseling, etc) were taken by command staff based on this quarter’s COMPSTAR review and associated information. A continued supervisory presence was also noted this quarter compared to last, with clear evidence that supervisory personnel are using PARS, in conjunction with the performance evaluation process, to identify and respond to personnel not in compliance with departmental policies and to prevent possible infractions.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.2.1 Assessing Compliance with Task 12-a: Nature of Early Warning System Record Keeping

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 12-a of the decree requires the city to collect, analyze and report specific items related to officer performance and behavior through an automated early warning system.

Methodology

During the site visit for the sixteenth quarterly audit, the auditor reviewed the city's Performance Assessment and Review System (PARS). PARS is now completely operational, and was used by the PBP command staff to conduct its sixth quarterly analysis during the month of May, 2001. The auditor's review for the sixteenth quarter was conducted by reviewing 100 percent of the related data included in the PARS. The bureau and the city continue to inspect and audit the records in the PARS, and quality control is an on-going process. During the week of the auditor's site visit, the command staff conducted its quarterly analysis of PARS data. During that analysis, the command staff reviewed the performance parameters of 177 officers who, based on their performance records during the quarter, fell one or more standard deviations above the mean for their work groups on the various tasks assessed by PARS, or who had higher numbers of overall performance indicators than their peers. From those 177 officers, command staff selected 58 for some form of continued or increased scrutiny, based on their performance over the last quarter. The PARS reports accurately on each of the parameters required by the consent decree.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.2.2 Assessing Compliance with Task 12-b: Nature of PARS Retrieval Systems

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 12-b of the decree requires the city to build into the PARS the ability to retrieve information from the PARS by officer, squad, zone, unit, regarding the execution of "discretionary arrests," traffic stops, searches and seizures, and use of force.

Methodology

During the site visit for the sixteenth quarterly audit, the auditor reviewed the operational PARS for conformance to the requirements of the decree. A review of the capabilities of the PARS indicates that the system is capable of retrieving, analyzing, and reporting data across each of the variables required by the decree. More than 300 separate tests were performed, using the PARS and its supporting OMS. The OMS reported accurately in each of the tests, and the PARS accurately reflected the data contained in the OMS.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.2.3 Assessing Compliance with Task 12-c: Establishing Data Retention Schedules for the PARS

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 12-c of the decree requires the city to archive the records in the PARS for three years after the involved officers' separation from service, and requires that all records be archived indefinitely. In addition, it requires the city to enter all relevant data for three years prior to April 16, 1997.

Methodology

During the site visit for the sixteenth quarterly audit, the auditor reviewed the operational PARS for conformance to the requirements of the decree. Data continue to be entered as required by the decree. The auditor found no instances of data being purged from the PARS in conflict with the requirements of the decree.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.2.4 Assessing Compliance with Task 12-d: Developing Written Protocols for Operation of the PARS

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 12-d requires the city to develop a protocol for use of the PARS that would:

- Establish trigger thresholds for review of officer records by senior supervisors;
- Establish requirements for frequency of review of officer records by senior supervisors;
- Establish the types of corrective actions to be taken by senior supervisors;
- Establish confidentiality and security provisions for the PARS;
- Establish requirements for quality assurance checks of data input; and
- Have the protocol submitted for review 30 days before implementation.

Methodology

During the site visit for the sixteenth quarterly audit, the auditor reviewed the operational PARS for conformance to the requirements of the decree. The review was conducted using a live database from the operational PARS.

Now that the PARS is on-line and in daily production, the auditor was able to assess each of the 16 factors required of the PARS by the consent decree. The operational system reports and tracks each of the 16 required factors, and does so in a manner that would make it reasonably practicable for a line supervisor or command officer to use the system to monitor officer performance, in compliance with the requirements of the decree. Command staff use PARS and supporting systems to conduct quarterly analysis of personnel performance.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.3 Assessing Compliance with Task 13: Developing a Use of Force Policy

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 13 requires the city to develop, within four months of entry of the decree, a use of force policy which conforms to professional standards and applicable state law. The paragraph further requires the city to submit the policy to justice for approval prior to implementation.

Methodology

Further, the auditor conducted a thorough review of a random sample of 8.1 percent of 123 Subject Resistance Reports generated by PBP personnel during the quarter. The review conducted by the auditor indicates an acceptable level of command review. Bureau SRRs were reviewed appropriately in 100 percent of the cases selected for review. This figure exceeds the required 95 percent compliance rate.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.4 Assessing Compliance with Task 14: Development of an Effective Strip Search Policy

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 14 requires the city to develop effective strip search policies, allowing PBP officers to conduct strip searches only when authorized by a supervisor, and then only if specifically trained to do so. The searches must be performed in conformance with hygienic procedures, in a room specially designated for strip

searches, under specific controls. The policy further must preclude field strip searches in all but exigent circumstances.

Methodology

The auditor reviewed **all** completed electronic records dealing with FCSSRs for the quarter, and found three that reported a strip search. All of these searches were approved in advance by supervisory personnel, and were conducted in locations expressly approved for such procedures. All strip searches were conducted in accordance with policy.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.5 Assessing Compliance with Task 15: Written Reports of Specific Police Actions

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 15 requires the city to establish reporting requirements each time a police officer uses force, conducts a warrantless search or seizure, or conducts a body cavity search.

Methodology

The auditor reviewed a randomly selected sample of Subject Resistance Reports (SRRs) and Field Contact/Search/Seizure Reports (FCSSRs) to assess the level of accuracy of reporting and supervisory review for these reports. A 8.1 percent sample of 123 SRRs written during the sixteenth quarter was selected for review. In addition an nine percent sample of 383 completed search and seizure reports was selected for review. A 100 percent sample of three strip searches was selected for review. While these samples are lower than in past audit cycles, this reflects nine straight quarters of 100 percent compliance on these tasks. All of the reports reviewed this quarter were found to be in compliance with the requirements for search and seizure and use of force reporting. The error rate remains within the acceptable margin of error, at zero percent.

Status: Primary: In Compliance

Secondary: In Compliance
 Operational: In Compliance

2.6 Assessing Compliance with Task 16: Reporting Traffic Stops

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 16 requires the city to establish reporting requirements each time a police officer makes a traffic stop. The city has promulgated a protocol requiring officers to report traffic stops, and establishing a review function for these activities. Training for PBP personnel regarding reporting traffic stop information was completed during the third quarter. The bureau has begun collecting traffic stop data, using the form designed by the city. These data are available at the Zones, and have been entered into the PARS. The eighth quarter was the first quarter in which detailed assessment of traffic stop information was possible, as the tabular data from the PARS regarding traffic stops was available through the PARS as of this audit cycle.

Methodology

Traffic stop data for 4,811 stops were assessed by the monitoring team during the sixteenth quarter. The auditor found the traffic stop data to accurately reflect information included in the COMPSTAR review conducted by command staff. In addition, the audit team noted that the bureau has initiated disciplinary proceedings against two officers in the last two quarters for failure to report traffic stops in accordance with bureau policy. Discipline assigned by the bureau for these infractions, in both cases, was a suspension of five days, pending termination. The bureau is judged to be in compliance with this task based on current and past performance.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.7 Assessing Compliance with Task 17: Entry of Data into the PARS

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 17 requires the city to enter data regarding use of force, traffic stops, warrantless searches and seizures, and other indicators of police activity levels into the planned automated Early Warning System. The city has developed protocols requiring entry of data as required by the consent decree.

Methodology

The auditor has reviewed these protocols and found them to be acceptable. During his sixteenth quarterly site visit, the auditor tested data entry protocols by performing more than 100 individual tests of the system. The PARs and OMS reported accurately in each of these tests.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.8 Assessing Compliance with Task 18: Audits of Use of Force

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 18 requires the city to cause supervisors and senior supervisors to conduct "regular audits" of PBP officers' use of force, and to act on information concerning the use of force with the goal of reducing or preventing use of excessive force.

Methodology

The auditor reviewed an 8.1 percent sample of the 123 completed SRRs for the quarter. Each report was appropriately reviewed by command staff, and reports

incorrectly completed were noted and re-routed for remediation. No errors were noted in the SRRs reviewed by the auditor.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.8.1 Compliance with Task 18-b: Analyze Use of Force Quarterly

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 18-b requires senior supervisors to analyze use of force data quarterly. The bureau continues to complete quarterly analyses of use of force data, using the Officer Management System and PARS. The analysis identified use of force trends, as well as focusing on officers who recorded higher than average use-of-force rates. The command staff used the OMS and PARS to identify officers receiving complaints of excessive force, officers who had higher-than average levels of use-of-force rates in any one of the past four quarters, and to assess overall trends in use of force. These assessments became part of the quarterly "Computer Statistical Trend Analysis and Review" (COMPSTAR) meeting minutes, along with recommendations for counseling, retraining or other solutions to issues raised with specific officers' use of force practices. Protocols require follow-up at the next quarterly PCS meeting to evaluate the effectiveness of these solutions.

Methodology

Using the PARS/OMS system, the auditor identified, during the sixteenth quarterly audit, 124 officers whose use of force statistics (or associated activity levels) were one or more standard deviations higher than their group norms, and who, in the auditor's opinion, required further scrutiny. All zone commanders checked subject resistance report data as part of their routine quarterly analysis, and all 124 of the officers identified by the auditor were also noted by zone commanders. The increase in the rate of officers noted by the auditor this quarter, over previous quarters is due to the fact that, during the fifteenth and sixteenth quarter, the auditor reviewed a 100 percent sample of SRR reports (electronically, using PARS data), rather than selecting a sample for review. Command staff selected eight officers for increased scrutiny, based on their review of use-of-force performance factors this quarter.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.9 Compliance with Task 19-a: Review Search and Seizure Reports through Chain of Command

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 19-a requires the city to review search and seizure reports, through the officers' chains of command, within one week of the search or seizure. The protocol for searches and seizures has been approved, and training and implementation have been completed.

Methodology

During the site visit for the sixteenth quarter, the auditor selected a random sample of 9.3 percent of 383 FCSSRs completed during the quarter. Each of these reports was analyzed to ensure the report met the requirements of task 19-a. Further, each of the selected reports was reviewed for probable cause (in the event of a search) or reason to suspect (in the event of a field stop and investigation). The narrative of each of the reports was assessed, and supporting documentation, where available, was reviewed. The bureau continues to note incidents of poor reporting, when they occur, and continues to retrain officers who exhibit problematic reporting on search and seizure events.

Of the reports reviewed, none were judged to be problematic. The error rate for FCSSRs for the sixteenth quarter is zero. This is attributable, in part, to the internal review process established by the bureau, as well as increased scrutiny of FCSSRs by zone supervisors.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.9.1 Compliance with Task 19-b: Quarterly Analysis of Search and Seizure Data

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
	[Redacted]												
Primary	[Redacted]												
Secondary	[Redacted]												
Operational	[Redacted]												

Paragraph 19-b requires the city to analyze the search and seizure activity of its officers on a quarterly basis.

Methodology

Command staff used search and seizure data, generated by PARS, to assess officers' performance, identifying officers who were above average in this category. These officers were noted to be of two types: those who were active in search and seizure processes, but whose reports indicated no problematic behavior, and those whose activities indicated additional training, counseling, or supervision. The command staff selected the first group of officers for potential commendation, and the second group for potential remediation.

Using the PARS/OMS, the auditor identified 109 officers whose FCSSR data fell one or more standard deviations above the mean for their work groups. All of the zone commanders reviewed each officer under their command whose FCSSR data exceeded work group norms by one or more standard deviation. This review included a thorough review of both electronic data, and a review of actual FCSSRs completed by these officers. The command staff review noted each of the 109 officers identified, independently, by the auditor as indicating a need for further scrutiny. The increase in numbers of officers identified by the auditor is due to the fact that, during the last three quarters, the auditor drew a 100 percent sample of PARS FCSSR data for analysis. Command staff selected eight officers for additional scrutiny, based on a review of their performance factors.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.10 Compliance with Task 20-a: Review of Allegations of Racial Bias

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 20-a requires the city to review all allegations of racial bias through the officers' chains of command within one week of completion of the investigation. The bureau currently relies on OMI for notice of allegations of racial bias and requires review after notification.

Methodology

During the course of reviewing OMI completed investigations, the auditor screened these complaints for allegations of racial or gender bias. During the sixteenth quarter, two allegations of racial or gender bias on the part of bureau officers were completed by OMI, and forwarded to the bureau for review. Racial bias complaints are monitored closely by command staff, and each quarterly COMPSTAR review includes a discussion of the status of these complaints, as well as the nature of the review conducted pursuant to the policy outlining PARS protocols for racial bias complaints. In addition, three complaints of racial bias were received, but investigations of the allegations were pending. Command staff implemented monitoring protocols as required by the decree in response to these three complaints.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.10.1 Compliance with Task 20-b: Quarterly Analysis of Racial Bias

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 20-b requires supervisors to use the PARS on a quarterly basis to assess allegations of racial bias for patterns or irregularities. The bureau, during

the week of August 2, 1999, developed a specific protocol for quarterly analysis of potential indicators of racial bias. The protocol requires the command staff to review an officer's complete PARS file if any of eight events involving the officer occur during any given quarter.

These events include:

- Notation on the Supervisor's Daily Activity Report (SDAR) of any indication of racial or gender bias on the part of a given officer;
- A complaint by a supervisor of racial or gender bias against an officer;
- A peer complaint of racial or gender bias;
- An OMI complaint of racial or gender bias;
- Filing of a lawsuit, in which the officer is named, contending racial or gender bias;
- Any indication, during a normal review of routine police reports (offense reports, arrest reports, search and seizure reports, subject resistance reports, etc.) that an officer indicates potential racial or gender bias;
- Comments made by an officer indicating racial or gender bias; or
- A non-OMI complaint of gender or racial bias.

The quarterly analysis conducted by command staff during the week of August 6, 2001 identified three officers with at least one of these "trigger" events. Each of the three events was analyzed by command staff in accordance with the requirements of the decree.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.11 Compliance with Task 21-a: Imposing Appropriate Remedial Action

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 21-a requires the city to impose appropriate remedial action after evaluating officer behavior, and to take appropriate action for officers who have received three or more similar citizens' complaints in a two-year period, or five or more complaints in a two-year period.

Methodology

The auditor reviewed all discipline imposed by the bureau for the sixteenth quarter. Based on records obtained from the office of the chief of police, seven individual disciplinary actions, involving citizens' complaints, were taken by the bureau during the period of time covered by this report. The auditor reviewed all disciplinary actions reported for the sixteenth quarter, and found the decisions of the command staff to be reasonable, based on the tenets of progressive discipline.

Based on the protocols of progressive discipline, the bureau is responding within its anticipated range of responses in delivering discipline. Offenses recorded for these seven disciplinary actions included:

- Failure to complete required reports;
- Violation of the code of ethics;
- Conduct toward the public; and
- Conduct unbecoming a police officer.

Discipline for the seven incidents involving interactions with the public included:

- Oral reprimands;
- Written reprimands;
- Conflict resolution retraining; and
- Five day suspension pending termination.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.11.1 Compliance with Task 21-b: Imposing Retraining and Counseling

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 21-b requires the city to also impose retraining or counseling in all cases in which a citizen's complaint has been sustained, except those resulting in termination, based on review of officer behavior.

Methodology

The auditor reviewed the bureau’s disciplinary processes for May 16, 2001 to August 15, 2001. The bureau’s disciplinary process was reviewed in detail in Section 2.11, above. In addition to a review of the data included in that section, the audit team reviewed disciplinary action reports for all officers disciplined during the quarter. Disciplinary action taken by the bureau included retraining , counseling, and other appropriate forms of "retraining" and "counseling," including assignment to conflict resolution retraining.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.11.2 Compliance with Task 21-c: Consider Prior Record in Determining Discipline

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 21-c requires the city to consider an officer’s prior record in determining discipline.

Methodology

According to records provided by the bureau and the Office of Municipal Investigations, seven individual disciplinary actions were taken by the bureau this quarter. Each of the seven disciplinary actions taken by the bureau was reviewed for evidence that prior disciplinary records were considered when imposing discipline. Two of the disciplinary actions taken this quarter indicated a modification to discipline based on past record.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.12 Compliance with Task 22: Disciplinary Files at the Zone Level

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 22 requires the PBP to establish disciplinary action files, or "performance files" at the zone level.

Methodology

During the site visit for the fifteenth quarterly report, members of the monitoring team reviewed performance files and supervisory daily activity reporting at three zones (One, Five and SDD) Partial audits of both the supervisory daily activity reporting systems were conducted during the fifteenth site visit. Supervisory activity remains at acceptable levels, with officers (and some supervisory personnel) selected for "monitoring" showing an active supervisory review of their activities. Minor problems with "canned language" and insufficient detail in supervisory reports at SDD were noted. The seventeenth quarterly site visit will include a comprehensive review of the bureau's response to issues noted with "canned language" in supervisory reports.

Status: Primary: In compliance
 Secondary: In Compliance
 Operational: In Compliance

2.13 Compliance with Task 23: Annual Performance Evaluation

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 23 requires the city to implement an annual performance evaluation process for all officers, supervisors and senior supervisors. Further, it requires supervisors and senior supervisors to be evaluated based on their ability to prevent and address misconduct by officers. In addition, paragraph 23 requires officers to be evaluated, in part, on their complaint history.

Methodology

During the site visit for the sixteenth quarterly report the audit staff reviewed nearly three dozen police performance evaluation files. Each of the personnel files reviewed this quarter contained performance evaluations completed in accordance with established policy. While a small number of files were missing at least one performance evaluation report, all of these were from the most recent evaluation period. Upon notice to the bureau by the auditor, all records were located and placed in the appropriate files.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.14 Compliance with Task 24: Performance Based Promotion

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 24 requires the city to use performance evaluations as a factor in promotional decisions.

Methodology

During the 16th quarter, members of the audit staff reviewed a 100 percent sample of the personnel files for all 18 police members promoted during the first two quarters of 2001. All of those promoted appeared to have been carefully evaluated, and promotions were, with three exceptions, made only of members who “met or exceeded” performance evaluation criteria. The exceptions were granted for two promoted individuals who had been marked “needs improvement” in punctuality and one marked similarly in police vehicle operations.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.15 Compliance with Task 25: Provision of an Employee Assistance Program

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 25 requires the city to continue to provide PBP employees with an Employee Assistance Program, including counseling and stress management services for officers, offered by certified, trained and experienced counselors, and supported by department-wide publicity of EAP availability, non-retributive attendance for employees, and non-binding referrals to the EAP.

Methodology

Evidence continues to exist to support the bureau's operational compliance with paragraph 25. Reviews of zone "performance files" indicate that the EAP is being used by departmental personnel and departmental managers. Bureau discipline continues to use the EAP as part of its progressive discipline campaign. The city continues to sponsor EAP-related forums and to advertise the availability of EAP offerings. One employee was placed on extensive "Track III" employee assistance during the fifteenth quarter, in lieu of termination, and two employees were suspended for five days (pending termination) for violation of their Track III agreements. No new Track III activity was noted during the sixteenth quarter. The city remains in compliance with this task based on past performance.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.16 Compliance with Task 26: Notification of Adverse Involvement

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 26 requires the city to obtain notice of adverse involvement from its officers any time they are arrested, criminally charged, or named as a party to a civil suit. In addition, the paragraph requires the city to discipline or retrain officers found guilty or liable by a court. Further, the paragraph requires OMI to conduct investigations of such events.

Methodology

A review of Bureau records indicates that the bureau continues to monitor its officers' activities for adverse involvement. The bureau's records included notice regarding pending civil litigation (not related to duty incidents), and filed civil court orders. Discipline during the thirteenth quarter involved one incident of disciplinary action for failure to provide notice of adverse involvement. One finding of liability was noted this quarter. Seven incidents of adverse involvement, all appropriately reported, were noted this quarter.

Status: Primary: In compliance
 Secondary: In Compliance
 Operational: In Compliance

2.17 Compliance with Task 27: OMI to Monitor Criminal Proceedings

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 27 requires the Office of Municipal Investigations to monitor all criminal proceedings containing allegations of false arrest or improper search and seizure by PBP officers. This paragraph also requires the bureau to implement appropriate discipline for officers who are found to have committed misconduct as a result of these reviews.

Methodology

The bureau has established an agreement with the district attorney in which the DA will notify the PBP in the event that criminal charges are filed, at the county level, against any PBP personnel. This agreement includes notice of suppression hearings lost as a result of illegal activity. Further refinement of this process was

achieved during the sixth quarter, with publication of deputy chief's memo DCOP 98-309, requiring officers who have arrested PBP officers for any criminal charge to file a memorandum "detailing the results of the hearing."

PBP policy calls for these memoranda to be forwarded to OMI for their review. Based on concerns expressed by the auditor that the DA's office has forwarded no notifications of lost suppression hearings, etc., the chief of police has modified the reporting practice between the district attorney and the bureau. Court liaison personnel have begun to specifically inquire monthly, about allegations of false arrest or improper searches on the part of PBP officers. During the sixteenth quarter, three such inquiries were made of the DA's staff. The auditor reviewed reports of these inquiries, which noted no lost suppression hearings due to poor probable cause, etc.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.18 Compliance with Task 28: Sanctions for Officers Involved in Settled Litigation

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 28 requires the city to implement appropriate discipline "as the circumstances and OMI investigation warrant," in all instances in which PBP officers are the subject of civil litigation.

Methodology

Personnel files were reviewed for evidence of PBP officers involved in settled civil litigation noted during the sixteenth quarter, and two were found. These cases settled late in the quarter, with notice to the police bureau only six days before the quarterly site visit. No action had been taken on these two cases, as both involved an officer who retired prior to the settlements. During the sixth quarterly audit, however, the department received notification of settled litigation involving two Bureau officers. During the seventh quarter, this case was reviewed by command staff, and disciplinary action was taken in April, 1999. It is clear from the review that the bureau continues to be in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.19 Compliance with Task 29: Provision of Legal Advisor Services

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 29 requires the city to provide PBP officers with legal advice on a 24/7 basis. Further the paragraph requires the legal advisor to provide training regarding legal aspects of search and seizure, use of force, and racial bias.

Methodology

The auditor has interviewed the police legal advisor, assessed the degree to which his legal bulletins are available to police personnel, and assessed the viability of the policy which announces and controls his availability. Chief's Memo 97-245 announces the availability of a police legal advisor on a 24-hour basis, seven days per week, providing a pager number, and a home telephone number. Further, the policy provides a back-up process for those occasions when the legal advisor is not available. The legal advisor continues to provide support for the bureau, publishing legal bulletins, and providing in-service training and remedial training for Bureau officers. The legal advisor is also active in reviewing Field Contact/Search and Seizure reports filed by Bureau officers. The bureau continues its compliance with this task.

Status: Primary: In compliance
 Secondary: In Compliance
 Operational: In Compliance

2.20 Compliance with Task 30: Develop a Rotation Schedule

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 30 requires the PBP to develop a department-wide rotation schedule to ensure that officers are regularly supervised by different sergeants and lieutenants and that they regularly work with different officers.

Methodology

The PBP continues to implement its rotation plan. The plan, supported by Chief's Memo 97-550, requires routine consent-decree transfers in January of each year. Each January since implementation of this policy, the bureau has transferred sufficient numbers of personnel to remain in compliance with this task. In January, 2001, the bureau transferred a total of 77 officers and supervisors. In addition, during the thirteenth quarter, the bureau transferred all but two of its commanders, assigning each to new duties. No transfers related to this requirement were made this quarter.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.21 Compliance with Task 31: PBP Attendance at Community Meetings

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 31 requires the PBP to "make every effort" to participate in community meetings, including those oriented toward minority groups.

Methodology

The auditor reviewed monthly attendance logs for police zones for the months of May 16, 2001 to August 15, 2001. The logs show multiple community meetings attended by PBP personnel. The meetings were attended by command level personnel, line personnel, OMI personnel and supervisory personnel. No agendas for these meetings are available.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.22 Compliance with Task 32: Televised OMI's Function

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 32 requires the city to televise to the public information concerning OMI's function, location, etc. The paragraph also requires the city to have PBP personnel present at community meetings, and to publish and distribute pamphlets describing the OMI complaint process.

Methodology

The auditor reviewed community meeting logs maintained by OMI staff, and determined that personnel from the unit are in attendance at community meetings. The city continues to air television "spots" highlighting the function and process of the Office of Municipal Integrity. The city has also printed a brochure explaining the OMI function and has distributed the brochure to all of the city's community organizations and placed these brochures in all city buildings. Television PSAs have been revised, although additional work is pending, and thus have not been reviewed by the auditor, as of this writing.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.23 Compliance with Task 33: Provision of Training in Cultural Diversity

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 33 requires the city to provide cultural diversity training to all PBP officers, with the training covering: relating to persons of different groups, relating to persons of the opposite gender, and communications skills.

Methodology

The auditor and the auditor's staff have reviewed the PBP's training curricula for in-service training, have conducted three site-visits of the training academy, and have interviewed many of the personnel assigned to the training academy. The bureau has developed (through contract) curricula for the cultural diversity training, and has begun implementation. Throughout 2001, the bureau has continued to train its officers in the topics of cultural diversity, "effective communication" and ethics. A total of 93.5 percent of all officers subject to this training had received it as of July 31, 2001. The remaining 6.5 percent are scheduled for training before the end of the year.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.24 Compliance with Task 34: Monitoring Citizen Complaints for Training Indicators

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 34 requires the city to establish monitoring systems which will assess citizen's complaints for indicators of needs in training or re-training. The bureau has established a system in which OMI forwards a copy of a summary of all citizen complaints to the Chief of Police, who also provides a copy to the Deputy Chief for Operations. Additional copies are also sent to the training academy for review.

Methodology

In order to assess this requirement, the auditor reviewed Training Academy records, reviewed the notes of PBP command staff meetings, and reviewed OMI monthly and quarterly reports. In addition, the auditor reviewed the academy's quarterly training assessment report.

It continues to be clear that the command staff is reviewing citizen complaints and reports of infractions and communicating that review to subordinates. Discipline, based on internal infractions, often involves retraining. During the past nine quarters, training academy staff completed a review of citizen's complaints and use of force reports with the aim of improving, where applicable, training

curricula. Reports from the academy continue to be reviewed, assessed and critiqued by command staff.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.25 Compliance with Task 35: Training in Verbal De-Escalation

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 35 requires the city to train all officers in the use of verbal de-escalation techniques as an alternative to the use of force and to incorporate verbal de escalation training "into all other training that implicates the use of force."

Methodology

To date, for the training year 2001, the bureau continues to train its eligible officers (excluding officers on extended medical or similar leave, and thus not performing police duties) in "verbal judo" and/or tactical communications. The bureau-wide process of reviewing all use-of-force curricula has been completed, and a new "use of force" training curriculum has been implemented by the bureau. A total of 91.2 percent of the officers subject to this training have received it. The remaining 8.8 percent are scheduled to receive the training before the end of the year.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.26 Compliance with Task 36: Training in Ethics and Integrity for Recruits

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 36 requires the city to provide training for recruits in integrity, ethics, cultural diversity and verbal de-escalation "at the beginning of the training curriculum to serve as a foundation for all other classes. The recruit curriculum offered "ethics" training and "verbal judo" in week one, and cultural diversity in week two. Additional training in weeks 21 and 23 cover additional topics in cultural diversity and verbal judo. The auditor has reviewed the curriculum outlines for cultural diversity and ethics, and finds the curricula to be appropriate and responsive to the decree.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.27 Compliance with Task 37: In-Service Training in Ethics and Integrity

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 37 requires the city to train all officers in integrity, ethics, the PBP's mission and values, and cultural diversity. The training requires inclusion of the topics of truthfulness, reporting misconduct by fellow officers, the importance of avoiding misconduct, and professionalism.

Methodology

The auditor has reviewed the bureau's curriculum outlines for cultural diversity and ethics. According to academy records, all of the department's sworn personnel have received training in ethics through the bureau's new "career and personal survival" training component. The bureau has contracted with a nationally-recognized provider of training in police ethics, and has substantially revised the curriculum for the 2000 calendar year. The latest ethics training was conducted as part of the State of Pennsylvania's mandatory training cycle. During the tenth quarter, the bureau received accreditation from the National Institute of Ethics. The agency's eligible officers (excluding those officers on extended leave) continue to receive the state's mandated "Leadership and Integrity" class during the 2001 training year.

Status: Primary: In Compliance
 Secondary: In Compliance

Operational: In Compliance

2.28 Compliance with Task 38: Train all Officers re OMI Complaint Process

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 38 requires the city to train all police officers regarding the OMI complaint process, and their obligation to cooperate with OMI investigations.

Methodology

Based on a review of the training records, the department has trained all of its officers in the OMI process, with the exception of officers who are on extended leave. All new recruits receive the training regarding the OMI complaint process as part of the academy training program.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.29 Compliance with Task 39: Encourage Qualified FTO

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 39 requires the city to recruit "highly qualified" Field Training Officers and instructors by establishing formal eligibility requirements, basing selection on performance evaluations and superior performance as police officers. The paragraph further requires the city to disqualify any FTO or instructor (or candidates for the positions) with a poor disciplinary record or complaint history.

Methodology

The bureau has added 13 new FTOs to its complement of training officers in order to provide field training for two sections of recruits currently working through the training process. Discussion at the fourteenth quarterly COMPSTAR meeting addressed methods for ensuring that quality FTOs are recruited, trained and deployed. The auditor conducted a complete assessment of the personnel files of these 13 officers during the sixteenth quarter, and found them to be "highly qualified;" however, the auditor also noted that four of the 13 selected as FTOs had unresolved ("open") OMI complaints. Four officers were selected as FTOs who had open OMI complaints, including complaints of verbal abuse (open since 1997), theft (open since 1998), and four other allegations (open 1995, 1996, 1997 and 1998). The reader should note that these officers had strong performance evaluations, had no other indicators in their personnel files that they were problematic officers, and had, among them, officers who had received awards and commendations for exemplary service. It is patently unfair to hold back from advancement otherwise well-qualified officers because of unresolved OMI cases which may or may not be sustained. Similarly, advancing officers with these pending cases places the police bureau in a precarious position of possibly advancing police officers who may have (in some cases) serious allegations sustained against them. It appears that the backlog of OMI cases may be beginning to adversely affect the administration of the police bureau. The agency remains in compliance with this task, based on past performance.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.30 Compliance with Task 40: Train all FTOs and Instructors

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 40 requires the city to ensure that all FTOs and instructors receive adequate training to ensure that they are capable of meeting their job expectations. Further, the paragraph requires that the city require FTOs and instructors to "demonstrate on a regular basis, their proficiency in their areas of instruction."

Methodology

The bureau has trained an additional 13 officers as instructors/FTOs, using its five-day “Instructor Development” training syllabus previously approved by the audit team. The academy has made no changes in its evaluation processes used to assess the effectiveness of the FTO program, which has been previously approved by the audit team.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.31 Compliance with Task 41: Maintenance of Training Records

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 41 requires the city to maintain written records documenting all training of officers, including the officers’ names, dates of training, reasons for mandatory training, subject matter, and “whether the training was completed satisfactorily.”

Methodology

A review of training records for the sixteenth quarter indicates the academy has continued its established processes for maintenance of training records. A full on-site review of training records was conducted by the audit team during the thirteenth quarter. No discrepancies were noted in training records. All instructors’ files reviewed contained certifications to teach the topics which they were teaching, and no missing data or other irregularities were noted.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.32 Compliance with Task 42: Document Mandatory Counselings

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 42 requires the city to document in writing all mandatory counselings by name of officer, reasons for the referral, OMI file number, related cross index number, the subject matter of the counseling, and the status of the officer's attendance.

Methodology

During the auditor's review of data for the sixteenth quarterly report, the audit team reviewed the department's centralized file that is used to document mandatory counseling sessions ordered this quarter for PBP personnel. The Bureau continues to use, and document, mandatory counseling as part of its disciplinary processes, and documents these counselings in files maintained in the office of the chief of police. A total of 15 mandatory counselings were issued by the bureau this quarter, the same number as in the last quarter.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.33 Compliance with Task 43: Annual Supervisory and Leadership Training

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 43 requires the city to provide mandatory annual in-service training for senior supervisors in the topics of command accountability, integrity, and cultural diversity.

Methodology

The auditor assessed the training records for PBP senior supervisors (commanders and above). Command staff continue to receive training in integrity, command accountability, and cultural diversity through a series of courses offered by the training academy and the "POLEX" program. In addition, all command staff have received specialized training in managing organizational conflict. The mixture of training provided for command staff meets, in the opinion of the auditor, the requirements of this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.34 Compliance with Task 44: OMI Quality Assurance

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary	Compliance												
Operational	Compliance												

Paragraph 44 requires the city to update the existing OMI database to serve as an interim management tool. The paragraph also stipulates records retention schedules and develops specification for preparing complaint histories.

Methodology

The auditor and the auditor’s team assessed the records management systems and electronic databases currently in place within the OMI office. They observed OMI personnel as they worked with the databases, and reviewed output from the databases.

The current OMI database is an effective management tool. Upgrades are currently underway for the system, which should make it even more effective in managing OMI caseload. The reader should note, however, that the auditor’s current analysis of data from the database indicated inclusion of several closed cases in the “open cases” filtered file. This problem is not judged to be severe, but care should be taken to “clean” the OMI database management system to ensure that all closed cases are actually carried as closed, rather than open.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.35 Compliance with Task 45: Chain of Command Access to Disciplinary Records

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 45 requires the city to make OMI files and records relating to a particular officer available to personnel within that officer’s chain of command who are responsible for officers’ training, counseling and discipline.

Methodology

Members of the audit team reviewed disciplinary actions of the PBP command staff, and observed discussions among command personnel regarding disciplinary actions at the quarterly COMPSTAR personnel assessment. In addition, members of the audit team assessed DARs for evidence that past record and past performance is considered in assigning discipline. During the twelfth and thirteenth quarters, members of the command staff, using PARS and OMS, identified several members of the bureau for commendations based on their review, in part, of officers’ disciplinary records available in PARS. All records and actions observed by the members of the audit team indicate that the supervisory and command staff routinely access PARS in making disciplinary and performance decisions. PARS and OMS were consulted heavily as part of the promotional processes completed in the first two quarters of 2001. The bureau is judged to continue to be in compliance with this task. The PARS system was also used in assessing candidates for promotion during the first two quarters of 2001.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.36 Compliance with Task 46: Maintenance of OMI Manuals and Training

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 46 requires the city maintain an OMI manual, detailing OMI investigative policies and procedures, and to ensure that all OMI investigators receive adequate training. This paragraph also requires the city to provide OMI civilian investigators with police academy training on 15 specific topics related to police operations, conduct and processes. The paragraph stipulates that the training provided to OMI civilian investigators will be "identical" to that received by OMI police investigators. The paragraph further requires that the city make the OMI manual available for inspection at PBP facilities and at the OMI office.

Methodology

During the site visit for the sixteenth quarter, the auditor reviewed the training records for OMI personnel. All new civilian personnel who have not received training at the academy have been scheduled for, or are currently attending, the recruit training process currently underway at the police academy. Also during the twelfth quarter OMI published its updated investigative manual. This update was completed during the site visit for the twelfth quarter, and was reviewed by the audit team during the thirteenth quarter. All revisions to the manual conform to reasonably accepted practice in the conduct of internal investigations.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.37 Compliance with Task 47: Receipt of Complaints

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 47 requires the city to accept citizen complaints at OMI via telephone, mail, facsimile, or in person, and that no complainant be required to complete a complaint form to initiate an investigation.

Methodology

The auditor reviewed 18 of 32 final reports of completed OMI investigations of citizens' complaints to assess the method of receipt and to determine if any complainants were "required" to complete any OMI form prior to receipt of the

complaint and initiation of the investigation. None of the 32 files reviewed included any form completed by a complainant. Further, ample evidence exists to support the fact that complaints are received by telephone, letter and facsimile.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.38 Compliance with Task 48: Receipt of Anonymous Complaints

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 48 requires that the city accept anonymous and third party complaints through the OMI process, and to investigate these complaints thoroughly. This paragraph also allows the OMI unit to require corroborating information or evidence from complainants.

Methodology

Completed OMI complaints were assessed for the source of the complaint. No anonymous complaints were resolved this quarter. One anonymous complaint was resolved last quarter, however, and it was as completely investigated as possible. The city is judged to remain in operational compliance with task 48.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.39 Compliance with Task 49: Closure of OMI Investigations

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 49 of the consent decree requires OMI to refrain from closing an investigation without rendering a disposition solely because a complainant withdraws the complaint or is unavailable to make a statement.

Methodology

The auditor reviewed the OMI Policy and Procedures Manual, which states in section 6-11 that withdrawal of complaints will not cause OMI to cease its investigation. Interviews with OMI staff indicate that it is customary not to terminate investigations upon the complainant's withdrawal of same. During the sixteenth quarterly review, the auditor found three complaints filed with the Office of Municipal Investigations which were either "officially" withdrawn by the complainant filing the complaint, or in which the complainant refused further cooperation with the Office. All of these complaints were investigated to completion by the Office.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.40 Compliance with Task 50: Relocate OMI

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 50 requires the city to relocate the Office of Municipal Investigations to an office that is separate from any building occupied by PBP personnel. It further requires that the new facility be convenient to public transportation, and that the city publicize the new OMI location.

Methodology

No change in compliance status was noted for this task during the sixteenth quarter.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.41 Compliance with Task 51: Reporting and Receipt of Citizens' Complaints

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 51 precludes the city from requiring any complainant to come to PBP facilities to file a complaint or provide a statement. In addition, the paragraph requires the city to hold quarterly open meetings in rotating zones to educate the public about proper police functions, misconduct and other topics. The city is further required to accept complaints at the quarterly meetings, and to publicize the location and time of the quarterly meetings "in all city buildings."

Methodology

The auditor reviewed supporting documentation for 18 of the 32 citizens' complaint investigations completed during this quarter to determine if OMI personnel or police personnel required any complainant to come to a city facility to file a complaint or provide a statement. Ample evidence existed, in the Case Investigation Checklist, to indicate that OMI personnel conduct interviews at complainants' and witnesses' homes, over the telephone, and by meeting individuals at locations convenient to them. Of the 18 cases reviewed this quarter, evidence existed in five cases suggesting that the office routinely makes itself available to citizens "in the field," either at alternative sites, the complainant's home, or over the telephone. The auditor reviewed attendance logs for OMI's quarterly meetings (May 16, 2001 through August 15, 2001), and reviewed the OMI manual to determine policy or procedural guidance relative to attendance at quarterly community meetings. Records maintained by OMI reflect that the office continues to attend public meetings.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.42 Compliance with Task 52: Notification to Senior Supervisors of Citizens' Complaints

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 52 requires the city to provide notification to senior supervisors of an accused officer who has been the subject of a complaint to OMI regarding use of force, improper search or seizure, or racial bias.

Methodology

Notification of supervisory personnel of citizens' complaints for officers under their command is accomplished through the PARS/OMS systems, and supervisors are held accountable for appropriate action in the quarterly COMPSTAR meetings. The city continues in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.43 Compliance with Task 53: Responsibility for Complaint Investigation

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 53 requires the city to ensure that responsibility for investigation of citizen complaints rests solely with OMI, to require OMI to monitor the progress of investigations, to require OMI to accept all complaints, to disallow the process of officers attempting to "settle" OMI complaints, and to require OMI to document all officer-initiated settlements of citizens' complaints.

Methodology

A review of all 32 of the completed OMI investigations for this quarter reveals no evidence to indicate that the city does not remain in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.44 Compliance with Task 54: Officers to Provide Name and Badge Number on Request

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 54 requires officers to provide citizens with their names or badge numbers, upon request. Section 101-4.06, "Conduct Toward the Public" requires that "when requested by any person, a member shall give his name and badge number in a courteous manner."

Methodology

The auditor reviewed a sample of 18 completed OMI cases for the sixteenth quarter (May 16, 2001 through August 15, 2001) to determine if allegations of failure to provide name and badge number were made to OMI and sustained by investigation. One allegation was completed this quarter, the same number received during last quarter. The complaint was not sustained. The bureau sustained one allegation of failure to provide name and badge number during the fifteenth quarter, and another during the sixth quarter. The bureau is judged to remain in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.45 Compliance with Task 55: Interview of Complainants at Alternative Sites

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 55 stipulates that OMI will interview witnesses at alternative sites if they are unavailable for interviews at OMI offices. The paragraph also requires reasonable notice before all interviews. Section 4-2(B) of the OMI manual stipulates that OMI will arrange to interview complainants "off-site," if necessary.

Methodology

The auditor reviewed completed OMI case investigations to determine if interviews were being conducted "off site." Among the 18 completed investigations assessed during this quarter, evidence of OMI investigators conducting interviews off-site (usually at the witnesses' homes) was noted. The frequency of these off-site interviews was high enough to indicate that these interviews were a normal practice for the office.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.46 Compliance with Task 56: OMI to Tape and Transcribe Interviews

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 56 requires OMI to tape-record and transcribe all interviews, and to refuse to accept "special reports" in lieu of an interview. Further OMI is required to reserve the right to question all interviewees, and to challenge their version of the facts.

Methodology

The OMI manual stipulates a "Tape Recorded Statement Form" and Section 4-2 stipulates that all statements will be tape recorded. Section 6-3 stipulates that all tape-recorded statements will be transcribed. The auditor reviewed 18 of 32 cases completed this quarter by OMI, based on a selection by the auditor's staff. These cases were reviewed to ensure that all interviews were tape-recorded and transcribed. With one exception, cases in which interviews were conducted after resolution of the Fraternal Order of Police's "test case" on this issue included transcriptions of OMI interviews of officers, witnesses or complainants. This exception involved a complaint in which two officers were named by the complainant, but no officer interviews were present in the case file. Nor were the officers' interviews noted in the case summary written by OMI. An omission in of one of 18 cases constitutes error rate of 5.5 percent, just outside the allowable margin of error for this task. The auditor views this lapse as serious, indicating a failure of management oversight of the investigative process. In keeping with the agreement of the parties, however, removing compliance from a task, once it has been reliably established, requires two consecutive quarters of non-compliance. Thus, the city is judged to remain in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance (under warning)

2.47 Compliance with Task 57: OMI Staff Access to PARS

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 57 stipulates that OMI staff should be provided access to the city's PARS. The manager of OMI, the intake coordinator and one investigator have been trained in the use of the PARS. The office currently has virtually unlimited access to OMS/PARS to prepare complaint histories, assignment histories, etc.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.48 Compliance with Task 58: OMI to Interview Supervisors at Scenes of Incidents Leading to Allegations of Misconduct

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 58 requires that OMI identify all supervisors and senior supervisors who were at the scene of events which result in allegations of misconduct, and to detail their handling of the situation during and after the alleged incident. The supervisors and senior supervisors will be interviewed concerning their observations of the complainant and the accused officers.

Methodology

Two of the 32 OMI case reports which were completed this quarter included an apparent indication that a supervisor was on the scene of the event. OMI investigators interviewed both of these supervisors, and the interview was included in the case file.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.49 Compliance with Task 59: OMI to Canvass for Witnesses

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 59 requires OMI to canvass the scene of an incident for witnesses "as soon as possible" after receiving a complaint where canvassing could "reasonably yield" additional information.

Methodology

The auditor reviewed 18 of 32 completed OMI cases for the sixteenth quarter (May 16, 2000 through August 15, 2001) to determine if OMI personnel were conducting canvasses as required by this paragraph of the decree. Four of these cases appeared to involve fact situations or locations in which a canvass would potentially produce witnesses. Three of the cases resulted in witness canvasses. The fourth did not, even though the case investigation plan called for a canvass. This is the fourth consecutive quarter in which OMI has had difficulties with witness canvasses. The last two quarters' problems involved "backlogged" cases, and were somewhat understandable. However, the office has been encouraged to pay special attention to this area of investigations for nearly a year. In the opinion of the auditor, it is absolutely critical to conduct canvasses when they appear to be potentially beneficial to an accurate outcome of an investigation. Continued problems in this area will result in withdrawal of operational compliance.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance (under warning)

2.50 Compliance with Task 60: OMI to Review Police Shootings

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 60 requires OMI to review all police firearms discharges, and all reports prepared by the coroner relating to deaths caused by police shootings.

Methodology

The auditor assessed, through departmental records, the number of police-involved shootings that occurred during the sixteenth quarter and found two, the same number as last quarter. Both of these cases were adequately reviewed by OMI investigators.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.51 Compliance with Task 61: OMI to Aggressively Investigate Allegations of Misconduct

	Q1	Q2	Q3	Q4	Q5	Q6	...	Q12	Q13	Q14	Q15	Q16			
Primary															
Secondary															
Operational															

Paragraph 61 requires that OMI investigators "aggressively" investigate allegations of misconduct, collecting themselves documents and information needed to resolve allegations of misconduct.

Methodology

The auditor reviewed 18 of 32 OMI investigations completed from May 16, 2001 through August 15, 2001, to assess the level of completeness of the investigations. The investigations were evaluated regarding complaint receipt and processing, case management, investigation and documentation, findings and determinations and reporting. Of the 18 investigations reviewed, all but two were found to have been appropriately investigated. These two cases are discussed in section 2.53, below.

An error rate of two of 18 cases constitutes an 88.9 percent compliance rate. OMI was declared out of compliance with Task 61 during the fifteenth quarter, and was warned concerning this task during the fourteenth quarter. The office was also warned concerning this task during the thirteenth quarter and again in the twelfth quarter. While some of these problems involved compliance rates near the required 95 percent level, in the opinion of the auditor, the office has demonstrated marginal performance over a broad enough period of time to warrant loss of its operational compliance status. Retraining in investigative standards, management practices, and in production of final investigative packets may also be warranted, given the fact that these errors have been appearing—sporadically—over a one-year period.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: Not In Compliance

2.52 Compliance with Task 62: OMI to Act on Behavior "Outside the Four Corners"

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 62 requires OMI to act on behavior it notices, during the course of an investigation, that is in violation of policy or procedure, but which may not have been a part of the original allegation. Commonly, these types of findings are labeled "outside the four corners" of the original complaint.

Methodology

Of the 18 investigations assessed for the sixteenth quarter, two involved potential allegations of "collateral misconduct." Both of these were completely investigated..

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.53 Compliance with Task 63: OMI to Issue Final Reports

	Q1	Q2	Q3	Q4	Q5	Q6	...	Q12	Q13	Q14	Q15	Q16			
Primary															
Secondary															
Operational															

Paragraph 63 requires OMI to issue final reports on all investigations. The final report is required to identify any misconduct noted, to provide a summary of evidence gathered, document credibility determinations, document findings, and identify the officer's complaint history. The final report is required to be part of the OMI investigative file.

Methodology

The auditor reviewed final reports of all 32 investigations completed by OMI between May 16, 2001 and August 15, 2001. In addition, the auditor reviewed supporting documentation for 18 of the 32 reports issued this quarter. Each of the investigative files contained a final report. The final reports were assessed for completeness, conformance to established practice in internal investigations, and conformance to the requirements of the consent decree. Of the 18 case reports reviewed this quarter, two were deemed to require additional investigative work.

- AQR16-C, which involved an allegation of failure to provide a badge number. This case indicates that the OMI manager requested a witness canvass, but none was documented as being completed in the case file.
- AQR16-D, which failed to document the police officers' statements in the investigative file or mention their interviews in the case report.

This constitutes an error rate of 11.1 percent, which obviously falls outside the allowable five percent error rate for completed investigations.

In addition, the auditor noted that nine officers who were the subject of OMI investigations this quarter had outstanding (unresolved) OMI investigations, many pending from 1997 or earlier. Many of these unresolved OMI investigations were for allegations similar to the allegations resolved during the sixteenth quarter. OMI is required by paragraph 63 of the consent decree to document credibility assessments and to discuss "the accused officer's complaint history." Numerous unresolved complaints were part of the accused officers' complaint history in cases completed by OMI during the sixteenth quarter. The office cannot readily evaluate that which has not been resolved, and thus compliance with Task 63 is affected by the backlog.

This is the fourth consecutive quarter in which the city has demonstrated problems in this task area. Accordingly, the City is judged not to be in compliance with the elements of this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: Not In Compliance

2.54 Compliance with Task 64: OMI to be Adequately Staffed

	Q1	Q2	Q3	Q4	Q5	Q6	...	Q12	Q13	Q14	Q15	Q16			
Primary															
Secondary															
Operational															

Paragraph 64 requires the city to provide OMI with "sufficient staff, funds and resources to perform the functions required" by the decree, and establishes requirements for selection as an OMI investigator.

Methodology

Adequate staffing for the Office of Municipal Investigations, as it relates to the requirements of the consent decree, is relatively easy to define: the office is adequately staffed when the number of completed cases equals the number of cases received by the office, over a protracted period of time. During the sixteenth quarter, the office completed 32 complaint investigations, and received 34. Substantive problems were noted with three investigations completed this quarter, leaving a total of 29 cases cleared and 34 received.. The total number of cases pending was increased by three this quarter. Of 599 cases originally included in the "backlogged" case files, according to OMI data, 212 of those have been completed. More than 64 percent of the original backlog, identified by the city, remains, although many of these complaints are lodged against officers no longer with the department, and a large percentage involve minor complaints. Nonetheless, these cases remain to be resolved.

This is the second quarter in the last three in which OMI has cleared fewer cases than it received. This appears to be due to both an increase in the number of complaints received, and a possible diminution in the rate at which cases are cleared. Pursuant to an agreement between the parties, once compliance has been attained, failure to comply for two quarters in a row will result in loss of compliance status.

A more troubling development must be reported this quarter, however. Based on information received during the sixteenth quarterly site visit, the city has disbanded the "backlog" case squad, sending most police officers assigned to the squad back to the bureau of police, and reassigning the supervising sergeant to other investigative duties within OMI.

The auditor views this as a most troubling development, directly threatening the city's ability to attain and retain compliance with a wide variety of requirements of the consent decree. For example, paragraph 42 of the decree requires promotions to be made in consideration of the officer's complaint history. It is virtually impossible to use "past complaint history" as an accurate element of promotional decisions unless the "history" is up-to-date. Thus the backlog affects more than OMI compliance. It also affects the ability of the police bureau to fully comply with the decree. See, for example, the discussion concerning past complaints in section 2.29.

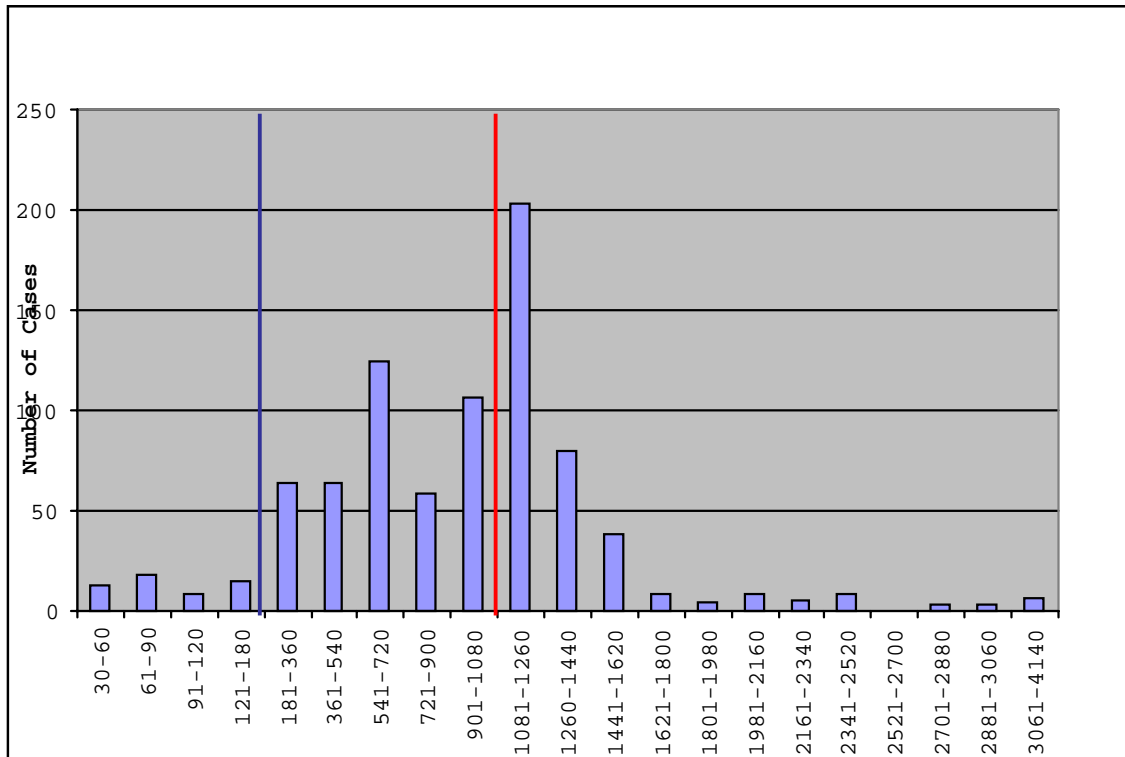
OMI is required by paragraph 63 of the consent decree to document credibility assessments and to discuss "the accused officer's complaint history." Numerous complaints currently classified in the backlog cases were part of the accused officers' complaint history in cases completed by OMI during the sixteenth quarter. The office cannot readily evaluate that which has not been resolved, and thus compliance with Task 63 is affected by the backlog.

Further, analysis of the existing backlog, based on records provided by the city, indicates a troubling potential for a second "backlog" problem, as well as the known, existing backlog. The auditor's analysis of electronic data from the OMI database indicates a total of 253 investigations pending more than 180 days, but less than 360 days. These investigations are at risk of becoming seriously backlogged, making the possibility of locating witnesses, complainants and evidence much more difficult. Current workload indicators for OMI suggest that a case load of 10 investigations per investigator per quarter places the staff at the limit of its effective throughput. While overall quality of investigations is acceptable, the auditor is beginning to note some quality problems with more recent investigations (see sections 2.46, 2.49, 2.51 and 2.53, above). To investigate these pending 253 cases prior to their becoming seriously backlogged, i.e., more than two years old, would require substantial increases in the available number of OMI investigators. The office has an additional 165 cases which are currently more than two years old that could potentially be productively investigated if resources were available. The remaining 367 open cases range in age from 10 years to three years, with most (203) in the three to three and one-half year range. Figure One, below, depicts the number of outstanding (unresolved) OMI cases in 180 day increments of days pending, effective September, 2001. Cases between the blue and red vertical lines, in the opinion of the auditor, are cases in jeopardy of being lost to effective investigation techniques

While the City has committed itself to a plan of action that offers the potential to resolving the issue of the case backlog (transferring one full-time attorney to the OMI process, committing to hiring one additional full-time civilian, and transferring one full-time paralegal to "triage" backlogged cases, and requesting

funding for six additional investigative positions, and other revisions) the City cannot be audited on the basis of its plans. As of now, it is clear that OMI is understaffed, and the present backlog of cases has the potential to reduce hundreds of cases to cases which will soon not be amenable to complete investigations.

Figure One: Length of Pending OMI Investigations, In Days



Status: Primary: Not in Compliance
 Secondary: Not In Compliance
 Operational: Not in Compliance

2.55 Compliance with Task 65: OMI to Use the Preponderance of Evidence Standard

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary	Blue												
Secondary	Yellow	Yellow											
Operational	Yellow	Yellow	Yellow	Yellow									

Paragraph 65 requires OMI to use the preponderance of the evidence standard in determining findings on cases assigned for investigation.

Methodology

The auditor reviewed 18 of 32 OMI investigations completed this quarter, and found all to conform to the preponderance of the evidence standard. The city is judged to remain in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.56 Compliance with Task 66: No Preference for Officers' Statements

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 66 stipulates that "there shall be no automatic preference of an officer's statement over a complainant's statement," and further requires that OMI investigators shall consider the officer's history of complaints and disciplinary records and the complainant's history in making credibility determinations, which shall be explained fully in writing.

Methodology

The auditor reviewed 18 of the 32 investigations of citizens' complaints completed during the sixteenth quarter for conformance to this requirement. None of the completed investigations appeared to exhibit an automatic preference for police officers' statements over those of witnesses. The city remains in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.57 Compliance with Task 67: OMI Retains Final Investigative Authority

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 67 stipulates that OMI will retain final authority for investigations of police personnel. It stipulates that OMI retains final authority for determining findings and dispositions of all investigations, and specifically precludes supervisors and senior supervisors from modifying or reversing any OMI disposition of complaints.

Methodology

The auditor reviewed all OMI investigations completed between May 16, 2001 and August 15, 2001, searching for a case that resulted in a finding which was "reversed" by a supervisor or senior supervisor. No such cases were found. The city is judged to remain in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.58 Compliance with Task 68: Change "Not Sustained" to "Not Resolved"

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 68 requires the city to change the OMI disposition category of "Not Sustained"

Methodology

The auditor assessed all completed OMI investigations for the period of May 16, 2001 to August 15, 2001 to determine if the disposition of "Not Resolved" was

appropriately used. None was found. The office is judged to remain in compliance with task 68.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.59 Compliance with Task 69: OMI to Issue Quarterly Reports

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 69 requires OMI to issue quarterly reports on its activities. The report is required to list each investigation’s significant dates, general allegations, disposition and resulting discipline.

Methodology

The auditor reviewed the last quarterly report completed by OMI for conformance to the requirements of paragraph 69, and found that the report met the requirements of the decree.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.60 Compliance with Task 70: Appoint Auditor within 90 Days

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 70 requires the appointment of an auditor for the consent decree by July 16, 1997.

Methodology

Conformance with this paragraph is measured by noting the date of the auditor's appointment. A contract for the audit was issued, dated December, 4 1997, and has been updated annually. The city is in compliance with the process of appointing the auditor, although tardy in doing so. For the purposes of the audit, the city is considered to be in operational compliance.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.61 Compliance with Task 71: Auditor to Perform Quarterly Assurance Checks

Paragraph 71 requires the auditor to perform quarterly assurance checks of the following:

- OMI final reports;
- Substance and timeliness of 50 percent of all OMI investigations completed;
- Statistical information on the number and types of complaints filed with OMI;
- Statistical information on discipline imposed on sustained complaints;
- Assessments of officer use of force, searches and seizures, and traffic stops.

Methodology

Quarterly assurance checks of OMI final reports are provided in section 2.51, above. Comments regarding substance and timeliness of OMI investigations are included in sections 2.37, 2.43, 2.62 and elsewhere in this quarterly report. Sufficient data now exist to allow comment on statistical information regarding the number and type of complaints filed with OMI, and discipline imposed on sustained complaints. The following sections report statistical information regarding the operation of the Office of Municipal Investigation. Data reported in this section involve citizens' complaints only.

Number and Type of Complaints Filed

Complaints filed with OMI over the last 16 quarters fall into three categories:

- Type 1 (allegations of rules violations);
- Type 2 (allegations relating to attitude and conduct); and
- Type 3 (allegations of abuse).

Type 1 allegations include failure to perform, neglect of "ministerial" duties, inaccurate reporting, violation of departmental orders such as those regulating secondary employment, minor events of conduct unbecoming an officer, etc. Type 2 allegations include intentional mishandling of property or evidence, intermediate acts of conduct unbecoming (such as rudeness and poor attitude), conduct of self assigned investigations, and failure to perform or neglect of duty "on scene." Type 3 allegations include allegations of excessive force, illegal search, racial discrimination, intimidation, untruthfulness and verbal abuse. Table One, below, depicts the number and type of citizens' complaints received by OMI during the fourteen quarters covered by the consent decree.

Table One: Complaints Received by the Office of Municipal Investigations,
1st through 16th Quarters (1997-2001)

Quarter	Type 1	Type 2	Type 3	Total
1	18	9	26	53
2	22	15	39	76
3	33	32	59	124
4	42	19	84	145
5	33	18	58	109
6	8	12	24	44
7	25	1	15	41
8	14	16	13	43
9	39	0	35	74
10	39	60	48	147
11	18	27	41	86
12	14	0	14	28
13	5	30	7	42
14	4	11	15	30
15	16	8	32	56
16	12	6	16	34
	342	262	526	1132

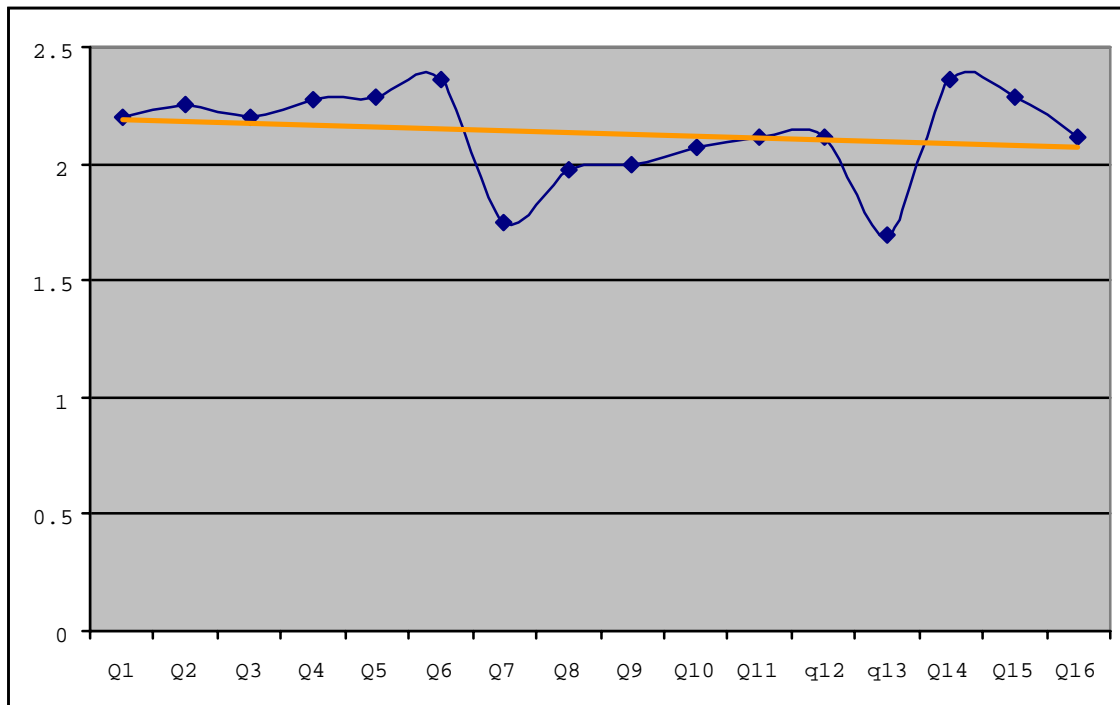
Source: Electronic database provided by City of Pittsburgh, CIS.

Average Complaint Severity

Using the same typology outlined above, the average severity of citizens' complaints received by the Office of Municipal Investigations can be calculated for the sixteen quarters covered by this report. The average (mean) severity of complaints filed with the office are represented in Figure Two, below. As the figure indicates, the average severity of complaints has dropped since the

beginning of the consent decree The orange line in Figure Two (and other figures depicted in this report) is a linear regression analysis, designed to allow the reader to determine the "trend line" for a given set of data. This trend line shows a steady decline in the severity of complaints filed with the city.

Figure Two: Average Severity
Of Citizens' Complaints, Quarters 1-16



Disposition of Citizens' Complaints

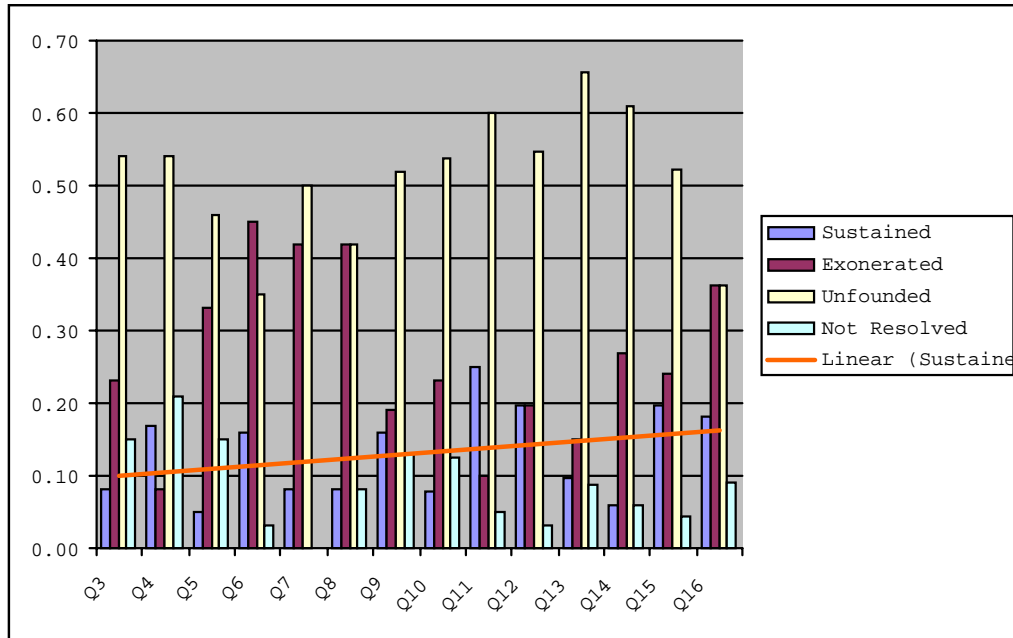
Complaints investigated by OMI are classified, upon completion, as one of four disposition categories:

- Exonerated (evidence indicated that the event occurred, but that the officer was acting in conformance with the law or PBP policy);
- Not Resolved (not enough information was available to prove or disprove the allegation);
- Sustained (evidence indicated that the allegations were true); or
- Unfounded (evidence indicated that the allegations did not occur).

Figure Three, below, depicts the rates at which OMI resolved the complaints received during the first sixteen quarters covered by this report The percentage

of sustained complaints appears to have risen gradually over the sixteen quarters, as depicted by the orange “trend line” depicted in Figure Three.

Figure Three: Resolved Complaints by Disposition, by Quarter (1997-2001)



Source: Electronic database provided by City of Pittsburgh, CIS and calculations by the auditor.

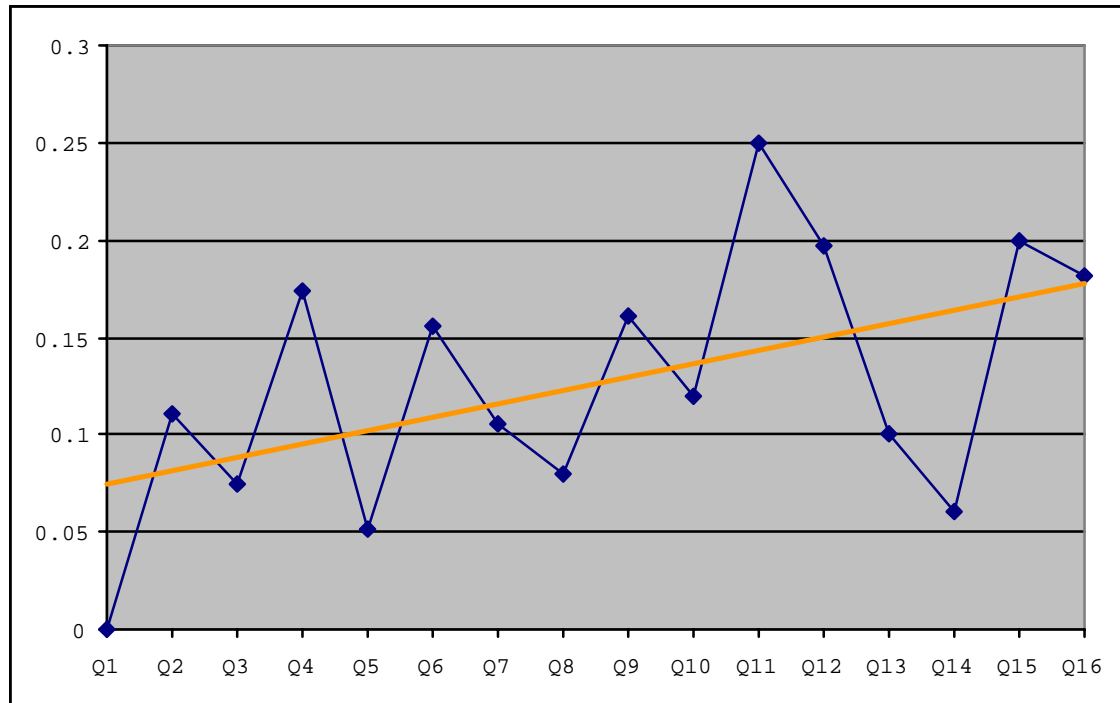
Rate of Sustained Complaints

The rate at which the Office of Municipal Investigations sustained citizens' complaints are reported in Figure Four, below. The data depicted in Figure Four were calculated by determining the number of complaints investigated by OMI during each quarter that were resolved with a “sustained” finding, and comparing that number with the number of complaints that quarter that were resolved with any finding other than “sustained.”

Figure Four reports the percentage of complaints, by quarter, which were sustained as a result of the OMI investigation. As with other data reported in this section, Figure Four deals only with investigations of complaints filed by citizens. Complaints investigated by OMI as a result of an internal infraction referred to OMI by the Bureau of Police are not included in these analyses. The precipitous drop in the rate of sustained complaints, at times observable in these data, may

be, in part, attributable to the inclusion of “backlog” cases in cleared cases each quarter. Some of these “backlog” cases were three years old. Obviously, it is difficult to locate witnesses and to clearly determine facts in older cases.

Figure Four: Rate of Sustained Citizens' Complaints
By Quarter (1997-2001)



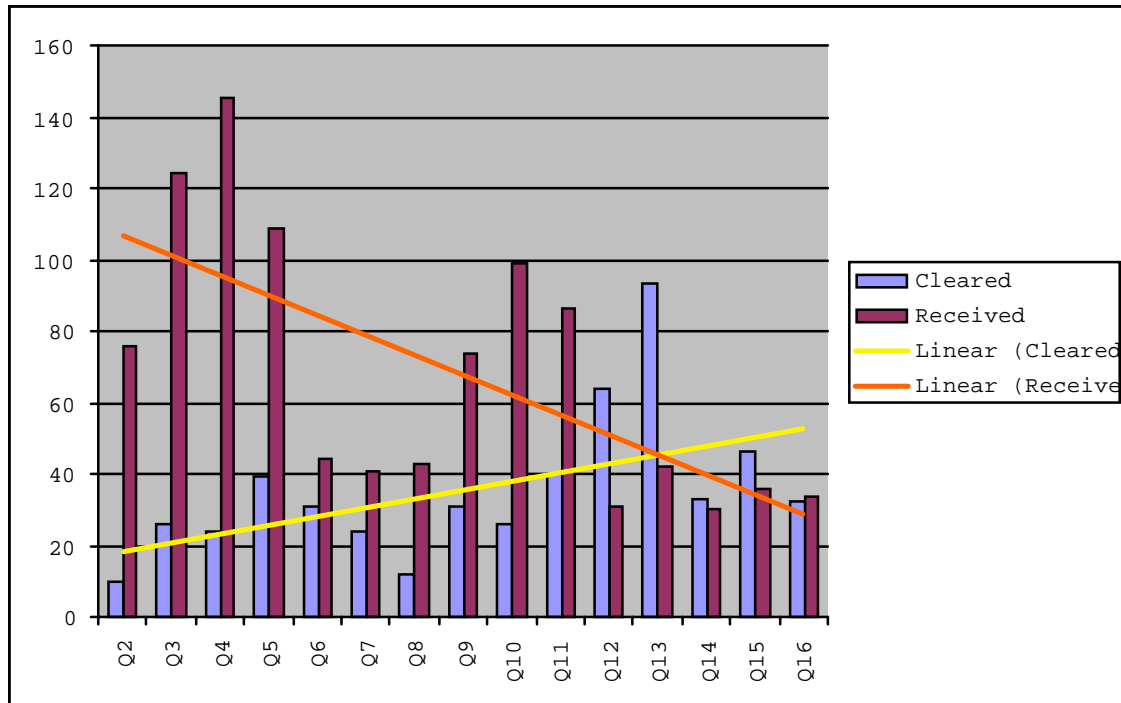
Source: Electronic database provided by City of Pittsburgh, CIS and calculations by the auditor.

Complaints Received and Complaints Cleared

The number of citizens' complaints received by OMI during the last sixteen quarters, compared to the number of complaints resolved by the office is reported in Figure Five, below. As with all other data reported in this section, these data are also calculated using data provided by the city and “cleaned” by the auditor's staff.

Figure Five reports two categories of data for the sixteen quarters covered by this report. The first category reported identifies the number of citizens' complaints received by the Office of Municipal Investigations (either by person, telephone, mail or anonymously). The second category reported identifies the number of complaints resolved by OMI investigation.

Figure Five: Received v. Cleared Complaints
By Quarter (1997-2001)



Source: Electronic database provided by City of Pittsburgh, CIS and calculations by the auditor.

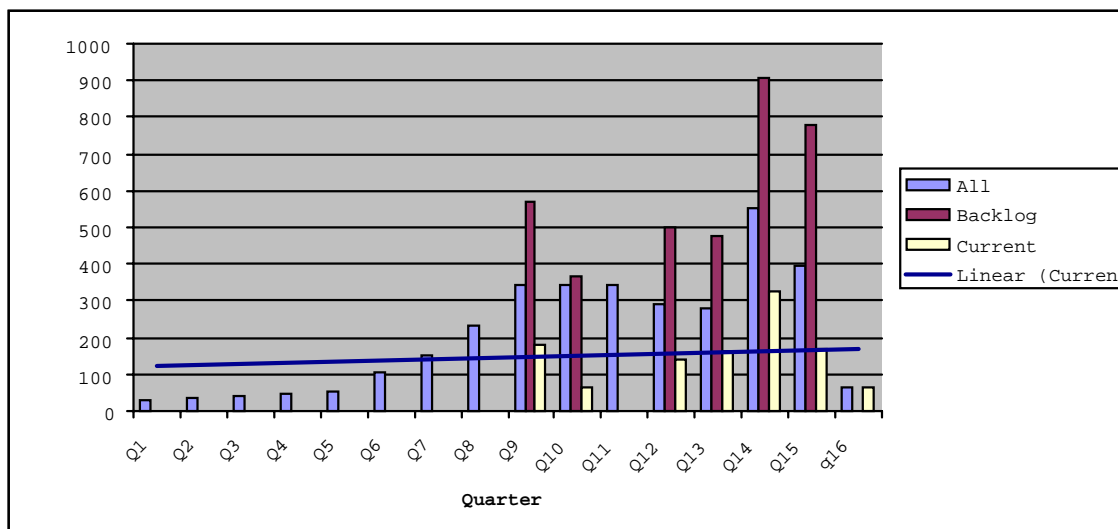
Length of OMI Investigations

Data necessary to calculate the length of OMI investigations for the sixteenth quarter were developed using city electronic databases. Data reflecting the average time required to complete an OMI investigation are reflected in Figure Six, below. Overall, the length of time for completing current investigations is increasing slightly, from just over 150 days in the ninth quarter (the quarter the backlog squad was initiated) to slightly less than two hundred days in the sixteenth quarter (as represented by the linear regression in Figure Six). The actual average number of days required to investigate current and backlogged cases is depicted in Table Two, below.

Table Two: Average Days to Complete OMI Investigations, Quarters Nine-Sixteen¹

	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16
All	342	343	342	293	277	555	395	65
Backlogged	568	366		498	478	908	780	0
Current	182	64		141	165	326	170	65

Figure Six: Average Number of Days Required to Complete OMI Investigations¹



2.62 Compliance with Task 72: Auditor to Recommend Reopening of Incomplete OMI Investigations

Paragraph 72 requires the auditor to “reopen” investigations which are deemed to be incomplete. Further, the auditor is required to provide written directions on steps that should be taken to complete the investigation.

Methodology

¹ Data for the eleventh quarter were not available.

The auditor has reviewed all 32 final reports of OMI investigations of citizens' complaints completed between May 16, 2000 and August 15, 2001. In addition, the auditor conducted a comprehensive review of supporting documentation for 18 cases completed during this time frame. Of those 18 cases, three were remanded to the Office of Municipal Investigations for additional work. These cases are described in section 2.51, above.

2.63 Compliance with Task 73: City to Prepare Progress Reports

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 73 of the decree requires the city to prepare a status report 90 days after entry of the decree, e.g., July 16, 1997, and every six months thereafter. The first report was issued July 11, 1997; the second was issued January 16, 1998. The third was issued in July, 1998, etc. The auditor has reviewed each of these progress reports. The city remains in compliance with the requirements of task.

2.64 Compliance with Task 74: City to Maintain Records Necessary Methodology

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

All records requested by the auditor were provided in a timely fashion. The city is judged to remain in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.65 Compliance with Task 75: Unrestricted Access for Auditor

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 75 requires the city to provide the auditor with unlimited access to PBP records relating to the decree and conformance thereto. Further, access to all staff and facilities as needed to effectively monitor the decree is also required.

Methodology

The auditor experienced unlimited access during audit processes for the sixteenth quarter.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.66 Compliance with Task 76: Unrestricted Access for Justice

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 76 requires the city to provide the Department of Justice with access to documents, databases, and other data necessary to evaluate compliance with this decree. Further, it requires access to staff and facilities upon appropriate notice.

Methodology

No changes in the access for Justice was noted this quarter. The city remains in compliance with this task.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.67 Compliance with Task 77: Copies of Consent Decree to All Officers

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13
Primary													
Secondary													
Operational													

Paragraph 77 of the decree requires the city to provide copies of the consent decree to all officers, and to explain the terms of this decree to all current and future officers, OMI employees, and all DPS employees with oversight or responsibility for PBP operations All such individuals are further required to sign a statement indicating that they have received, read and understand the statement The city is required to retain these statements

Methodology

The auditor has reviewed signature records retained by the city acknowledging receipt, reading and understanding of the decree. These have been signed by all supervisors, senior supervisors, command personnel, OMI personnel, and appropriate individuals at the Department of Public Safety. A video has been developed explaining the consent decree, and all on-duty sworn personnel have viewed the video. The auditor has reviewed the video, and has found that it adequately explains both the letter and spirit of the decree, as well as the city’s approach to compliance Currently, the department has trained all current active-duty officers, and received officer signatures stating understanding of the decree, except for those on extended leave or otherwise not available

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: In Compliance

2.68 Compliance with Task 78: 90 Day Timeline for Conformance

	Q1	Q2	Q3	Q4	Q5	Q6	...	Q12	Q13	Q14	Q15	Q16			
Primary															
Secondary															
Operational															

Paragraph 74 establishes a default timeline of 90 days for conformance to all provisions not specifically given another timeline by the decree

Methodology

Each of the separate provisions of the decree is assessed for compliance to established timelines in the pages above. With the passage of April 16, 1998, an additional set of tasks came “on-line,” those involving automation of the PARS. The city is currently in primary compliance with 73 of the 74 provisions to which the city should have complied by now. The city is in secondary compliance with 73 of the 74 provisions due as of August 15, 1998. It is in operational compliance with only 70 of the 74 tasks, due as of August 15, 1998. Issues with the quality of OMI investigations have caused the office to fall out of compliance with four tasks this quarter.

Status: Primary: In Compliance
 Secondary: In Compliance
 Operational: Not In Compliance

3.0 Summary

The sixteenth quarter is a troubling quarter, serving as a potential precursor to serious difficulty in maintaining compliance with many aspects of the consent decree. The city is judged to be out of compliance with three tasks this quarter, including:

- Task 61: OMI to aggressively investigate allegations of misconduct. Three of 18 cases reviewed by the auditor this quarter had investigative process problems. An error rate of two of 18 cases constitutes an 88.9 percent compliance rate. OMI was declared out of compliance with Task 61 during the fifteenth quarter, and was warned concerning this task during the fourteenth quarter. The office was also warned concerning this task during the thirteenth quarter and again in the twelfth quarter. While some of these problems involved compliance rates near the required 95 percent level, in the opinion of the auditor, the office has demonstrated marginal performance over a broad enough period of time to warrant loss of its operational compliance status. Retraining in investigative standards, management practices, and in production of final investigative packets may also be warranted, given the fact that these errors have been appearing—sporadically—over a one-year period.
- Task 63: OMI to issue final reports. The office produced 32 final reports during the sixteenth quarter; the auditor reviewed 18 of those reports. A total of two of the reports had substantial problems, requiring the auditor to return the cases for additional work. The problems noted with investigations during the sixteenth quarter are similar to those noted in the previous four quarters for this task. Difficulty with this task appears to be a result of caseloads which are approaching or exceeding the maximum level of effectiveness.
- Task 64: OMI to be adequately staffed. During the sixteenth quarter, the office completed 32 complaint investigations, and received 34. Substantive problems were noted with three investigations completed this quarter, leaving a total of 29 cases cleared and 34 received.. The total number of cases pending was increased by three this quarter. A more troubling development must be reported this quarter, however. Based on information received during the sixteenth quarterly site visit, the city has disbanded the “backlog” case squad, sending most police officers assigned to the squad back to the bureau of police, and reassigning the supervising sergeant to other investigative duties within OMI. The auditor views this as a most troubling development, directly threatening the city’s ability to attain and retain compliance with a wide variety of requirements of the consent decree.

Further, analysis of the existing backlog, based on records provided by the city, indicates a troubling potential for a second “backlog” problem, as well as the known, existing backlog. The auditor’s analysis of electronic data from the OMI database indicates a total of 253 investigations pending more than 180 days, but less than 360 days. These investigations are at risk of becoming seriously backlogged, making the possibility of locating witnesses, complainants and evidence much more difficult. The office has an additional 165 cases which are currently more than two years old that could potentially be productively investigated if resources were available. The remaining 367 open cases range in age from 10 years to three years, with most (203) in the three to three and one-half year range.

- Task 78: 90 day timeline for conformance. The decree envisioned complete compliance by the city within 90 days of its implementation, or by July 16, 1997. More than four years later, the city remains out of compliance with four of the 74 tasks to which it committed in April, 1997. In addition, the city is “under warning” on three additional tasks: Task 56, “OMI to Tape and Transcribe Interviews;” Task 58, “: OMI to Interview Supervisors at Scenes of Incidents Leading to Allegations of Misconduct;” and Task 59, “OMI to Canvass for Witnesses.”

Two serious problems appear to be crystallizing.

- First, the already troubling issue of backlogged cases has been exacerbated by reassignment of personnel committed to clearing the backlog. A second pending backlog is looming. Resolution of the backlog issue (and avoidance of the second wave of backlogged cases) is, in the opinion of the auditor, simply not possible with the number of staff currently assigned to OMI.
- Second, it appears that the staff assigned to investigation of current cases appears to be suffering under a workload that is at the very upper levels of effectiveness.

The issues in OMI are not simply contained within that unit. The requirements stipulated in these six tasks are intended to serve as tools for effective management of the police bureau. To the extent that they are not met, the result is potentially reduced effectiveness of the police bureau.