

**Police Department Organizational Assessment**  
**CITY OF ASHEVILLE, NORTH CAROLINA**



**March 20, 2015**

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# **1. INTRODUCTION AND EXECUTIVE SUMMARY**

In this chapter of the report is provided a summary of the scope of work for this Police Department Organizational Assessment, the methods for the conduct of the study and a summary of recommendations. The section begins with a description of the context for the study and the key issues which framed it.

## **1. INTRODUCTION AND CONTEXT FOR THE ORGANIZATIONAL ASSESSMENT.**

In November 2014 the Matrix Consulting Group began the project to conduct an Organizational Assessment of the Asheville Police Department. The focus and purpose of this Organizational Assessment was to evaluate the management systems and organizational culture with the Asheville Police Department to determine if the management systems in place conform to 'best practices' for a law enforcement organization.

This Assessment was initiated in the wake of wide-ranging issues within the Department and the external public scrutiny which has resulted from this. An overview of these perceptions include the following:

- **Internal Communication:** Poor communication in the organization.
- **Organizational Cohesiveness:** An "us vs. them" culture is very strong in the organization.
- **Accountability:** Staff do not hold themselves accountable for job performance or problem resolution.
- **Stability and Consistency:** Frequent reassignment of managers has been an issue for line staff which has led to employees having frequent changes in supervisory reports.

- **Management Abilities:** There is little transfer of knowledge on reassignment. There are also no job guides for technical and leadership positions to provide a general guideline to the key responsibilities and job duties.
- **Management Training:** While there is training afforded to staff on promotion to a supervisory role, there is very little management training for personnel promoting from a supervisor position to a management role in the APD. Once promoted staff often have no training on how to be an effective manager. Moreover, there is no true career development program in the organization.
- **Key Internal Processes:** Staff do not view promotional / special assignments, disciplinary and internal affairs as “fair” or have the confidence of staff that they are conducted fairly or consistently, even though the City retains an outside, third party to conduct the promotional process.
- **Transparency and Trust:** There is a lack of trust between line and command staff. Moreover, staff are not consistently held to the same standard. Because of this, the Civil Service Board has been used for disciplinary reviews but also for non-disciplinary issues (e.g., policy and lack of promotion or assignment).
- **Leadership:** The points described above indicate there is a perception of a lack of effective leadership in the Asheville Police Department.

It took years, even decades for such an organizational culture to develop in the Asheville Police Department. Addressing these perceptions will take time to address. However, with an new Interim Police Chief and a permanent Police Chief later in the year, the opportunity to address these issues is here. It is clear to the project team that while the phrase ‘management systems’ indicates a ‘management problem’, everyone in an organization is part of the development of a ‘management culture’. As a result, managers, supervisors and staff need to work together on creating a more functional, high performing Police Department.

This report lays out a short term and long range plan to accomplish this. The goal of the efforts undertaken by the City and the Police Department, including this study, is to design a roadmap for the future which enables the Police Department to become a ‘high performing organization’. Becoming a high performing organization is

a goal which is increasingly recognized in public and private sector organizations to ensure that leadership, direction, activities and staff all come together in a consistent and coordinated way to better achieve whatever it is that is their business focus.<sup>1</sup> While there are many visions in the realization of 'high performance', they tend to share the following elements:

- **Organizational Design** – The design of an organization is a critical starting point for it. The development of appropriate, accepted and acted upon goals, vision, objectives and short and long-range plans to achieve these while making everyone accountable for their part are essential to an effective organization.
- **Quality Employees** – The people in any organization are its most visible element; in a high performing organization staff contribute to an organization's design, they do the work to meet its goals, they are part of a continual improvement process. Without the right employees, who are well trained and supported organizational effectiveness cannot be achieved.
- **Continuous Improvement** – Any organization needs to adapt with service desires, its people and its external environment. An effective high performing organization needs to be able to adapt to these sometimes major influences in an effective manner. This needs to be ongoing – a study is a snapshot; a process of organizational examination and change needs to be constant.
- **Engagement and Empowerment** – Everyone in an organization needs to buy into the direction and the 'plan', even being motivated to exceed it. They can achieve that better in a participative, engaged and empowered environment.
- **Leadership** – While it is the goal of any effective organization to value and empower employees to participate in decisions to ensure that a functional organization provides the highest possible service, ensuring that this occurs is one of the key roles of a leader. A leader is aligned with the organization's goals, guides and motivates people toward meeting these goals.

The analysis and recommendations in this report are designed to assist the Asheville Police Department become a 'high performing organization'. It will take time,

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<sup>1</sup> There are many research and consulting organization which have written monographs and policy papers on the value and structure of 'high performing organizations'. The American Management Institute, the High Performing Organization Center and the Boston Consulting Group are just a few of the resources utilized by the Matrix Consulting Group to understand current thinking relating to this organizational construct.

it will take the buy in and participation of every employee in the organization. In the past few months several things have occurred to begin this process:

- The Fire Chief has built more employee engagement in implementing the Strategic Operations Plan.
- The new Interim Police Chief has initiated a process of change.
- The City has provided assistance in administrative support and resources, as well as commissioned this external assessment.

Everyone wants the Department to succeed in these efforts, the time for change is now.

## **2. APPROACHES UTILIZED IN THIS ASSESSMENT**

To understand and evaluate these concerns the project team embarked on a thorough assessment of the management systems in place in the Asheville Police Department. The principal approaches utilized by the project team in this study included the following:

- **Interviews** – members of the project team individually interviewed over 30 staff as part of this study, including managers and supervisors as well as many line staff who were randomly selected by us. The project team also had group discussions with both of the employee associations in the Department.
- **Anonymous Employee Survey** – individual interviews were supplemented by an anonymous on line survey to further elicit views within the scope of this study. About one-half of employees in the Department took the opportunity to participate through this input device.
- **Focus Group Meetings** – yet additional input was received through the conduct of five focus group meetings with staff. These meetings provided an opportunity to discuss issues with staff in greater depth. The project team held five (5) focus group meetings with randomly selected staff – one for managers, one for supervisors, two for police officers and one for civilians.
- **Data Collection** – the project team collected a wide variety of data documenting the structure and content of key management systems, including:
  - Policies and procedures

- Promotional and reassignment processes
- Disciplinary and internal affairs processes
- Training and career development
- Internal communications
- Human resources files and their confidentiality
- Management planning and goal setting

This report provides the analysis and assessment of these study processes as well as resulting recommendations. The detailed results of many of these study processes are provided in this report (e.g., employee survey, focus group meetings and files reviews).

This study has been part of a multi-faceted effort which has been initiated to address these issues. These efforts have included the following:

- With the retirement of Chief Anderson an Interim Police Chief was brought in from outside of the organization to demonstrate the need to provide a 'fresh start'.
- The City has provided external management and technical assistance to initiate corrective actions in the Department. This assistance has included:
  - The direct assistance of City management, including the City Manager's Office and City Attorney's Office, in monitoring and suggesting change.
  - The assistance of the City's Fire Chief to build more employee engagement in implementing the Police Department's Strategic Operations Plan. This was valuable because the Fire Department went through a similar process a few years ago.
  - The assistance of human resources staff to help structure and provide oversight of human resource related file structure and content to ensure that they conform to best practices.
- External audits are being conducted to address issues with radar equipment and operator certifications. Prior to this, an audit was conducted relating to internal controls and record keeping in the property and evidence room.

As a result, this Police Department Organizational Assessment falls within a context of a comprehensive approach to accepting, addressing and remedying the

issues described earlier in this Introduction. Many recommendations are provided in this report, including immediate steps, which should be taken and more long range steps for the Department and the City to consider for implementation.

**3. SUMMARY OF RECOMMENDATIONS IN THE REPORT**

The table below lists all of the recommendations and/or improvement opportunities that are made in the various chapters and sections of this report. As noted above, recommendations are structured in two ways – immediate change which should be implemented, a 180 Day Plan for the Interim Police Chief; longer range recommendations in each management systems of concern are also provided. The management issues which exist in the Asheville Police Department today took years for it to get to that point and it will take some time to address and remediate those issues. The new Interim Chief, with the support of the City, will initiate this process of change – changing the tone of the Department at the top; he will also start a process of change management that will outlast his tenure.

For each recommendation a priority is accorded by the project team as well as a timeframe for its implementation.

Recommendations	Priority	Time
<b>Immediate Management Needs of the Police Department</b>		
A Chief's Advisory Committee, comprised of representatives from each major function and rank level, should be created and tasked with establishing a process to engage employees as a partner in the development of goals to become a more effective or 'high performing' organization. The initial internal organizational effectiveness process improvement meeting should be conducted in the second quarter of 2015.	High	180 days
The Chief's Advisory Committee should be tasked with developing this organizational effectiveness improvement plan which includes an action plan that defines each improvement goal specifically, when it is to be accomplished, and who is responsible for completing the task.	High	180 days



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Recommendations	Priority	Time
The City needs to support this organizational effectiveness improvement process through advice from other processes in other Departments (e.g., the Fire Department) as well as resources such as hiring a facilitator.	High	180 days
The Interim Police Chief needs to work with his management team to develop suggested performance measures. A performance management system cannot be developed and implemented in 180 days but the identification of suggested measures is achievable.	High	180 days
A key outcome of the organizational improvement plan should be the assignment of accountability to each manager and supervisor of attainable objectives relating to delivery and monitoring of service to the community as well as addressing internal Departmental improvement needs.	High	180 days
The Chief's Advisory Committee should work with staff to include in the Department's Annual Report which reports back on the progress toward meeting established internal as well as external objectives and obtain their feedback on this as well as new initiatives.	High	180 days
The Interim Police Chief has initiated a process with staff in a series of meetings to communicate that an environment of change is being implemented. At the conclusion of 180 days the Interim Police Chief needs to meet with the Chief's Advisory Committee to hear input on the progress made toward change.	High	180 days
At some point after the end of the Interim Police Chief's tenure, the City should also consider re-applying the employee survey conducted as part of this project to measure the progress toward change.	High	Post 180 days
Conduct a meeting with the City HR Department, Police Department and the vendor conducting the promotional process to review the current process and identify areas that are perceived by police personnel as not being a "fair" method of determining promotions.	High	180 days

Recommendations	Priority	Time
<p>A more frequent and substantive set of communication processes needs to be implemented. Approaches and targets should include:</p> <ul style="list-style-type: none"> <li>• Weekly meetings among top command staff with an agenda developed for each meeting, meeting minutes and including a review of selected performance and service objectives as well as key initiatives.</li> <li>• Quarterly meetings with supervisors, each meeting reviews selected performance and service objectives as well as key initiatives.</li> <li>• At least quarterly, all command and the Interim Police Chief and permanent Police Chief should attend selected patrol briefings and use those opportunities to answer questions from staff and discuss Department performance and initiatives.</li> <li>• The Interim Police Chief should initiate a quarterly communication (e.g., intranet, blog, etc.) and use social media to identify accomplishments, challenges and developments.</li> <li>• The Chief should hold regular meetings with representatives of the Police Benevolent Association (PBA) and the Fraternal Order of the Police (FOP) to discuss internal issues and opportunities to improve the team orientation of all employees in the Department. These meetings should be held at least quarterly.</li> <li>• The Chief and command staff need to be and be seen as ‘change agents’ in the Asheville Police Department. Top command staff need to be focused on the following: <ul style="list-style-type: none"> <li>– Ensuring that managers are supportive of the APD Strategic Operations Plan, goals and objectives initiatives are met by them and others.</li> <li>– Cross-cutting initiatives and inter-functional cooperation and coordination is fostered.</li> <li>– Are effective spokespersons for the Department to the City and the community.</li> </ul> </li> </ul> <p>Collectively, these measures will address several related key issues in the Asheville Police Department – the need for more effective communications and the need for more effective use of team strategies.</p>	High	180 days
<p>The Chief’s Advisory Committee should begin the process to evaluate and recommend appropriate performance measures for the Department and a process for reporting progress toward meeting these objectives. This recommendation will extend beyond 180 days.</p>	High	180 days and beyond
<p>The Interim Police Chief and his command staff need to develop an improved approach to making effective public presentations, including training, visuals in support of presentations and development of written staff reports. These efforts need to tie to the City’s ‘public engagement’ commitments and approaches. Hiring a communications consultant for a class on effective verbal and written communications would be a cost effective approach to accomplishing this.</p>	High	180 days

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Recommendations	Priority	Time
The Interim Police Chief and command staff, with the support of the City, should develop a training plan for supervisors and managers that includes Leadership and Organizational Change, Community Policing and Problem-Solving, Performance Management and Discipline and Ethics.	High	180 days
Each manager in the Asheville Police Department should receive a minimum of 40 hours of training per year on legitimately defined management and leadership topics. The Interim Chief of Police should initiate a process to develop internal targets for management training involving management and supervisory staff. There could be a budgetary impact associated with this, depending on the extent of City and local resources available to assist with this.	High	180 days
When the new Police Chief is hired, command and supervisory staff should meet off site for 2-day planning session that relates directly to developing Department goals and objectives. This meeting should be facilitated by a third party and an agenda developed. After the initial meeting, meetings should be held annually to tie accountability to performance.	High	Post 180 days
Personnel in the APD need to engage in behaviors that build and restore trust in themselves and the organization and hold each other accountable for adhering to these behaviors.	High	Ongoing
<b>Long Term Management Needs of the Police Department</b>		
The Department should task a small group of people to review and discuss the book <i>Emotional Survival for Law Enforcement</i> (or similar resources) and how the information presented can be used to bring change to the behavioral culture at the APD.	High	210 - 245 days
At least quarterly, all command and the Interim Police Chief and permanent Police Chief should attend selected patrol briefings and use those opportunities to answer questions from staff and discuss Department performance and initiatives.	Medium	1 year
Ensure all personnel receive training the agency considers essential for effective career development prior to or as soon as practical when employees take a new position or promote in the APD.	Medium	1 – 2 years
As stated in the 180 day plan, personnel need to engage in behaviors that build and restore trust in themselves and the organization and hold each other accountable for adhering to these behaviors.	High	Ongoing
Discontinue the panel review of all disciplinary recommendations resulting from internal investigations and allow disciplinary decisions to be made at the appropriate level in the organization based on the severity of the policy or conduct violations.	High	Immediate

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Develop a disciplinary matrix which aligns with the progressive discipline discussed in the Discipline policy to allow officers to use it as guide when making disciplinary decisions.	Medium	1 Year
Consider updating the entire Policy and Procedures Manual with the assistance of LEXIPOL. Begin this process as soon as possible with a view to completing it before the end of 2015.	High	Begin now and complete in 2015
Develop a time standard requiring the review of all policies to ensure they reflect current practices, standards and comply with State and Federal Law. The project team recommends a three-year review cycle with 1/3 of the policies being reviewed annually and the review date noted on policies.	Medium	1 Year
Develop a formal policy in which management personnel have a two-year minimum period for a specialty assignment. Such a policy would continue to achieve the goal of developing broadly based skills in managers but actually better give them the time in assignments to achieve that goal.	Medium	1 Year
Develop Job Task Guides for each operational unit at the APD that clearly outline timelines for required reports, inspections, certifications and other critical job tasks. The job guides should be developed with the assistance of the City Human Resources Office or a 3 <sup>rd</sup> party.	Medium	1 Year
Develop a proactive public information and media relations' effort rather than only being reactionary. Set a goal to produce a minimum of one effort per month in conjunction with website, social media and the cable channel efforts.	High	1 Year
Develop a forum with visibility of the Police Chief and command staff designed to create a number of positive, informed ambassadors among key support groups throughout the City.	Medium	18 Months
Work with the City HR Department to develop an annual performance system that provides a meaningful evaluation of work conducted by employees in the Police Department. Also develop a system for periodic review of employee performance throughout the year.	High	12 Month
Work to ensure that the APD website is continually updated with current and relevant information.	Medium	Ongoing
Develop written objectives and success measures for external communication efforts.	High	Ongoing
Implement a formalized a recruitment and retention strategy for sworn and civilian positions in the APD.	Medium	18 Months
Develop and implement a formal mentoring program for new hires and newly promoted personnel to enhance the effectiveness of services provided by the APD.	Medium	2 Years

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Recommendations	Priority	Time
Discontinue the practice of having the Emergency Communications Center serve as the switchboard for APD administrative calls during normal business hours and move this responsibility to the Records Division. Revisit the appropriateness of this function being in Emergency Dispatch when staffing levels return to the authorized strength.	High	Immediate
An additional administrative staff will be needed to assist the Department in implementation and ongoing support for the recommendations made in this report.	High	Next Fiscal Year
The Department should make the temporarily assigned Treasury Services Manager permanent and reclassify the position as a Administrative Services Manager responsible for all administrative functions.	Medium	Next Fiscal Year
The Department should reduce the span of control and functional responsibility of the Special Operations Lieutenant.	High	Next Fiscal Year
The City, Police Department and employee associations need to take a number of steps to foster a labor management environment that is less adversarial than exists at present.	High	Immediate and Ongoing
The Department should create a second Deputy Chief to assist in overall executive management as well as the development and maintenance of performance management in the agency.	High	Next Fiscal Year

A more detailed explanation for each recommendation can be found in the body of the report.

## **2. IMMEDIATE ORGANIZATIONAL AND MANAGEMENT AND NEEDS OF THE POLICE DEPARTMENT**

This chapter focuses on the issues associated with current management needs in the Asheville Police Department. This project comes at the culmination of a period of public scrutiny and internal dissent. The organizational issues which exist in the Asheville Police Department took decades to get established and will take some time to change. That process can start now in what the project team calls the 180 Day Plan in which the staff, managers, supervisors and line employees, can accomplish much either immediately – in a break from the past or to initiate a process for more long range issues which need to be addressed. The issues addressed in this chapter are designed to be able to be implemented or demonstrate initial progress toward long term change in the Asheville Police Department.

In reviewing both the immediate and long range management needs of the Police Department, the project team focused on the development of mission, vision, values and goals; the roles of management staff in the Department; policies and procedures development and use; internal and external reporting of performance; as well as certain personnel management systems including performance evaluations, training and career development.

### **1. THE DEPARTMENT'S MISSION AND GUIDING PRINCIPLES NEEDS TO INCLUDE AN INTERNAL FOCUS AS WELL AS ITS SERVICE TO THE COMMUNITY.**

This section examines the APD's approach to engaging the organizational principles with which it defines itself.

**(1) The Asheville Police Department Has a Well Defined Community Mission But Is Vague About How It Should Function More Effectively as a Law Enforcement Organization.**

The Asheville Police Department has a Mission Statement. Its mission is as follows:

*The City of Asheville Police Department is dedicated to providing public safety and maintaining order; enforcing the laws of North Carolina, upholding the United States Constitution and enhancing national security. The City of Asheville is committed to supporting a safe city with safe neighborhoods.*

The Department does not have a vision statement, but it does have statements of its values, what it terms its “Guiding Principles”. These include:

- **Integrity** – Honesty, compassion, trust, and accountability. Police officers have the courage to do what is morally, ethically, and legally right regardless of risk.
- **Fairness** – The Police Department will treat everyone impartially without favoritism or bias.
- **Respect** – The Police Department will treat everyone with dignity and courtesy without prejudice.
- **Professionalism** – The Police Department will deliver quality services through cooperation, open communication and a commitment to continuous improvement.

The Asheville Police Department’s mission and values with respect to the community is found on its webpage as a public testament to their importance.

In the last two years the Department has also gone through a Strategic Operations Plan process together with the City. The Strategic Operations Plan has four (4) internally focused commitment areas:

- **Recruitment and Retention** – with strategies and action items to coordinate more closely with the City’s Human Resources Department, developing an understanding of the obstacles to more effective recruitment and retention, developing a strategy to address these issues.

- **Leadership** – with strategies and action items to develop great ‘esprit de corps’, review and restructure promotional and disciplinary processes and to provide a basis for more effective leadership.
- **Organizational Structure** – with strategies and action items to evaluate the current deployment and scheduling plan as well as the Department’s structure.
- **Equipment and Technology** – with strategies and action items to enhance technology, vehicles and equipment in the Department as well as its timely replacement.

There are also two externally (i.e., community) focused commitment areas, many of which are multi-departmental. These focus areas include the following:

- **Quality of Life** – with strategies and action items to understand community needs and be more responsive to them and developing effective approaches to addressing emerging crime trends, evaluate victims’ services, increase crime prevention efforts and community crime watch, increase sensitivity to diversity issues.
- **Outreach and Communication** – with strategies and action items to improve public information and relations.

In total, there are 208 action items distributed among these focus areas. There are some performance measures identified, though these are selective and general. Finally, there is a target completion date for each.

The subject of the development and the results of the Strategic Operations Plan was frustrating for staff as expressed in interviews, focus group meetings, and the anonymous employee survey. Common issues expressed included:

- While input was sought at the beginning of the process the development of the plan was left to a few in the Department.
- There is no accountability mechanism for the completion of the Plan.
- There has been little progress reporting and communication about it.

As a result of these issues the Strategic Operations Plan never became a defining document for everyone in the Department. The Department should review the



Strategic Operations Plan and empower staff to develop a more internally accepted plan that can be implemented, completion efforts tracked and staff held accountable. This will take a concerted process of internal strategic planning meetings among staff to discuss issues with service, management, internal communications and how internal relationships are managed as well as reporting back to the City about the results of this process. A forum for this should be created – a Chief’s Advisory Committee. A widely represented group should be charged with reviewing, enhancing and making staff accountable for implementing the strategic plan.

***Recommendations:***

***A Chief’s Advisory Committee, comprised of representatives from each major function and rank level, should be created and tasked with establishing a process to engage employees as a partner in the development of goals to become a more effective or ‘high performing’ organization. The initial internal organizational effectiveness process improvement meeting should be conducted by in the second quarter of 2015.***

***The Chief’s Advisory Committee should be tasked with developing this organizational effectiveness improvement plan which includes an action plan that defines each improvement goal specifically, when it is to be accomplished, and who is responsible for completing the task.***

***The City needs to support this organizational effectiveness improvement process through advice from other processes in other Departments (e.g., the Fire Department) as well as resources such as hiring a facilitator.***

**(2) A Performance Management System Needs to Be Developed.**

The project team found during its interviews with the management team that while the Strategic Operations Plan lays out goals relating to community service, contributing to the safety and well being of residents and visitors, as well as operations there is no performance measurement system or performance management plan to

monitor this and other enforcement goals. The goals in the current budget include the following summaries:

- Maintain the highest level of quality of service.
- Enhance external and internal customer service through communication and outreach.
- Utilize resources efficiently and effectively to suppress crime.
- Partner with the community to enhance the quality of life and impact crime.
- Establish a working environment that encourages teamwork, empowerment, communication and professional development.
- Utilize leading edge technologies to impact crime.
- Create a criminal intelligence unit to educate staff and the public about gangs.

Of the seven goals for the year, only one is specific and measurable. Lack of specificity and measurability hampers accountability, a significant issue raised in the employee survey. Moreover, only one goal clearly relates to the internal functioning of the Department.

Performance objectives are similarly vague and not clearly tied to a goal or to an identified improvement need either internally or externally. These include:

- Clear 35% of Part 1 crime.
- Secure grants.
- Increasing minority participation.
- Increase neighborhood / business watch programs (*sic*) by 10%.
- Increase the applicant pool by attending 15 job fairs.
- Improve the quality of life in targeted neighborhoods.
- Increase youth participation.

- Increase active volunteer by 10% and hours worked by 10%.

As a result of issues relating to both short and long range goals and objectives, there are several key defining features of a Police Department which are missing in Asheville, including:

- Development of specific and goals for each service area in the Police Department. The goals that currently exist relate to secure additional staffing and general statements about the development of crime fighting strategies.
- Development of linked objectives, strategies, measurements or methods to make the Chief and other staff to be accountable for developing anything concrete out of this process.
- Development of methods to measure achievement of agreed upon objectives. There are no Department metrics in place to monitor achievement of any service goal or service target. There is a distinct lack of any performance metrics at all in the Department for either internal or external use.

***Recommendations:***

***The Interim Police Chief needs to work with his management team (i.e., Lieutenants and above) in the next quarter to develop suggested performance measures. A performance management system cannot be developed and implemented in 180 days but the identification of suggested measures is achievable.***

***A key outcome of the Strategic Plan should be the assignment of accountability to each manager and supervisor of attainable objectives relating to delivery and monitoring of service to the community as well as addressing internal Departmental improvement needs.***

***The Chief's Advisory Committee should work with staff to include in the Department's Annual Report which reports back on the progress toward meeting established internal as well as external objectives and obtain their feedback on this as well as new initiatives.***

**2. THE RESOLUTION OF SHORT TERM ORGANIZATION AND MANAGEMENT ISSUES IN THE DEPARTMENT.**

The previous section of this Chapter dealt with how the Asheville Police Department needs to augment its commitment to the community with an internal

commitment to staff. This section examines internal roles of Department staff and the processes in place function effectively as an organization.

**(1) Organization and Management Issues Identified During This Study.**

The Matrix Consulting Group project team sought input from the Department's employees in three ways – the project team conducted many interviews of staff (over 30); the project team developed an anonymous employee survey for all staff to provide direct input to the project team (100 employees responded); finally, the project team utilized focus groups as a way to delve into internal management issues in greater depth.

The staff input tools used in this study focused several critical issues relating to the management of the Department. While Appendices of this report provide detailed summaries of this feedback, the points which follow summarize some of the key issues regarding management of the Asheville Police Department:

- **Internal Communication:** There is poor internal communication in the organization.
- **Organizational Cohesiveness:** An “us vs. them” culture is very strong in the organization.
- **Accountability:** Staff do not hold themselves accountable for job performance or problem resolution.
- **Stability and Consistency:** Frequent rotations of managers has been an issue for line staff which has led to employees having frequent changes in supervisory reports.
- **Management Abilities:** There is little transfer of knowledge on reassignment. There are also no job guides for technical and leadership positions to provide a general guideline to the key responsibilities and job duties.
- **Supervisory Training:** While there is consistent training afforded to staff upon promotion to a supervisory role, there is very little management training for personnel promoting from a supervisor position to a management role in the

APD. Once promoted staff often have no training on how to be an effective manager. Moreover, there is no true career development program in the organization.

- **Key Internal Processes:** Staff do not view promotional / special assignments, disciplinary and internal affairs as “fair” or have the confidence of staff that they are conducted fairly or consistently, even though the City retains an outside, third party to conduct the promotional process.
- **Transparency and Trust:** There is a lack of trust between line and command staff. Moreover, staff do not feel that they are held to the same standard. Because of this, the Civil Service Board has been used for disciplinary reviews but also for non-disciplinary issues (e.g., policy and lack of promotion or assignment).
- **Leadership:** The points described above indicate a general lack of effective leadership in the Asheville Police Department.

These perceptions were conveyed to the project team throughout this study from in interviews, surveys and focus group meetings. The employee survey is clear about these issues with the following highlighted and sampled findings:

- An overwhelming majority of respondents (84%) disagreed with the statement that there is a positive **organizational culture** at the Department.
- A slim majority for respondents (51%) agreed that the expectations regarding the **standards of conduct** are clear. However, an overwhelming majority of respondents disagreed that those standards of conduct are applied consistently.
- Respondents generally agreed (71%) that they receive the appropriate training. However, there was mixed response to training opportunities being available equally to all employees.
- Nearly three-quarters of respondents (75%) disagreed with the consistent application of **policies and procedures**.
- A majority of respondents disagreed that **management seeks input** from staff regarding improvement of operations and services.
- While there was no clear majority regarding receiving timely annual written **performance evaluations**, the majority of respondents disagreed that these evaluations were a useful tool for the Department.

- There was no clear majority regarding special assignments; however, the plurality of respondents disagreed that the **special assignment selection process** is fair and that these assignments match the skills of the employees.
- Nearly a majority of respondents disagreed that the **promotional process** fairly tests the qualifications of the candidates for the position.
- An overwhelming majority of respondents (79% and 76%) respectively disagreed that **decisions are made effectively** and that the Department is good at anticipating problem.
- Over two-thirds of respondents (68%) disagreed that there is a clear **vision for the Department** and less than 10% of respondents agreed with this statement.

These issues have led the project team to identify the following issues with respect to basic organizational and internal management processes:

- **Communications in the Department are weak.** There are no mechanisms to regularly communicate issues, trends and events throughout the Department. As a result, patrol briefings and word of mouth have been the primary method of communications in the Asheville Police Department.
- **Meetings are not utilized to ensure that there is accountability for performance.** While there are regular meetings among senior command staff these meetings are primarily utilized as reports of ongoing issues in the Department. These management meetings are not utilized to ensure that strategic objectives or performance objectives are being met.
- **The use of data to manage operations does not exist.** There are virtually no management reports for use internally or to report back to the City Manager, the City Council or the community regarding meeting Department goals and objectives, addressing specific crime problems, calls for service or response times or major initiatives or issues.
- **Management training has not been a high priority for the City and the Department.** Management training, as opposed to law enforcement skills training, is very limited.
- **There has been no team approach to managing law enforcement operations in Asheville involving staff in the Department.** There has been no cohesive approach to addressing issues in the Department. There are no regular staff or FOP and PBA / management meetings in the Department no system of assigning a diverse group of employees to work on a problem.

These are significant issues and potentially affect the successful implementation of any and all of the recommendations in this report. The resolution of these issues also potentially affect the morale of staff and ultimately employee retention. These issues and approaches to resolve these issues are addressed in the sections of the report which follow.

***Recommendation:***

***The Interim Police Chief has initiated a process with staff in a series of meetings to communicate that an environment of change is being implemented. At the conclusion of 180 days the Interim Police Chief needs to meet with the Chief's Advisory Committee to hear input on the progress made toward change.***

***At some point after the end of the Interim Police Chief's tenure, the City should also consider re-applying the employee survey conducted as part of this project to measure the progress toward change.***

***Conduct a meeting with the City HR Department, Police Department and the vendor conducting the promotional process to review the current process and identify areas that are perceived by police personnel as not being a "fair" method of determining promotions.***

**(2) There Is a Lack of Effective Communication in the Organization.**

Interviews with command and line staff, as well as the results of the employee survey, indicate that the lack of effective internal communications impacts consensus about direction in the Department and contributes to perceptions of the lack of accountability. There is a lack of consistent and clear communication inside and outside of the Department among command staff through regular focused meetings, between command and line staff through meetings and written updates and between the Department and the City through updates and status reports.

These issues, impact the organization's ability to function effectively. Several of these issues permeate other sections of the report. The subject of internal communications requires several recommendations on it own, including the following:

**Recommendations:**

***A more frequent and substantive set of communication processes needs to be implemented. Approaches and targets should include:***

- ***Weekly meetings among top command staff with an agenda developed for each meeting, meeting minutes and including a review of selected performance and service objectives as well as key initiatives.***
- ***Quarterly meetings with supervisors, each meeting prepared and review of selected performance and service objectives as well as key initiatives.***
- ***At least quarterly, all command and the Interim Police Chief and permanent Police Chief should attend selected patrol briefings and use those opportunities to answer questions from staff and discuss Department performance and initiatives.***
- ***The Interim Police Chief should initiate a quarterly communication (e.g., intranet, blog, etc.) and use social media to identify accomplishments, challenges and developments.***
- ***The Chief should hold regular meetings with representatives of the Police Benevolent Association (PBA) and the Fraternal Order of the Police (FOP) to discuss internal issues and opportunities to improve the team orientation of all employees in the Department. These meetings should be held at least quarterly.***
- ***The Chief and command / executive staff (i.e., Captains, Deputy Chief and Chief) need to be and be seen as 'change agents' in the Asheville Police Department. Top command staff need to be focused on the following:***
  - ***Ensuring that managers are supportive of the APD Strategic Operations Plan, goals and objectives initiatives are met by them and others.***
  - ***Cross-cutting initiatives and inter-functional cooperation and coordination is fostered.***
  - ***Are effective spokespersons for the Department to the City and the community.***



**Collectively, these measures will address several related key issues in the Asheville Police Department – the need for more effective communications and the need for more effective use of team strategies.**

**(3) There Is No Established Process to Report Performance.**

Earlier in this section of the report, the project team found that the system of goals and objectives in the Department needs to be strengthened through implementation of a performance management system. The reporting of performance is the critical tool for determining whether performance goals are met. No formal performance reports exist that are metric-based and relate directly to Department goals and objectives.

- A limited degree of goal-setting and data collection to indicate performance has been instituted at the division level.
- The Department has few and superficial internal or external service delivery goals or objectives.
- Again, the Department does not formally set long or short term objectives by Division, Unit, or individual. With no expressed work product outcome through the goal and objective setting process the Department has no accountability mechanisms in place.
- Key meetings need to be used to produce accountability and to optimize departmental performance.
- Performance metrics tracked are quite limited in the Department either for internal use or for use by the City Manager, the City Council or the community.

The goals and objectives issues are dealt with else where in this chapter. The issue of performance metrics, monitoring and reporting is an important one and is a significant issue for the Asheville Police Department. Without the tracking of performance measures it is impossible to know if service commitments and objectives were being met, if all staff were productive and accountable for their time on duty.

**Recommendations:**

***The Chief's Advisory Committee should begin the process to evaluating and recommending appropriate performance measures for the Department and a process for reporting progress toward meeting these objectives. This recommendation will extend beyond 180 days.***

**(4) The Process for Reporting Performance to the Public, Especially Through the City Council Is Limited.**

As part of its reporting to the City and the community of Asheville, the Police Department needs to enhance the approaches it takes to communicate to the public. Review of previous presentations to the public have led the project team to conclude that these have been poorly prepared, have not been supported visually and have relied less on a factual basis for points than appeals to general public safety.

The effective communication of needs and requests for resources to City Councils and the public are part of minimum expectations of chief officers in public safety departments today. Especially in this continued environment of diminished financial resources, the effective communication and competition for these resources are essential. Consistent with the City's 'public engagement' policies and approaches, the roles of the Chief and other managers needs to be a more effective spokesperson for the Asheville Police Department. This can be achieved through:

- Training in public speaking.
- Participation in local service organizations (e.g., Toastmasters).
- Learning from the success of other local municipal managers.
- Use of Powerpoint or other presentation software to help make the case for whatever is being communicated to the public.
- Working with other staff in the Police Department and City to develop factual information (e.g., cost, service indicators) to support positions made to the public.

**Recommendation:**

***The Interim Police Chief and his command staff need to develop an improved approach to making effective public presentations, including training, visuals in support of presentations and development of written staff reports. These efforts need to tie to the City's 'public engagement' commitments and approaches. Hiring a communications consultant for a class on effective verbal and written communications would be a cost effective approach to accomplishing this.***

**(5) Training of Management Personnel Is inadequate.**

There are few standardized training requirements for supervisory and management personnel in any police department in North Carolina. In fact, in North Carolina no training is required upon promotion to a management or a supervisory position. Even though the Department has been accredited through Commission on Accreditation for Law Enforcement Agencies, CALEA (though a decision about re-accreditation is pending) these agencies offer few specific guidelines for management and supervisory in service training. While the Federal Bureau of Investigations offers management academies, opportunities which command staff in Asheville have availed themselves of, this training does often not address the daily demands of managing police services in a municipal environment.

All supervisory and management personnel should minimally receive appropriate training in the following categories:

- Leadership and Organizational Change.
- Community Policing and Problem-Solving.
- Performance management.
- Discipline and Ethics.

As with line staff, management staff should receive a minimum amount of training – on management and leadership issues. An effective best practice target could be established at 40 hours per year on ‘management’ topics. This training would be in the place of non-mandated, non-management topics.

***Recommendations:***

***The Interim Police Chief and command staff should develop a commitment to management training for supervisors and managers that includes Leadership and Organizational Change, Community Policing and Problem-Solving, Performance Management and Discipline and Ethics.***

***Each manager in the Asheville Police Department should receive a minimum of 40 hours of training per year on legitimately defined management and leadership topics. The Interim Chief of Police should initiate a process to develop internal targets for management training involving management and supervisory staff.***

**3. LEADERSHIP, TEAMWORK, AND ORGANIZATIONAL CULTURE.**

A functional definition of police leadership could be – *The ability to influence others to solve their own problems in a moral manner.* This definition of leadership is consistent with community policing and problem-solving activities. The Department needs leadership at all levels as the police are looked to for leadership by the community. While the Chief may be the visible face of the Department, leadership is something that should prevail at all levels of the organization.

An organization that has leadership works as a team. The lack of leadership at all levels in the APD is apparent because of the absence of a team spirit as consistently identified in interviews and the employee survey. There appears to be a mistrust among some individuals within the Department. Until this is rectified it is unlikely that common goals and objectives will be successfully developed.

Teamwork can occur when meetings are held regularly and have specific objectives to meet. In this way, the group can coalesce into a team as they work together to obtain desired results. Meetings now take place in the Department and people are working better together through actions taken by the Interim Chief. Regular meetings that the Interim and permanent Police Chiefs have with the Department and the City include:

- The Executive Team meets four times each week (Interim Chief, Deputy Chief and Captains).
- Weekly Management Team meetings are held, which include Lieutenants who work days. Some Sergeants also attend these meetings and the Treasury Services Manager.
- A Compstat meeting for statistical review and operational deployment of resources is now held monthly. This includes Lieutenants and some Sergeants.

These recent changes in internal communications need to be continued and strengthened. Eventually, almost daily Executive Meetings may not be necessary but today they represent an important change in the Department's culture of management and accountability.

***Recommendations:***

***When the new Police Chief is hired, command and supervisory staff should meet off site for 2-day planning session that relates directly to developing Department goals and objectives. This meeting should be facilitated by a third party and an agenda developed. After the initial meeting, meetings should be held annually to tie accountability to performance.***

***Personnel in the APD need to engage in behaviors that build and restore trust in themselves and the organization and hold each other accountable for adhering to these behaviors.***

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These highest priority needs represent the start of a long progress toward fundamental change in the Asheville Police Department. They can be implemented or demonstrate initial progress toward long term change in the Asheville Police Department in a 180 day period. The longer term changes which need to be made are described in the next chapter of the report.

### **3. LONG TERM ORGANIZATION AND MANAGEMENT NEEDS OF THE POLICE DEPARTMENT**

This chapter focuses on the discussion of long-term management needs in the Asheville Police Department. The management and cultural issues facing the Asheville Police Department took years to develop and will take a long-term, focused approach from all personnel in the Department to bring the type of change that will present a strong organization culture of mutual respect and trust.

In reviewing the long range management needs of the Police Department, the project team focused on the development of command staff and supervisory personnel, development of policies and procedures which reflect current best practices and establishing a culture of trust and respect throughout the Department.

#### **1. THERE ARE LONG-TERM CULTURAL ISSUES, WHICH NEED A FOCUSED APPROACH TOWARD IMPROVEMENT.**

During interviews with personnel in the police department as well as focus group discussion sessions, several topics of discussion revolved around cultural issues facing the Department. These included a general lack of respect between personnel in the Department, avoidance to resolving issues as they occur, a general lack of trust in department management by personnel and a lack of fairness in how personnel are treated.

##### **(1) Management, Supervisors and Line Personnel Require the Tools to Recognize and Correct Issues Related to the Police Profession.**

There have been numerous studies conducted on the psychological toll that serving as a police officer can take on an individual. Dr. Kevin Gilmartin, Ph.D spent

over 20 years as a police officer in the Pima County (AZ) Sheriff's Office and studied the behavioral issues the profession takes on officers and their families. Dr. Gilmartin describes how the amount of time spent in a "hyper-vigilant state of awareness" and the daily stressors faced by officers can transform "idealistic and committed officers into angry, cynical individuals, leading to significant problems in both their personal and professional lives<sup>2</sup>". As Dr. Gilmartin explains, once the transformation occurs the officers engage in conduct that is both detrimental to themselves as well as to their Departments and families. This cannot be ignored and could be a key factor to the behavioral issues being faced by the APD today. Several police agencies have made the book written by Dr. Gilmartin mandatory reading for all personnel, sworn and civilian. The Asheville Police Department should encourage personnel to read the book and engage in discussions about how the information learned can be used to improve the behavioral culture in the Department.

It is recommended that the discussion meetings discuss the following chapters at weekly meetings:

- Meeting 1 (Chapters 1 and 2)
- Meeting 2 (Chapters 3 and 4)
- Meeting 3 (Chapters 5 – 7)
- Meeting 4 (Chapter 8) and how to use the information to bring change.

***Recommendation:***

***The Department should task a small group of people to review and discuss the book *Emotional Survival for Law Enforcement (or similar resources)* and how the***

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<sup>2</sup> Gilmartin, Kevin. **Emotional Survival for Law Enforcement**, A Guide for Officers and Their Families. 2002.



**information presented can be used to bring change to the behavioral culture at the APD.**

**(2) A Career Development Guide Should be Developed to Provide Clear Guidance on the Behavioral Traits and Training Required to be Successful in Positions at APD.**

After the organizational values are confirmed as part of the visioning and strategic planning process described in the previous chapter, the Department should work to create a career development guide for personnel. This guide will serve officers as a tool to allow them to request and attend the types of training that will prepare them to be successful in positions as they take new assignments and promote within the agency.

The guide should contain the following elements:

- Purpose
  - What is Career Development
  - Who is responsible
  - Why is Career Development important
- Employee Considerations
  - Steps in career planning
  - Assessment and goal setting
  - Formal training
- Supervisor Considerations
  - Orientation
  - Performance reviews and individual development plans
  - Character development
  - Physical fitness and wellness
  - Mentoring
- Management Considerations
  - Need analysis
  - Training budget and prioritization
- Appendix for each position in the Department illustrating the following for the position
  - Core values
  - Attributes,

- Formal education
- Training required for the position

**Recommendations:**

**Develop a Career Development Guide for all positions in the agency to allow personnel to plan and prepare to be successful in assignments in the APD. This guide should be developed internally with the oversight of the City's Human Resources Department.**

**Ensure all personnel receive training the agency considers essential for effective career development prior to or as soon as practical when employees take a new position or promote in the APD.**

**(3) The Asheville Police Department Needs to Work Toward Rebuilding Trust both Internally and Externally.**

In the book, *The Speed of Trust*<sup>3</sup>, Stephen Covey discusses the topic of restoring trust once it has been broken. It is important that the personnel of APD understand that trust can be restored, but it will take time. The following are the behaviors the personnel in APD will need to adopt over the long term to restore trust internally and externally:

- **Talk Straight** – Tell it like it is. Don't beat around the bush whether the news is good or bad.
- **Demonstrate Respect for Yourself** – Don't beat yourself up over perceived weaknesses or mistakes.
- **Create Transparency** – Be open and honest about your motives and decisions.
- **Right Wrongs** – Forgive yourself so you can work on developing self-trust and confidence.
- **Show Loyalty** – Don't talk negatively, put yourself, others or the Department down.
- **Deliver Results** – Set goals and achieve them.

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<sup>3</sup> Covey, Stephen M.R. *The Speed of Trust, The One Thing That Changes Everything*. 2006.

- **Get Better** – Set aside time to improve your capabilities, develop new abilities or gain knowledge.
- **Confront Reality** – Don't live in denial and/or fear. Face what needs to be faced and move on.
- **Clarify Expectations** – Be clear about your expectations for yourself.
- **Practice Accountability** – Do what needs to be done.
- **Listen to Your Conscience** – Don't let the opinions of others cause you to violate what you know is right.
- **Keep Commitments** – Make commitments carefully and stick to them.
- **Trust your Judgment** – Trust your instincts and intuition.

As each employee of the APD works toward implementing these behaviors as part of the general course of business in the Department, trust will begin to be restored individually, as a Department and with the Community. While it will take time and focused commitment from all personnel in the APD, the long-term improvements in the internal climate in the organization and support from the community will be worth the work.

***Recommendation:***

***Personnel in the APD need to engage in behaviors that build and restore trust in themselves and the organization and hold each other accountable for adhering to these behaviors.***

## **2. POLICIES AND PROCEDURES.**

The Asheville Police Department is an accredited agency through the Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA) and currently has a decision regarding their reaccreditation pending. CALEA accreditation is a voluntary process that requires law enforcement agencies to have policies in place to protect them from the most frequent causes of litigation against police agencies.

Every three (3) years a team of CALEA assessors travels to Asheville to ensure the current policies in place meet CALEA standards and to ensure the Department is following CALEA required policies.

The policies and procedures that guide the Department should evolve from APD's "Legal Authority" "Core Values" and "Mission Statement". All Department Members should have a clear understanding of their individual discretionary powers in carrying out their duties in accordance with the Department's written policy, procedure, rules and regulations.

**(1) Employees Believe That the Department's Policies and Procedures Could Be Improved to Provide More Direction and Guidance.**

Respondents to the employee survey were given two statements regarding the Department's written policies and procedures.

- 39% of respondents disagreed with the statement "APD's written policy and procedures provide appropriate direction and guidance". About 37% agreed with the statement, while 23% were neutral.
- 75%, disagreed with the statement "Policies and procedures are consistently applied in this Department". About 9% agreed with the statement, while 15% were neutral.
- 75% disagreed with the statement "Standards of Conduct are consistently applied". About 9% agreed with this statement, while 16% were neutral.
- 75% disagreed with the statement "The same standards of conduct are applied to managers as those applied to line staff". About 14% agreed with the statement, while 11% were neutral.
- On a slightly positive note, a majority respondents, 45% agreed with the statement "Changes in policies and procedures are appropriately communicated in the Department", while 39% disagreed with this statement.

Overall, respondents feel that APD needs to continually improve its written policies and procedures, providing better direction and guidance for employees

**(2) Department Policies and Procedures Require Review and Revision.**

The Asheville Police Department has a policy manual and uses “Power DMS” to store, manage, update and distribute Department policies and procedures. Power DMS maintains the policy manual in an electronic format and ensures employees always have access to the most current policies and procedures. The one draw back to this system is it does not provide policy templates specific to police subject matter. There is another vendor for an electronic policy manual, Lexipol, which provides comprehensive, defensible policies written by legal and public safety professionals. These policies are State specific to ensure they apply to industry standards and are compliant with any legal updates required by North Carolina or Federal Law.

The project team reviewed the Department’s Policies and Procedures. The issues noted above, along with comments during interviews led the project team to conclude that there were several policies that are either outdated, conflicting or are not being carried out the way they are written. To confirm this the project team reviewed the Disciplinary and Internal Affairs policies to see if there were issues associated with those policies. In review of these policies the following issues were noted:

- The Disciplinary policy requires an employee to report to the Chief of Police at 0900 the following business day after being suspended. The Internal Affairs policy requires the employee to report at 1000 the next normal business day.
- The Discipline policy allows for investigative suspension for 30 days with and extension approved by the City Manager for up to 60 days, but in no case shall a suspension extend beyond 60 days. The Internal Affairs policy requires internal investigations be completed in 60 days unless an extension is necessary, in which case the employee and complainant are notified. It does not state who is authorized to grant the extension.
- The Discipline policy states that an employee is entitled to have legal representation present at the time a pre-disciplinary conference is held involving involuntary demotion, suspension of ten (10) or more consecutive shifts or

dismissal of a full-time employee. The Internal Affairs policy allows legal representation to be present during employee interviews, before any disciplinary action is taken.

- The Discipline policy is outdated. It refers to a progressive discipline process where discipline is handled at the lowest level and determined by the frequency of policy violations and/or the severity of the violation. The Internal Affairs policy requires all levels of an employee’s chain of command to review internal affairs investigations findings and if any level makes a disciplinary recommendation a panel of the employee’s chain of command up to the Division Commander meets to review and discuss the circumstances of the investigation. The panel then makes a final finding which is summarized by the Division Commander and forwarded to the Chief of Police, who, or his designee, will conduct a review and make a final determination regarding disciplinary action.

The project team also reviewed the policy manual to determine if there were policies that had not been updated in recent years. The following table reflects, the policies that are most in need of review and possible revision as none of the policies have been revised in seven (7) years or longer:

**Policies and Procedures Needing Attention**

<b>Policy Number</b>	<b>Subject</b>	<b>Last Revision Date</b>
1020	Early Warning System	March 2008
1031	Use of OC Spray	June 1996
1035	High Risk Response	June 1994
1038	Biased Based Policing	March 2006
1060	Staff Inspections	December 1999
1076	Roll Call Training	May 2002
1121	Ceremonies and Funerals	December 1998
1123	Line of Duty Death	January 2007
1130	Mutual Aid	December 1995
1132	Escorts	April 1998
1220	Fiscal Management	August 2009
1281	Stolen Vehicles	May 2007
1300	Seizure and Forfeiture	June 1997
1410	Prisoner Search and Transport	August 2008
1411	Involuntary Commitments	March 1999
1600	Emergency Operations	May 1998
1700	Informants	April 2002
1800	Computer Technology	May 2004
2001	Patrol Administration	October 2007
2010	Emergency Notifications	September 1998
2050	Field Interviews	June 2007
2110	Special Events	June 1998

Policy Number	Subject	Last Revision Date
2300	Selective Traffic Enforcement	December 2005
2310	Traffic Administration	September 2007
2330	Traffic Direction	September 1998
2331	Mobile Field Reporting	January 2006
2340	Traffic Support Services	November 1998
2350	Traffic Engineering	August 2007
2361	DWI Enforcement	August 1998
2362	Speed Measuring Devices	March 1998
2363	Traffic Checkpoints	November 2000
3002	Criminal History Records	July 2007
3030	Career Offenders	November 2007
3050	Vice Investigations	July 2006
3060	Sexual Offense Investigation	June 2007
3072	School Resources	January 2005
4080	Protocol Call Referral	July 2007
5030	Hostage Situations	June 1994
5070	Search and Rescue	June 2002
6000	Chemical Capture	October 2007

As shown in the table above, there are numerous policies that show no revision in the past seven (7) to over 20 years. The APD only states that polices will be reviewed and revised as needed, but there is no timeline established which requires a review of polices to ensure they are current with Department practices, currently accepted standards or reflect changes to State or Federal Law.

The Department Administration, as well as Department Members as amplified in the employee survey, perceive that this issue exists and requires attention. During focus group meetings several additional policies were discussed as needing to be revised, even though they have been revised as recently as one year ago. According to the perception of personnel, these include:

- **Uniform Policy** – A more up to date policy that reflects current police trends in uniform and appearance.
- **Recruitment and Retention Policy** – Improved policy to ensure the agency is able to recruit and retain the most qualified and best-suited candidates.

- **Promotional Policy** – Consistent promotional opportunities for qualified personnel.
- **Discipline Policy** – Fair and consistent discipline policy. Go back to using the discipline matrix, discontinue the discipline round table and allow disciplinary decisions to be handled at the appropriate supervisory levels in the Department.

The following table is an example of a disciplinary matrix that assists supervisors in making disciplinary decisions. In developing the matrix, the Department should evaluate the types of policy violations that will fall into each class group:

Offense Class	First Offense		Second Offense		Third Offense	
	Minimum	Maximum	Minimum	Maximum	Minimum	Maximum
1	N/A	Supervisor Counseling	N/A	Written Reprimand	Supervisor Counseling	1 Day Suspension
2	Supervisor Counseling	Written Reprimand	Supervisor Counseling	1 Day Suspension	Written Reprimand	3 Day Suspension
3	Supervisor Counseling	1 Day Suspension	Written Reprimand	3 Day Suspension	1 Day Suspension	5 Day Suspension
4	Written Reprimand	3 Day Suspension	1 Day Suspension	5 Day Suspension	3 Day Suspension	10 Days or Demotion*
5	1 Day Suspension	10 Days or Demotion	3 Day Suspension	10 Days or Demotion	10 Days or Demotion	Termination
6	10 Day Suspension or Demotion	Termination	10 Day Suspension or Demotion	Termination	Termination	N/A
7	Termination	N/A	N/A	N/A	N/A	N/A

The Department should consider engaging the services of LEXIPOL to assist with the extensive work associated with reviewing and revising the policy manual, an initiative that will include line staff members as subject matter experts in the policy development process.

**Recommendations:**

***Discontinue the panel review of all disciplinary recommendations resulting from internal investigations and allow disciplinary decisions to be made at the appropriate level in the organization based on the severity of the policy or conduct violations.***



***Develop a disciplinary matrix to which aligns with the progressive discipline discussed in the Discipline policy to allow officers to use it as guide when making disciplinary decisions.***

***Develop a time standard requiring the review of all policies to ensure they reflect current practices, standards and comply with State and Federal Law. The project team recommends a three-year review cycle with 1/3 of the policies being reviewed annually and the review date noted on policies.***

***Consider updating the entire Policy and Procedures Manual with the assistance of LEXIPOL. Begin this process as soon as possible with a view to completing it before the end of 2015.***

**3. THE DEPARTMENT NEEDS TO ENSURE APPROPRIATE TRANSFER OF KNOWLEDGE FOR PERSONNEL PROMOTED OR ASSIGNED TO NEW POSITIONS IN THE AGENCY.**

As the project team was conducting interviews and focus group sessions as part of this study it became apparent that there was a potential issue of the frequency of management rotations or reassignments within the APD. A second issue raised is that no transfer of job knowledge and responsibilities occurs when a transfer occurs, the person generally learns the position while on the job.

**(1) Reassignments of Mid-Management Positions.**

It was relayed to the project team in many parts of the Department that mid-level managers (Lieutenants and Captains) would be reassigned to a unit and then reassigned elsewhere, sometimes in less than a year.

Rotation or reassignment policies are effective career development tools in a law enforcement agency. They accomplish the following:

- They broaden the career of an individual which can have the positive effect of breaking down barriers to interaction.
- An effective reassignment policy can also prepare someone for promotion thorough appreciation of broader operations.

- Without a reassignment policy it is possible for an individual never to get an opportunity to experience work in perceived desirable assignments or shifts.
- Without a reassignment policy it is possible for an individual to be promoted without ever having the opportunity to work outside of patrol for example.
- An effective reassignment policy should allow many individuals to work in assignments in their careers which provide the exposure to the public, analysis, technical areas, policy development, etc.

However, an ineffective reassignment or rotation policies can also be a hindrance to an organization for the following reasons:

- Many specialty assignments require extensive specialized training and experience. While pre-qualifications and initial training may provide some of what is required to function at a particular level some assignments may take years to obtain the desired expertise, such as polygraph examiners, fingerprint examiners or computer crime forensic analysts.
- Many specialized assignments have pre-qualifications, initial training requirements and the need to get someone newly assigned to training for some time.
- Many individuals can get an assignment to a function for which they are not a good match – for example the ability to supervise civilians or to truly understand technology.

The project team is not saying that the APD is making poor decisions or that individuals being reassigned who are not qualified. The project team is saying that the rapidness of the targeted rotations are too frequent and work against the ability to establish or maintain unit identity or knowledge. In fact, Asheville does not have a rotation policy, it is instead reacting to needs because of a separation, retirement or transfer elsewhere in the Department. These reassignments are often viewed by personnel as “punishment assignments”.

## **(2) Job Knowledge Guides**

Beyond job descriptions there are no specific job guides to allow personnel new to a position to fully understand the requirements of their position. The issue with this is that personnel spend a considerable amount of time trying learn what is required of their position while on the job. This will often lead to critical timelines being missed as a the employee does not know that certain reports, inspections or certifications are due or a requirement of the position until a deadline is missed. This became very apparent as the recertification of radar units did not occur according to schedule and it was not realized until the new lieutenant assigned to logistics discovered the issue while “learning his job”.

A best practice would be to have job guides for each operational unit to allow the manager and personnel in the unit to have required report, inspection and certification deadlines at their finger tips. The job guides should list tasks that are required to be conducted:

- Daily
- Weekly
- Monthly
- Quarterly
- Annually
- At other time periods

These task lists should provide any specific dates where a report, inspection or certification is required to be completed so adequate planning can occur to achieve required deadlines.

**Recommendations:**

***Develop a formal policy in which management personnel have a two-year minimum period for a specialty assignment. Such a policy would continue to achieve the goal of developing broadly based skills in managers but actually better give them the time in assignments to achieve that goal.***

***Develop Job Task Guides for each operational unit at the APD that clearly outline timelines for required reports, inspections, certifications and other critical job tasks. The job guides should be developed with the assistance of the City Human Resources Office or a 3<sup>rd</sup> party.***

**4. COMMUNICATION STRATEGY**

Many of the objectives contained in the 180 day plan focused on improving internal APD communications. There needs to a continual long-term focus on improving external communications with the community and the media. The City has recently approved the hiring of a position that will be focused on external communications and media relations. This is a positive step to ensure positive programs, initiatives and success stories are reported to the media and the public. The following steps, in conjunction with the City's Communication Division, should be taken to strengthen the external communication efforts of the APD:

- Establish quarterly meetings with local media to develop a positive working relationship with the local media.
- Establish community forums, with each District hosting one meeting annually, to allow citizens to express their perceptions of issues facing the community. It should be the responsibility of the District Commander to schedule and facilitate these meetings.
- Produce a quarterly program on the City cable channel highlighting various units and initiatives of the APD.
- Establish website initiatives to ensure information on the APD website is updated and remains current.

**Recommendations:**

***Develop a proactive public information and media relations' effort rather than only being reactionary. Set a goal to produce a minimum of one effort per month in conjunction with website, social media and the cable channel efforts.***

***Develop a forum with visibility of the Police Chief and command staff designed to create a number of positive, informed ambassadors among key support groups throughout the City.***

***Work to ensure that the APD website is continually updated with current and relevant information.***

***Develop written objectives and success measures external communication efforts.***

**5. RECRUITMENT AND RETENTION OF PERSONNEL.**

There is a tremendous emphasis in police agencies on recruiting and retaining quality employees, yet most police agencies do not have a well-developed recruitment and retention strategy in place to ensure this is a consistent focus of department personnel. In the employee survey conducted as part of this study there were a large number of comments related to retaining factors involved in the recruitment and retention of employees. A positive fact of the survey is that approximately 71% of respondents agreed with the statement "I plan to make a career with the Asheville Police Department". This indicates there is strong employee loyalty and most employees are planning to remain with APD for the duration of their careers.

In order for this trend to continue and to improve on the quality of personnel employed by the Department, the APD should implement some best practices in recruiting and retaining employees.

**(1) Recruitment.**

Many agencies fail to adequately address and focus on the importance of the recruiting process. The City of Asheville Human Resources Department uses the Internet and local media outlets to post vacancies in the APD. According to the International Association of Chiefs of Police<sup>4</sup> (IACP), the following techniques should be used in the recruiting process:

- Selecting recruiters that portray a positive image of the Department
- Effectively using the internet to post vacancies
- Using local and regional newspapers to post job openings
- Attending job fairs in the area, including military and college events
- Networking with religious organizations

**(2) Retention.**

As important as it is to recruit the right personnel for the APD, it is equally important to keep them employed with the Department. There is considerable time and cost associated with training new employees and high turnover is very costly for a police department. This is especially true for sworn police officer positions and dispatcher positions where it can take up to a year to hire and train an employee before they are able to fully function in their position. According to the IACP, the following factors should be examined to help retain employees.

- **Compensation** – The total compensation package should be fair and in line with the region to prevent personnel from leaving due to poor salaries or benefits.

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<sup>4</sup> Orrick, D. **Best Practices Guide, Recruitment, Retention and Turnover in Law Enforcement.** IACP.

- **Poor Supervision or Leadership** – Failure to develop strong leadership in a Department will cause personnel to leave as there will be poor relationships between employees and supervisors.
- **Poor Job Fit** – Make sure your agency is a positive place to work and the Field Training Program helps develop personnel.
- **Lack of a Challenging Work Environment** – The Department must provide a work environment that challenges a well-educated and trained workforce and provides opportunities to use their skills and solve community problems.
- **Dysfunctional Organizational Culture** – Silo management styles, lack of effective communication, strict operation procedures and leadership not engaged with personnel will increase employee turnover.
- **Generational Differences** – The lack of leadership strategies designed to reach all employees regardless of their current level of development in the organization.
- **Lack of Career Growth** – Personnel who do not see opportunities to grow or advance in the organization will often move to another agency where they perceive more opportunities for advancement exist.
- **Inadequate Feedback** – There should be opportunities for meaningful, frequent feedback. This should not just occur during annual performance evaluations.
- **Inadequate Training** – The department should embrace training and ensure officers receive the training they need to respond to a constantly changing work environment.
- \* **Equipment** – Personnel in police agencies take great pride in their equipment and see it as how valued they are by the community. Keeping equipment up to date and in good working order is important for employees to feel valued.

As discussed earlier in the report, the majority of employees that responded to the employee survey indicated that they did not receive meaningful feedback during the annual performance evaluation conducted by their supervisor. Our review of a sample of personnel files also indicated that not all employees were receiving an annual evaluation according to established timelines. The City Human Resources Department should work with the APD to examine the current system used to evaluate

employee performance and modify it to ensure it provides feedback to employees that is relevant to the work they provide for the Department. A process to ensure all employees receive an annual performance evaluation as well as period feedback on their performance during the year should also be developed to ensure some evaluations are not missed.

**Recommendation:**

***Work with the City HR Department to develop an annual performance system that provides a meaningful evaluation of work conducted by employees in the Police Department. Also develop a system for periodic review of employee performance throughout the year.***

**(3) Mentoring.**

As discussed earlier, ineffective transfer of job knowledge is an issue facing the APD. Establishing a mentoring program for new employees as well as newly promoted personnel would be a positive step to ensure personnel at all levels in the APD are successful in their positions. A mentoring program helps build relationships that promote professional growth, inspire personal motivation and enhance the effectiveness of service to the community. According to the IACP the best reason for creating a formal mentoring process is that every employee is afforded the opportunity and benefit of mentoring and this promotes loyalty and inclusiveness within the organization. The IACP identifies the following steps as being needed to institutionalize a mentoring program:

- Teach mentoring skills to all employees (sworn and civilian). The Chief must demonstrate and support total agency mentoring. Establish a formal new hire mentoring process
  - Appoint mentor coordinator
  - Identify employee workgroup to develop the mentoring process



- Draft mentoring policies and procedures
- Define mentor / protégé roles and responsibilities
- Select and train mentors
- Pair mentors and new hires
- Evaluate and fine tune process
- Create career development mentoring system
  - Identify command coordinator
  - Identify supervisory workgroup
  - Draft career planning/goal setting policies and procedures
  - Define mentor/protégé roles and responsibilities
  - Select and train mentors and protégés.
  - Pair mentors and protégés
  - Evaluate and fine tune process
- Succession planning
  - Chief mentors commanders
  - Commanders mentor supervisors
  - Supervisors mentor line employees
  - Officers/civilian employees mentor colleagues and new hires.

By implementing effective recruitment and retention strategies the APD can be viewed as an employer of choice by personnel and benefit from the ability to attract and retain highly qualified personnel.

***Recommendations:***

***Implement a formalized a recruitment and retention strategy for sworn and civilian positions in the APD.***

***Develop and implement a formal mentoring program for new hires and newly promoted personnel to enhance the effectiveness of services provided by the APD.***

## **6. INTERNAL AFFAIRS CASE REVIEW**

The project team conducted a file review of Internal Affairs (IA) files. The project team reviewed the IA Log that lists a one line description of each complaint – the IA case number, the date, reporting party, the name of the subject officer and findings

(sustained, not sustained, exonerated, unfounded, training failure). A summary spreadsheet listing the source of the complaint (internal or external), the gender/race of the reporting party (RP) and the case findings is provided below:

<b>Who is Reporting Party (RP)</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014 (Nov)</b>	<b>% Change (Annualized)</b>
Internal	15	15	15	8	
External	71	61	57	2	
UNK	0	1	1	37	
<b>Total Cases</b>	<b>86</b>	<b>77</b>	<b>73</b>	<b>47</b>	<b>(35%)</b>

<b>By Race for External RPs</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>	<b>%</b>
Black Male	13	11	5	29	15.3%
Black Female	8	2	2	12	6.3%
White Male	32	13	10	55	29.1%
White Female	18	13	4	35	18.5%
Unk (not listed in log)	0	22	36	58	30.7%
<b>Total Cases</b>	<b>71</b>	<b>61</b>	<b>57</b>	<b>189</b>	<b>100%</b>

<b>Findings</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>	<b>%</b>
Not Sustained	20	22	19	61	25.6%
Sustained	24	20	20	64	26.9%
Exonerated	16	14	23	53	22.3%
Unfounded	26	18	8	52	21.8%
Policy Failure	0	2	1	3	1.3%
No Finding / Unk.	0	2	3	5	2.1%
<b>Total</b>	<b>86</b>	<b>78</b>	<b>74</b>	<b>238</b>	<b>100.0%</b>

This summary of Internal Affairs generates several important findings:

- IA complaints are declining, by about 35% since 2011.
- There does not appear to be a pattern of ethnic based complaints.
- The ratio of sustained versus not sustained or similar findings is similar to what the project team finds in many organizations with effective police / community relations.

The project team believes that this review of Internal Affairs demonstrates positive trends within the Department and with respect to the community.

## **7. EFFECTIVE CHANGE MANAGEMENT.**

The short and long-term recommendation in this report are geared toward bringing positive change to the Asheville Police Department by improving the

management and internal systems that combine to create the organizational culture. “Change management” should be viewed as the processes, tools and techniques used to manage the employee change. It is a method to reduce and manage internal resistance to change when new processes, technology or organizational changes are implemented. In order for the change management to be effective, the APD must prepare for the change, manage the change and reinforce the change.<sup>5</sup> The steps in this include:

- **Prepare for Change**
  - Define the Change Management Strategy
  - Prepare the Change Management Team
  - Develop the Strategies for Change
- **Manage Change**
  - Develop the Change Management Plans
  - Take action and implement the Plans
- **Reinforce Change**
  - Collect and analyze employee feedback on change
  - Diagnose gaps in change and manage resistance to change
  - Implement correction actions needed and celebrate the successes

By implementing a clear change management plan and managing the process to include identifying and overcoming resistance to change as well as celebrating the successes along the way, the APD will be able to effectively change the overall culture of the organization and bring positive change for employees at all levels of the Department.

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<sup>5</sup> Prosci Change Management Learning Center. Retrieved from [www.change-management.com](http://www.change-management.com).

## **8. CIVIL SERVICE BOARD**

Asheville is one of five (5) cities in North Carolina with a Civil Service Board appointed or elected to hear grievances brought forward by members of the classified service who have been discharged, suspended, reduced in rank, transferred against his/her will or is denied any promotion or raise in pay which he or she may be entitled. Each has been enabled by specific legislation over many years. As a result, each is different in scope and role. The current legislation governing Civil Service in Asheville (last amended in 2009) places the burden of proof on the City to prove that any action taken against an employee was justified. If the Civil Service Board finds an action unjustified, it has the authority to order a department director to rescind the action against the employee.

Either party may appeal the decision of the Civil Service Board to the State Superior Court for a trial *de novo*.

The Board is made up of five members, who must be citizens of the City of Asheville and registered to vote. Two are appointed by the City Council, members of the classified service elect two and the four members of the Board select the final member.

Civil service protection is afforded to the classified service members of the City with the exception of the City Manager, directors, assistant directors, city clerk, deputy city clerk, advisory board members and members of boards and commissions.

The following table illustrates the meetings and topics of the Civil Service Board in 2014:

**CITY OF ASHEVILLE, NORTH CAROLINA**  
**Final Report on the Police Department Organizational Assessment**

<b>Date</b>	<b>Meeting Type</b>	<b>Issue</b>	<b>Department</b>
01/15/2014	Special Meeting	Review of CSB order from Grievance	Fire Department
02/06/2014	Regular Meeting	Resolution of Grievance	Fire Department
03/06/2014	Regular Meeting	Overview of "Grey Listing" Recommendations Promotional Process Advisory Committee Recommendations	Fire Department Police Department
04/03/2014	Regular Meeting	Promotional Criteria Advisory Committee Recommendations Promotional Policy 1073	Fire Department Police Department
05/01/2014	Regular Meeting	Promotional Criteria Advisory Committee Recommendations	Fire Department
06/05/2014	Regular Meeting	Promotional Criteria Advisory Committee Recommendations Promotional Policy 1073	Fire Department Police Department
07/09/2014	Regular Meeting	Promotional Policy 1073	Police Department
09/04/2014	Regular Meeting	Promotional Policy 1073	Police Department
09/09/2014	Employee Grievance	Employee Grievance	Police Department
10/03/2014	Employee Grievance	Employee Grievance	Fire Department
11/19/2014	Employee Grievance	Employee Grievance	Police Department
12/04/2014	Regular Meeting	None	None

As shown above, the Civil Service Board met 12 times during 2014. There was one special hearing related to a Fire Department grievance, eight (8) regular meetings where the departmental issues discussed involved the police and fire department promotional policies and Fire Department "Grey Listing" recommendations, and three (3) employee grievances, two (2) of which were for the Police Department. There was also a subcommittee appointed to draft possible changes to the substantive rules of the

Civil Service Board. In grievance hearings relating to the APD in 2014 and the one meeting in 2015 the Department's decision was upheld once, overturned once and once it was determined that the grievance was filed outside of the time limit.

While police and fire employees make up just over half of the City workforce, they were the only departments with policies reviewed by the Civil Service Board in 2014.

The relationship of the Civil Service Board and the City has recently been contentious. This has been the result of heated hearings, litigation and Board reviews of issues not strictly related to grievances and disciplinary actions (e.g., personnel policies and promotional processes).

The Civil Service Board exists as a creation of the State Legislature, which last revisited the Act in 2009. Oversight processes such as civil service exist in many parts of the country for a number of reasons – for example, to provide employee recourse to disciplinary actions, to review policies, to perform or review recruitments and promotions, or to review policies. However, the existence, responsibilities and actions of the Asheville Civil Service Board is beyond the scope of this project assignment.

The project team is of the belief that improvements in how the City and Board work together can be achieved by the Board, the Department and the City agreeing on a change in its mode of operation to include:

- Agreeing on a 'code of conduct' which includes definitions of appropriate and inappropriate interactions of staff.
- Because the post-2009 civil service environment in Asheville includes grey areas of oversight and responsibility, the City and the Board should hold a meeting to agree upon a mutual interpretation of the enabling legislation.

- A review of hearings in a previous year so that process improvements can be made for future years.
- The Fire Department went through an equally contentious period between the City / Department and employees involving, in part, the Civil Service Board. The Fire Department now has a less contentious relationship with the Civil Service Board. The APD's Fraternal Order of Police and the Police Benevolent Association should meet with their counterpart in the Fire Department, an International Firefighters Association affiliate to discuss what changed in their labor relations environment that could be of benefit to the Police Department.

Asheville's Civil Service Board is a 'stakeholder' in the organizational culture of the City, especially its public safety departments. While independent of each other, the City and the Civil Service Board both serve the citizens of Asheville. A basis of understanding and open communication will assist in the development of a more positive environment for this oversight to take place. There are many forms of labor relations oversight and review in America today, they foster an effective working relationship between employees and management, or not, depending on the willingness of the parties to work together.

***Recommendation:***

***The City, Police Department and employee associations need to take a number of steps to foster a labor management environment that is less adversarial than exists at present.***

**9. EMERGENCY DISPATCH STAFFING REQUIRES IMMEDIATE ACTION.**

As discussed earlier, effective recruiting and retention is critical for the overall success of the APD. Currently the emergency dispatch center (Communications) has nine (9) vacancies for the 20 authorized positions in the Center. Data provided indicated the turnover was 56% last year and included:

- 5 employees unable to complete the training program
- 4 employees leaving to work at a neighboring dispatch center

- 2 employees moving out of the area
- 2 employees retiring from the APD
- 1 employee leaving due to the requirement to work the night shift

The Emergency Dispatch center currently serves as the general administrative switchboard for the APD. While this may be appropriate when the Center is fully staffed, it is creating additional work burden and takes away from personnel being able to focus on emergency calls for service during normal business hours when the phone calls are numerous. During our sit in with the Center, one of the two dispatchers on duty was continually answering administrative lines and dealing with general questions and customer issues. This duty should be reassigned to the records division until staffing levels are restored and re-evaluated as a dispatch function in the future.

***Recommendation:***

***Discontinue the practice of having the Emergency Communications Center serve as the switchboard for APD administrative calls during normal business hours and move this responsibility to the Records Division. Revisit the appropriateness of this function being in Emergency Dispatch when staffing levels return to the authorized strength.***

**10. THE DEPARTMENT WILL NEED ADMINISTRATIVE ASSISTANCE IN THE IMPLEMENTATION OF RECOMMENDATIONS AND ONGOING SUPPORT.**

The project team has developed over 40 recommendations in this report for the City and Police Department to consider for implementation. Many of these recommendations require support to staff in the implementation phase as well as on an ongoing basis once implemented. Some of the recommendations requiring support include:

- The maintenance of a performance management plan.
- Support for policy and procedure reviews.



- Support to the Chief's Advisory Committee.
- Development of monthly and annual reports.
- Ongoing internal communications (e.g., social media).
- Meeting support, especially tracking commitments and accountability.

The addition of such an administrative support position should be viewed as critical for the successful short term and long range implementation of recommendations accepted by the City and the Department because of the need for tracking especially commitments and accountability.

***Recommendation:***

***An additional administrative staff will be needed to assist the Department in implementation and ongoing support for the recommendations made in this report.***

**11. THE DEPARTMENT SHOULD RE-ORGANIZE ITS ADMINISTRATIVE AND SPECIAL OPERATIONS FUNCTIONS TO MANAGE SPANS OF CONTROL AND IMPROVE FUNCTIONAL RESPONSIBILITY**

The Department's organizational structure has been in a 'state of flux' in the past year with actual and considered reorganizations. At the time of the project team's fieldwork on this project (late fall and early winter) the structure of the Department was as follows:

- Chief of Police
- Deputy Chief of Police
- Captain for Administrative Services (acting)
- Captain for Criminal Investigations
- Captain for Patrol

There are several organizational issues which need to be addressed in the Asheville Police Department. These are describe din the following subsections.

**(1) Administrative Services**

Within Administrative Services a span of control and functional allocation of responsibility does exist. The Support / Logistics Lieutenant is responsible for the following functions:

- Communications
- Property / Evidence
- Records
- Logistics
- Animal Services
- Purchasing

In the past two months a Treasury Services Manager has been brought in temporarily to assist with various administrative functions in the Department, including:

- Budget
- Human Resources
- Finance and Purchasing

The project team believes that this position should be made permanent and charged with management and supervision for all administrative functions within the Department. This should include the three functions cited above plus Property / Evidence and Records. This achieves the following results:

- Reduces the span of control for the Support / Logistics Lieutenant to include Communications and Animal Services, plus as described below, Special Events / Public Information Officer.

- Places functional responsibility for most administrative services staffed by civilian personnel in a civilianized administrative section.

The Treasury Services Manager position, if retained in the Police Department, should be re-classified as an Police Administration Manager at a compensation level comparable to the existing classification.

## **(2) Special Operations**

A similar span of control and functional allocation of functional responsibility issue exists in the Patrol Division where the Special Operations Lieutenant is allocated the following:

- Traffic Safety
- Downtown Unit
- Public Housing Unit
- Special Events Planning / PIO
- Drug Suppression Unit
- Park Liaison

This Lieutenant also provides oversight for the Department's Chaplain program and special projects / research / executive officer.

This span of control and functional responsibility is too wide. The Department should consider the reallocation of selected functions to alleviate this issue. Potential candidates which could be considered include:

- Reallocation of the Downtown and/or Public Housing Units to a Patrol District.
- Reallocation of the Drug Suppression Unit to Criminal Investigations.
- Reallocation of Special Events Planning / PIO to the Support / Logistics Lieutenant in Administrative Services.

**Recommendations:**

***The Department should make the temporarily assigned Treasury Services Manager permanent and reclassify the position as an Administrative Services Manager responsible for all administrative functions.***

***The Department should reduce the span of control and functional responsibility of the Special Operations Lieutenant.***

**(3) Executive Management**

As described earlier, the Executive Management Team of the Police Department includes a Chief, a Deputy Chief and three Captains. While spans of control and the allocation of functional responsibility are generally appropriate it needs to be recognized that the recommendations in this report are and will be major undertakings for the Department requiring significant focus of executive management. While the administrative support position helps, there are several major changes in management which will require senior management attention, including:

- Performance management
- Internal and external communications
- Enhancing recruitment, retention and career development
- Policy and procedure reviews
- Risk management
- Department administration
- Change management in general

Overall, as this report has shown there is a considerable amount of change needed to be made in the 'management culture' of the organization. As a result, these new or substantially reformed measures require an additional Executive Management position, a second Deputy Chief, to assist with their implementation and ongoing

success. This would result in a Deputy Chief with oversight of operations and a Deputy Chief with oversight of administrative and support functions. One set of functions under the administrative Deputy Chief would be the development and ongoing responsibility of the performance management / measurement systems recommended in this report.

***Recommendation:***

***The Department should create a second Deputy Chief to assist in overall executive management as well as the development and maintenance of performance management in the agency.***

## **APPENDIX A: SUMMARY OF THE EMPLOYEE SURVEY**

The Matrix Consulting Group conducted a survey of the Asheville Police Department's employees in order to gauge their views on a variety of issues. Surveys were distributed through a secure on line survey tool (SurveyMonkey) to all employees of the Department. Of the 254 surveys that were distributed, 100 were received for a response rate of 39%. Though not a statistically valid survey, because of the size of the sample, it provided an opportunity for all employees to provide input to the project team. While it is not possible for the project team to understand the motivation of respondents, it was useful in understanding internal Department issues.

### **1. INTRODUCTION TO THE PURPOSE AND STRUCTURE OF THE SURVEY**

The survey consisted of two sections. The first section contained 32 positively phrased statements to which respondents were asked to select one of the following responses: "strongly agree," "agree," "neutral," "disagree," and "strongly disagree." The statements in this section of the survey were designed to provide an understanding of the perceptions, attitudes, and opinions of Department employees with respect to the following key areas:

- **Departmental Culture:** Employees responded to statements concerning the overall culture of the department such as meeting the needs of the community, work ethic, work environment, and organizational culture at APD.
- **Departmental Expectations:** Employees responded to statements about performance expectations, standards of conduct, and training.
- **Departmental Policies and Procedures:** Employees responded to statements about Departmental policies and procedures.

- **Internal Processes:** Employees responded to statements concerning performance evaluation, special assignment, and promotion processes.
- **Leadership and Management:** Employees responded to statements related to departmental vision, decision-making skills, and interaction with management.

In the second section employees were asked to respond to statements associated with management and supervisions for their work unit and the department.

While the survey was confidential, respondents were asked in the beginning to indicate their status and their current responsibility. The following tables present the number of respondents by their respective unit, current level in the organization, length of employment with the Department, and whether sworn or civilian employee.

<b>Current Assignment</b>	<b>No. of Respondents</b>	<b>% of Total Responses</b>
Office of the Chief	3	3%
Administrative Services Division	18	18%
Criminal Investigations Division	24	24%
Patrol Division	54	54%
Blank	1	1%
<b>Total</b>	<b>100</b>	<b>100%</b>

<b>Level in the Organization</b>	<b>No. of Respondents</b>	<b>% of Total Responses</b>
Manager (Lieutenant and above)	14	14%
Supervisor (e.g. Sergeant)	21	21%
Line Employee	65	65%
<b>Total</b>	<b>100</b>	<b>100%</b>

<b>Sworn vs. Civilian</b>	<b>No. of Respondents</b>	<b>% of Total Responses</b>
Sworn	123	96.8%
Civilian	4	3.2%
<b>Total</b>	<b>127</b>	<b>100%</b>

<b>Length of Employment</b>	<b>No. of Respondents</b>	<b>% of Total Responses</b>
0 – 1 year	7	7%
2 – 5 years	17	17%
6 – 10 years	28	28%
11 – 15 years	17	17%
16 – 20 years	16	16%
20+ years	12	12%
No Response	3	3%
<b>Total</b>	<b>100</b>	<b>100%</b>

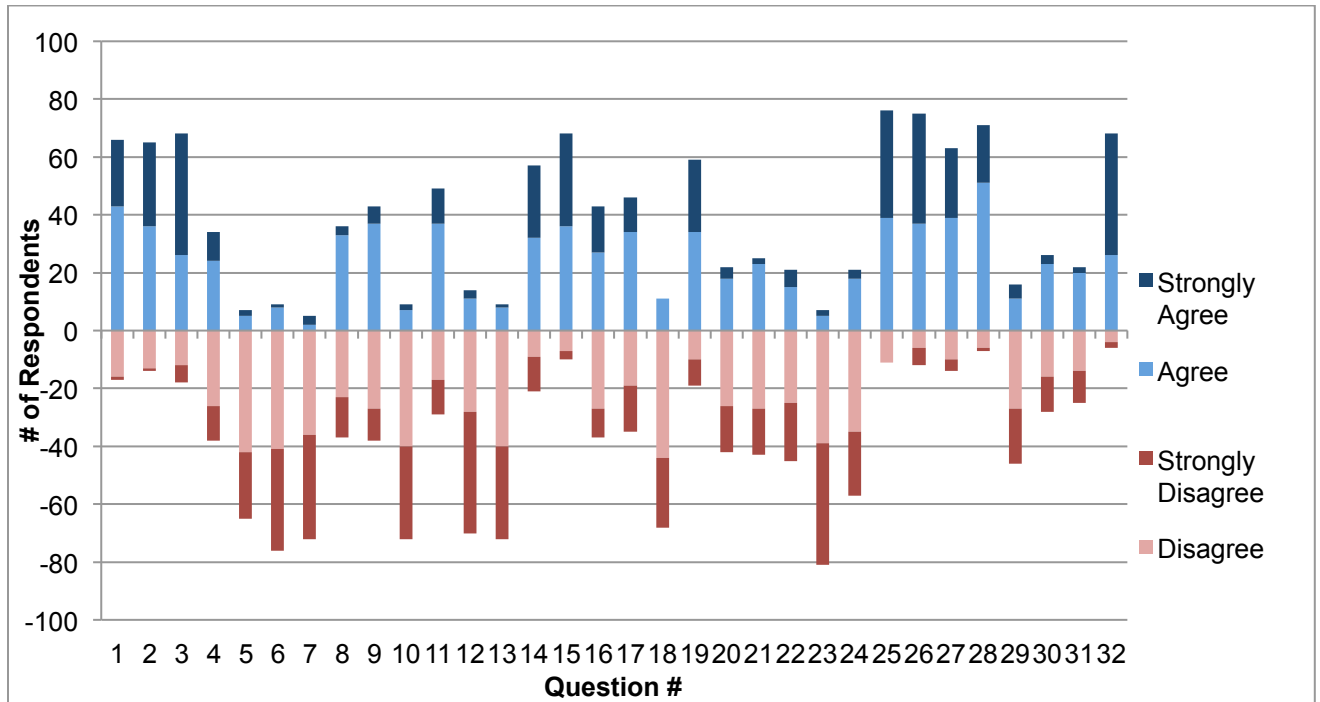
<b>Sworn vs. Civilian</b>	<b>No. of Respondents</b>	<b>% of Total Responses</b>
Sworn	76	76%
Civilian	24	24%
<b>Total</b>	<b>100</b>	<b>100%</b>

Clearly sworn responses (76% of the total), line employees (65% of responses) and patrol responses (54% of the total) dominate the overall results of this survey. This is to be expected, but these percentages are roughly proportional to actual representation. This summary does, where relevant, distinguish among different responding groups.

**2. THE OVERALL PORTRAIT OF THIS SURVEY IS ONE IN WHICH SERVICE DELIVERY AND LINE LEVEL RELATIONSHIPS ARE POSITIVE BUT VIEWS TOWARD MANAGEMENT ARE QUITE NEGATIVE.**

Responses to the statements in this section indicate that in most of the areas respondents have either disagreed with statements concerning organizational culture or agreed with practices and leadership within their specific work units. The following chart displays the number of positive and negative responses to each statement in this section (positive responses are represented as a positive number and negative responses are reflected as a negative number).





As the chart shows, while overall, there were some positive responses throughout the survey; nearly half of the questions elicited negative reactions from the employees. The bars shown above clearly indicate that the positive sentiments were related specifically to work units while negatively skewed comments were in relation to departmental management.

The following subsections examine responses to each question in more detail.

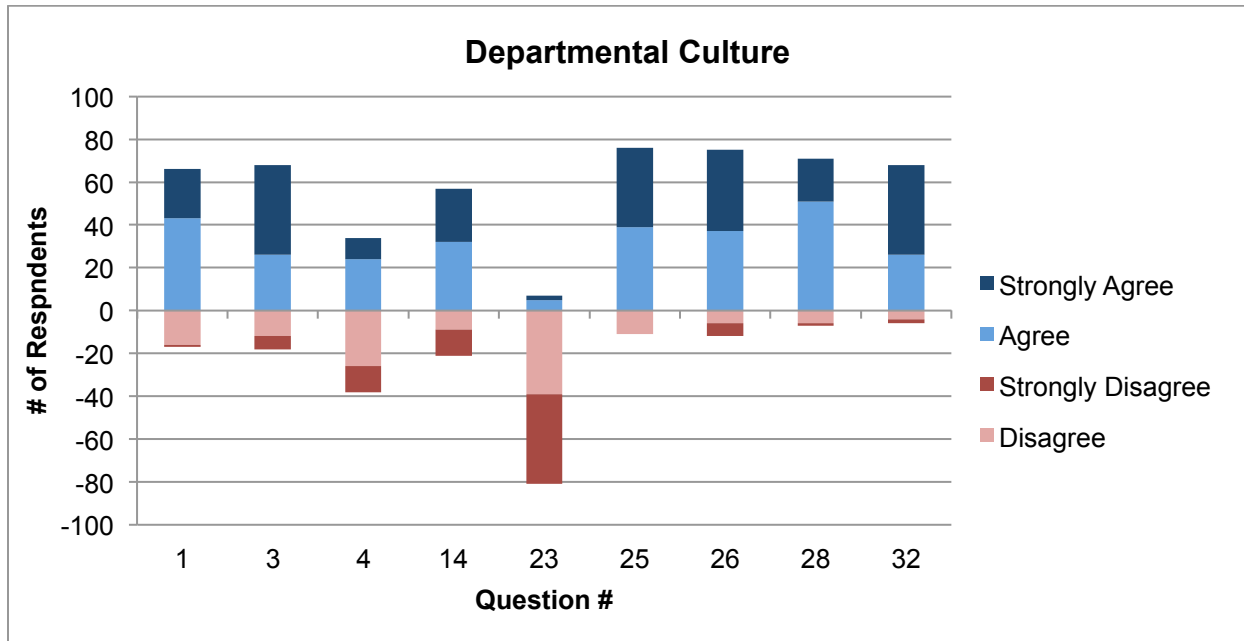
**(1) Departmental Culture**

The following table contains employees’ responses to statements about the Department’s overall culture including meeting the needs of the community, its work ethic, organizational culture, and intradepartmental relations.

Statement	Agree	Neutral	Disagree	No Response
1. Overall, the Asheville Police Department meets or exceeds service expectations of the Community.	68.8%	11.5%	17.7%	2.0%
3. The work ethic in my work unit (e.g. patrol team) is high.	70.8%	10.4%	18.8%	0%
4. The work ethic in the Police Department is high.	35.4%	22.9%	39.6%	2.1%

Statement	Agree	Neutral	Disagree	No Response
14. My supervisor creates a motivating environment for my work unit.	59.4%	16.7%	22.0%	2.1%
23. There is a positive organizational culture at APD.	7.3%	7.3%	84.4%	1.0%
25. I am treated with respect by the other employees I work with everyday.	79.2%	7.3%	11.4%	2.1%
26. I am treated with respect by my immediate supervisor.	79.0%	6.3%	12.6%	2.1%
28. There is a good working relationship between sworn and civilian staff.	74.0%	17.7%	7.3%	1.0%
32. I plan to make a career with the Asheville Police Department.	71.7%	15.8%	6.2%	6.3%

The following graph presents a visual representation of the number of agreeing (blue) and disagreeing (red) responses to each statement in this category.



The primary focus of this survey was to receive input from employees regarding the overall culture of the Department. As the graph on the previous page indicates, there are mostly positive responses related to aspects such as work ethic, meeting the needs of the community, and being treated with respect in the workplace. However, the one glaring negative aspect on the graph is that related to overall positive

organizational culture of the Department. Further detailed analysis of this graph is noted in the following points:

- **Statement #1 – on meeting needs of the community:** A clear majority of the respondents agree that the Department either meets or exceeds the service expectations of the community. It is important to note that only one respondent strongly disagreed with this statement.
- **Statements #3 & #4 – on work ethic:** The responses to this set of statements revealed that while employees believed that the work ethic within their work unit was high, this sentiment was not quite as high for the Department overall.
- **Statement #14 – motivating work environment:** A majority of respondents agreed that their supervisor creates a motivating work environment for their units, reinforcing the response pattern of positive interaction within the work unit.
- **Statement #23 – organizational culture:** An overwhelming majority of respondents (84%) disagreed with the statement that there is a positive organizational culture at the Department. This is one of the few areas in which the number of strongly disagreed responses outnumbered all other responses within the survey. This response suggests that employees clearly identify organizational culture as an issue that needs to be addressed.
- **Statements #25 & #26 – respect in the work place:** The majority of respondents agreed that other employees and their immediate supervisor treated them with respect. In fact, none of the respondents strongly disagreed with being treated with respect by their everyday coworkers.
- **Statement #28 – relationship between sworn and civilian staff:** Approximately 74% of respondents agreed that there is a good relationship between sworn and civilian staff. As the narrative responses will reveal, teamwork within the work unit and the department was identified as one of the positive attributes of the Department.
- **Statement #32 – career at APD:** A clear majority of respondents intend to make their career with the Asheville Police Department. This suggests that despite many of the issues identified in this survey, respondents generally intend to remain with the agency. This is interesting as slightly more than half of the respondents (54%) have been with the agency for less than 10 years. Therefore, the survey represents an even mix of new and experienced employees.

Overall, respondents generally seemed to agree with the positive cultural aspects of their work unit within the Department, such as work ethic in the unit, being

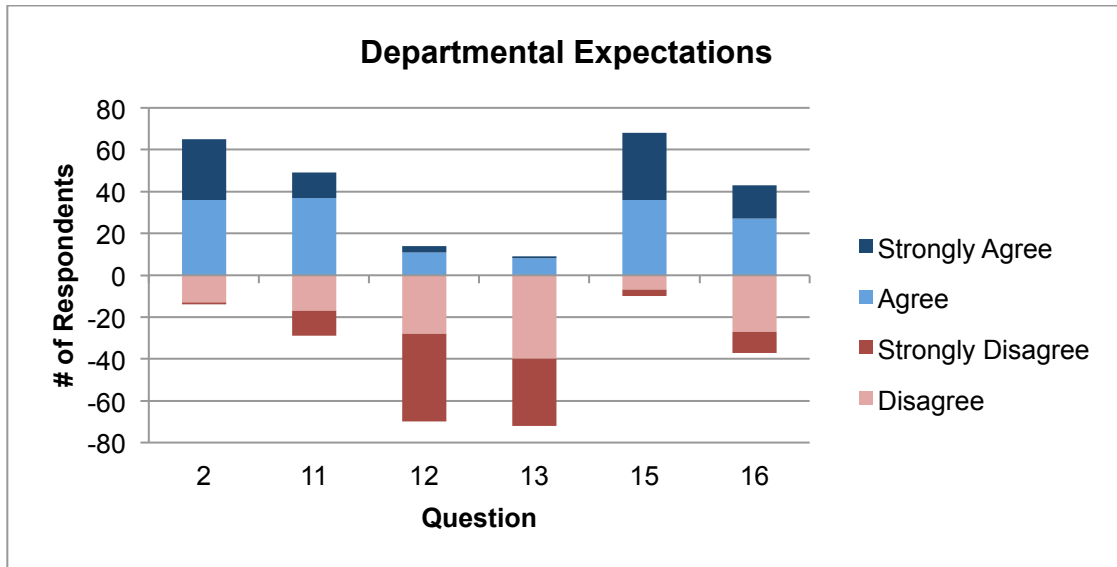
treated with respect, and the presence of a motivating work environment. However, there was no clear consensus for these same values regarding the overall department, even though responses did lean more towards disagreement. Additionally, employees clearly indicated the lack of a positive organizational culture at the Department as a whole. Similar themes are explored further in the narrative responses in the survey.

**(2) Departmental Expectations**

The following table contains employees’ responses to statements in section one about the performance expectations, standards of conduct set by the Department, and training opportunities.

<b>Statement</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>No Response</b>
2. The Police Department has set high performance expectations of me.	68.5%	15.8%	14.7%	1.0%
11. The Police Department’s expectations regarding standards of conduct are clear to me.	51.0%	18.8%	30.2%	0%
12. The same standards of conduct are applied to managers as those applied to line staff.	14.6%	11.5%	72.9%	1.0%
13. Standards of conduct are consistently applied	9.4%	15.6%	75.0%	0%
15. I receive the appropriate training to do my job well.	70.8%	15.6%	10.4%	3.2%
16. Access to training opportunities is available to all employees equally.	45.3%	12.6%	38.9%	3.2%

The following graph presents a visual representation of the number of agreeing (blue) and disagreeing (red) responses to each statement in this category.



The responses in the graph above show that respondents agree that there is a high level of performance expectation from the department, including the standards of conduct; however, there is extreme disagreement regarding the application of those standards of conduct. It also shows the positive association with training necessary for work performance, but negative association regarding access to training opportunities. Please note the following points:

- Statement #2 – performance expectations:** Approximately 69% of respondents agreed that the department sets high performance expectations for them. Sorting responses by division, reveals that disagreement with regards to high performance expectations came from Patrol Division employees.
- Statements #11, #12, & #13 – standards of conduct:** A very slim majority for respondents (51%) agreed that the expectations regarding the standards of conduct are clear; however, an overwhelming majority of respondents disagreed with not only that there are same standards of conduct for managers and line staff, but that those standards of conduct are applied consistently.
- Statements #15 & #16 – appropriate training and access to training:** Respondents generally agreed (71%) that they receive the appropriate training; however, there was mixed response to training opportunities being available equally to all employees. Training was identified as one of the most positive attributes of the department, and while one statement verifies that sentiment, the other statement reinforces the other common theme present in these results – the employees’ belief that there is a lack of consistency within the department.

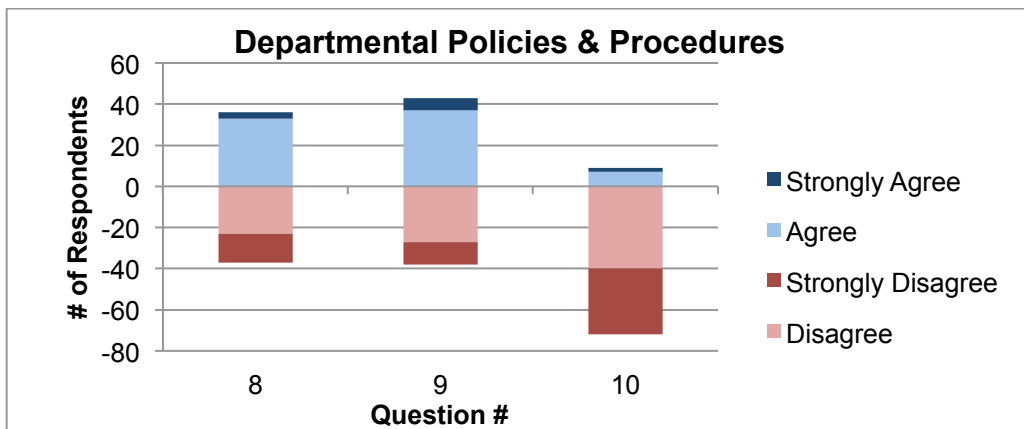
Employees indicated with their responses in this section that while the Department is clear in its expectations of standards of conduct and expects employees to adhere to those standards of conducts; these standards of conducts are not applied consistently. Therefore, respondents seem to believe that line staff and managers are held to different standards of conduct, which helps perpetuate the “us vs. them” notion discussed in the open-ended responses.

**(3) Departmental Policies and Procedures**

The following table contains employees’ responses to statements in section one about the Department’s policies and procedures.

Statement	Agree	Neutral	Disagree	No Response
8. APD’s written policy and procedures provide appropriate direction and guidance.	37.5%	23.0%	38.5%	1.0%
9. Changes in policies and procedures are appropriately communicated in the Department.	44.8%	13.5%	39.6%	2.1%
10. Policies and Procedures are consistently applied in the Department.	9.4%	14.6%	75.0%	1.0%

The following graph presents a visual representation of the number of agreeing (blue) and disagreeing (red) responses to each statement in this category.



The graph on the previous page indicates that respondents clearly disagreed that those same policies and procedures were applied consistently. Please note the following points:

- **Statement #8 – direction and guidance of policies and procedures:** Responses were mixed regarding policies and procedures providing appropriate direction and guidance. Employees from all units have mixed reactions regarding this statement.
- **Statement #9 – communication of policies and procedures:** Similar to the previous statement there is no clear majority in any of the categories; however, the plurality of respondents agree that changes are appropriately communicated within the Department. This is an important point of discussion as the number of respondents that disagree with this sentiment is fairly equivalent to the number of respondents that agree. In the narrative portion of the survey, communication within the Department is presented as an issue that needs to be addressed, which is further reinforced by this response pattern.
- **Statement #10 – application of policies and procedures:** Unlike all of the other responses in this section of the survey, nearly three-quarters of respondents (75%) disagreed with the consistent application of policies and procedures. The results of this statement reflect a common pattern associated with the term “consistent application” in the survey. Many of the employees identified consistency in leadership and department policies as one of the major changes and a focus area for this study.

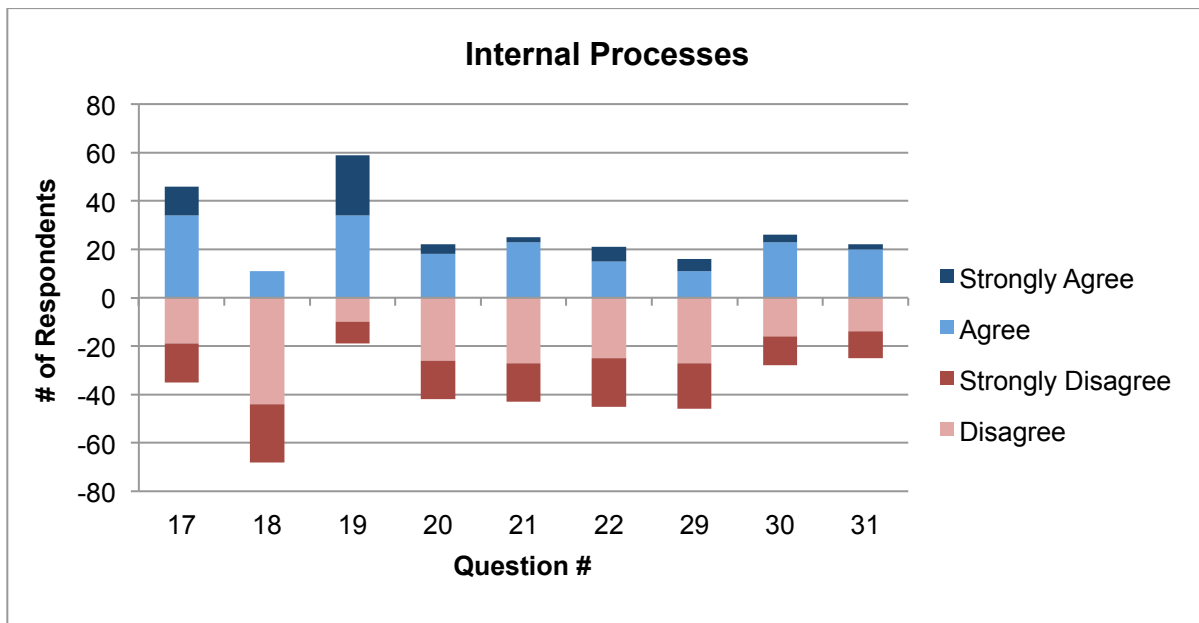
The response pattern for these statements suggests that generally employees were unclear regarding departmental policies and procedures being able to provide appropriate guidance and direction and the communication of changes to these policies and procedures. This is a fairly typical response pattern for these types of questions in employee surveys. Yet, employees stated with complete clarity that these policies were and procedures were not applied consistently within the Department. This suggests that even if employees are unsure about the usefulness of these policies, they perceive that the policies are not being applied appropriately in the Department.

**(4) Internal Processes**

The following table contains employees’ responses to statements about the Department’s internal processes related to performance evaluations, special assignments, promotions, and the complaint investigation process.

Statement	Agree	Neutral	Disagree	No Response
17. I receive a timely annual written performance evaluation from my supervisor.	47.9%	10.4%	36.5%	5.2%
18. Performance evaluations are a useful tool in the Department.	11.5%	15.6%	70.8%	2.1%
19. My supervisor listens to me and evaluates me fairly.	61.5%	15.6%	19.8%	3.1%
20. The special assignment selection process is fair.	22.9%	24.0%	43.7%	9.4%
21. Special assignments match employee skills with assignment.	26.1%	20.8%	44.8%	8.3%
22. The promotional process fairly tests the qualifications of the candidates for the position.	21.9%	19.8%	46.8%	11.5%
29. The complaint investigation process if administered fairly.	16.7%	28.1%	47.9%	7.3%
30. I have been treated fairly in the complaint investigation process (leave blank if you have not been involved in the process).	27.1%	11.5%	29.2%	32.2%
31. The corrective discipline that resulted from the complaint investigations was appropriate.	30.2%	20.5%	34.2%	15.1%

The following graph presents a visual representation of the number of agreeing (blue) and disagreeing (red) responses to each statement in this category.





The graph on the previous page with an abundance of red indicates that there were mostly negative reactions associated with internal processes, especially in regards to the usefulness of performance evaluations. The only question that yielded positive results was in relation to evaluations conducted by supervisors. The following points discuss the results in further detail:

- **Statements #17, #18, & #19 – annual performance evaluations:** While there was no clear majority regarding receiving timely annual written performance evaluations, the majority of respondents disagreed that these evaluations were a useful tool for the Department. This was the only area in the survey in which none of the respondents strongly agreed that the performance evaluations are a useful tool in the department.
- **Statements #20 & #21 – on special assignments:** There was no clear majority regarding special assignments; however, the plurality of respondents disagreed that the special assignment selection process is fair and that these assignments match the skills of the employees. This response pattern fits with the theme of the survey responses disagreeing with statements using the term “fair”.
- **Statement #22 – promotional process:** Nearly a majority of respondents disagreed that the promotional process fairly tests the qualifications of the candidates for the position. Filtering these responses by work assignment reveals that a 100% of Office of Chief employees agree that the promotional process fairly tests the qualifications while over 50% of the Criminal Investigations Division and exactly 50% of the employees of the Patrol Division disagree with this sentiment. The difference in response pattern helps reinforce the divide between management and line staff that is expressed throughout the survey. It is important to note that Asheville employs an outside, third party agency to conduct the promotional process to ensure it is administered without bias.
- **Statements #29, #28, and #30 – complaint investigation process:** Responses to these statements revealed that there was no clear consensus regarding the fair administration of the complaint investigation process, as nearly a third of respondents (33%) had not been involved in the process at all. This is reinforced by there not being a clear majority in terms of any corrective discipline that resulted from the complaint process itself.

Respondents only had a majority of responses on two questions within this category: usefulness of performance evaluations and that their supervisors’ evaluate

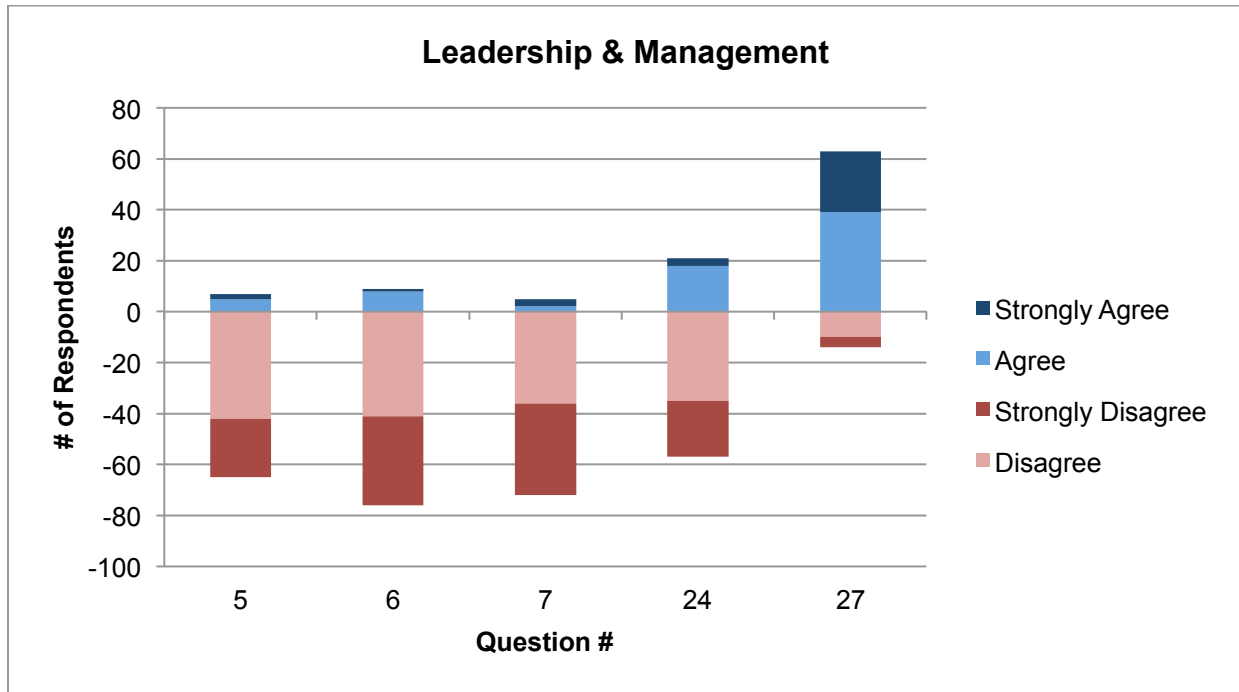
them fairly. While employees disagreed that performance evaluations were a useful tool, they did agree that they were evaluated fairly from their supervisors. The positive endorsement of supervisors in the work units is a recurring theme within the survey. For the remainder of internal policies related to special assignment selection, promotions, and the complaint investigation process there was no clear majority in either agreement or disagreement. However, for most of these internal processes especially the fairness of the promotion process and complaint investigation process nearly 50% of the overall respondents disagreed with the statements.

**(5) Leadership and Management**

While an entire section of this survey is devoted to identifying employee perceptions regarding management and supervision, these statements in the survey are designed to assess the communication skills and style of leadership employed within the Department. The following table provides insight regarding issues such as department vision, decision-making skills, and interaction with departmental management.

<b>Statement</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>No Response</b>
5. There is a clear vision for the Police Department.	7.3%	21.9%	67.7%	3.1%
6. We make decisions effectively in the Department.	9.3%	11.5%	79.2%	0%
7. We do a good job anticipating problems in the organization.	5.3%	17.9%	75.8%	1.0%
24. Managers seek input from staff on their ideas about how to improve operations and services.	21.9%	18.8%	59.4%	0%
27. My interactions with the managers in my division are positive.	65.6%	15.6%	14.6%	4.2%

The graph on the following page presents a visual representation of the number of agreeing (blue) and disagreeing (red) responses to each statement in this category.



As the graph above indicates that the majority of the responses were negative with a high proportion of strongly disagree responses. In fact for some of the categories there were less than 10% of respondents who even agreed with the statement. The exception to the negative sentiments once again relates to positive interaction with divisional management and not departmental management. The following points provide further analysis regarding the responses in this section of the survey:

- **Statement #5 – Department vision:** Over two-thirds of respondents (68%) disagreed that there is a clear vision for the Department and less than 10% of respondents agreed with this statement. This is an important statement to analyze as this reinforces the sentiment previously stated that if there are departmental policies and procedures (including vision statements) they are not appropriately communicated to the employees.
- **Statements #6 & #7 – decisions and anticipating problems:** An overwhelming majority of respondents (79% and 76%) respectively disagreed that decisions are made effectively and that the Department is good at anticipating problem. Similar to the previous statement, this response pattern reflects an overall lack of trust in department leadership. This concern is represented in the narrative responses of the survey also.

- **Statement #24 – staff input:** A majority of respondents disagreed that management seeks input from staff regarding improvement of operations and services. This statement refers back to the communication issue discussed in the previous section of the survey and that is reference in the narrative comments portion of the survey. By disagreeing with this statement, employees are identifying this as an issue that needs to be addressed.
- **Statement #27 – divisional interaction with managers:** Similar to Statement #14, the majority of employees agree that their interactions with division managers are positive. This sentiment is further reinforced in the second section of the survey, in which employees ranked division and work unit supervisors much more favorably than overall department management. However, it does reveal that while employees believe that their interactions with managers are positive, based on statement #24, they do not believe that those same managers seek input from them regarding operations and services.

This portion of the survey sought to discover employees' perception regarding departmental leadership and management by focusing on management's ability to communicate the vision of the department, make effective decisions, anticipate problems, and seek input from staff. For most of these statements employees demonstrated disagreement that departmental management was able to effectively convey a message of strong leadership. The only statement to which employees expressed agreement was in relation to interaction with divisional managers. This response pattern confirms that generally employees are satisfied with their divisional / work unit management and supervision, but that their primary concern is related to overall departmental leadership and management.

## **(6) Quantitative Section Summary**

The results of this section of the survey revealed that overall employees agreed that the Department meets the needs of the community, and that supervisory staff at the work unit level is able to generate a motivating work environment. However, employees also revealed that while there is no clear consensus regarding many of the

internal policies and processes in place, there is a general belief that these policies and procedures are inconsistently applied between management and line staff. This was further reinforced by filtering of certain responses by assignment, as for those statements typically Office of the Chief and Administrative Services had positive responses; while Criminal Investigations and Patrol Divisions had negative responses.

Additionally, employees expressed a lack of faith and trust in the Department's vision and ability to effectively make decisions and anticipate problems was also presented. Ultimately, respondents disagreed with the presence of a positive organizational culture at the Department. The results of this section were further reinforced by the comments and views expressed and presented in the narrative portion of the survey.

**3. THE MAJORITY OF RESPONDENTS EXPRESSED APPRECIATION FOR MANAGEMENT WITHIN THEIR WORK UNITS, BUT EXTREME DISAPPOINTMENT WITH DEPARTMENTAL MANAGEMENT.**

Employees were asked to respond to statements characterizing management and supervision approaches within their respective work units and the overall department as a whole. The responses in this section indicate that respondents generally have a positive association with management and supervision within their work units, but this does not translate to an overall positive impression of the Department. The following table contains the responses of the employees.

<b>Management &amp; Supervisory Characteristic</b>	<b>Work Unit</b>	<b>Department</b>
Supportive of Staff	74%	15%
Innovative / Progressive	46%	13%
Clearly states expectations	57%	14%
Open / available to staff	67%	14%
Flexible	70%	12%
Consistent	58%	7%
Fair	62%	8%

As the table on the previous page indicates responses vary depending upon the characteristic. The lowest rated characteristic for work units is innovative / progressive, while it is consistency for the department as a whole. The highest rated characteristic for both the work unit and the department as a whole is being supportive of staff.

While the table on the previous page represents the overall results, it is important to break these results by work units / assignments identified at the beginning of the survey. Filtering these results by organizational units presents some interesting conclusions. The following table shows the results by work unit.

Management & Supervisory Characteristic	Office of the Chief		Administrative Services		Criminal Investigations		Patrol	
	Work Unit	Dept.	Work Unit	Dept.	Work Unit	Dept.	Work Unit	Dept.
Supportive of Staff	100%	100%	56%	44%	88%	8%	74%	4%
Innovative / Progressive	33%	33%	33%	17%	46%	8%	52%	13%
Clearly states expectations	33%	0%	50%	28%	63%	13%	59%	11%
Open / available to staff	67%	67%	44%	17%	88%	13%	67%	11%
Flexible	67%	100%	56%	28%	79%	0%	72%	7%
Consistent	67%	0%	44%	22%	79%	8%	54%	2%
Fair	67%	100%	50%	22%	79%	0%	59%	2%

The table above suggests that response pattern varies greatly depending upon the work assignment. It is especially interesting to point out the characteristics with which none of the respondents agreed in certain work units; such as, in Office of the Chief, none of the employees chose consistency or clearly stating expectations; whereas in criminal investigations none of the respondents chose flexibility and being fair. This suggests that there are varying perceptions based upon work unit assignment. While employees in criminal investigations and patrol generally agreed

with management and supervisory staff possessing these characteristics, there was much less agreement in Administrative services. In fact for three of the characteristics (Innovative / progressive, open / available to staff, and consistency) there was no clear majority in any category.

In addition to work assignment, the project team analyzed these results based upon current level in the organization identified at the beginning of the survey. The following table shows responses by current level within the Police Department.

Management & Supervisory Characteristic	Manager		Supervisor		Line Employees	
	Work Unit	Dept.	Work Unit	Dept.	Work Unit	Dept.
Supportive of Staff	86%	21%	67%	19%	74%	12%
Innovative / Progressive	43%	0%	62%	14%	42%	15%
Clearly states expectations	57%	7%	52%	10%	58%	17%
Open / available to staff	64%	21%	52%	14%	72%	12%
Flexible	71%	14%	62%	5%	72%	14%
Consistent	57%	7%	57%	10%	58%	6%
Fair	57%	21%	62%	5%	63%	6%

The table above shows that unlike work unit responses there is a greater consistency in responses across the characteristics within one work unit and also across the various levels in the organization. It is interesting to note that supervisory staff rated itself lower in work the units and the departments, similarly managers were the only one to identify that none of the management and supervisory staff seemed to possess innovative / progressive characteristics. It is interesting to note that this was the lowest rated characteristic in line employees also, but not among supervisory staff.

The data presented in this section suggests that while initially it might seem that there is an overwhelming positive response associated with the work unit and the

results are the opposite for the department as a whole, when analyzed at various levels within the organization, these results suggest different nuances and characteristic deficiencies in management and supervisory staff for both the work unit and the department as a whole. These responses reflect the overall pattern of the survey showing employee appreciation for work unit supervisors and disappointment or distrust with management and leadership approaches of the Department overall.

**5. EMPLOYEES CLEARLY IDENTIFIED THAT DISTRUST IN AND DISSATISFACTION WITH LEADERSHIP HAS RESULTED IN LOW DEPARTMENT MORALE AND SHOULD BE THE PRIMARY FOCUS OF THE STUDY.**

In addition to the survey's forced choice questions, respondents were asked to provide narrative responses to three open-ended questions (#34 - #36). The responses to the questions were grouped and summarized by the project team.

**(1) Please list one to three positive attributes about the Department.**

Some of the major positive attributes, which multiple respondents identified in this portion of the survey, include:

- Training
- Dedicated Workforce
- Community-focused policing
- Teamwork within department in patrol units
- Equipment and Technology

Narrative responses clearly identified that officers were extremely devoted to providing effective community service to the citizens.

However, those who chose to answer the open-ended questions wrote that the greatest positive attribute was the training opportunities available to employees and the



dedication of the employees in the department – nearly 50% of the narrative responses mentioned some sort of training or training opportunities as the strength of the Department. These answers are reinforced by the results of the quantitative section of the survey, in which nearly 71% of the respondents agreed that they receive the necessary training to complete their job. Many of the respondents equated the dedicated workforce attribute with the proper and appropriate training.

While respondents in the survey generally agreed that they receive the appropriate training, it is interesting to note that there was no clear consensus regarding access to training opportunities.

Additionally, the survey results revealed that employees generally rated management and supervision in their own work units favorably. This was also a clear result in the quantitative responses in the survey.

Many of the responses also identified the equipment and technology used by the Department as a positive attribute which is an important aspect of the ability to perform the job appropriately. The respondents stated that they had ample access to the technology and the equipment necessary for them to perform their services, including take-home fleet vehicles for on-call officers.

**(2) Please list one to three changes, which could be made to improve the organizational culture and morale in the Department.**

This question sparked a variety of different types of responses, focusing primarily on increasing accountability of leadership to improve the culture within the Department. Some of the recurring major changes suggested by respondents are as follows:

- Leadership Accountability

- Departmental Communication
- Supportive Management
- Consistency of Disciplinary Action

Some other areas mentioned by multiple respondents included:

- Increase Salaries and Benefits
- Increase Staffing
- Establish take home fleet for officers

Respondents identified leadership accountability, departmental communication, and supportive management as some of the major changes that could be made to improve the organizational culture and morale of the Department. These are some of the same characteristics discussed in the quantitative results of the survey.

Many of the respondents chose to use the word “trust” either in the context of lack of trust or distrust when discussing leadership and management at the Departmental level. This word was used in at least 50% of the open-ended written responses. While respondents did not elaborate on the reasons for this “distrust” in departmental management it did indicate that this was a major issue affecting the organizational culture and morale of the department.

Respondents also chose to describe what could be considered appropriate leadership, either through discussion of consistent enforcement of rules and policies, holding staff accountable, or through the use of quotations from world leaders. There was use of phrases such as “departmental terrorists” and “cancerous employees” to indicate that certain employees within the Department were directly affecting the morale and by removing those individuals from their positions in leadership, there

would be automatic morale and organizational improvements within the Department.

The lack of support of line staff specifically was also addressed in many of the comments. Employees indicated several times that there was an “us” vs. “them” feeling in relation to line employees vs. departmental management. Explanations for this statement included a lack of fair and equal treatment by the leadership, a lack in standard codes of conduct, and a lack of consistency in the disciplinary processes. Line employees felt that leadership and management were not held accountable “consistently” for their actions.

**(3) What is the single highest priority to address during this study?**

The purpose of including this open-ended question in the survey was to enable respondents to very clearly identify the main areas to be addressed in organizational culture and management issues in the Department. The general consensus of respondents for this question had to do with developing departmental morale and focusing on leadership within the Department. Some of the issues identified as the single highest priority by respondents are listed as follows:

- Morale
- Management Practices and Leadership Style
- Organizational structure
- Increased Pay
- Increase transparency between management and line staff
- Retention of qualified employees

Employees stated that improving or at least addressing the issues with departmental morale should be the single highest priority of the study, along with

management practices and leadership. Respondents clearly stated that there was a belief that employees are not valued at the department, especially in terms of treatment by Departmental Administration and Management and City management.

The theme of increased transparency was expressed throughout the narrative responses and is hinted at through various questions asked in the survey such as effective decision-making, communication of policies and procedures, standards of conduct and their consistent application. Many respondents stated that departmental leadership did not hold itself accountable to the same policies and procedures to which it held its line staff. Employees expressed concern that management followed the “do as I say, and not as I do” approach; which has decreased employee morale.

Respondents repeatedly used terms such as “ethical leadership”, “morale”, “culture”, and “trust” in their responses for this question of the survey. All of these terms were used in the context of leadership and lack of trust and faith in the ability of the department’s leadership to provide a fair and positive working environment for its employees. Many staff stated that the lack of strong leadership has led to high turnover and low retention of quality staff within the Department.

Overall, employees did identify some of the positive attributes of the department such as training, but the remaining attributes related to the work unit: good work ethic, motivating work environment, and positive management traits. However, respondents indicated that there needs to be a complete overhaul of departmental management to enable employees to appropriately grow and feel valued as part of the agency.

## **APPENDIX B: SUMMARY OF THE EMPLOYEE FOCUS GROUP MEETINGS**

This report provides a summary of the results of the five Police Department employee focus groups that were conducted on December 17 and 18, 2014, at various locations in Asheville.

### **1. INTRODUCTION**

The Matrix Consulting Group coordinated with the Police Department and the City Manager's Office to establish dates, times and locations to hold a series of focus groups for employees of the Asheville Police Department. Because of the size of the Department the focus group participants were selected by the Matrix Consulting Group through the use of a random number generator used against an alphabetical list of employees (except for 'managers', Lieutenants and above, who were all invited).

The primary purpose of the employee focus groups was to provide an opportunity for members of the Police Department to provide input to the project team on their opinions regarding the culture of the organization, organizational needs, and their concerns about the Department. The input was designed to solicit input into what would the focus group participants like to see more of in the APD, what would they like to see less of in the APD and what are their ideas about things that can be implemented in the short term (< 1 Year) and long term (over 1 year).

Each participant developed his or her own thoughts individually initially. Then the participants were split into small groups to discuss their ideas and compile them for input from the entire group. After each topic was fully discussed, the information was

written on large note pads and each participant was provided 20 dots to vote on what they considered the top issues and priorities for the APD to focus on in this study.

The input received in these focus group meetings served to supplement the employee surveys distributed to all members of the Department, as well as the many individual interviews conducted by the project team.

The project team conducted a total of five (5) focus group sessions, which were attended by a total of 30 personnel of the APD.

- Manager group included the Deputy Chief, Captains and Lieutenants – 10 people attended (there are 17 managers in the Department).
- Supervisor group included Sergeants – 6 people attended out of 15 randomly invited.
- Two Officer groups included sworn officers – 10 people attended out of 30 randomly invited.
- Civilian group included non-sworn personnel – 4 people attended out of 15 randomly invited.

Candidate participants could attend during their shift or on an overtime basis if the focus group meeting fell on a day off or during a time at which they did not work.

## **2. RESULTS OF THE POLICE DEPARTMENT FOCUS GROUPS**

At each session participants were asked to register their personal and then collective views about the issues relating to the Asheville Police Department. The following table summarizes the responses, an “X” designates the group or groups that listed the issue.

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<b>Issue</b>	<b>Managers</b>	<b>Supervisors</b>	<b>Officers</b>	<b>Civilians</b>
Lack of internal respect, trust and cooperation – up and down the chain of command	X	X	X	X
Inconsistent and irregular updates to policies and procedures	X	X	X	X
Lack of leadership from the command staff	X	X	X	X
Lack of an appropriate total compensation package	X	X	X	X
Lack of focus on doing police work and too much focus on internal turmoil	X	X	X	
A general lack of supervision and accountability for fear of being disciplined if the outcome is not what command expects.	X	X	X	X
Over analysis of issues and ideas resulting in slow implementation of needed change	X			
Too much influence and control by City Hall on how the APD operates	X	X	X	
To many meetings to discuss the same issues without any resolution or action	X			
Too much movement of leadership personnel in the agency. General lack of stability in positions	X	X	X	X
A lack of a healthy balance of management and leadership in the APD	X	X		
No long-term planning. Agency just focuses on the day to day issues	X	X	X	
A general lack of acknowledgement when issues arise causing them to escalate	X	X		
No final decision on take home cars for officers	X	X	X	
The need for a new Chief of Police that is fully engaged in the community and in the Police Department and is here for the long term	X			X
The need for an organizational structure that meets the operational requirements of the APD	X	X	X	X
The need for a long term facilities plan	X	X	X	X

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<b>Issue</b>	<b>Managers</b>	<b>Supervisors</b>	<b>Officers</b>	<b>Civilians</b>
The development of a system to improve the reputation of the APD to the public and the media	X	X	X	X
Improvement in the integrity of selecting personnel for specialized assignments		X	X	
Improvement in the understanding of basic job knowledge for command staff personnel			X	
Not enough visibility and support of command staff personnel to line personnel		X	X	
A general over-reaction to small issues or focus on things that really are not issues in the APD			X	
The need to reinstate parking and roll call briefings at the resource centers instead of downtown to improve parking and officer availability to take calls		X	X	X
Improvement in employee recruitment and retention		X	X	
Improvement in the FTO program and documentation of performance issues			X	
Lack of consistent accountability. Command staff is treated differently than line personnel in terms of disciplinary action		X	X	X
Need to reinstate the disciplinary matrix as it exists in the policy manual		X	X	
Elected officials publicly criticize the APD instead of showing support for the Department		X	X	X
Need to have consistency in equipment issued to officers (i.e. some have TASERS and some do not).			X	
There needs to be consistent review of the need for specialty units as there are too many in the APD and it detracts from effective patrol services to the community.		X	X	
The mandatory overtime augment for downtown needs to be re-evaluated to see if the issues exist that created the augment			X	



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<b>Issue</b>	<b>Managers</b>	<b>Supervisors</b>	<b>Officers</b>	<b>Civilians</b>
The current uniforms do not reflect the needs of modern policing and should be updated to be more functional for personnel	X	X	X	
There need to be improved opportunities for civilian personnel as several positions are occupied by sworn staff that civilians could do				X
More support staff are required to handle the workload created by the increases in sworn staffing				X
Discipline needs to be handled at the appropriate levels. Too much command staff interference in issues that should be addressed by supervisors		X	X	X
The employee orientation process needs to be improved				X
The current Taxi Ordinance needs to be reviewed and updated to include conducting criminal background checks on applicants				X
Communication needs to improve in the APD so people learn of internal issues or opportunities from someone other than the media		X		X
There is little distinction between the Watch Commanders and District Commanders resulting in Sergeants having two direct supervisors		X		
Data is not used to allow supervisors to understand issues affecting the community and implement problem oriented policing strategies		X		
The APD needs to become more innovative and focus less on "we have always done it that way"		X		
The 12 hour patrol shift is too long and should be re-evaluated in favor of a shorter shift		X		
The current patrol schedule needs to be revised to include a "platoon system"		X		
The current promotional criteria is outdated and needs to be re-evaluated		X		
The mission and vision statements need to be re-examined as part of the strategic planning process to ensure they reflect the APD		X		

Issue	Managers	Supervisors	Officers	Civilians
The Community Resource Officers need to be assigned to consistently focus on crime prevention issues instead of being used by Watch Commanders as a personal assistant		X		
There is too much reliance on consultants and no time to implement recommendations before a new consultant is hired		X		

**3. THE TOP ISSUES EXPRESSED BY MEMBERS OF THE DEPARTMENT RELATE TO LEADERSHIP AND MANAGEMENT OF THE DEPARTMENT.**

After discussion about the items listed in the tables above, participants were asked to give their top priorities or issues related to the Police Department. Each person was then given 20 dots and asked to “vote” for what they believed to be the most important item(s) that had been listed. Each of the groups selected items that primarily relate to leadership concerns and management. These areas are:

- Consistency – among supervisors (civilian & commissioned) on providing direction on basic job tasks. Reducing the frequency of rotations so units can develop consistent systems for doing their work.
- Communication – at all levels (up & down), sworn & civilian; currently most of the communication is from the top down; line level often are not informed and so not aware of issues that impact them, the need to communicate with everyone who will be affected by a decision/change.
- Input and Feedback – there is a strong belief that command staff is not very open to input and does not accept it well when it is given; input should be desired and solicited more frequently; the process to solicit input is inconsistent.
- Accountability – for all levels of the organization, not just the line level.
- Trust and Cooperation – at all levels of the organization; there was a strong concern expressed in every group that employees are more concerned about not doing something wrong (fear of discipline/punishment) than having a positive focus on doing the job correctly; don’t over react to complaints and minor issues.

The above items are the primary issues that the internal focus group participants believe should address as priority issues.

## **APPENDIX C: ANALYSIS OF PERSONNEL FILE MAINTENANCE**

As part of the Matrix Consulting Group's study for the Asheville Police Department, the project team conducted a review of personnel files for sworn officers in the Department during the first week of December 2014. The following document provides analysis of the key issues identified during the review and initial recommendations for improvement.

Out of 202 sworn officers in the Department, the files of twenty-one (21) officers were reviewed (about a 10.5% sample). For each officer, the police personnel file was reviewed, followed by the corresponding City Human Resources personnel file. The review was conducted to determine, among other things, whether personnel files: were complete, contained required documentation, or were information appropriately segregated, and if they contained information that should not be in the file. Inconsistencies, missing documentation, and instances of disorganized files were noted.

### **1. RESULTS OF PERSONNEL FILE REVIEW**

The sections below detail the frequency of specific issues in the files, indicating the frequency with which each issue occurred in Police and City HR personnel files. The first section addresses issues of missing documentation, while the second section details issues of disorganized documentation. The issues in each section are arranged in order of decreasing frequency, and a narrative explanation is included in each.

**(1) Appropriate Documentation in Files**

Several of the issues identified during the review had to do with documentation that was not present from some of the personnel files. The following table summarizes each of the issues of this type and shows the percentage of police personnel files and citywide human resource files affected by each issue.

<b>Issues of Missing Documentation</b>		
<b>Issue</b>	<b>Police File</b>	<b>City HR File</b>
1. Acknowledgement documents are not present (employee handbook, online policies, nepotism, sexual and workplace harassment, drug testing, background consent)	53%	15%
2. Corrective action forms or disciplinary notices are in present in one file and not present in the other.	10%	57%
3. Performance evaluations are not present and/or out of date.	5% missing, 33% out of date	5% missing, 33% out of date
4. Employment offer letter not present.	NA	14%
5. Training documentation not present.	14%	5%
6. Firearm certification not present	5%	0%

The following points highlight the key issues regarding missing documentation that the project team identified in the course of the file review.

- Policy acknowledgement documents were not present or partial in several files, particularly in police files. The fact that they were rarely found in one place within the file made it difficult to account for all of them.
- Performance evaluations are not up to date for a number of employees. The last evaluation for many officers was in early or mid-2013.
- Corrective action forms and discipline forms from the Police personnel file were not present in more than half of City HR files.
- 14% of City HR files did not include the offer of employment letter.

- Training documents were each found to be missing in 14% of employees' police files and one City HR file, and firearm certification was not in in one officer's police file.
- There were three instances of documents for another employee being placed in an officer's City HR file.

A handful of issues regarding not present or outdated documentation surfaced during the review. The first of these is that current performance evaluations are not on file for about a third of sworn employees for those files evaluated. While every performance evaluation present in one file is also visible in the other, the most recent evaluation for 33% of officers was conducted in early to mid-2013.

An even more common issue for Police personnel files is the absence of signed policy acknowledgement documents (for policies such as sexual harassment, nepotism, employee handbook familiarity, diversity, drug testing, and background consent) for more than half of sworn officers. The Department should work to catch up on performance reviews and make sure that each sworn officer has signed policy acknowledgement documents on file.

There were several instances of documentation that appeared in employees' Police personnel file but was not found in their City HR file. More than half of employees, for example, had a corrective action or discipline form in their Police file that did not appear in their City HR file. Likewise, 14% of City HR files did not contain an offer of employment letter.

In conforming to 'best practices' in this area, as the City develops its policy on documentation that must be in both Police personnel files and City HR files, staff must ensure that the policy is routinely enforced and documents are consistently maintained in the appropriate files according to the policy.

**(2) Disorganized Documentation**

A larger portion of the issues identified during the review related to documents that were scattered, out of order, or in the wrong location. The following table summarizes each of these issues and shows the percentage of police personnel files and citywide human resource personnel files where documentation was not well organized.

<b>Issues of Disorganized Documentation</b>		
<b>Issue</b>	<b>Police File</b>	<b>City HR File</b>
1. Social security number visible on documents in the personnel file.	90%	76%
2. Documents scattered through various sections of the file rather than organized categorically.	57%	19%
3. W-4 and/or NC-4 forms in personnel file rather than in separate payroll file.	52%	14%
4. FMLA leave requests and/or correspondence regarding leave visible in file rather than in separate FMLA file.	38%	10%
5. Information about medical procedures and/or prescriptions included in file.	24%	5%
6. Correspondence regarding worker's compensation included in file rather than in separate worker's comp file.	15%	5%
7. I-9 form or comparable document included in the personnel file rather than in separate I-9 file.	19%	0%
8. Documents discussing internal investigations included in file.	14%	0%
9. Results of drug/alcohol test included in personnel file rather than a separate health file.	14%	0%
10. Departmental responses to employee grievances included in personnel file rather than in separate grievance file.	10%	0%
11. Internal letter of recommendation visible.	5%	0%
12. Performance evaluations out of order.	0%	5%
13. Documents duplicated in multiple sections of the file.	5%	0%

The following points highlight the key issues relating to file organization that were identified during the project team's file review.

- Scattered or disorganized documents were the most common issue with the files reviewed, particularly in the police department file. Promotion/reassignment documents, commendations and discipline, and documents acknowledging policies were spread throughout 57% of Police personnel files and 19% of City HR files rather than being grouped in one section of the file. Secondary employment forms were scattered in 14% of City HR files.
- Social security numbers were plainly visible in the files for all but one employee either in documents or as a copy of the officer's social security card. This was the most frequent concern identified during the review. The City is currently addressing this by segregating copies of employees' social security card into the I-9 file as they encounter them when handling HR files. Social Security numbers should be redacted in visible areas of personnel files.
- In a similar vein, W-4 and NC-4 forms were included in 52% of Police personnel files and 14% of City HR files instead of the employee's payroll file.
- Numerous examples of correspondence regarding sensitive information such as FMLA leave, medical appointments, and worker's compensation were noted in Police personnel files and a few in the City HR files, and sometimes the nature of medical conditions and reasons for leave or worker's compensation were revealed. This information should be contained in the separate FMLA or worker's comp file in order to limit access to this information to those who are authorized to view it.
- Results of drug/alcohol tests, details about internal investigations, and departmental responses to specific grievances were included in some of the police files reviewed. This information should be contained in separate files.
- Pre-employment background check results were visible in one police file when the policy states that they should be separately maintained by administrative staff. An internal letter of recommendation was visible in another Police personnel file, which also should have been maintained separately.

In Police personnel files, scattered and duplicate documents were a common problem, making it difficult to find vital information and ensure that training and policy acknowledgement documents are current. More than half of Police files contained identical documents, or documents of an identical type, in multiple places within the

file. Citywide Human Resource personnel files, in contrast, tended to be more organized than the Police files, and information was easier to find.

Officers' sensitive information was visible in several Police personnel files and a few City HR files. For more than half of Police files, the W-4 and/or NC-4 tax withholding forms were clearly visible, and nearly 20% of Police files contained the employee's I-9 or equivalent. Over a third of Police personnel files contained completed FMLA leave request forms and correspondence regarding the reasons for sick leave, and more than 20% of police files included information about medical procedures or prescriptions for the employee. A smaller percentage of Police files (14%) also contained correspondence revealing the nature of internal investigations, and the actual results report of drug testing were contained in 14% of files as well. Police and City HR files are subject to access restrictions which would prevent the public from seeing these documents, but the City and the Department should continue to implement a system for handling sensitive information within personnel files.



**2. RECOMMENDATIONS**

The project team has developed the following recommendations for the maintenance, organization, and security of City HR files and Police personnel files which conform to ‘best practices’ in this important administrative function.

**(1) The City should develop and enforce a clear policy about which documents must be present in Department and City HR personnel files.**

The City already has established content guidelines for HR files. Much of an employee’s information is kept in their main personnel file. In addition to the main personnel file, the City also has a policy of maintaining separate files on each employee for the sensitive or specific materials. Human Resources maintains most of these files, but some are maintained by other departments. The following table distinguishes which information should be kept in each location.

Current Human Resources File Contents	
Main Personnel File	Specialized Files
<ul style="list-style-type: none"> <li>• Basic employment information, including application, resume, offer of employment letter, background check, and driver’s license.</li> <li>• Salary information including promotions and reassignments with budgetary impact.</li> <li>• Commendations and awards.</li> <li>• Disciplinary actions.</li> <li>• Testing and educational records.</li> <li>• Performance evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>• I-9 file, containing the I-9 form and social security card. (kept by HR)</li> <li>• Payroll file, containing the W-4 and NC-4 form. (kept by Finance)</li> <li>• Benefits file, containing marriage license and insurance information as applicable. (kept by HR)</li> <li>• FMLA file, containing all information relating to FMLA leave. (kept by HR)</li> <li>• Grievance file, containing all information relating to formal grievances. (kept by HR)</li> <li>• Internal investigation file, containing all information relating to internal investigations. (kept by HR)</li> <li>• Worker’s comp file, containing all information relating to worker’s compensation. (kept by Risk Management)</li> <li>• Health services file, containing medical records and drug test results. (kept by Health Services)</li> </ul>

These guidelines align with Article 8 of the City Personnel Records Policy and Article 7, §160A-168 of North Carolina State statute, and they provide a structure for file management. The Police Department, likewise, should establish a written policy for maintaining documentation on each of their employees. The Police Department is not responsible for maintaining all of the materials that Human Resources is required to keep, and should limit their files to information that is both relevant to an officer’s policing record and appropriate for the employee and their supervisor to access. The following table provides an example.

Recommended Police Personnel File Contents	
Included	Excluded
<ul style="list-style-type: none"> <li>• Basic employment information (application, background check, driver’s license).</li> <li>• Policy acknowledgement documents.</li> <li>• Training documentation and firearm certification.</li> <li>• Injury and vehicle accident reports.</li> <li>• All promotions, demotions, and reassignments.</li> <li>• Salary adjustments.</li> <li>• Commendations and disciplinary actions.</li> <li>• Up-to-date performance evaluations.</li> <li>• Information about FMLA leave and worker’s comp that does NOT reveal employee’s medical condition or reason for leave.</li> <li>• Notes regarding an officer’s positive or negative drug/alcohol tests that do NOT include the specific or complete results of the test.</li> </ul>	<ul style="list-style-type: none"> <li>• I-9 form and social security card.</li> <li>• W-4 and NC-4 form.</li> <li>• Correspondence and records relating to formal grievances.</li> <li>• Correspondence and records relating to internal investigations.</li> <li>• Specific information about the reason for employees’ FMLA leave or worker’s compensation.</li> <li>• Medical records and complete drug test results.</li> </ul>

**(2) The Police Department should develop a standardized format for personnel files.**

The City already has an established format for their main Human Resources personnel file, which was partially outlined in the section above. It includes the following sections and information:

<b>Current Human Resources File Organization</b>
<b>Section 1 - Basic Employment Information</b>
<ul style="list-style-type: none"> <li>• Employment application and resume</li> <li>• Conditional offer letter</li> <li>• Offer of employment letter</li> <li>• Current contract (for council appointees)</li> <li>• Background checks results for non-APD employees.</li> </ul>
<b>Section 2 - Salary Information</b>
<ul style="list-style-type: none"> <li>• Promotions and demotions</li> <li>• Career plan progressions</li> <li>• Reassignments with budgetary impact</li> <li>• Out of class for interim assignments in a different pay grade</li> <li>• Leave without pay (that occur for an entire pay period or more)</li> <li>• Any other pay changes</li> </ul>
<b>Section 3 – Commendation</b>
<ul style="list-style-type: none"> <li>• Quality of service awards, citywide recognition awards</li> <li>• Other commendations if forwarded by the department</li> </ul>
<b>Section 4 - Disciplinary Action</b>
<ul style="list-style-type: none"> <li>• Corrective action forms</li> <li>• Coaching session forms if forwarded from the department</li> </ul>
<b>Section 5 - Testing and Educational Records</b>
<ul style="list-style-type: none"> <li>• Drug test pass/fail results that do NOT reveal the complete or specific results</li> <li>• Policy acknowledgement documents</li> <li>• Required certifications and training for the position</li> <li>• Non-required certifications and training if forwarded from the department</li> </ul>
<b>Section 6 - Performance Evaluations</b>
<ul style="list-style-type: none"> <li>• Annual evaluations</li> </ul>

The Police should adopt a consistent and organized file structure for the documents contained in their Police personnel files. This will make it easy to add new information and determine whether included information is accurate, complete, and up-to-date. The following structure could be used:

<b>Suggested Police Personnel File Organization</b>
<b>Section 1 - Basic Employment Information</b>
<ul style="list-style-type: none"> <li>• Employment application and resume</li> <li>• Offer of employment letter</li> <li>• Background check results</li> </ul>
<b>Section 2 - Salary Information</b>
<ul style="list-style-type: none"> <li>• All promotions and demotions</li> <li>• Career plan progressions</li> <li>• All reassignments</li> <li>• Out of class for interim assignments</li> <li>• Leave without pay (that occur for an entire pay period or more)</li> <li>• Any other pay changes</li> </ul>
<b>Section 3 - Performance Records</b>
<ul style="list-style-type: none"> <li>• Quality of service awards, citywide recognition awards</li> <li>• Other commendations</li> <li>• Corrective action forms</li> <li>• Coaching session forms</li> <li>• Appropriate informal supervisor notes and correspondence</li> <li>• Annual evaluations</li> </ul>
<b>Section 4 – Incidents and Records of Absence</b>
<ul style="list-style-type: none"> <li>• Injury and vehicle accident reports</li> <li>• Information about FMLA leave and worker’s comp (such as requests, approvals, disapprovals) that does NOT reveal employee’s medical condition or reason for leave</li> </ul>
<b>Section 5 - Testing and Educational Records</b>
<ul style="list-style-type: none"> <li>• Drug test pass/fail results that do NOT reveal the complete or specific results</li> <li>• Signed policy acknowledgement documents</li> <li>• All certifications and training, including current firearm certification</li> </ul>

**(3) The City should continue its process of separating social security card copies into the separately maintained I-9 file as they encounter them in the main employee personnel files, with the goal of transitioning all employee files to the new format.**

**(4) The City Human Resources staff and Police Administrative Services staff should establish a policy that conforms to best practice and organize the documentation contained in their respective files so that it conforms to that policy.**

All documents of the same type should be found in one place within a file in order to ensure that they can be accounted for and that there are no duplicates.

Organizing and categorizing files could be accomplished through a concentrated effort to get to all files within a certain time frame, or the files could be reorganized through a more gradual approach, where staff make changes and categorize documentation as they encounter scattered forms while handling files. This is the approach being used by the City HR staff to separate SSN's and I-9 forms into a separate file.

- (5) City Human Resources staff should continue to conduct training with the Police Department Administrative Services staff to ensure that they understand the appropriate file format and the practices for appropriately maintaining departmental and citywide personnel files. This training should be refreshed annually and for new employees.**
- (6) City Human Resources staff should continue training current and future Administrative Services staff on the state statutes governing file maintenance and access. This training should be refreshed annually and for new employees.**
- (7) City Human Resources Staff and the Police Department should establish a process for ensuring that appropriate official or formal departmental commendations and awards from the Police personnel file, as well as records of disciplinary actions, are on file in the main personnel file.**
- (8) The Police Department should ensure that all employees have up-to-date training and firearm certifications on file.**
- (9) The Police Department should resume conducting performance evaluations on an annual basis. A record of performance evaluations should be kept in the Police personnel file and the 'Performance Evaluations' section of the City HR file.**
- (10) The City Human Resources staff and the Police Department should make sure that every employee has signed policy acknowledgement documents on file.**
- (11) Police Department personnel files should only be accessible to Administrative Services staff, authorized Human Resources staff, Legal staff, and the employee's direct chain of command.**
- (12) All Police Administrative Services staff should sign a standardized confidentiality agreement.**

- (13) All Police personnel files should remain in the Administrative Services office unless removed and supervised by an authorized staff member of City Human Resources or Police Administrative Services.**
- (14) A City Human Resources staff member or a Police Administrative Services staff member should supervise the viewing of any employee files requested, and the staff member should personally make copies of any documentation requested.**
- (15) The City Human Resources Department and the Police Administrative Services Division should maintain detailed records of all record requests and any copies made from files.**

These recommendations will promote the organization and synchronization of employee records, and help the City maintain up-to-date files with easy-to-find documentation. It will better align the Police Department with 'best practices' in these matters.

### **3. INTERNAL AFFAIRS FILE REVIEW**

In addition to the Internal Affairs case reviews, the project team also randomly picked eight (8) internal affairs complaint files (2013-2014) to review. The files reviewed were complaints about improper arrest (3), not following proper procedure (1), failure to properly book prisoner property (1), rudeness by Dispatchers (2 – they are not APD employees) and one complaint was withdrawn by the reporting party. The review of case files revealed the following:

- The case files reviewed were in manila folders (some extensive cases are in binders) and generally had a summary sheet that listed the steps in the process.
- The files were generally well organized. Some case files, however, contained information on "post-it" notes; the date of the investigative report was not listed.
- A summary sheet documenting the steps of the investigation.
- Many cases did not contain a formal statement from the subject officer, either written or tape recorded and transcribed.

- The files did not consistently contain some items that are best practice documents (e.g., a 'first' letter to the reporting party notifying them the complaint was being investigated; a 'second' letter to the reporting party notifying them the complaint investigation has been completed).

The 'first' letter mentioned above is a letter from the Chief, acknowledging the complaint has been received and that an investigation is in process. This letter is appropriate and provides adequate information. The 'second' letter, sent to the reporting party at the conclusion of the investigation states the investigation was handled as a formal Department internal investigation into the conduct of the officer.