2021 Performance Evaluation Audit

April 2022

PUBLIC VERSION

Report # PE042022

Submitted by PSAB: April 13, 2022

Audit Team
This audit was managed and conducted by the Audit and Review Unit of the Professional Standards and Accountability Bureau

Executive Summary

The Audit and Review Unit (ARU) of the Professional Standards and Accountability Bureau (PSAB) completed the 2021 Performance Evaluation Audit in April 2022. Performance Evaluations are conducted to ensure that officers who police effectively and ethically are recognized through the performance evaluation process, that officers who lead effectively and ethically are identified, and receive appropriate consideration for promotion. The performance evaluation ensures that poor performance or policing that otherwise undermines public safety and community trust is reflected in officer evaluations so that NOPD can identify and effectively respond. Performance Evaluation Audits are conducted to ensure officer performance is effectively documented and memorialized daily and annually. This process is regulated by Chapter 13.34 – Evaluations of Employees, of the New Orleans Police Department's Operational Manual. In addition, Chapter 35.1.9 – Insight is used as a reference.

This audit, conducted from April 6, 2022 to April 20, 2022, was completed using the latest Performance Evaluations Protocol regarding the NOPD specific evaluation process. The audit addresses all sections of the NOPD specific performance evaluations, including: Narrative Section (reporting, decision making, safety, community engagement and problem solving); Insight Section; Performance Section; and Supervisor Section (if the person being evaluated is a supervisor).

Scores of **95%** or higher are considered substantial compliance. Noted deficiencies should be addressed with regard to supervisors writing more meaningful and effective evaluations with specific training through In-service Training classes, targeted in person training, or Daily Training Bulletins (DTBs). This training should be reinforced annually by close and effective oversight, in addition to Supervisor Feedback Logs entries.

The overall composite score for the Performance Evaluation Audit is **82%.**

The 5 sections audited by ARU include the following:

- Narrative Composite Score: Includes Q1 – Q4b: **52%**
  - Q1 through Q4b scored non-compliant.
- Insight Composite Score: Includes Q5a – Q5h: **97%**
  - Q5d and Q5e scored non-compliant.
- Performance Composite Score: Includes Q6 – Q9: **72%**
  - Q6, Q8a, and Q8b scored non-compliant.
- Supervisor Composite Score: Includes Q6 – Q9: **92%**
  - Q10.1 through Q10.2C and Q10.3 and Q10.4 scored non-compliant.
- Other Composite Score: Includes Q6 – Q9: **90%**
  - BWC, Self-Assessments, employee and reviewing signature, Employee Summary Report attachment (ESR) scored non-compliant.

While the performance evaluation scores still fall short, the overall 2022 audit score improved versus 2021, from **69% to 82%.** More detailed results are located in the Scorecards and Conclusion sections.

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Introduction

The Audit and Review Unit of the Professional Standards and Accountability Bureau conducted a performance evaluation audit in March of 2021.

Purpose

The Performance Evaluation audit is conducted to determine whether officers are being recognized for effective and ethical policing through the performance evaluation process. Conversely, this audit further determines and documents whether an officer's performance is poor and otherwise undermines public safety and community trust. Performance evaluations are not only regulated by Chapter 13.34 Performance Evaluations, but also by the following NOPD Operations Manual chapters:

Chapter 13.03 Personnel Files
Chapter 13.27 Professional Performance Enhancement Program (PREP)
Chapter 13.27.1 Job Performance Improvement Plan (JPIP)

This list is not all inclusive.

Objectives

By applying the attached audit form as a rubric, the auditor qualitatively assessed the auditing data to determine whether Performance Evaluations substantively met the requirements of policy. Auditors compared the questions on the Performance Evaluation Audit Form to NEOGOV evaluation responses, EPRs, Body-worn Camera Footage, Supervisor Feedback Log, INSIGHT, Search Warrant Logs, and Audit and Review Unit Data. Auditors did not randomly select BWC recordings for verification, rather auditors accessed BWC recordings for incidents referenced in performance evaluations to verify the performance reviewer's substantive findings.

Methodology

Auditors qualitatively assessed performance evaluations using the audit forms for each of the sections (Narrative Section; Insight Section; Performance Section; and Supervisor Section) of the Performance Evaluation Audit (see Appendix A). Auditors analyzed the following data sources:

1. NEOGOV Perform NOPD Specific Annual Evaluations
2. Electronic Police Reports (EPR)
3. Body-worn Camera (BWC) recordings
4. Supervisor Feedback Log (SFL)
5. INSIGHT
6. Search Warrant Logs
7. Audit and Review Unit Data

All documents and related incidents that are in the sample and are not audited must be deselected. All deselections are recorded in the Deselection Log. A review of the Deselection Log shows there were 3 entries for this audit that were deselected.

1. One officer was a provisional Captain for 2021 and therefore was deselected from sample.
2. One officer separated prior to audit. Another evaluation was substituted.
3. One supervisor separated prior to evaluation completion and the evaluation was left blank.

Auditors read the guidance in the audit forms on a regular basis. The first tab in the audit tool contains general guidelines for auditing specific examples of the performance evaluation.

1. To be specific, examples MUST have item numbers, or date and time, or must describe a single event.
2. All item numbers MUST be explained (listing an item number is not enough).
3. If the supervisor references a video, the time the relevant action occurred MUST be listed.
4. Examples MUST include analysis (a description of the impact of the action, or a description of why the action was a good example).
5. Examples should NOT be of routine actions.
6. The reader should NOT have to use the item number to find the related reports or videos to understand why the item number was listed.

Changes to audit forms are clearly communicated to auditors by the audit supervisor. Auditors re-read policies when guidance in audit forms recommend they do so or when the policy requirements are not clear enough to the auditor to allow him/her to confidently score an audit criterion.

When audit results require comments, auditors thoroughly explain the evidence they observed that led to their determination of the result for the audit criteria in question. Drawing on their knowledge of NOPD policies, auditors note any policy violations they observe that are not specifically addressed in the audit tools in the "Auditor Comments" section of the form.

Initiating and Conducting the Performance Evaluation Audit

By applying the audit forms as a guideline, the auditors qualitatively assessed the Supervision data to determine whether performance evaluations substantively met the requirements of policy.

1. Auditors compared the questions on the Performance Evaluation Audit Form to NEOGOV evaluation responses, EPRs, Body-worn Camera Footage, SharePoint Supervisor Feedback Log, INSIGHT, Search Warrant Logs, Audit and Review Unit Data, and SharePoint Reporting Supervisor Report. Auditors did not randomly select BWC recordings for verification, rather auditors accessed BWC recordings for incidents referenced in performance evaluations to verify the performance reviewer's substantive findings.
2. Auditors then documented their answers to audit questions on the Performance Evaluations Audit Form.
3. The evaluation encompasses four sections (Performance Evaluation Audit Question Numbers):
    a. Evaluation Exists
        i. Auditors determined whether an evaluation existed
    b. Narratives (1-4b)
        i. Auditors reviewed evaluation responses related to written documents, decision-making skills, safety, community policing and community engagement.
        ii. Auditors checked to ensure at least two specific examples are included in each response. Each specific example must include (1) item number(s), if applicable, (2) date and time of single event or time stamps for body-worn camera recordings and (3) a detailed account of incident.
    c. Insight Documentation (5a-5h):
        i. Insight is an early warning data system used to document, analyze, and provide feedback on employee performance.
        ii. Auditors verified evaluation responses related to attendance, training, complaints, secondary employment, and awards/commendations based on data from Insight's Employee Activity and Summary Reports.
    d. Performance Details (6-9)
        i. Auditors reviewed evaluation responses related to search warrants, non-compliance, quarterly check-ins/areas of growth and improvement and bilingual pay.
        ii. Data was verified by using Search Warrant Logs, Audit and Review Unit raw data, Insight, and the Authorized Interpreter's list.
        iii. All non-compliance and exceptional performance require documentation in evaluations.
        iv. Auditors compared evaluation responses related to search warrants to the Search Warrant Log and the Supervisor Feedback Log.
        v. Auditors compared evaluation responses of non-compliance related to stops, pat-downs and arrest to PSAB's raw data and the Supervisor Feedback Log.
        vi. Auditors verified evaluation responses related to quarterly check-ins included (1) dates of quarterly meetings with subordinate and (2) descriptions of areas of growth and improvement discussed during the meetings.

vii. Auditors verified bilingual employee pay with Authorized Interpreter's records.

e. Supervisor's Evaluation Statement (10.1-10.4):
    i. Auditors verified evaluation responses completed by rated supervisor on his/her random direct report.
    ii. Data verification is located in a direct report's evaluation, Supervisor Feedback Log, Insight and Reporting Supervisor Report.
    iii. The supervisor's evaluation statement section includes a review of how the supervisor (1) addressed and deterred misconduct, (2) identified patterns in Insight, (3) addressed non-compliance and (4) described direct reports ability and effectiveness in conducting supervisory reviews.

4. The evaluation encompasses four sections (Performance Evaluation Audit Question Numbers):
    a. Narratives (1-4b)
    b. Insight Documentation (5a-5h)
    c. Performance Details (6-9)
    d. Supervisor's Evaluation Statement (10.1-10.4)

Note: The audit includes an "Other" section consisted of the following:

a. BWC references
b. SVS interactions
c. Signatures (3 levels)
d. Self-Assessment attachments
e. Employee Summary Reports

The total number of performance evaluations reviewed was **73.** Once the auditors entered their audit results into the auditing database, the compliance rate for each of the requirements was determined. This final report documents whether the compliance rate for each requirement met the threshold for substantial compliance (95%).

2021 Audit Exceptions

During the 2021 Performance Evaluation completion period (Jan. 4 – March 31, 2022) there were some administrative changes that occurred which prevented the completion of signature steps in the evaluations. Because of this change, this Division Commander's signature was skipped in the process and auditors were instructed to deem these evaluations with only his missing signature "Complete". NOPD's INSIGHT system was updated in 2021 to INSIGHT 2.0. During this update the Employee Summary Report generates the employees' information with two options. Supervisors can review and upload the data for either 18 months or four quarters. Auditors were instructed to accept the 18-month range of information as compliant due to the system process as long as the supervisors referenced information that occurred in 2021 and not from 2020.

Reviews - Scorecards

Audit results data in Excel spreadsheet, raw data based on individual questions on the 2020 Performance Evaluation Audit Forms.

Supervisor Performance Evaluation 2022 Table — **Review Period: 2021 Annual**

Compliance percentages for supervisor performance evaluation requirements

	Check-List Questions	Score	Y	N	U	NA	Consent Decree #	NOPD Policy Chapters
	NARRATIVE (Q1 - Q4B)	**52%**	169	155	-	41		
1	Did the supervisor include at least 2 specific examples for Q1 (written quality reports)?	49%	33	35	0	5	CD ¶296.i, CD ¶298	Ch 13.34 p3, p36, p50
2	Did the supervisor include 2 specific examples for Q2 (Decision Making)?	61%	44	28	0	1	CD ¶296.j, CD ¶303.e, CD ¶298	Ch 13.34 p3, p36, p50
3	Did the supervisor include at least 2 specific examples for Q3 (Safety)?	41%	28	41	0	4	CD ¶296.g, CD ¶298	Ch 13.34 p3, p36, p50
4A	Did the supervisor include at least 2 specific examples for Q4 with at least one example that is not related to community meetings or toy drives?	64%	38	21	0	14	CD ¶296.a, CD ¶298	Ch 13.34 p3, p36, p50
4B	Did the supervisor include at least 2 specific examples for Q4B (Problem Solving)	46%	26	30	0	17	CD ¶296.b, CD ¶303.a, CD ¶298	Ch 13.34 p3, p36, p50
	INSIGHT (Q5A - Q5H)	**97%**	558	18	-	8		
5A	Did the supervisor verify compliance with attendance policies as reported in Insights Employee Activity Report?	100%	72	0	0	1	CD ¶296.e, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5B	Did the supervisor verify the employee completed all required training as reported in Insight's Employee Summary Report?	100%	72	0	0	1	CD ¶296.h, 300, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5C	Did the supervisor verify the employee did not have any violations of bias-free policing as reported in Insight's Employee Summary Report?	97%	70	2	0	1	CD ¶296.e, CD ¶303.c, 151, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5D	Did the supervisor verify the employee did not have any citizen complaints as reported in Insight's Employee Summary Report?	89%	64	8	0	1	CD ¶296.c, CD ¶303.b, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5E	Did the supervisor verify the employee did not have any supervisor initiated complaints as reported in Insight's Employee Summary Report?	94%	68	4	0	1	CD ¶296.c, CD ¶303.b, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5F	Did the supervisor verify the employee did not have any discipline levied against him/her as reported in Insight's Employee Summary report?	99%	71	1	0	1	CD ¶296.d, CD ¶303.d, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5G	Did the supervisor verify the employee did not have any violations of the Secondary Employment Policy as reported in Insight's Employee Summary Report?	99%	71	1	0	1	CD ¶296.f, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
5H	Did the supervisor dcoument any awards and/or commendations received by the employee as reported in Insight's Employee Summary Report?	97%	70	2	0	1	CD ¶296.c, 316, 319	Ch 13.34 p46; Ch 35.1.9 p1-2
	Performance (Q6 - Q9)	**72%**	247	96	-	22		
6	Did the supervisor describe the quality and accuracy of any search warrants written by the employee, as documented in the Search Warrant Log?	93%	63	5	0	5	CD ¶296.e, 137, 146	Ch 13.34 p46; Ch 35.1.9 p1-2
7	Did the supervisor list all non-compliance documented in raw data for stops, pat-downs, and/or arrests scorecards, as distributed by the Audit and Review Unit?	100%	66	0	0	7	CD ¶297, 151	
8A	Did the employee list dates of ALL quarterly check ins that occurred during the reporting year?	36%	25	44	0	4	CD ¶298-299, 316, 319	Ch 13.34 p25-p34
8B	Did the employee briefly describe discussions during each check-in related to areas of growth and challenges?	31%	21	47	0	5	CD ¶298, 316, 319	Ch 13.34 p25-p34
9	Did the supervisor accurately record whether the officer receives bilingual pay?	100%	72	0	0	1	CD ¶297, 189.1	
	Supervisor Specific (Q10.1 Q10.4)	**92%**	217	19	-	275		
10.1	Did the reporting supervisor describe how the employee deterred and/or addressed misconduct?	91%	30	3	0	40	CD ¶296.c, CD ¶299, 313	
10.2A	Did the employee conduct regular reviews of Insight?	94%	31	2	0	40	CD ¶296.c, 316, 319	Ch 35.1.9 p22
10.2B	Did the employee list the number of late quarterly reviews, as reported in Insight?	89%	31	4	0	38	CD ¶299, CD ¶301, 316, 319	Ch 13.34 p25-p34
10.2C	Did the employee list the number of patterns identified and documented, as reported in Insight?	91%	32	3	0	38	CD ¶299, 316, 319	Ch 35.1.9 p31
10.2D	Did the employee list the number of non-disciplinary corrective actions, as reported in Insight?	100%	34	0	0	39	CD ¶299, 313, 316, 319	Ch 35.1.9 p26
10.3	Did the employee address all non-compliance documented in raw data for stops, pat-downs, and/or arrests scorecards, as distributed by the Audit and Review Unit?	94%	30	2	0	41	CD ¶299, 313	
10.4	Did the reporting supervisor describe the employee's ability and effectiveness in conducting supervisory reviews?	85%	29	5	0	39	CD ¶299, 313, 316, 319	
	Other	**90%**	344	38	-	129		
BWC	Did the supervisor reference video in the evaluation?	79%	19	5	0	49	CD ¶297, 328.f	Ch. 41.3.10: Appendix B
SVS	If the employee is assigned to SVS, did the supervisor include specific examples of victim interactions and services in the evaluation?	100%	1	0	0	72	CD ¶297, 201.f	
Oth	Did the reporting supervisor sign the evaluation indicating he/she met with the employee?	100%	72	0	0	1	CD ¶297, 301	Ch 13.34 p48 p52 p55
Oth	Did the employee sign the evaluation indicating he/she met with the reporting supervisor?	94%	68	4	0	1	CD ¶297	Ch 13.34 p48 p52 p55
Oth	Did the reviewing supervisor sign the evaluation indicating he/she reviewed and approved the reporting supervisor's ratings?	90%	63	7	0	3	CD ¶297, 301	Ch 13.34 p48 p52 p55
Oth	Is the Self-Assessment attached to the Evaluation?	78%	56	16	0	1	CD ¶297	Ch 13.34 p46
Oth	Employee Summary Report Attached?	92%	65	6	0	2	CD ¶298	Ch 13.34 p46
	Total	**82%**	**1,535**	**326**	**#**	**475**		

General Comments

ARU audited the sample list case files for the defined period, for completeness and accuracy as required by the Consent Decree.

For an explanation of the procedures and scoring system for this review, see the associated "Protocol" document.

For a list of relevant policies, contact ARU as needed.

For the audit results for each case file, see the accompanying RawData spreadsheets.

Scores below **95%** are highlighted in **red.**

Supervisor Performance Evaluation 2022 Scorecard

Compliance percentages for supervisor performance evaluation requirements

Review Period: 2021 Annual

District	# PE's Reviewed	Q1 Reporting Skills	Q2 Decision Making	Q3 Safety Employed	Q4 A-B Community Engagement and Problem Solving	Q5 A-H Insight Verification	Q6 Search Warrant Log Verification	Q7 Stops, Pat-Downs, Or Arrests Verification	Q8 A-B Quarterly Check-ins Date(s) Verification	Q9 Bilingual Pay Verification
1	4	25%	50%	0%	50%	97%	100%	100%	13%	100%
2	4	25%	75%	75%	75%	97%	100%	100%	13%	100%
3	5	25%	50%	25%	38%	91%	100%	100%	50%	100%
4	5	60%	100%	80%	40%	95%	100%	100%	20%	100%
5	4	75%	75%	75%	75%	100%	100%	100%	50%	100%
6	3	33%	67%	67%	67%	83%	100%	100%	20%	100%
7	4	75%	75%	25%	71%	100%	100%	100%	75%	100%
8	5	20%	80%	40%	60%	100%	100%	100%	50%	100%
SOD	6	33%	83%	60%	75%	100%	100%	100%	17%	100%
FOB*	5	40%	60%	50%	100%	-	100%	100%	40%	100%
Homicide	4	50%	50%	25%	29%	97%	50%	100%	88%	100%
ISB*	6	50%	33%	17%	30%	-	83%	100%	8%	100%
Other	2	100%	100%	0%	100%	100%	100%	100%	75%	100%
PIB	5	60%	40%	50%	40%	100%	0%	100%	0%	100%
MSB*	9	63%	33%	22%	55%	-	100%	100%	13%	100%
SVS	2	100%	50%	50%	0%	94%	100%	100%	75%	100%
Overall	**73**	49%	61%	41%	56%	97%	93%	100%	34%	100%

Review Period: 2021 Annual

Supervisor's Performance Review

Q10.1 Described How Employee Deterred and/or Addressed Misconduct	Q10.2 A-D Conducted Regular Reviews of Insight	Q10.3 Addressed All Non-Compliance as Distributed by ARU	Q10.4 Ability and Effectiveness in Conducting Supervisory Reviews	BWC Video is Referenced in Eval	SVS Examples of Victim Interactions Used	Reporting Supervisor Signed the Eval	Employee Signed the Eval	Reviewing Supervisor Signed the Eval	Self-Assessment Attached	Employee Summary Report Attached	Overall
100%	88%	50%	100%	50%	-	100%	100%	100%	75%	100%	72%
100%	100%	100%	100%	-	-	100%	100%	100%	75%	100%	84%
50%	75%	100%	50%	100%	-	100%	100%	75%	100%	100%	74%
100%	100%	100%	50%	100%	-	100%	100%	100%	40%	100%	83%
100%	100%	100%	100%	100%	-	100%	100%	100%	100%	75%	92%
100%	100%	100%	100%	-	-	100%	67%	100%	100%	100%	83%
100%	100%	100%	100%	33%	-	100%	75%	75%	50%	75%	81%
100%	100%	100%	100%	80%	-	100%	100%	100%	100%	100%	85%
100%	100%	100%	100%	75%	-	100%	100%	100%	67%	100%	84%
100%	-	100%	100%	-	-	100%	100%	80%	100%	100%	85%
100%	100%	100%	100%	100%	-	100%	100%	100%	50%	100%	80%
67%	-	100%	67%	100%	-	100%	100%	100%	100%	67%	72%
100%	100%	100%	100%	-	-	100%	100%	100%	100%	100%	93%
50%	75%	-	50%	-	-	100%	100%	100%	60%	100%	64%
100%	-	100%	75%	100%	-	100%	78%	56%	67%	78%	73%
100%	100%	50%	100%	-	100%	100%	100%	100%	100%	100%	84%
91%	93%	94%	85%	79%	100%	100%	94%	90%	78%	92%	82%

General Comments

ARU audited the sample list case files for the defined period, for completeness and accuracy as required by the Consent Decree.

For an explanation of the procedures and scoring system for this review, see the associated "Protocol " document.

For a list of relevant policies, contact ARU as needed.

For the audit results for each case file, see the accompanying RawData spreadsheets.

Scores below **95%** are highlighted in **red.**

Conclusion

The results of this audit were first verified through an Auditor Peer Communication process. In this process, the reviewing auditor discusses any variances with the originally assigned auditor to reach a consensus. If a consensus is not reached, the Audit Innovation Manager is consulted for resolution. This process is documented in the audit tool.

The Auditor Peer Communication process is completed, and the Audit Innovation Manager Review has concluded. Any issues identified by the Audit Innovation Manager were sent back to the assigned auditor for review and resolution, but none were identified. Following the completion of this process, the districts/units have an opportunity to review all the audit results and scorecards. If any discrepancies or concerns are identified, an Audit Re-Evaluation Request Form should be submitted to PSAB documenting their concerns.

The Q# correlates to the number of the questions on the actual performance evaluation. The text following the Q# is the question asked of the assigned auditor in the audit tool. There were **73** performance evaluations reviewed for this audit.

NARRATIVE SECTION

Q1 Reporting Skills – Did the supervisor include at least 2 specific examples for Q1 (Quality Written Reports)? The overall score for this question was **49%**. Supervisors did not use specific examples, details, or analysis of the examples used. SVS and Other scored compliant.

Q2 Decision Making - Did the supervisor include at least 2 specific examples for Q2 (Decision Making)? The overall score for this question was **61%**. Supervisors did not use specific examples, details, or analysis of the examples used. Fourth District and Other scored compliant

Q3 Safety Employed - Did the supervisor include at least 2 specific examples for Q3 (Safety)? The overall score for this question was **41%**. Supervisors did not use specific examples, details, or analysis of the examples used. No unit scored compliant.

Q4A – B Community Engagement and Problem Solving - Did the supervisor include at least 2 specific examples for Q4A with at least on example that is not related to community meetings or toy drives? Did the supervisor include at least 2 specific examples for Q4B (Problem-solving Strategies)? These questions are asked independently of each other in the audit tool, but their scores were combined for the scorecard. The overall composite score for these questions was **56%**. Q4A scored higher at 64%, versus Q4B which scored lower at 46%. Supervisors did not use specific examples, details, or analysis of the examples used. FOB and Other scored compliant.

INSIGHT SECTION

Q5A – H Insight Verification – Questions 5 A – H were asked independent of each other on the audit tool, but their scores were combined for the scorecard. The 4th, 6th and SVS scored non-compliant, all other districts/units scored compliant.

Q5A Did the supervisor verify compliance with attendance policies as reported in Insight's Employee Activity Report? **100%**

Q5B Did the supervisor verify the employee completed all required training as reported in Insight's Employee Summary Report? **100%**

Q5C Did the supervisor verify the employee did not have any violations of bias-free policing as reported in Insight's Employee Summary Report? **97%**

Q5D Did the supervisor verify the employee did not have any citizen complaints as reported in Insight's Employee Summary Report? **89% (Non-Compliant)**

Q5E Did the supervisor verify the employee did not have any supervisor-initiated complaints as reported and Insight's Employee Summary Report? **94% (Non-Compliant)**

Q5F Did the supervisor verify the employee did not have any discipline levied against him/her as reported in Insight's Employee Summary Report? **99%**

Q5G Did the supervisor verify the employee did not have any violations of the Secondary Employment Policy as reported in Insight's Employee Summary Report? **99%**

Q5H Did the supervisor document any awards and/or commendations received by the employee as reported and Insight's Employee Summary Report? **97%**

The combined score for Q5 A – H was **97%**.

PERFORMANCE SECTION

Q6 Search Warrant Log Verification - Did the supervisor describe the quality and accuracy of any search warrants written by the employee, as documented in the Search Warrant Log? The overall score for this question was **93% (Non-Compliant).**

Q7 Stops, Pat-Downs, or Arrests Verification - Did the supervisor list all non-compliance documented in raw data for stops, pat-downs and/or arrest scorecards, as distributed by the Audit and Review Section? The overall score for this question was **100%**.

Q8 A – B Quarterly Check-ins Date(s) Verification - Questions 8 A – B were asked independent of each other on the audit tool, but their scores were combined for the scorecard.

Q8A - Did the employee list dates of ALL quarterly check-ins that occurred during the reporting year? **36% (Non-Compliant).**

Q8B - Did the employee briefly describe discussions during each check-in related to areas of growth and challenges? **31% (Non-Compliant).**

The combined score Q8 A – B was **34%.** Supervisors did not list the requisite quarterly check-ins, or the listing did not contain any specifics of what was discussed.

Q9 Bilingual Pay Verification - Did the supervisor accurately record whether the officer receives

bilingual pay? (Refer to latest NOPDAI list). The overall score for this question was **100%.**

SUPERVISOR SECTION (Supervisor was the person being evaluated)

Q10.1 Described How Employee Deterred and/or Addressed Misconduct - Did the reporting supervisor describe how the employee deterred and/or address misconduct? The overall score for this question was **91%.**

Q10.2 A – D Conducted Regular Reviews in Insight – These questions were asked independent of each other on the audit tool, but their scores were combined for the scorecard.

Q10.2A - Did the employee conduct regular reviews of Insight? **94% Non-Compliant.**

Q10.2B - Did the employee list the number of late quarterly reviews, as reported in Insight? **89% Non-Compliant.**

Q10.2C - Did the employee list the number of patterns identified and documented, as reported in Insight? **91% Non-Compliant.**

Q10.2D - Did the employee list the number of non-disciplinary corrective actions, as reported in Insight? **100%.**

The combined score for Q10.2 A – D was **93% Non-Compliant.**

Q10.3 Addressed All Non-Compliance as Distributed by ARU - Did the employee address all non-compliance documented in raw data for stops, pat downs, and/or arrests scorecards, as distributed by the Audit and Review Unit? The overall score for this question was **94% Non-Compliant.**

Q10.4 Ability and Effectiveness in Conducting Supervisory Reviews - Did the reporting supervisor describe the employee's ability and effectiveness in conducting supervisory reviews? The overall score for this question was **85% Non-Compliant.**.

OTHER SECTION

BWC Video is referenced in the Eval - Did the supervisor reference video in the evaluation? The overall score for this question was **79% Non-Compliant.**

SVS Examples of Victim Interactions Used - If the employee is assigned to SVS, did the supervisor include specific examples of victim interactions and services in the evaluation? The overall score for this question was **100%.**

Reporting Supervisor Signed the Eval - Did the reporting supervisor sign the evaluation indicating he/she met with the employee? The overall score for this question was **100%.**

Employee Signed the Eval - Did the employee sign evaluation indicating he/she met with the reporting supervisor? The overall score for this question was **94% Non-Compliant.**

Reviewing Supervisor Signed the Eval - Did the reviewing supervisor sign the evaluation indicating

he/she reviewed and approved the reporting supervisor's ratings? The overall score for this question was **90% Non-Compliant.**

Self-Assessment Attached - Is the self-assessment attached to the evaluation? The overall score for this question was **78% Non-Compliant.**

Employee Summary Report Attached - Is the Employee Summary Report attached to the evaluation? The overall score for this question was **92% Non-Compliant.** As noted earlier in this report, the option to print the Employee Summary Report was unavailable for a length of time in 2020 due to the cyber-attack in December of 2019.

Recommendations

Performance Evaluations continues to show overall improvement over the prior audit. However, there are opportunities to improve in the following areas:

Narrative Section (Q1 – Q4B):

While examples and detailed descriptions are improving, supervisors need continuous reinforcement of the expectations around clear and concise explanations for those given answers.

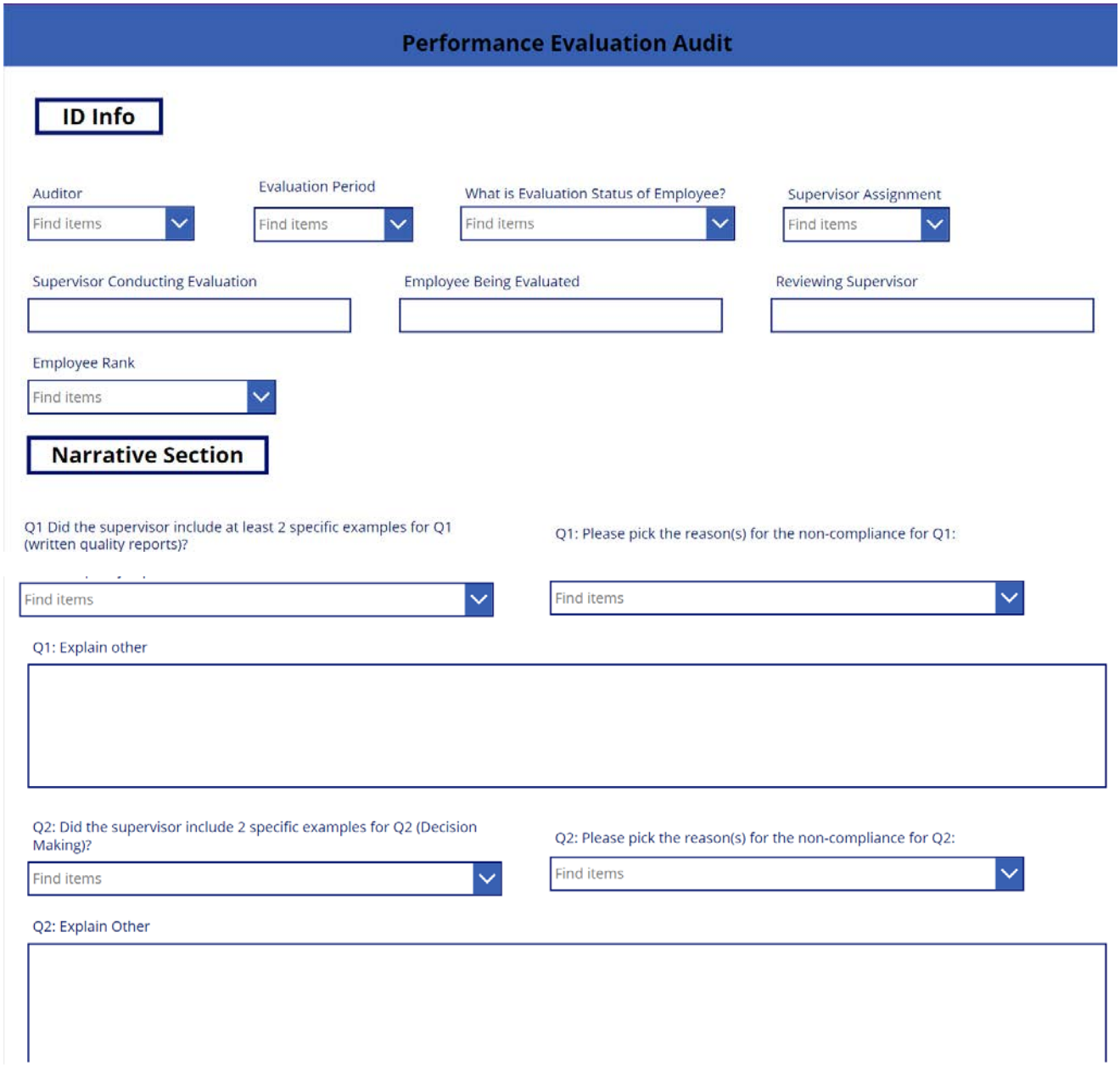
1. This report will serve as notification of district/unit performance during this audit.
2. Work with Policy Standards Section to develop DTB's to address the training issues identified in this report.

Innovation Manager, Performance Evaluations
Professional Standards and Accountability Bureau

Innovation Manager, Auditing
Auditing and Review Unit
Professional Standards and Accountability Bureau

Appendix A – Performance Evaluation Audit Forms

Performance Evaluation Audit Forms:



Q3: Did the supervisor include at least 2 specific examples for Q3 (Safety)?

Find items

Q3: Please pick the reason(s) for the non-compliance for Q3:

Find items

Q3: Explain Other

Q4 A: Did the supervisor include at least 2 specific examples for Q4 with at least one example that is not related to community meetings or toy drives?

Find items

Q4A: Please pick the reason(s) for the non-compliance for Q4A:

Find items

Q4 A: Explain Other

Q4 B: Did the supervisor include at least 2 specific examples for Q4B (Problem Solving)

Find items

Q4B: Please pick the reason(s) for the non-compliance for Q4B:

Find items

Q4 B Explain Other

Insight Section

Q5A: Did the supervisor verify compliance with attendance policies as reported in Insights Employee Activity Report?

Find items

Q5B: Did the supervisor verify the employee completed all required training as reported in Insight's Employee Summary Report?

Find items

Q5C: Did the supervisor verify the employee did not have any violations of bias-free policing as reported in Insight's Employee Summary Report?

Find items

Q5D: Did the supervisor verify the employee did not have any citizen complaints as reported in Insight's Employee Summary Report?

Find items

Q5E: Did the supervisor verify the employee did not have any supervisor initiated complaints as reported in Insight's Employee Summary Report?

Find items

Q5F: Did the supervisor verify the employee did not have any discipline levied against him/her as reported in Insight's Employee Summary report?

Find items

Q5G: Did the supervisor verify the employee did not have any violations of the Secondary Employment Policy as reported in Insight's Employee Summary Report?

Find items

Q5H: Did the supervisor dcoument any awards and/or commendations received by the employee as reported in Insight's Employee Summary Report?

Find items

Performance Section

Q6: Did the supervisor describe the quality and accuracy of any search warrants written by the employee, as documented in the Search Warrant Log?

Find items

Q7: Did the supervisor list all non-compliance documented in raw data for stops, pat-downs, and/or arrests scorecards, as distributed by the Audit and Review Unit?

Find items

Q8A: Did the employee list dates of ALL quarterly check ins that occurred during the reporting year?

Find items

There should be 4 dates recorded in the evaluation based on the reporting cycle:

Jan - Mar, reported in April
Apr - Jun, reported in July
Jul - Sept, repted in October
Oct - Dec, reported in January

Q8B: Did the employee briefly describe discussions during each check-in related to areas of growth and challenges?

Find items

Q9: Did the supervisor accurately record whether the officer receives bilingual pay?

Find items

Refer to NOPD AI list

Supervisor Section

Q10.1 Did the reporting supervisor describe how the employee deterred and/or addressed misconduct?

Find items

Q10.2A: Did the employee conduct regular reviews of Insight?

Find items

Q10.2B: Did the employee list the number of late quarterly reviews, as reported in Insight?

Find items

Q10.C: Did the employee list the number of patterns identified and documented, as reported in Insight?

Find items

Q102.D: Did the employee list the number of non-disciplinary corrective actions, as reported in Insight?

Find items

Q10.3: Did the employee address all non-compliance documented in raw data for stops, pat-downs, and/or arrests scorecards, as distributed by the Audit and Review Unit?

Find items

Q10.4: Did the reporting supervisor describe the employee's ability and effectiveness in conducting supervisory reviews?

Find items

Other Section

BWC: Did the supervisor reference video in the evaluation?

Find items

Supervisors must include time stamp/minute mark at least twice to be compliant.

SVS: If the employee is assigned to SVS, did the supervisor include specific examples of victim interactions and services in the evaluation?

Find items

Reporting Supervisor Signature: Did the reporting supervisor sign the evaluation indicating he/she met with the employee?

Find items

Employee Signature: Did the employee sign the evaluation indicating he/she met with the reporting supervisor?

Find items

Reviewing Supervisor Signature: Did the reviewing supervisor sign the evaluation indicating he/she reviewed and approved the reporting supervisor's ratings?

Find items

Signature Comments: If any Signatures marked as N/A, please explain the reason(s) why those signature(s) were skipped.

Is the Self-Assessment attached to the Evaluation?

Find items

Self-Assessment Explanation: For N/A, please explain if th esupervisor documents why the self-assessment is not included as an attachment.

ESR Attached: Is the Employee Summary Report attached to the Evaluation?

Find items

Other Attached: Are there additional attachments uploaded to the evaluation?

Find items

Auditor Comments

Reviewer Comments

Back to Menu

Submit Audit

Appendix B – Report Distribution

Superintendent

Chief Deputy Superintendent – Field Operations Bureau

Deputy Superintendent – Professional Standards and Accountability Bureau

Deputy Superintendent - Public Integrity Bureau

Deputy Superintendent - Management Services Bureau

Captain – Professional Standards and Accountability Bureau

City Attorney – City Attorney's Office

Assistant City Attorney – Superintendent's Office