Portland Police Bureau:
A Review of Overtime Management Systems

November 2000

Office of the City Auditor
Portland, Oregon

Gary Blackmer, City Auditor
Richard Tracy, Director of Audits
1221 S.W. Fourth Ave., Room 310
Portland, OR 97204

(503) 823-4005, FAX (503) 823-4459
www.ci.portland.or.us/auditor

CITY OF

PORTLAND, OREGON

OFFICE OF THE CITY AUDITOR
Audit Services Division

November 9, 2000

TO: Vera Katz, Mayor
          Jim Francesconi, Commissioner
          Charlie Hales, Commissioner
          Dan Saltzman, Commissioner
          Erik Sten, Commissioner
          Mark Kroeker, Chief of Police

SUBJECT: Audit of the Police Bureau Overtime Management Systems
          Report #272

Attached is Report #272, an audit of the Portland Police Bureau's overtime management systems. The study was conducted at the request of the Mayor and the Chief of Police, and was included in our annual Audit Schedule published in February of 2000.

As a follow-up to our recommendations, we ask that the Mayor and the Chief of Police provide a status report in six months, detailing steps taken to address the report's recommendations. This status report should also be distributed to the Audit Services Division and should be coordinated through the Mayor's Office.

We appreciate the cooperation and assistance we received from staff in the Bureau and the Mayor's Office in conducting and preparing the report.

GARY BLACKMER
City Auditor

Audit Team: Richard Tracy
            Ken Gavette
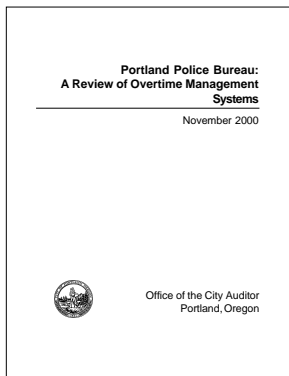   Sharon Meross

Portland Police Bureau:
A Review of Overtime Management Systems

November 2000

A Report by the Audit Services Division
Report #272

Office of the City Auditor
Portland, Oregon

Portland Police Bureau:
A Review of Overtime Management
Systems

November 2000

Office of the City Auditor
Portland, Oregon

Production/Design

This report was produced in-house using desktop publishing software on Pentium III personal computers, and a Hewlett Packard Laserjet PCL/Postscript laser printer. It was printed at the Printing and Distribution Division of the City's Bureau of General Services. Adobe PageMaker 6.5 Plus was used to design and layout the finished product. Tables were created and drawn manually using PageMaker. Some text was initially written in Microsoft Word then imported into PageMaker for formatting and layout.

Desktop Publishing: Robert Cowan

Ellen P. Jean

Table of Contents

Responses to the Audit Report   Mayor Vera Katz
Police Chief Mark Kroeker

**List of Tables
and Figures**

Summary

Overtime work is an unavoidable cost of providing police services. Unpredictable events, court appearances, and public safety demands often require police officers and civilian support staff to work beyond normal work hours. According to the National Institute of Justice, it is not uncommon for police organizations to spend up to 6 percent of their budgets on overtime.

At the request of the Mayor and the Chief of Police, we have audited the Portland Police Bureau's practices and procedures for managing and controlling overtime expenditures. Our audit focuses on overtime management throughout the Bureau, with particular emphasis on overtime use at police precincts. The audit does not address specific instances of overtime abuse currently under investigation by the Office of the District Attorney.

Overtime expenditures on the rise

Adjusting for inflation, total overtime costs in the Police Bureau have increased from $5.4 million in FY1992 to $9.4 million in FY2000, a 74 percent increase. In addition, actual overtime expenditures consistently exceed budgeted levels, often by as much as $2 million dollars annually. Despite exceeding its overtime budget, the Bureau manages its total personnel funding within authorized levels. Excess overtime expenditures are funded from salary savings in vacant positions.

The need to work overtime is caused by a variety of factors. The primary cause, representing about 25 percent of all overtime spending in FY2000, was the lack of personnel to meet minimum staffing needs and the need to extend shifts so that officers could complete emergency calls and write incident reports. The second largest category of overtime, comprising 18 percent of overtime spending during FY2000, was incurred when officers were required to appear in criminal or traffic court during hours that did not correspond to their regular duty hours. Other activities contributing to overtime use include investigations, community events and festivals, training, dignitary protection, and activities associated with federal grants and contracts.

Bureau actions to manage overtime costs

In order to manage overtime expenditures, the Bureau has established a sound foundation of internal controls. We found that the Bureau's strategic plan emphasizes an organizational vision that values integrity, accountability and service to the community. In addition, the Bureau has established a variety of control procedures to ensure that overtime is used, approved, verified, and paid in accordance with established policies. Periodic management reports are also prepared to help monitor and track overtime use. While control systems can be circumvented by colluding employees, our tests of overtime payments over a two-week period showed that most of these systems are working as intended.

Over the past several years, the Bureau has also taken a number of actions to curb overtime spending and to control overtime abuse. Some of the most important actions include:

■ Increased efforts aimed at hiring and training of new employees to fill vacancies and reduce the need for overtime to meet minimum staffing levels.

■ Deployment and staffing analysis to better allocate workload and staffing levels in patrol districts.

■ Creation of an Inspections and Control Unit in the Chief's Office to provide ongoing oversight and review of Bureau operations.

■ Centralization of timekeeping duties, to provide more consistent control over timekeeping practices.

■ Development of a new labor contract that clarified language on overtime pay and limited compensatory time accrual to 160 hours annually.

Opportunities to further strengthen internal controls

We believe that there are some additional opportunities to strengthen the Bureau's overtime controls. Specifically, we suggest that the Bureau develop a comprehensive policy on overtime management that clearly establishes the organization's goals and objectives for the use and control of overtime. The first step to overtime control is a clear commitment to actively managing its use. In conjunction with this new policy statement, the Bureau should update and revise its current general order on timekeeping because it is out-of-date and does not reflect current labor contract provisions and timekeeping practices.

In addition, developing more complete written procedures and improved staff training could strengthen control procedures in the fiscal office and precincts. These control

procedures will help the Bureau avoid inconsistent interpretation of labor contract provisions that have led to a number of successful labor grievances against the City. Similarly, improved communications will help keep precinct supervisors apprised of new contract requirements and policies and procedures. We found that several precinct supervisors knew little about new contract provisions even weeks after they went into effect. In addition, although directed by the chief last year, no formal ethics training has been provided to Bureau employees.

We also believe that current management reports on overtime use fail to provide well-organized, clear, and useful information to help managers monitor and control overtime. Current reports are difficult to read and lack summarized information sorted in user-friendly displays. According to the National Institute of Justice, a key element of managing police overtime is collecting, analyzing, and using good management information. We have a prepared a number of model reports in Appendix D to improve the Bureau's management reporting.

Additional proposals to lower overtime costs and increase revenue

We believe that the Bureau should also consider a number of other ways to reduce overtime use and control spending. While the Bureau is placing appropriate priority on filling officer vacancies and balancing precinct staffing and workload, we believe the following actions could also contribute to reduced overtime requirements:

Increase patrol officer availability

The single largest cause of overtime use is attributable to having too few officers available to meet minimum staffing requirements on patrol shifts. Consequently, one approach

to reducing overtime is to ensure that as many officers as possible are assigned to patrol duties. We propose the Bureau consider the following opportunities to increase patrol officer availability:

- Use civilians to fill some positions now held by sworn patrol officers. Our review indicates that existing City position classifications require similar knowledge, skills, and abilities to positions now held by some sworn officers.

- Evaluate the need for, and performance of, special units. We found that special unit staffing has grown significantly over the past several years while precinct patrol vacancies remain high.

- Share officers between precincts when possible. Some shifts at precincts experience personnel shortages while others have more than minimum levels.

Limiting the use and accrual of compensatory time
Compensatory time is more expensive than paid overtime because it results in less policing and may require additional overtime to cover for the absent officer. Moreover, federal grant funding does not allow reimbursement for overtime taken as compensatory time. As a result, over the past five years general City resources paid over $447,000 in compensatory time off instead of grant funds. Changes in compensatory time practices will require amendments to existing labor contracts.

Recovering more costs from permitted street events and community festivals
In FY 2000, permitted street events and community festivals incurred almost $629,000 in police overtime costs. While

the City has a fee policy that attempts to recover 10 percent of City service costs associated with permitted street events, the Bureau recovers only about 4 percent. For community festivals, the Bureau recovered about 12 percent of overtime costs in FY2000. Reviewing the adequacy of the existing fee schedule should help the Bureau and other City agencies recover more of their costs associated with these events and festivals.

We present our complete recommendations for improvement in Chapter 5 of this report. In addition, we believe there may be additional opportunities to better manage overtime costs within the Bureau that were not addressed in the scope of this audit. We recommend additional analysis of overtime use in the Investigative and Records Divisions, and encourage the continuing study of ways to better control the costs related to court appearances.

Chapter 1   Introduction

In response to requests from the Mayor and the Portland Police Bureau, we have audited the Bureau's practices and procedures for managing and controlling overtime expenditures. The audit focuses on overtime management throughout the Bureau, but does not address specific issues related to overtime abuses which are part of an on-going investigation by the District Attorney's Office. The Police Bureau and the Mayor requested this audit as part of a larger effort to improve accountability in the Bureau.

This audit was included in the City Auditor's 2000 audit schedule. We conducted the audit in accordance with government auditing standards and limited our work to those objectives noted in the audit objectives, scope and methodology section of the report on page 7.

Portland Police: organization, staffing and major activities   The Police Bureau is the City of Portland's largest General Fund organization, receiving about 40 percent of the City's General Fund discretionary budget. The Bureau has a FY2001 budget of $123 million and 1,252 authorized staff. The Bureau spent $270 per capita in FY1999, more than any other City bureau.

The Bureau's mission is to maintain and improve community livability by working with citizens to preserve life, maintain human rights, protect property, and promote individual responsibility and community commitment. The Bureau pursues this mission by enforcing laws, investigating and preventing crimes, and encouraging community involvement. The Bureau is a proponent of community policing, an approach that emphasizes a shared responsibility between police and citizens for addressing the underlying problems contributing to crime and the fear of crime.

Bureau organization

To carry out its mission, the Bureau is organized into four major operational branches:

1. <u>Operations</u> is responsible for overseeing the five precincts and the Traffic Division. Precincts are primarily responsible for the patrol function.

2. <u>Investigations</u> is primarily responsible for detective work, intergovernmental task forces, property and evidence, and drugs and vice.

3. <u>Operations Support</u> houses special units which support Bureau field operations, such as the Mounted Patrol, the Explosive Disposal Unit, the Gang Enforcement Unit and various youth programs.

4. <u>Support Services</u> provides information support, data management, records, training, and personnel services to the operational units.

In addition, the Chief's Office has an administrative staff that includes general support, public information, and other central support functions.

Precincts and patrol organization
The most visible police activities are based in five precincts located in distinct geographic areas of the City. Each precinct is assigned a complement of officers that patrol assigned districts, respond to calls, and perform other special duties 24 hours a day.

The lowest level of staffing needed to ensure safety and timely response is referred to as "minimum staffing." Minimum staffing levels vary for each precinct by time of day, workload conditions and special demands. When the minimum staffing level cannot be attained due to illness, training, or temporary assignments to other duties, off-duty officers may be asked to work double shifts or report for duty on days off. These officers normally receive overtime pay.

The Bureau has also created a number of special units to which officers may be assigned. Special units are formed to deal with specific problems and are not generally part of the precinct command structure. Examples include the Gang Enforcement Unit (GEU), the Auto Theft Task Force (ATTF), and the Youth Gun Anti-Violence Task Force (YGAT).

Officers are also assigned to administrative tasks when Bureau management feels their field expertise and sworn status is needed. Examples include personnel assignments to conduct background checks and recruiting, fleet management, court coordination, and planning and research duties.

Overtime use in police agencies

Overtime spending in police agencies is an unavoidable cost of policing activities. According to the National Institute of Justice (NIJ), most police organizations spend less than 6 percent of their budgets for overtime. The International Association of Chief's of Police (IACP), reports that most excess overtime can be attributed to the failure to institute appropriate management policies and controls rather than to instances of fraud or abuse.

Factors that should be addressed to control overtime include provisions of union contracts, overtime approval and justification processes, adequate tracking and reporting of overtime expenditures, and good supervision and management oversight. Overtime management is also affected by methods for addressing staff shortages and for balancing the demands for special missions with regular patrol duties.

A comprehensive study of police agency overtime sponsored by the National Institute of Justice was published in May of 1998. The study results were based on a survey of 2,183 local and state police agencies, and one hundred phone interviews with large police agencies. Results of this study are being used as the basis for a course called Managing Law Enforcement Overtime which is being designed by the Federal Law Enforcement Training Center.

Among the significant findings of the NIJ study are:

■ Overtime should be viewed, within limits, as a fixed cost of policing. Overtime charges cannot be eliminated completely regardless of the number of police officers employed because of inevitable court appearances, shift extensions, and unpredictable events.

4

■ Reliance on overtime may have harmful conse-
quences that do not appear in the budget.
These consequences include police officer ex-
haustion, lower morale, and an expectation of
overtime pay.

■ Overtime practices represent substantial possi-
bilities for savings if properly controlled.

In general, the NIJ study identified the key elements of
managing overtime as being: 1) collecting, analyzing and
using appropriate overtime information, and 2) managing
overtime usage in a systematic manner through the appli-
cation of consistent policies and decision-making.

Overtime policies and processing in the Police Bureau

The City establishes overtime use and compensation poli-
cies through collective bargaining agreements with labor
unions and manages overtime use by developing internal
policies and procedures.

Overtime work is broadly defined as work performed
beyond the normal scheduled work day. For sworn police
officers, the Portland Police Association (PPA) contract stipu-
lates that overtime is accrued when a represented employee
works more hours than their normal scheduled work day, or
more than 40 hours in a week. Compensatory and other
paid leave is included when calculating the number of hours
worked in a day or week. Compensation is at 1.5 times the
officer's pay. Officers may take the option of compensatory
time off in lieu of pay but can only accrue up to 160 hours of
"comp time" in a calendar year. In addition, officers working
overtime that is not an extension of their regular shift,
generally receive compensation for a minimum of four hours,
regardless of how short their actual time worked.

For non-sworn employees, overtime is generally defined as work performed outside of, or in excess of, an employee's regularly scheduled work hours. Compensation may be taken as pay, compensatory time, or a combination of both. An employee may accrue up to a maximum of 80 compensatory hours at any one time.

In addition to labor contracts, the Bureau has a set of general orders (GOs) and standard operating procedures (SOPs) dealing with time reporting and overtime. The primary bureau policy is the timekeeping procedures general order (210.30), which is intended to provide standardized timekeeping procedures "in accordance with current labor contracts and City policies." The Bureau also has general orders dealing specifically with court overtime and with on-duty conduct. SOPs are drafted by the divisions as methods to implement general orders and operational memos issued by the Bureau's administrators.

The timekeeping process

The heart of the overtime recording and approval system is the Bureau's timekeeping process. When overtime is approved, the number of hours worked and a description of work performed are recorded on an overtime slip. The overtime slip contains signatures of the employee and at least one supervisor. The Bureau's newly revised overtime slip includes a statement attesting that an employee's signature certifies that the hours were indeed worked and that falsification could lead to discipline or termination.

The overtime slips are submitted to the Bureau's central payroll office and checked for completeness and accuracy. Payroll accountants verify that slips are signed and that

appropriate activity codes are used. They check for obvious errors or misstatements against the precinct's daily rosters, such as an employee requesting overtime during their regular shift. In addition, for court overtime slips, the payroll accountants check that the slips are time stamped and that the time stamps match the court scheduling system records. The Bureau's fiscal office staff usually clears discrepancies before entering the hours into the City's Time and Attendance Reporting System (TARS), which generates payroll. Figure 1 flowcharts the overtime processing system.

The processing of overtime slips entails recording information that can be electronically retrieved. Overtime use is recorded using activity codes so that reports can be developed on various topics such as the type of work performed, the value and type of hours compensated, employee pay rates, and whether the overtime was related to a grant. Overtime management information is retrievable through a Bureau database which stores the detailed payroll information sent to the City's financial system. A system called the Overtime Management Database can retrieve overtime information from the City's central financial management system.

Audit objectives, scope and methodology

The overall objective of this audit was to evaluate the Portland Police Bureau's methods and systems for managing and controlling overtime expenditures. Specific objectives included:

- To determine the amount of overtime use and trends over the past ten years.

Figure 1   Flowchart of the overtime processing system
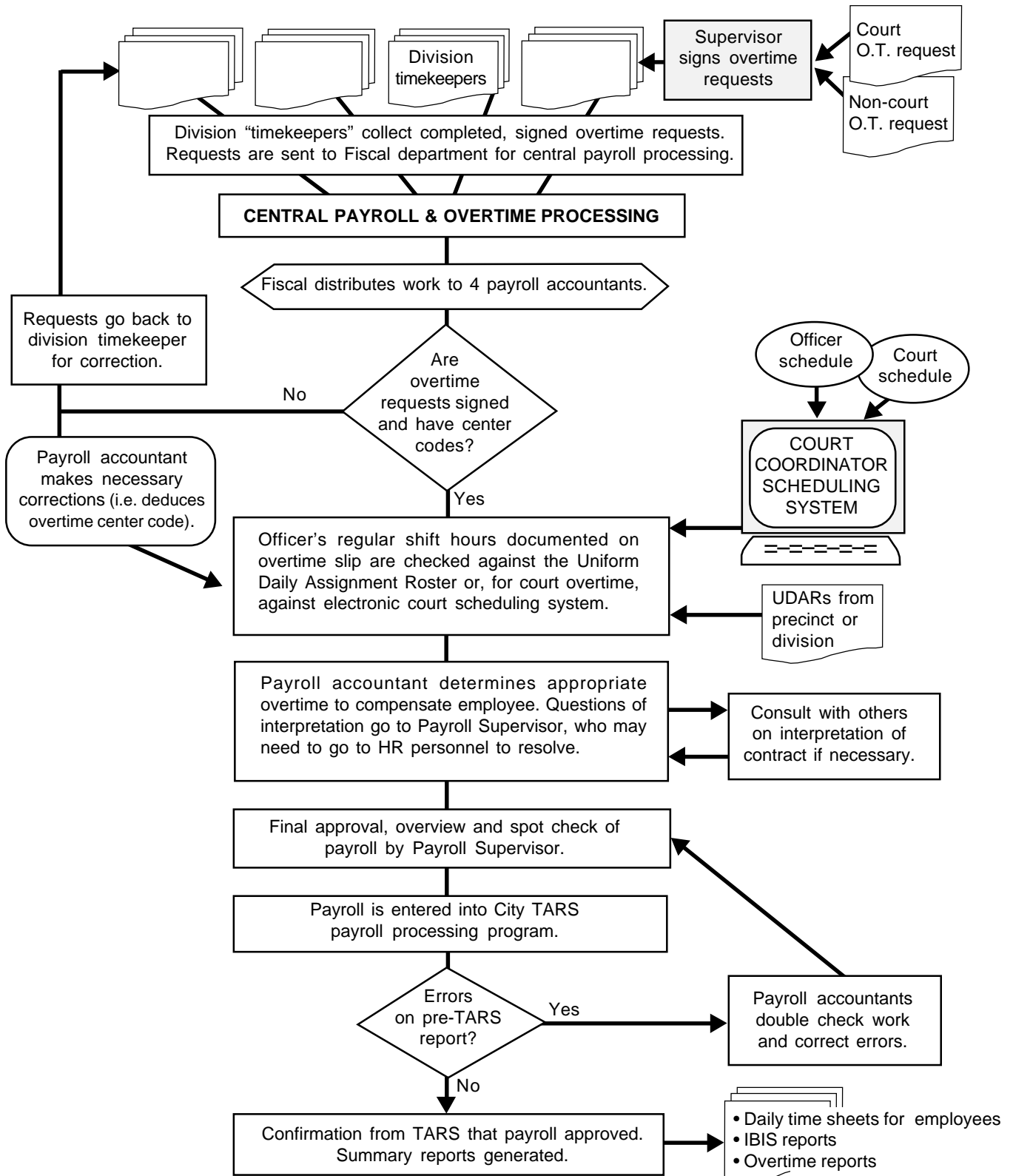
- To identify and examine major categories of overtime work and factors that contribute to overtime expenditures.

- To assess the adequacy of existing internal control systems used by the Bureau to control overtime.

- To compare Bureau overtime policies and practices to other cities.

- To identify opportunities and methods that hold promise for reducing overtime costs and improving overtime management.

To gain an understanding of overtime management systems within the Bureau, we conducted interviews with over 50 Police Bureau personnel and other City employees. In addition, we reviewed internal reports, memoranda, general orders, standard operating procedures, and other documents relating to overtime use.

We gathered overtime data from both the Bureau's internal data management system and the City's central financial system. Using these data, we produced a set of reports and asked Bureau personnel what information and presentation was most useful to them.

To assess the adequacy of the overtime-related internal control systems, we conducted tests and observations of the overtime processing system. We reviewed over 175 individual overtime requests from the Bureau's top overtime earners.

We also reviewed professional literature on overtime management and spoke with nationally recognized experts from the National Institute of Justice, the Institute for Law and Justice, the Department of Justice, and the Federal Law Enforcement Training Center.

To gain an understanding of how other cities manage overtime, we conducted a survey of nine other cities. We mailed surveys and made follow-up contacts with representatives from five cities we routinely survey in our annual *Service Efforts and Accomplishments* report (Cincinnati, Denver, Kansas City, Sacramento, and Seattle) and from four cities that have been regarded as being well managed by *Governing* magazine (Austin, Indianapolis, Minneapolis, and Phoenix).

This audit focuses on systems and procedures for managing overtime in the Police Bureau. We did not audit any issues related to overtime abuse currently under investigation by the District Attorney's Office.

We also chose not to evaluate two areas of high overtime expenditures – court overtime and the Investigations Division. We did not review court overtime expenditures because the City has limited ability to control court schedules and the associated costs of court appearances by sworn officers. We suggest that an audit of court time be conducted jointly with the State and County audit agencies.

We also did not review the Investigations Division because of the irregular and time-sensitive nature of investigations. More detailed tests and evaluations would be needed to assess overtime management. A separate

audit of this function would be needed to evaluate opportunities to control overtime expenditures.

Chapter 2   Overtime use and Bureau initiatives to control costs

Overtime expenditures in the Police Bureau have steadily increased over the past nine years, representing about 8 percent of the Bureau's expenditures in FY2000. In addition, in every year since FY1992, the Bureau spent more on overtime than budgeted at the beginning of the year. Late and extra work is the largest single category of overtime, of which 70 percent was directly attributable to personnel shortages in FY2000. The Bureau is taking significant steps to control overtime expenditures by increasing its recruiting efforts, conducting a deployment analysis, and clarifying union contract language about overtime.

Overtime spending is generally increasing

Although overtime expenditures fell in FY2000, Police Bureau overtime use has increased steadily since FY1992. Figure 2 shows that the value of overtime payments and accrued compensatory time has increased from $5.4 million in FY1992 to $9.4 million in FY2000, after adjusting for inflation. Real growth over the past nine years has been 74 percent. Cash payments comprise 82 percent of the total overtime liability, while the remainder is the value of compensatory time.

Figure 2   Total Police Bureau overtime liability
(adjusted for inflation)

In millions / constant
FY 2000 dollars

Note: - - - - - missing data FY 93   Fiscal Year

Source: PPB overtime management database, 7/25/00
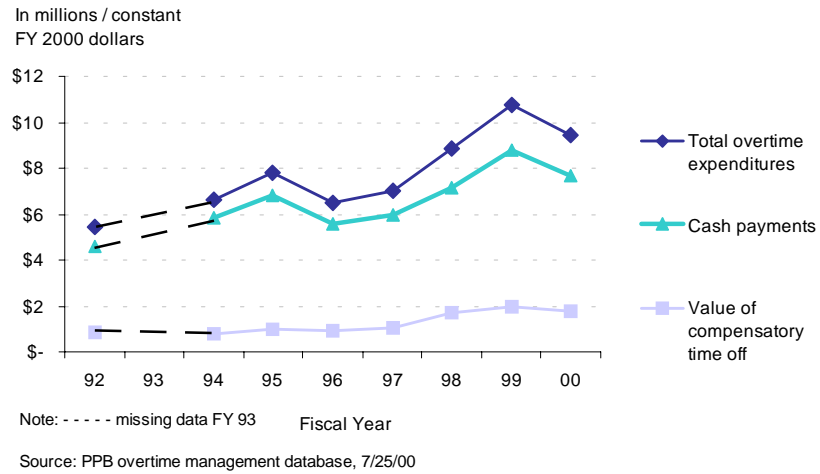
The Bureau consistently exceeds its overtime budget. Figure 3 shows the dollar amount by which cash payments have exceeded budgeted overtime expenditures. Actual overtime spending was almost $2 million over budget in FY2000 and as low as $1 million over in FY1992. Although cash payments have made up the majority of overtime expenditures over the past nine years, the value of compensatory time has also continued to rise and is a significant part of overtime liability. The value of compensatory time has risen from $840,000 in FY1992 to almost $2 million in FY2000.

Despite consistently spending more than is budgeted for overtime, the Bureau effectively manages its total personnel costs within authorized levels. Excess overtime expenditures are funded from salary savings in vacant positions.

Figure 3   Overtime expenditures vs. budget: amount by which cash payments exceeded overtime budget (adjusted for inflation)

In millions / constant
FY 2000 dollars

Note: missing data for FY 93   Fiscal Year
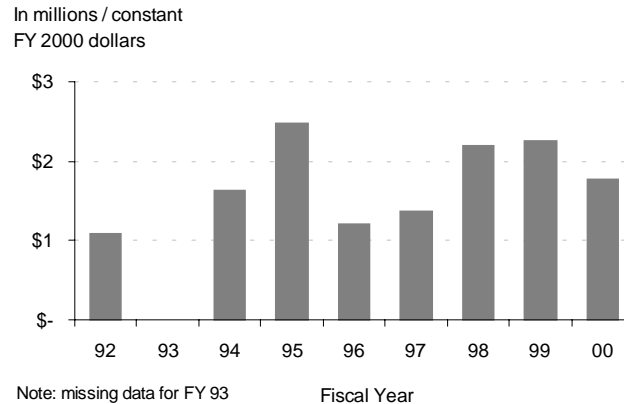
Source: PPB overtime management database, 7/25/00

The consistent under-budgeting of overtime spending may point to a need to develop more reliable estimates of overtime needs so that Bureau managers and City Council can have a truer picture of their expected spending. This would help the Bureau and Council better evaluate their management efforts.

Categories of overtime use

The Bureau currently tracks 16 different categories of overtime work. In FY2000 the largest category was "late/extra work," representing 25 percent of all overtime expenditures. The criminal and traffic court categories, at 15 percent and 3 percent respectively, when combined, make up the second largest amount. Reimbursable projects, such as special police contracts and grant-related work, and investigative activities comprised another 12 percent each. Special community projects, including neighborhood meetings and Rose

15

Figure 4 **Overtime expenditures by category (top categories)**
(adjusted for inflation)

In millions / constant
FY 2000 dollars

Note: - - - - - missing data FY 93   Fiscal Year

Source: PPB overtime management database, 7/25/00
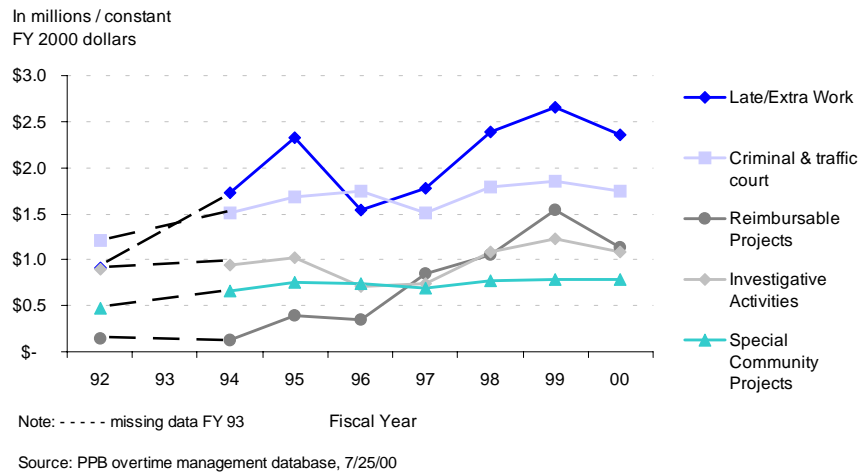
Festival, make up 8 percent. Ten other categories, including dignitary protection, personnel training, and special operations, made up the remaining 25 percent of expenditures in FY2000.

Figure 4 shows trends in the categories with the highest expenditures. Categories with the most significant increases are "late/extra work" and "reimbursable projects." Since FY1992, "late/extra work" expenditures increased by $1.4 million and "reimbursable project" expenditures increased $1.0 million. The increased expenditures in reimbursable projects are due to increasing revenue from grants since FY1996. Expenditures for criminal and traffic court have increased $0.5 million since FY1992, but have remained relatively flat over the past five years. Expenditures for special community projects, investigative activities, and the remaining categories have increased at slower rates.

To better understand the work performed within each of the overtime categories, the Bureau tracks activities within

the 16 categories. For example, within the "late/extra work" category, eight activities such as report writing and prisoner transport are tracked. Within this category, the activity "personnel shortage" is the single largest activity. For example, in FY2000, it was about 70 percent of expenditures of that category. Costs ranged from about $0.7 million to $2 million per year between FY1992 and FY2000. The personnel shortage category is used by precinct supervisors to account for officers hired on overtime to meet minimum staffing requirements. Figure 5 shows trends in the three largest activities within "late/extra work."

Figure 5   **The top 3 activities within the "Late/Extra Work" overtime category**

Note: - - - - - missing data FY 93   Fiscal Year

Source: PPB overtime management database, 7/25/00
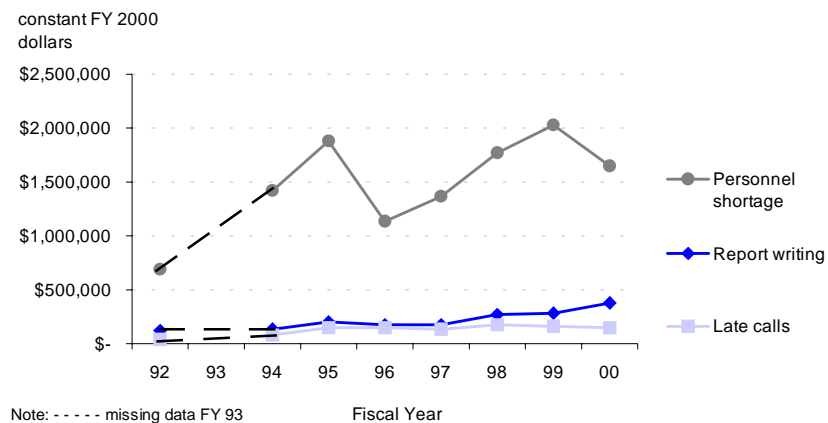
Results of survey of other cities

Our review of overtime policies and practices in nine other city police agencies showed Portland has similar practices in some areas but differences in others. Like Portland, these cities have labor contracts which stipulate how overtime is to be reimbursed, and policies that ensure overtime assignments are approved and recorded properly. Like other cities,

Portland produces expenditure reports on overtime use by activity and/or unit, although Portland does not report on overtime by employee as five of the nine cities do regularly.

Labor contracts specify overtime pay minimums for court appearances and call backs. However, six of the cities had minimums lower than Portland. Policies on compensatory time vary both in maximum number of hours that can be accrued and the time period in which these limits apply. Most cities have lower limits than Portland but allow hours to be used and accrued on a rolling basis. In contrast, Portland limits the accrual and use of compensatory time to 160 hours in a calendar year. We have summarized some of the major inter-city comparisons in Appendix F.

Bureau initiatives to control overtime

The Bureau has taken a number of steps in recent years to control overtime expenditures and to address issues raised by the abuse of overtime within the Bureau. Several of the more important efforts include:

Increased training and hiring efforts. The Bureau has created its own training academy because of concern that the State's academy could not train new officers quickly enough to keep pace with staffing needs. The Chief has also instituted several other efforts to help fill patrol officer vacancies, including reducing educational requirements in some cases, and more intensive recruiting efforts in other cities. Filling the existing vacancies will have a significant impact on overtime expenditures once new officers are trained to independently handle patrol duties. The full impact may not be known for several years, however, as hiring and full training currently requires about two years.

Acting Chief's directive to police managers. Following the disclosure of overtime abuses in 1999, the Acting Police Chief took several steps to address overtime problem areas. Significant steps included a review of timekeeping procedures, a requirement for detailed mission planning costs and evaluations, ethics training, and a request to the City Auditor to examine overtime practices bureau-wide.

Centralization of timekeeping functions. Until 1997, most timekeeping duties were handled by precinct employees. The Bureau found that they were not successful in keeping precinct staff up-to-date on payroll procedures. The ensuing centralization provided a segregation of duties and uncovered inconsistencies in payroll timekeeping practices.

Staffing analysis. At the Chief's request, the Planning and Support Division is currently working on a project to develop staffing data and a workable patrol allocation software model to better balance workload and staffing in districts. This model will help estimate officers' available time and provide information to precinct supervisors to adjust minimum staffing levels. The analysis has the potential to significantly impact overtime expenditures because minimum staffing requirements directly affect the need to hire officers to work overtime. A precise determination of staffing need is critical to effectively manage overtime.

Creation of the Inspections and Control Unit within the Chief's Office. The Chief created this unit to provide consistent oversight and evaluation of Bureau policies and procedures. Two officers will be assigned to the unit to conduct internal reviews focusing on sensitive areas such as police use of grant money, the handling of property and evidence, and the use of informants. The reviews will also help ensure that Bureau policies, procedures and rules are followed.

New labor contract clarifies overtime language. Recently, a new contract was negotiated between the City and the Portland Police Association that helped clarify overtime requirements. The City and the union agreed to clarify vague language in the contract so that overtime pay would be more consistently interpreted and applied by Bureau timekeepers.

Among the most notable changes included in the new contract are:

- A 160-hour per calendar year limit on compensatory time. The old contract allowed officers to accrue comp-time on a rolling basis as long as they did not exceed 60 hours at any one time. This resulted in some officers accruing 200 hours or more of comp-time in a calendar year.

- Requirements that officers treat consecutive overtime assignments, such as morning and afternoon court appearances, as one overtime assignment. The new requirement prevents officers from collecting multiple overtime pay-minimums when overtime assignments overlap, or follow one another within an hour's time.

- Clarification that work related telephone calls to off-duty employees be paid at the overtime rate to the nearest fifteen minutes. Previously there was no contract language on how off-duty telephone calls were to be paid, and some officers had requested that these calls be paid at the four-hour overtime minimum.

Chapter 3 Opportunities to strengthen internal controls and management reporting

Good internal controls are needed to ensure public resources are safeguarded from loss, waste, and abuse. Our review of the Police Bureau's controls over overtime expenditures shows that the controls are generally in place and working as intended. However, improvements could be made to provide more assurance that Bureau objectives for overtime management are met. Our recommendations include adopting a comprehensive set of policies and procedures and improving some existing control procedures and training. We also believe the Bureau could improve overtime management by developing and using better management reports.

What are internal controls?

Internal controls are a set of policies and procedures designed to provide reasonable assurance that an agency is achieving its management objectives, reporting reliable information, and complying with applicable laws and regulations. The major elements of internal controls are:

- Control environment. The control environment sets the tone for the organization, influencing the control consciousness of employees. Factors include integrity, ethical values, and competency.

- Control activities. Control activities are the policies and procedures that help ensure that

management directives are carried out. They include activities such as approvals, supervision, authorizations, verification, reconciliations, segregation of duties, and supervisory monitoring of the internal control system.

■ <u>Information and communication.</u> Pertinent information must be identified, recorded and communicated in an effective manner. Good information helps managers plan activities, spot potential waste and abuse, and ensure that policies and procedures are implemented in a consistent manner.

No matter how well conceived and implemented, internal control systems cannot provide absolute assurance that an agency is meeting all its objectives. Controls can be circumvented by the collusion of two or more people, and employees may choose not to follow established systems. While internal control systems cannot completely stop fraud, well-conceived procedures and committed people can minimize the potential for abuse.

Basic controls in place and working as intended

Our review of the Bureau's control environment, control activities, and management information systems clearly show that there is the foundation of a good internal control system.

Control environment and activities are fundamentally sound

The Police Bureau has made a concerted effort to strengthen its control environment. In addition to recent steps taken by the Chief to improve accountability, the Bureau's Strate-

gic Plan clearly states that the Bureau values service, integrity, and excellence. The Chief has repeatedly stated that accountability is a core value for the Bureau.

Control activities in the central fiscal office and in the precincts exhibit many positive aspects. In the Bureau's fiscal office we found:

- Payroll accountants have a clear sense of their jobs and what they are supposed to accomplish.

- The verification process is strong: signatures are checked, court attendance times are verified, rosters are cross-checked, and data entry to the TARS system is double-checked.

- Payroll accountants feel they can freely express system deficiencies and improvements with their supervisors.

In the precincts we found:

- Employees sign up for overtime in accordance with labor contract requirements and SOPs.

- The majority of overtime is related to personnel shortages and court time, and therefore is performed at the request of precinct supervisors. Court attendance is coordinated in advance with the justice system.

- In most cases, the supervisor signing the overtime slips knows that work was performed. Most personnel overtime is performed at the request of precinct supervisors and can be easily verified by the precinct's daily roster.

■ There is adequate segregation of duties, because overtime slips require two signatures at the precinct level, and are checked at the fiscal office.

Tests show hours and information are accurate and complete

To determine if control activities were working as intended, we reviewed the overtime slips of seven of the Bureau's top overtime earners during two recent pay periods. We found that most of the controls are working as intended. Specifically:

■ Overtime hours paid to employees are accurately calculated and are in accordance with the union contract.

■ Explanations for overtime use for officers are generally clear and in sufficient detail to determine what work was done.

■ Signature authorizations were completed.

■ In most cases, activity codes were included so that specific overtime activities could be identified.

■ Court overtime slips were time stamped and verified by payroll accountants.

Bureau collects overtime information and produces detailed reports

Summary information about overtime, such as the funding source and functional category of work performed, enables administrators to explain and guide overtime expenditures.

Detailed reports about the amount of overtime by employee and the activities in which they are engaged can provide early warning of individual or collective abuses.

The NIJ suggests that police agencies record and report total overtime expenditures by category of activity, sources of overtime payments, expenditures by budgetary unit and employee, and expenditure comparisons to prior years.

Our review of overtime management reports and data collection systems within the Bureau shows the Bureau does a good job of collecting overtime information. Currently the fiscal office stores and retrieves overtime information through an Overtime Management Database. The database is programed to retrieve overtime information from the City's central financial system which stores payroll information. Reports are generated from the database for the entire bureau and each budgetary unit. The database is not programmed to generate reports by employee.

The Bureau's overtime management database provides some valuable management information for the Bureau as a whole and for each individual budget unit. Current overtime reports generated each accounting period include:

- Overtime expenditures by 16 categories sorted by each budgetary unit. The report distinguishes between cash payments and the value of compensatory time, and compares current expenditures to the prior fiscal year.

- Itemized overtime expenditures using over 800 codes that link the budgetary unit and overtime activity (e.g., precinct and traffic court).

■ Summary pie charts of expenditures by division and by overtime category that help show where the greatest expenditures are occurring.

In addition, the City's central financial system produces reports on accrued compensatory time by employee, and expense item detail reports which show budget to actual expenditures for 1) general overtime (cash payments only) by budgetary unit, and 2) overtime related to grants.

Actions needed to strengthen controls

Despite commendable efforts to improve overtime management, we suggest several ways in which the system could be improved. Specifically, we suggest ways to strengthen the control environment, improve control activities, and develop and use better management reports.

Overtime policies should be comprehensive and up to date

The establishment of a good internal control environment starts at the top. Management must communicate that ethical behavior and integrity is highly valued, as the Chief has recently done. Management must make a strong, clear statement about how overtime will be used and managed within the Police Bureau. Although the Bureau has established a strong foundation for ethical behavior, current statements about overtime in general orders and standard operating procedures are outdated and incomplete.

The Bureau's basic statement on overtime, the time-keeping general order, is outdated and of no practical use. We found this document does not reflect major timekeeping or contract changes made in recent years. The document

has not been significantly updated since 1987. It includes instructions for processing payroll and overtime requests based on the system used by the precincts before the process was centralized at the Bureau's fiscal office in 1997. Consequently, even though precinct commanders were specifically instructed to review this document with their employees as part of the Bureau's recent accountability efforts, managers cannot use this basic policy statement to reinforce rules and requirements.

In addition, our review of standard operating procedures (SOPs) at the precincts showed that they often lacked some basic procedural requirements to control overtime use. For example, the SOPs lack provisions requiring prior approval for overtime, instructions on who is required to sign overtime slips, or procedures for completing overtime slips and attaching documentation so that an audit trail is established.

Clear direction from top management as to the purpose and uses of overtime, and documented procedures for all precincts would make it easier for supervisors to manage overtime and hold both managers and employees accountable for overtime use and approval. The International Association of Chiefs of Police (IACP) has developed a comprehensive model policy on overtime management. We have included a copy of that policy in Appendix A to this report.

Documentation and training should be improved

Better control activities in several areas would help the Bureau meet control objectives.

In the fiscal office we found:

■ There is little written documentation for processing transactions or interpreting union contract language. The lack of documentation means payroll accountants share information and contract interpretations informally. While this works in many circumstances, it increases the chance that rules will be inconsistently applied, making the City liable for unintended contract interpretations. Inconsistent contract interpretations that occurred before the payroll process was centralized led to a 1999 City settlement on over 50 police employee grievances.

■ There is no job-specific training for payroll accountants. While much of the routine, daily tasks can be learned on the job, on-going training is necessary to help ensure that payroll accountants are familiar with current contract amendments and timekeeping procedural issues. Lack of consistent in-service training can lead to inconsistent application of union contract language. In addition, the staff does not have regular meetings to share information.

■ Signature authorizations are out-of-date. The Bureau's "Dollars and Sense" guide states that employees signing overtime and other payroll documents will be held accountable for the information, and that the payroll unit has a file of individuals authorized as signers. We found this file to be generally out-of-date and of little use in verifying authorized signatures.

In the precincts we found:

■ There is no formal on-going training, or consistent communication, about processing transactions or the interpretation of contract language. Precinct supervisors we interviewed said they often hear about policy changes from the local media. Some said they had no training about the new contract language, and were not aware of how the new contract would specifically change overtime policies. Two supervisors said contract provisions were in effect two weeks before they were aware of it. Others said if they have contract questions, they usually call their union representative.

■ Although a commitment to honesty and accountability has been reiterated to the employees in recent months, there has been no follow-up to the ethics training proposed in the Chief and Mayor's plan for accountability improvements. The supervisors we interviewed said they had no knowledge of formal ethics training in recent years. The IACP recommends the adoption of a policy on corruption prevention which includes requirements for ethics training. The Bureau may wish to adopt a similar policy. We have included this in Appendix B.

We also found one weakness in the review and approval of overtime in the Records Division. We found instances of non-sworn employees of equal job class signing one another's slips. This practice increases the potential for collusion and

creates an appearance of impropriety. While both employees are authorized payroll signers, we believe it is good practice to require that supervisors sign overtime slips for their employees.

Existing management reports could be streamlined and made more useful

We found that the use of the overtime management reports varied widely in the Bureau. While some supervisors use data from the reports to analyze overtime, others do not use the reports at all. We believe the current reports do not provide well organized, user-friendly displays of overtime activity that would permit Bureau managers to better manage overtime use.

For example, the activity summary for the entire Bureau contains 28 pages of expenditure data in hundreds of center codes – some of which duplicate activities. The amount of unsorted detail makes it very difficult for Bureau managers to get a quick summary of the activities that drive overtime. The report could be streamlined by showing only the total value of expenditures, summarizing activities by their three digit activity code, and sorting the activities by highest to lowest expenditure within each corresponding overtime category. Appendix D, Sample Report 2a provides a sample of the suggested activity report.

Similarly, we believe the overtime reports by unit could be streamlined so supervisors could get a quick picture of overtime expenditures within their unit each accounting period. Sorting expenditures from the highest to lowest percentage for each activity worked within each overtime category would more clearly communicate which activities are driving overtime. In addition, the breakdown of the value of cash payments and compensatory time could be

eliminated to further streamline the report. While it is important to track compensatory time separately from cash payments, we believe it is the hours, not the value of accrued compensatory time that is most useful at the precinct level. Precinct commanders told us that knowing the hours of accrued compensatory time by officer was useful information in planning for potential absences. The hours of compensatory time each employee has accrued is currently available from the City's standard hours-to-date report, but not all commanders were aware of, or received the report.

New reports could provide useful information to precinct commanders

We believe that the addition of several new reports could help managers make decisions about overtime policy more quickly and effectively.

Overtime by employee, activity and unit, highlighting the top 25 overtime earners. Precinct commanders told us they want overtime information by employee. The Bureau maintains a duplicate database of payroll information sent to the City's central financial system. This duplicate database, called Adabas, can be used to retrieve more detailed information on overtime than the currently used Overtime Management Database. Using Adabas, we developed a sample overtime report by division by employee. This report details the hours and earnings of employees by their overtime activity. We also developed a list of top overtime earners by quarter. The report lists the top 25 overtime earners that quarter and indicates the number of times the employee has made the top 25 list. We believe these reports should be created for all budgetary units and distributed to unit managers every accounting period, as recommended by the National Institute of Justice. Refer to Appendix D, Sample Reports 3a and 3b.

Summary report by precinct that details actual to budgeted overtime expenditures. At the Bureau level, the NIJ recommends that overtime expenses be compared to budgeted expenses, and that the total value of compensatory time and overtime funding source be documented. This information is not currently available in one report but can be readily summarized from existing reports for easy comparison between budgetary units. Appendix D Sample Report 1 shows a report derived from information from standard expense detail reports and the Overtime Management Database.

A fiscal year history of overtime expenditures by unit and accounting period. A summary report that shows total overtime expenditures by unit by accounting periods throughout the fiscal year will provide a quick summary of trends in overtime usage by unit. Refer to Appendix D Sample Report 4.

Special reports could answer specific overtime questions. The Bureau may on occasion wish to research which employees are incurring overtime expenditures within a certain center or activity code. For example, a sharp rise in the amount of overtime expenditures within an activity could indicate increasing workload in that area, or potential abuse of the overtime activity. The Bureau should be aware that this information is electronically retrievable should the need for it arise.

Appendix D provides a summary of suggested overtime reports discussed above, including the report descriptions, purpose, frequency of reporting, recipients of the reports, and questions the reports should generate.

Inconsistencies in existing data sources

We noted some differences in the overtime data contained in the Adabas and the Overtime Management Database. These differences are due to how holiday pay is extracted by the two systems, and because adjustments made to payroll directly through the City's financial system are not always updated in the Bureau's Adabas. This could be corrected by developing a process to update payroll corrections in the Adabas, and ensuring that overtime extractions from the Adabas do not include holiday pay. This should be done to ensure that overtime expenditures extracted from Adabas coincide with overtime expenditures in the City's financial reporting system. This is particularly important if the Adabas is to be used to generate overtime reports by employee.

We also found what appeared to be a problem in the compensatory time information extracted from the Overtime Management Database. However, because the Overtime Management Database was developed over ten years ago, fiscal and data processing personnel could not explain the discrepancy. Therefore, a potential problem with compensatory time calculations in this database remains unresolved.

Chapter 4 Proposals to reduce overtime costs and increase revenue

In addition to improved internal controls and recent initiatives to fill vacant positions in the Bureau, we believe there are a number of other steps the Bureau should consider to help lower overtime costs and increase revenue. This chapter discusses opportunities to reduce patrol shortages in precincts, better control use of compensatory time, and recover additional revenue from special events.

Explore various methods to increase patrol officer availability

Personnel shortage is the single largest cause of overtime expenditures for the Bureau. In FY2000, about 17 percent of all overtime was directly attributable to not having enough personnel to fill staffing requirements. Bureau-wide about 7 percent of the authorized patrol officer positions are vacant, but at the precinct level, where much of the personnel shortage occurs, vacancy rates among patrol officers has been averaging about 25 percent. Moreover, while the Bureau created 222 new sworn positions between FY1991 and FY2000, the actual number of officers and sergeants assigned to precincts increased by only 71.

To effectively reduce the personnel shortage category of overtime the Bureau can pursue several options:

- fill more of the existing police officer vacancies

- reassess the minimum staffing levels and deployment of existing officers between precincts

- evaluate and reassign as many officers as possible from non-patrol duties to patrol duties in the precincts

As we noted in Chapter 2, the Bureau is taking significant steps to address the shortage of patrol officers, particularly by more aggressive efforts to fill vacancies and by additional analysis to determine staffing needs and balance the deployment of existing officers. The following section concentrates on the third strategy – ensuring that as many officers as possible are assigned to patrol functions.

Civilians may be able to fill some positions now held by sworn officers

The Bureau has made some progress in recent years in using more civilian (i.e., non-sworn) employees. Currently, about 23 percent of the Bureau's authorized positions are civilian. That is up from 20 percent ten years ago, but slightly below the average of 25 percent for six comparable cities. Recent examples of civilianization efforts include recruiting and hiring civilians for several key administrative positions including the Director of the Planning and Support Division and the Director of Police Services. In addition, the Bureau hired civilians to do desk work at the precincts in 1997 specifically to free officers for police work.

However, a 1999 study of community policing, commissioned by the Bureau and conducted by the Institute for Law and Justice (ILJ), reported that the Bureau could do

better. Although the ILJ did not recommend a specific goal, they stated that the Bureau should set a much higher goal for future civilian strength.

According to the ILJ and the IACP, civilians are important to police operations. They bring specialized knowledge and expertise to rapidly changing responsibilities, add stability to administrative activities, and free officers for traditional policing assignments. In addition to making more officers available for police work, thereby reducing overtime expenditures, civilians often cost less than their sworn officer counterparts.

The IACP and the ILJ state that when a position is being filled, the Bureau should consider whether it requires the authority of a sworn officer, such as making arrests or serving warrants, and whether the person will regularly be put into dangerous situations. If either of these conditions exist then the position should be filled by a sworn officer. In most other cases, they recommend that a civilian be used.

The IACP suggests a list of specific functions which should be filled by civilians. Some of these are positions in which the City currently has sworn officers. They include planning and research positions, media relations, fleet maintenance, and personnel. Appendix C includes the IACP model policy on civilian employment.

We asked staff from the City's Bureau of Human Resources to examine the job postings of several positions the Bureau has filled with sworn personnel, to determine whether there are equivalent civilian skill sets within the City's existing classification system. At our request they

reviewed fourteen types of job postings in the Bureau that are currently filled by 35 officers. Examples of these positions include Court Coordinator, Personnel Officer, Fleet Coordinator, Alarm Information Officer, EAP Coordinator, and Pension and Disability Benefits Coordinator.

Except for training, equivalent civilian skill sets are available in thirteen of the fourteen job types. Training of police officers was judged to be more appropriately left to experienced officers.

We were told the Bureau uses sworn officers to fill administrative positions when they believe policing expertise would be helpful in performing the work. They also said it is more efficient to assign an officer to an administrative task than it is to obtain approval for a new civilian classification. While we were told that Bureau managers consider these factors, their decisions are not documented in any consistent way.

We believe that freeing officers from administrative duties and reassigning them to patrol duty would help reduce overtime costs. In addition, using civilians for certain positions could potentially save personnel costs for the Bureau. If all the positions we reviewed, except for training, were filled by civilians, we estimate the Bureau would net a savings of over $140,000 per year in salaries and benefits. We have included the list of positions we reviewed and estimated salary savings in Appendix E.

Specialized units should receive structured, periodic evaluation of need and effectiveness

According to experts in policing, specialized, non-patrol units are important components of a well-organized police

force. They allow individuals to develop expertise in a particular area so that tasks can be completed efficiently and effectively. Specialized units also allow accountability for a given task to be placed directly on a smaller group or an individual, and may also decrease the number of calls for service for patrol officers, allowing them more time for community policing activities.

However, according to our review of literature and interviews with public safety experts, specialization has also been associated with increased factionalism, and more complicated command and communication structures within police agencies. Perhaps more importantly, specialization may hamper the development of a well-rounded community policing program.

For example, experts we spoke with said as specialization increases, the resources available for general uniformed patrol may decrease, placing general patrol services in a secondary role. We heard from many Operations Division employees that the shortage of patrol officers is in large part due to the proliferation of specialized units within the Bureau. Even though specialized units are important, they must play a support role to the patrol officer's critical neighborhood-oriented problem solving duties.

Our analysis shows that the Bureau is devoting more resources to specialized, non-patrol officer assignments than in the past. Table 1 shows that in FY1991 there were 121 officers authorized for non-patrol duties, while in FY2001 there were 182. The largest increases were in Gang Enforcement, the Auto Theft Task Force, and the Family Services Unit, along with miscellaneous smaller staffing assignments such as school police and other youth pro-

Table 1 **Change in the number of officers authorized and assigned to non-patrol units**

Unit	FY1991 Authorized officers	FY2001 Authorized officers	Difference
Gangs (1)	20	31	+11
Auto Theft Task Force	0	11	+11
Tri-met (2)	6	16	+10
Family Services	1	7	+6
School & Youth (3)	1	5	+4
Personnel	2	5	+3
Mounted Patrol	4	6	+2
Canine	8	7	-1
Telephone reporting	8	8	0
Narcotics	24	19	-5
Training	7	7	0
All other	40	60	+20
TOTAL	121	182	+61

(1) Gang Enforcement, GEU Detectives, Gang Drug Enforcement

(2) Officers provided to Tri-Met on a contract basis

(3) David Douglas, Parkrose, Explorers, DARE, PAL

Source: City of Portland budget documents

grams. We estimate the Bureau spent at least $16 million on these non-patrol activities in FY1999, or about 14 percent of all expenditures.

We also found that these units lack adequate performance measures to determine their effectiveness and, more importantly, when goals have been achieved and officers can be released to regular patrol duties. Current performance measures are primarily workload indicators, such as the number of arrests, or the number of guns taken off the street. Specific objectives and results indicators are

needed to help the Bureau determine if the problem is being addressed and resolved, or if another tactic should be employed to address the issue.

Sharing officers between precincts could help alleviate some staff shortages

Precinct sergeants have the primary responsibility for the day-to-day scheduling of precinct field personnel. The most common tool for controlling schedules and ensuring that there are enough officers is the Uniform Daily Assignment Record (UDAR). We reviewed UDARs for two pay periods for all shifts and all precincts to determine how officers were deployed and used, particularly in regard to the minimum staffing levels and overtime assignments.

We found there may be an opportunity for savings in overtime expenditures by temporarily assigning officers to other precincts to cover personnel shortages where officers would otherwise be hired on overtime. Our analysis shows that in one pay period there were 51 cases where an overtime shift in one precinct may have been avoided by using officers from another precinct with more than enough officers to meet their minimum staffing requirement. In another pay period in another season, we found 41 cases.

Our assumptions of officer availability do not include officers who were assigned to special missions. Thus, our estimate assumes that precincts could still run special missions and directed patrols and in some cases still have enough officers to share.

We understand there are reasons why it may not always be a good idea to send unfamiliar officers into a district on

a temporary basis. Bureau employees said that officer and public safety could be at risk when assigning officers to an unfamiliar territory. They also told us that a temporarily assigned officer would be able to respond to calls, but may not be able to do problem-solving because of lack of familiarity with the district. There could also be accountability issues if a temporarily assigned officer creates a problem and then leaves for his regular precinct.

However, the Bureau routinely assigns officers to various special events such as parades, festivals, and demonstrations which are under the direction of different precinct commanders and in different parts of the City. Also, any officer filling in for another officer would be in an unfamiliar district even if in the same precinct, unless they had actually served in that patrol district at some time.

We do not propose that sharing of officers be mandatory, or that it is appropriate in all circumstances. However, if it can be done without compromising officer or public safety, it should be an option for sergeants and commanders who wish to reduce their overtime expenditures.

There may be creative solutions to some of the obstacles. For example, the Bureau may want to develop a database of officers showing their experience serving in various precincts and districts. This would allow Sergeants to select officers for temporary assignment who have previously served in their districts, and are therefore familiar with the district's territory.

Our review showed an average of three opportunities a day to share officers. If the proper occasion arose only once per day, or even once every other day, the Bureau could

save $395 per overtime shift, or between $75,000 and $150,000 per year.

The need to share officers between precincts could be reduced by a more frequent deployment and minimum staffing needs analysis such as the Bureau is now conducting. The last major redeployment analysis was done in 1995, when two new precincts were created. We noted instances in certain shifts where some districts consistently had more than their minimum staffing needs and some had less. The Bureau's current analysis by the Planning and Support Division could help correct this imbalance, thereby reducing the need for overtime to fill staffing needs.

Improved deployment among precincts would reduce the need to share officers, but occasions would still arise where overtime could be avoided using this proposal.

Actively discourage and control compensatory time

The Bureau accrued about 63,570 hours in overtime-related compensatory time in calendar year 1999. The five precincts accrued more than one-half of these hours. The NIJ study reported that overtime reimbursed as compensatory time can be more costly than overtime reimbursed in cash because compensatory time is usually not an hour for hour trade for extra hours worked. Compensatory time is reimbursed at 1.5 hours for every extra hour worked. Therefore overtime reimbursed as compensatory time results in *less* policing.

Additionally, overtime work performed and reimbursed as compensatory time may not be as important as the work missed when compensatory time is taken. For example, the

work missed on a patrol shift due to compensatory time off may be more important than working at the community festival where the compensatory time was earned.

Both the Portland Police Association (PPA) and District Council of Trade Unions (DCTU) contracts contain language governing the use and accrual of compensatory time. Although the scheduling of compensatory time is to be mutually agreed upon by the employee and his/her supervisor, supervisors cannot unreasonably deny the taking of compensatory time. The result is that employees often use compensatory time as a "trump" card because it can take precedence over requests for vacation leave. Both contracts have limits on compensatory time accrual. The PPA contract has a 160-hour calendar year maximum on compensatory time accrual. The DCTU contract has a total accrual maximum of 80 hours at any one time.

The DCTU contract allows a work unit to require that if an employee elects overtime reimbursement as compensatory time rather than additional pay, the employee is limited to one hour of compensatory time for each hour worked, and must take pay for the extra half time. We noted that the Bureau's Records Division implemented this system on July 1, 1998. We analyzed compensatory hours accrued in the Division for eighteen months before and after the system was adopted. Our analysis showed that accrued compensatory time declined by over 33 percent. If this system was adopted Bureau-wide, and the Bureau experienced a similar decrease in compensatory time, then it is likely that staff shortages and the overtime necessary to cover these shortages would also decline.

The Fair Labor Standards Act (FLSA) is a federal labor law that regulates pay and other labor issues. In May of 2000, the U.S. Supreme Court ruled that under FLSA, state and local governments could tell their employees when to take compensatory time off. Using this ruling, supervisors could schedule officer comp-time during projected "down times." The City Attorney's Office plans to review this ruling to determine if and how the ruling could be utilized by the City. If the City decided to pursue enactment of this ruling, contract negotiations with the PPA would be necessary.

The City loses money when overtime incurred on grants is taken as compensatory time

Grants are an important revenue source for the Bureau. Revenue from federal and state grants has risen sharply in the past five years. As well as this increase in revenue, the number of grants that pay overtime also increased significantly. Consequently, overtime expenditures on grant related activities totaled $829,000 in FY2000 – an increase of $772,000 since FY1995.

However, grants do not reimburse the City for overtime taken as compensatory time off. Grant funds do not cover compensatory time because, unlike cash payments, compensatory time is not considered an actual expense.

According to our analysis, over the last five fiscal years the value of compensatory time that could not be billed to grants totaled $447,000. About $91,000 of this was in FY 2000. These amounts were ultimately paid from General Fund dollars.

The PPA contract does not restrict the type of compensation received for working overtime. However, in our survey of other cities, we found that the Austin Police Department prohibits employees from receiving compensatory time for overtime worked on grants and other reimbursable overtime assignments. Seattle also told us they have an informal policy that requires officers to take cash payment for overtime worked on federal grants. A formal policy that prohibits officers from selecting compensatory time as reimbursement for grant-related overtime would be a fiscally sound policy, but would require changes in the current PPA contract.

Recover more costs from special events

During our interviews with Bureau personnel regarding the causes of police overtime, "special events" were often mentioned as a significant cost of overtime. The Bureau refers to community festivals held in Portland parks, street events such as parades, fun runs and marches, and dignitary visits, as "special events." In FY 2000, overtime from these special events totaled almost $674,000 (7 percent) of all overtime expenditures. Community festivals incurred almost $278,000 in overtime expenditures, events held in the streets incurred $351,000, and dignitary visits incurred $45,000. Over the past nine years, overtime associated with these events have represented between 6 percent and 10 percent of all overtime costs.

Over the past nine years, overtime costs associated with dignitary protection have ranged between $38,000 and $241,000, with an average of 46 visits per year. The Bureau does not recover costs associated with these visits.

The Bureau recovers costs from street and festival events in two different ways. For street events, a portion of police service costs are recovered from a permit fee that the Bureau of Licenses charges the event sponsor. Overtime incurred for street events is captured in the "special community projects" overtime category. For most community festivals, the event sponsor and the Police Bureau enter into special agreements for cost recovery. Overtime incurred through these special agreements is captured in the "reimbursable projects" overtime category.

The Bureau recovers only 4 percent of its costs associated with street events such as parades and marches

The Bureau of Licenses oversees special events coordination and issues permits for these events under Chapter 16.60 of the City Code. Under City Code, the term special event refers specifically to a "procession or athletic event held by a sponsor on public streets or sidewalks which interferes with normal vehicular or pedestrian traffic for a distance of more than 4 blocks and requires the use of City services." Examples of these special events are the parades associated with Rose Festival, the Portland Marathon, and various smaller street processions. All these events require a permit from the Bureau of Licenses.

In 1991 the Council adopted a City-wide permit fee schedule based upon the recommendations from a task force created to develop administrative regulations governing special events. Events are grouped into five classes depending on the extent of the route, the degree of police support needed, and if the event charges an entry fee.

Permit fees range from $52 to $2,100. Event classes Ca, Cb, and D return between 50 percent and 52 percent of the permit fee to the Police Traffic Division. The two other smaller event classes – A and B – return no monies to the Division. The fee schedule was last amended January 1996. The next fee increase, one year behind schedule, is planned for 2001.

The permit fees for each event class were determined by taking one-half of the City's costs associated with the least expensive event in each class. Costs considered in the task force analysis included Police traffic control, Bureau of Maintenance street cleanup, Bureau of Traffic Management, and Bureau of Licenses administrative costs. The task force estimated that the resulting fee schedule would recover 10 percent of the costs associated with these events, although this recovery expectation is not stated in City Code.

Special street events cost the Bureau about $351,000 in overtime in FY2000. About 44 percent of this total was associated with Rose Festival parades. The Traffic Division usually covers special street events because it has a motorcycle fleet that is used to provide escort services. For larger events such as Rose Festival parades, officers from the precincts work overtime as well. Our analysis showed the majority of special events is covered by overtime assignments rather than straight time.

We reviewed policing costs and permit fees for forty-nine special events held between January and the middle of August 2000. As shown in Table 2, the Police Bureau recovered 4 percent of its costs associated with special street events.

**Table 2   Types of permits and Police cost recovery:
January 1 through August 13, 2000**

PERMITS ISSUED				POLICE BUREAU PORTION		
Class	No.	Flat Fee	Revenue	Cost *	Revenue	% recovery
"B" *(ex: ILWU Convention March)*	34	$63	$2,142	$53,865	$0	0%
"Ca" *(ex: St. Johns Parade)*	2	$525	$1,050	$7,817	$525	7%
"Cb" *(ex: Shamrock Run)*	9	$1,050	$9,450	$ 41,614	$4,772	11%
"D" *(ex: Rose Festival parades)*	4	$2,100	$8,400	$169,377	$4,368	3%
TOTAL	**49**	**-**	**$21,042**	**$272,674**	**$9,665**	**4%**

*Includes Police vehicle costs which are less than 1% of total costs.

NOTE: "A" class events were excluded from analysis because no police
services are associated with them.

The low cost recovery is due to zero cost recovery from B events and low recovery on D events. B events make up the majority of all event classes. Substantial fee increases in class B and D events would be needed in order to bring cost recovery in line with expected revenue. We estimated the class B permit would need to increase from $63 to $220. Determining an appropriate permit fee for Rose Festival parades may be more difficult. The wide range in overtime costs among these class D events makes it difficult to set one flat fee.

If the Bureau had recovered 10 percent of its costs on the forty-nine events we reviewed, it would have recovered an additional $17,600. However, current administrative regulations governing special event fee increases prevent large escalations in permit fees. Therefore under existing regulations this level of cost recovery may not be achievable. We also recognize that the fee must not be so excessive as to discourage the event or place undue restrictions on a group's constitutional right to organize.

Police overtime costs are not recovered from all community festivals

Ten large community festivals were held during FY 2000. Police services for these 10 festivals totaled more than $275,000. Police services for eight of these festivals were reimbursed through special police service agreements totaling about $33,000. Under these agreements, sponsors are billed for the hourly costs of policing based on a predetermined fee schedule.

The remaining two festivals – Cinco de Mayo and the non-parade events associated with Rose Festival – incurred $242,000 in overtime policing that was not charged back to sponsors. Eighty-three percent of these costs was associated with Rose Festival. We could not find a policy or criteria for determining why these festivals did not pay for police services. However, the Rose Festival Association has made substantial donations for various City services. These include $20,000 over the past two years to Central Precinct for mounted patrol support and the purchase of barricades, and additional money for capital improvements at Portland International Raceway and Waterfront Park.

We surveyed nine other cities to determine how they recover costs incurred on special events. We found that special event policies among these cities vary widely. For example, two of the cities do not charge event sponsors for policing services at parades and festival events. Five others attempt cost recovery by charging for the actual number of police officers assigned to the event. We found Seattle has the most aggressive fee schedule, with event permit fees up to $30,000. In almost all cases we found that certain city events, such as national holiday parades and city-wide festivals, are exempt from cost recovery fees. The results of our survey can be found in Appendix G.

Chapter 5 Recommendations

Strengthen internal controls

The Bureau has taken significant steps to improve its accountability for overtime expenditures. We believe, however, there are additional actions that could be taken to better manage and control overtime.

1. ***The Bureau should improve internal control systems by updating and adopting policies and procedures, enhancing communication, and developing more useful management reports.***

    a. The Bureau should develop and adopt an overall policy statement on overtime use that explicitly states the Bureau's intentions to control and manage overtime use. The Bureau may wish to adopt the model overtime policy statement recommended by the International Association of Chiefs of Police (IACP), contained in Appendix A.

    b. The general order on timekeeping should be updated to ensure that supervisors and timekeepers use consistent procedures that conform to current labor contracts and City policies.

c. The Bureau should conduct formal ethics training for all staff in accordance with the directive issued by Acting Chief Berg on August 6, 1999. The Bureau may wish to adopt or refer to the IACP model policy on corruption prevention (Appendix B).

d. Policy and pertinent information needs to be in a concise guidebook/reference format with the contract, up-to-date decisions, settlements, etc. for reference by precinct supervisors and fiscal employees. This will reduce the chances of different contract interpretations and negative consequences of unintended "past practice" development. It will ensure that everyone is kept abreast of contract developments.

e. One key group (perhaps the Personnel Division or the fiscal office) of the Police Bureau should notify all organizational units of key developments in overtime management, such as approval of new labor contract provisions. The Division should consider scheduling informational meetings at the precincts and with timekeeping and payroll staff.

f. Payroll accountants should meet regularly with supervisors to discuss matters which affect the way they approve payroll documents.

g. The Bureau should update and clarify controls over the authorization of overtime.

General orders and SOPs should clearly designate who is authorized to approve overtime to ensure that supervisors responsible for the work performed are those who approve a subordinate's overtime slip. In addition, signature logs should be updated and kept current.

h. The Bureau should develop and use improved management reports on overtime use and spending. These improved reports should be used by top management and managers of budgetary units to monitor and control overtime use. The Bureau may wish to consider developing the types of model reports we have recommended in Appendix D. It describes the purpose, frequency, distribution, and potential use for each of the model reports.

i. The Bureau should also consider investing resources in programming the Adabas software so that it can generate the overtime reports suggested in Appendix D. Care needs to be taken to ensure that FLSA and holiday pay calculations are properly programmed in order for overtime information from the Adabas to coincide with IBIS payroll information. Also, a system would need to be developed that allowed the Bureau's fiscal office to make changes to the Adabas in circumstances when payroll changes are made directly through the IBIS system.

Improve officer availability The following recommendations should help the Bureau reduce overtime spending by alleviating some of the problems associated with personnel shortage.

2. ***In order to free officers for patrol or other policing duties, we recommend that the Bureau review its use of administrative and support positions to ensure that officers are used only when absolutely necessary.***

   a. The Bureau should adopt a civilian employment policy such as the one recommended by the IACP (Appendix C) which emphasizes the importance of civilian employment within the Bureau. The policy should define the criteria for determining if a position will be filled by a civilian or sworn employee.

   b. The Bureau should use the criteria to review all management, administrative, and technical positions to determine which ones could be filled by qualified civilian specialists. Reassignments should be made as appropriate.

3. ***In order to maximize the number of officers available to meet minimum staffing needs, the Bureau should review the continued need for special unit assignments.***

   a. The Bureau should mandate that all specialized units develop quantifiable performance measures that are outcome based. The Auditor's Office will be available to lend support in the development of performance measures for these units.

In addition, to control and manage the creation of special units, the Bureau should:

b. Develop a clear policy on the priority use of available precinct staff. The Bureau may wish to set a policy that requires meeting minimum staffing needs first, before officers are deployed to special duty assignments.

c. When the objectives for a unit have been met, personnel should be reassigned first to precinct patrol duties.

4. *In order to give precinct supervisors the flexibility to meet short term shift staffing shortages we recommend that the Bureau encourage precincts to share officers with other precincts as circumstances dictate, and to ask other precincts for assistance.*

To support this effort the Bureau should also:

a. Develop a knowledge database showing which precincts and patrol districts officers have served within a certain time period.

b. Regularly compare actual staffing and overtime use to see if there are opportunities to either temporarily or permanently redeploy officers. Periodically comparing actual staffing on each shift at each precinct allows for a quick analysis of which shifts were over and under minimum staffing requirements.

Limit the use and accrual of compensatory time

5. *The Mayor's Office, with assistance from the Bureau of Human Resources, should seek to control and reduce the use of compensatory time. Specifically, we recommend that:*

    a. Future contract negotiations with the PPA should seek to amend the contract to restrict awarding of compensatory time when officers work overtime on duties/assignments funded by grants.

    b. Future contract negotiations should also seek to amend the contract to stipulate that compensatory time can only be taken on an hour for hour basis. The extra half-time should be taken in pay.

    c. The City's Bureau of Human Resources and the City Attorney's Office should fast-track its analysis of the recent Supreme Court's Federal Labor Standards Act (FLSA) decision on mandated use of compensatory time. This decision could provide a useful tool to managing the use of compensatory time within the Police Bureau.

Recover more special event revenue

6. *The Mayor's Office should ask the City Council to direct the Bureau of Licenses to review its policy and procedures for recovering City service costs from special events and community festivals.*

    This review should assess the adequacy of the current fee schedule and the method for instituting fee increases to ensure City service costs, including police activities, are adequately reimbursed from privately sponsored events and festivals.

Appendix A

IACP Model Overtime Policy

I.A.C.P. MODEL POLICY
Overtime
August 1999

I. PURPOSE

The purpose of this policy is to provide a structure for monitoring, managing and controlling the use of personnel overtime.

II. POLICY

All personnel of this agency must be mindful of and exercise fiscal responsibility in the use of public funds and resources. Overtime pay requires particular attention because it constitutes a sizeable expenditure of agency revenue that are provided at premium rates. Without adequate controls, unplanned expenditures can create budget overruns and divert resources from key operational areas. Therefore, it is the policy of this agency to effectively manage the use of overtime and that of each employee to use overtime in a responsible manner and judicious manner.

III. DEFINITIONS

Overtime: Work performed in excess of 40 hours in one week or as otherwise established by state law.

Fair Labor Standards Act (FLSA) (29 U.S.C. '207(a)): Federal law regulating wages and work hours to include provisions for overtime pay.

IV. PROCEDURES

A. General Provisions

1. This agency conforms to overtime provisions of the FLSA and applicable state laws. Personnel shall refer to this agency's personnel pay policy, FLSA policy and labor agreements for details on exempt and non-exempt positions, circumstances in which overtime pay may be granted, rates of payment for all overtime that qualifies for payment at the premium rate and related matters.

2. Whenever reasonably possible, paid overtime will be used in lieu of unpaid compensatory time off.

B. Reporting, Recording and Analysis

1. All overtime worked shall be approved for payment by the designated supervisor. The category of overtime work performed shall be coded in accordance with agency personnel procedure and forwarded by unit commanders to the designated agency unit for recording, accounting and analysis.

    a. Paid overtime and unpaid compensatory time will be recorded separately.

b. Overtime expenditures shall be kept separately by function (e.g., briefings and roll calls, training, investigations) and by the agency unit in which the expenditure is incurred. Individual and summary data will be compiled on at least a monthly basis.

c. Overtime funds expended under federal or state grant programs will be accounted for separately from those in the general budget.

2. The designated entity shall maintain overtime records and provide individual and summary data of overtime worked on a monthly basis to responsible agency supervisors and command personnel.

3. Unit commanders and supervisors shall monitor individual and summary data reports of overtime expenditure. Identification of unusual, unexplained or disproportionate expenditures in overtime may include but are not limited to the following circumstances:

a. Disproportionate overtime by individual officer(s) engaged in or assigned to the same task/function;

b. Significant and unexplained changes in overtime expenditures when compared to similar periods of time;

c. Significantly higher overtime costs for completion of the same or similar activities or tasks previously performed; and

d. Expenditure of overtime at a rate that could exceed or negatively affect the agency's budget or that of individual units, programs or functions.

C. Overtime Management

1. No task or function shall be performed on overtime by agency personnel that could otherwise be performed during regular work hours.

2. Supervisors shall establish and hold personnel responsible for a level of performance during standard work hours that minimizes the need for overtime and/or the need for additional personnel.

3. Only overtime required to meet vital service demands of the department shall be authorized.

4. All tasks and functions that require the use of overtime shall be routinely evaluated in terms of their cost-effectiveness. Alternatives to the use of premium pay to accomplish these tasks or program objectives shall be evaluated and implemented where appropriate.

5. All overtime must receive advance authorization unless unreasonable due to emergency circumstances.

a. Unit and watch commanders and designated supervisors are the personnel primarily responsible for authorizing and managing overtime.

b. Division or comparable command level staff must approve overtime requests designed to fill an on-going personnel vacancy or meet an unusually high yet foreseeable workload. (i.e., personnel vacancies are authorized staff positions left unfilled when vacated permanently or for extended and indefinite periods of time)

6. Supervisors and command staff shall take measures and issue directives where reasonably possible to reduce or limit the demand for overtime. This includes but is not limited to supervisory efforts to perform the following.

   a. Assign non-emergency service requests received near shift change to on-coming shift personnel.

   b. Use auxiliary and reserve officers/employees and volunteers where feasible to offset temporary personnel shortages/vacancies and meet specialized needs.

   c. Anticipate and manage workload requirements where reasonable to best utilize standard duty hours.

   d. Manage and coordinate vacation, leave and related requests to minimize manpower deficiencies.

   e. Ensure that officers who make arrests late in their shift receive available assistance to process prisoners as quickly as possible.

   f. Ensure that arresting officers in misdemeanor incidents conduct tests, take statements or witness any actions/procedures essential to prosecution so that only the officer will be needed to testify in court. Arrest reports should include only the minimum number of officers; those who were integral to the arrest and who must be subpoenaed in any subsequent court testimony.

   g. Ensure that agency overtime policy, rules and regulations and the particulars of any labor agreement are consistently adhered to by agency personnel as they relate to overtime for court appearances, standby, travel time, training, holiday leave, vacations and related matters.

7. Coordinate efforts with the court/prosecutor's office to establish overtime limits and control overtime usage.

Appendix B

IACP Model Corruption Prevention Policy

I.A.C.P. MODEL POLICY

I. PURPOSE

The purpose of this policy is to prevent corruption in this law enforcement agency and to prescribe actions to be taken in the event that corruption is alleged and/or identified.

II. POLICY

It is the policy of this law enforcement agency to establish proactive procedures to prevent corruption, to investigate complaints or allegations of corruption, and to administer appropriate administrative punishment or criminal prosecution where corrupt acts are confirmed.

III. DEFINITIONS

Corruption: Corruption is defined as "acts involving the misuse of authority by a police officer in a manner designed to produce personal gain for the officer or others."Supervisor: Both sworn and civilian employees assigned to a position having day-to-day responsibility for management and oversight of subordinates and/or who are responsible for commanding a work element.

IV. PROCEDURES

A. Establishment and Maintenance of Professional Standards

1. Philosophy, Goals, and Values

This law enforcement agency will maintain, periodically review, and update a statement of agency philosophy and values that explicitly states its goals, values, and general philosophic approach to policing. This statement will appear in the first section of the policy manual and will be taught to all new employees. Supervisors will periodically review this statement of philosophy and values with subordinates.

2. Code of Ethics:

This agency will maintain, periodically review, and update a code of ethics. Each new employee will be required to read and sign a copy of the code of ethics to signify that the standards of conduct set forth therein are understood and will be followed.

3. Rules of Conduct (ROC):

The Rules of Conduct shall be included in the agency policy manual to emphasize their significance. New employees will be instructed in the ROC, and they will be reviewed annually for relevance, timeliness, adequacy, and completeness.

B. Proactive Prevention Measures

1. Specific officers will be appointed or a separate unit will be established to manage corruption prevention measures. Responsibilities include the following:

   a. review of citizen and internal complaints for indicators of misuse of police powers for personal gain;

   b. review of the findings of internal affairs investigations for patterns that are indicative of corrupt police behavior;

   c. review duty assignments to ensure that periodic rotations are occurring according to agency policy;

   d. investigate any citizen complaint in which corruption is suspected;

   e. where consistent with state law, review overtime pay assignments, employee income and, in special cases, employee federal income tax returns to investigate suspected or reported instances of corruption or determine if patterns emerge indicative of corrupt activities;

   f. review the findings of inspections reports to identify indicators of corruption;

   g. provide effective means for citizens and department employees to report behavior indicative of corruption; (Citizens and department members are encouraged to report both commendatory behavior and suspicious behavior.)

   h. provide reports to the agency chief executive and to the community with regard to the number of corruption cases investigated and the number sustained; and

   i. provide public education necessary to promote citizen awareness of corruption and to assist the agency in maintaining the integrity of the police service.

2. Responsibilities of Unit Supervisors

   a. Supervisors play a key role in preventing corruption and therefore, to the degree reasonable and appropriate, will be held accountable for corruption that occurs under their assigned area of supervision or command.

   b. Supervisors are responsible for reporting any suspicious behaviors—which may include duty related, personal, or off-duty activities— that indicate corruption.

   c. Commanders are responsible for monitoring the activities of their subordinate supervisors and will be especially vigilant with regard to supervisors' concern for accountability and integrity within their respective units.

d. The associated performance of supervisors and commanders will also be reviewed when a subordinate is charged with a corruption violation.

e. The inspections authority shall ensure that a reasonable portion of inspections are directed towards discovering corruption violations and situations that are conducive to violations.

f. The internal affairs authority is required to immediately notify the agency chief executive when serious corruption is suspected.

g. The personnel officer shall provide an annual report of duty assignments to the agency chief executive that indicates the longevity of assignments in the units listed below. Assignments in these units shall be rotated periodically according to agency policy or at the discretion of the agency chief executive.
   - Organized crime, vice, drug enforcement
   - Property room
   - Internal affairs, inspections, corruption prevention officers

3. Training Section

The training authority will be responsible for providing training in the areas of corruption prevention, ethics, integrity, and professional standards for all levels of the department.

C. Responsibilities of All Employees:

1. The code of ethics will be regarded as a working and applicable document.

2. Employees are responsible for providing information in a timely manner to their supervisor or a command-level officer when corrupt practices are suspected or known to have taken place.

D. Special Responsibilities

1. Managers

a. This agency acknowledges the fact that command and supervisory behavior sets an example to subordinates. Therefore, managers are responsible for being especially aware of the impression or image they present to subordinates by either word or deed. Corruption violations on the part of managers will be vigorously prosecuted.

b. Managers will conduct the recruitment, selection, and training processes with an acute awareness that integrity in the workplace correlates with the quality of the employee.

c. Managers will provide an award process to recognize those employees who maintain performance consistent with or that exemplifies the high ideals and integrity of police service and the professionalism of the agency.

2. Specific and Critical Policies and Procedures: Narcotics and/or Drug Enforcement

   a. Two or more officers should be present to effect any arrest resulting from a planned drug operation.

   b. All confidential informants and drug buys will conform to control, bookkeeping, and accountability procedures detailed in this agency's policies and procedures.

   c. All evidence will be processed strictly according to the policies and procedures governing the property and evidence functions.

E. Response to Corruption Allegations

   1. Whenever there is a suspicion that a complaint or an internal investigation will result in a charge of corruption, the following procedures will be followed:

      a. The agency chief executive will be notified immediately and will be responsible for notifying appropriate city officials.

      b. Information will be released to the public as determined by the chief executive. If a complaint is prosecuted criminally, the chief executive will authorize release of information appropriate to the public.

      c. Any criminal investigation will receive full cooperation of this agency and all employees, to the extent permitted by law.

      d. An after-action review will be conducted to determine the cause(s) of corruption and to recommend any system changes or modifications designed to prevent recurrence.

Appendix C

IACP model policy on civilian employment

I.A.C.P. MODEL POLICY

I. PURPOSE:

The purpose of this policy is to establish this agency's commitment to and procedures for hiring and using civilian personnel.

II. POLICY

The efficiency and effectiveness of law enforcement agencies is enhanced when sworn and non-sworn personnel are appropriately used to perform those functions that are best suited to their special knowledge, skills and abilities. Therefore, this agency shall employ civilians for selected functions that do not require the authority of a commissioned officer, thereby freeing sworn personnel for enforcement functions and capitalizing upon the talents of all employees.

III. PROCEDURES

A. Civilian Position Classifications

This agency has approved a number of functions as suitable for civilian placement. In conjunction with the development of the annual budget, command staff will assess which additional positions, if any, should be authorized for civilian employment. Current civilian-designated functions include but are not necessarily limited to the following:

- Planning and research

- Media relations

- Communications

- Records

- Animal control

- Property/evidence

- Victim advocacy

- Police auxiliary/reserve

- Parking enforcement

- School crossing control

- Accident investigation

- Legal affairs

- Fleet maintenance

- Detention

- Forensics

B. Authorized Duties

Duties and responsibilities of civilian employees shall be defined in job descriptions maintained in this agency's personnel office. In addition, the following shall be observed with respect to civilian employees:

1. Civilian employees shall not be requested to perform duties and responsibilities for which a commission as a sworn law enforcement officer is required.

    a. However, in urgent circumstances when a female officer is not available, a female civilian employee may

    - temporarily act as an observer during the care or detention of a female, or

    - act as a witness during the photographing of a female crime victim.

2. Civilian personnel shall not use their employment status with this law enforcement agency as authority for or responsibility to enforce the law. Civilian employees have no authority to take enforcement actions beyond those authorized for any citizen under the laws of this state.

3. When on light-duty status, sworn personnel may be assigned temporarily to designated civilian positions only if

    a. additional qualified personnel are needed to assist in the job assignment, and

    b. the officer has or can be readily provided with the requisite knowledge and skills to adequately perform duties of the position.

C. Applicant Screening

1. Procedures for screening applicants for civilian positions shall conform to agency policy for sworn officers unless otherwise specified by the personnel job description.

2. All civilian employees assigned or having access to criminal history records, fingerprint files, investigative records, tactical information, emergency communications or other assignments or materials of a sensitive nature shall undergo a background investigation to include a.criminal history check prior to employment.

D. Identification

   1. All civilian employees shall be issued an agency identification card containing an up-to-date photograph.

   2. Photographic identification cards shall be color- coded to reflect the employee's security clearance as specified by the personnel office.

   3. Civilian employees shall wear their personal identification card at all times while in the law enforcement agency and/or when dealing with the public as a police employee.

E. Training

   1. Civilian personnel of this agency shall be provided with the following:

      a. pre-service training, as required, that will prepare them for their job assignments and integrate them as productive members of this agency; and

      b. in-service training that will maintain basic skills and develop new knowledge, skills and abilities for career development.

   2. All newly appointed civilian personnel will receive an orientation program introducing them to this agency, to include the following:

      a. agency role, purpose, goals, policies and procedures,

      b. working conditions, rules and regulations, and rights and responsibilities of employees

   3. Certain civilian positions within this agency require training on specific job responsibilities prior to assuming the position. Field training and formalized classroom instruction in these areas shall be successfully completed before duties are assumed.

   4. Courses designed specifically for civilian employees will be provided on a periodic basis by and through the training authority of this agency. Announcements of course availabilities shall be provided to all affected employees in a timely manner. Participation depends upon supervisory approval.

F. Performance Appraisal

   Civilian employees are subject to periodic performance appraisal in conformance with schedules and procedures established by this agency's personnel authority.

G. Volunteers

   Civilian volunteers serving without pay are a valuable asset to this law enforcement agency and may be used in a variety of functions that will promote the agency's efficiency, effectiveness, mission and goals. Civilian volunteers are subject to the same provisions and restrictions governing other civilian employees as defined in this policy.

Appendix D

Sample management information reports

D. Samples of suggested overtime management reports

Description	Purpose	Frequency	Who receives	Relevant questions
Sample report 1: TOTAL OVERTIME EXPENDITURES TO DATE Cash expenditures are compared to budgeted; the value of compensatory time is shown. Reimbursable expenditures are also noted to show amount and percent of overtime expenditures that do not come from the General Fund. Precincts are sorted from greatest to smallest total overtime expenditures.	To provide: • a snapshot of the status of total overtime expenditures, by precinct • a summary of the percentage of overtime expenditures from reimbursable projects such as federal and state grants, and private contracts.	Accounting period (13 times per year)	Chief of Police Operations asst. chief	Are some units closer than others to budgeted overtime cash payments? If so, what factors could account for more controlled spending? Conversely, what factors could be creating greater expenditures? The assistant chief may wish to place controls over overtime usage for units incurring large overtime expenditures. Do some precincts show a low amount of reimbursable overtime expenditures? Low expenditures toward the end of the fiscal year could indicate unspent grant funds.
Sample report 2A: OVERTIME MANAGEMENT **CATEGORY** SUMMARY * Previous fiscal year comparison, broken out by category. Bureau wide or by budget unit. Cumulative from start of fiscal year; categories are sorted from greatest to smallest expenditure. Expenditures are *not* broken-out by compensatory and cash payments.	To provide: • an overview of the 16 overtime categories • a comparison of current expenditures to the previous fiscal year	Accounting period	Chief of Police Operations asst. chief Precinct commanders (for their unit only)	What categories consume the greatest overtime resources? Has there been a shift in where overtime expenditures are occurring? What has caused this shift?
Sample report 2B: OVERTIME MANAGEMENT **ACTIVITY** SUMMARY * Previous fiscal year comparison, broken out by activity. Bureau wide or by budget unit. Activities are sorted from greatest to smallest expenditure, and are grouped by category. Expenditures are *not* broken-out by compensatory and cash payments.	To provide: • an overview of the activities that compose overtime • a comparison of current expenditures to the previous fiscal year	Accounting period	Chief of police Operations asst. chief Precinct commanders (for their unit only)	What activities consume the greatest overtime resources? Has there been a shift in where overtime expenditures are occurring? What has caused this shift?

*These reports are derivations of reports currently produced and distributed by Fiscal Services.

Description	Purpose	Frequency	Who receives	Relevant Questions
Sample report 3a: BUREAU TOP OVERTIME EARNERS For the quarter, plus the number of times that employee has made the Top Twenty-five list over the last three years.	To identify individuals working excessive amounts of overtime	Quarterly	Chief of Police Operations asst. chief Precinct commanders	Are there employees who consistently appear on the list? Are any of the top earners in non-sworn positions?
Sample report 3b: OVERTIME BY EMPLOYEE AND ACTIVITY Per precinct or other budget levels, by hours and dollars compensated; sorted by greatest to smallest earners within each job classification	To identify: • individuals working excessive amounts of overtime, and • individuals working minimal overtime	Accounting period	Chief of Police Operations asst. chief Precinct commanders (for their unit only)	Do overtime assignments appear to be equitably distributed among employees? Are employees incurring overtime hours on activities they should be performing on their regular hours (such as report writing)? Are any employees incurring so much non-court overtime that officer safety could be compromised? Are any employees spending a dispropor-tionate amount of overtime on any one activity?
Sample report 4: FISCAL YEAR HISTORY OF TOTAL OVERTIME EXPENDITURES BY BUDGET UNIT	To provide a snapshot of overtime expenditures by budget unit throughout the fiscal year accounting periods	Accounting period	Chief of Police Operations asst. chief Precinct commanders	What budget units incur the most over-time? Are there inconsistencies between accounting periods?
Standard IBIS report: EMPLOYEE COMPENSATORY TIME BALANCES: "HOURS TO DATE" Compensatory time to date, by employee	To provide compensatory time balances per employee so precinct commanders can monitor and plan for possible absences due to compensa-tory time off requests	Available each pay period	Precinct commanders (for their unit only)	Which employees have large compensatory time balances? Could these employees be requesting comp. time off in the near future? Are any employees approaching their 160 hours per calendar year limit?

Sample report 1:
OVERTIME EXPENDITURES BY PRECINCT

TOTAL OVERTIME EXPENDITURES TO DATE, BY PRECINCT (with "reimbursable" detail)

Accounting period: 12
Cumulative through: May 24, 2000
Budget level: Precinct

	Cash overtime			Comp overtime	TOTAL	Reimbursable overtime	
	Budgeted*	Actual	Expended			Actual	% of TOTAL
N.E.	$480,791	$750,916	156%	$390,334	**$1,141,250**	$168,969	15%
EAST	$453,544	$719,853	159%	$384,122	**$1,103,975**	$89,311	8%
CENTRAL	$537,997	$709,129	132%	$220,914	**$930,043**	$133,910	14%
S.E.	$475,250	$450,907	95%	$372,118	**$823,025**	$35,345	4%
NORTH	$224,959	$546,831	243%	$238,242	**$785,073**	$83,460	11%
TRAFFIC	$438,682	$516,815	118%	$216,714	**$733,529**	$187,121	26%
TOTAL	$2,611,223	$3,694,451	141%	$1,822,444	**$5,516,895**	$698,116	13%

* revised appropriation

Sample report 2A:
OVERTIME MANAGEMENT **CATEGORY** SUMMARY

OVERTIME EXPENDITURES TO DATE, BY CATEGORY (cash payments and comp. time)

Accounting period: 9
Cumulative through: March 14, 2000
Budget level: Bureau

Category	% of TOTAL	FY 1999-00	FY 1998-99	% change
Late/Extra Work	27%	$1,679,529	$1,725,175	-3%
Criminal Court	15%	$938,803	$851,451	10%
Reimbursable Projects	12%	$758,795	$963,274	-21%
Investigative Activities	12%	$746,938	$841,474	-11%
Miscellaneous	7%	$449,474	$375,340	20%
Special Ops/Demos/Strikes	7%	$435,736	$223,189	95%
Personnel Training	6%	$371,848	$400,100	-7%
Special Community Projects	4%	$232,463	$265,890	-13%
Traffic Court	4%	$231,911	$314,425	-26%
Special Unit Support	2%	$128,450	$139,686	-8%
Special Missions	1%	$86,123	$169,711	-49%
Unclassified	1%	$71,519	$77,407	-8%
Special Duty	1%	$37,142	$14,211	161%
Special Investigations	1%	$34,705	$82,252	-58%
Dignitary Protection	0%	$4,092	$82,356	-95%
Other Court	0%	$827	$2,597	-68%
TOTAL	**100%**	**$6,208,354**	**$6,528,537**	**-5%**

Sample report 2B:
OVERTIME MANAGEMENT **ACTIVITY** SUMMARY

BUREAU OVERTIME EXPENDITURES TO DATE, BY ACTIVITY (cash payments and comp. time)

Accounting period: 13
Cumulative through: June 30, 2000
Budget level: Bureau

Activity	FY 1999-00	FY 1998-99	% change
LATE/EXTRA WORK	**$2,349,920**	**$2,536,716**	**-7%**
Personnel Shortage	$1,644,472	$1,947,234	-16%
Report Writing	$375,334	$276,873	36%
Late Calls	$150,299	$153,840	-2%
Priority Work Projects	$78,965	$73,782	7%
Desk Duty	$70,620	$51,968	36%
DUII Processing	$15,570	$18,321	-15%
Traffic Accident Inv/Follow	$11,917	$10,757	11%
Prisoner Transport	$2,744	$3,941	-30%
CRIMINAL COURT	**$1,405,259**	**$1,317,143**	**7%**
REIMBURSABLE PROJECTS	**$1,128,947**	**$1,471,065**	**-23%**
Block Grant 98	$397,253	$22,721	1648%
LE Block Grant 97	$139,614	$786,035	-82%
Special Police Services Revenue	$113,422	$31,453	261%
Rose Quarter Events	$65,411	$40,825	60%
ODOT HOV Lane Enforcement	$48,646	-	-
Police Corp 3rd	$44,517	$78,252	-43%
OACP DUII 98/99	$43,773	$26,027	68%
Special Police Services Revenue	$25,044	$34,541	-27%
Three Flags Grant	$24,183	$296	8059%
Snap Grant	$24,002	$8,490	183%
OACP DUII 99/00	$23,806	-	-
Special Police Services Revenue	$20,747	$4,507	360%

(report continued on next page)

Activities	FY 1999-00	FY 1998-99	% change	
(continued)				
MCSO DUII FOR 98-99	$18,921	$21,172	-11%	
99 BLOCK GRANT	$16,707	-	-	
Mobile Field Force	$14,653	-	-	
Jim Rome Show	$14,050	-	-	
Special Police Services Revenue	$10,841	$9,545	14%	
Special Police Services Revenue	$10,741	$5,779	86%	
Clean & Safe/APP Contract Revenue	$9,089	$8,890	2%	
Police Corp 1st	$8,468	$259	3165%	
COPS meth grant	$8,177	-	-	
GREAT Grant Local 2000	$8,106	-	-	
CAMI OT Reimbursement Revenue	$7,466	$12,385	-40%	
OACP Three Flags 99/00	$4,271	-	-	
OJP Domestic Violence 99	$3,931	-	-	
ODOT Speed Enforcement 99	$3,638	$3,046	19%	
Explores Post by Precinct	$3,427	-	-	
Police Corp 4	$3,155	-	-	
GREAT Grant	$2,730	$14,772	-82%	
Operation Talon	$2,438	-	-	
Great 95 Faculity Meeting	$1,964	$54,076	-96%	
Emergency Occurrence Planning/ ?	$1,445	$13,109	-89%	
GREAT Regional 99	$1,145	$6,351	-82%	
GREAT Regional 2000	$968	-	-	
Columbia Villa HAP 98/99	$892	$530	68%	
Columbia Villa HAP	$593	-	-	
Other Reimb. Projects	$485	$3,496	-86%	
COPS More 96	$308	$629	-51%	
Emergency TBA	$205	$23,887	-99%	
FENAAD Grant	$151	-	-	
PUC Enforcement	$111	-	-	
Community Policing Conference	$74	$1,645	-95%	
Marijuana Task Force Grant	$0	$13,961	-	
Universal Hiring 98	-$29	$340	-	
LE Block Grant 96	-$593	$33,516	-	
Political Dignitary	-	$185	-	
PAINT	-	$12,843	-	
Victims of Crime Act/ drug inter. team	-	$182	-	

(report continued on next page)

Activities	FY 1999-00	FY 1998-99	% change	
(continued)				
Police Corp 2nd	-	$1,370	-	
Enhanced DUII Enf/ed Project	-	$27,709	-	
ODOT I-5 North	-	$3,656	-	
Cares NW Revenue	-	$8,663	-	
ODOT Safety Belt Training	-	$111	-	
GREAT Grant 96	-	$279	-	
City Attorney's	-	$130	-	
Great In Class Instruction	-	$1,018	-	
Great Grant 98	-	$2,726	-	
Great Community Presentation	-	$333	-	
Great Faculty Meeting	-	$482	-	
Regional GREAT Training Program	-	$2,015	-	
Org specific projects	-	$148,825	-	
INVESTIGATIVE ACTIVITIES	**$1,091,593**	**$1,171,867**	**-7%**	
Case Follow-up	$546,823	$594,359	-8%	
Warrant Service	$230,182	$228,726	1%	
Surveillance	$179,126	$184,696	-3%	
Crime Scene Coverage	$68,500	$80,298	-15%	
Drug Activity	$15,578	$6,404	143%	
Org specific projects	$12,095	-	-	
Background Investigations	$11,842	$44,620	-73%	
Special Population Needs/ alarms	$7,774	$6,556	19%	
Search Warrents	$5,736	$2,050	180%	
Fatal Accident Investigation/ 019	$5,731	$18,488	-69%	
Darmel Knows	$3,359	-	-	
ROCN Support	$1,638	$1,684	-3%	
AFIS	$1,437	$2,358	-39%	
Crime Analysis	$710	$408	74%	
Latent Fingerprints	$474	-	-	
Liquor License Investigations	$412	$1,056	-61%	
Hit & Run Acc. Inv./ 019	$175	$167	5%	

(etcetera with activities in the remaining overtime categories...)

Sample report 3A:
TOP 25 OVERTIME EARNERS IN QUARTER

QUARTERLY OVERTIME EARNINGS, TOP 25 EMPLOYEES (cash payments and comp. time)

Accounting period: 7-9
Total for quarter ending: March 14, 2000
Budget level: Bureau

	RU	Class	DPSST	Name	Overtime this quarter	Times in top 25 *
1.	Traffic Div.	5128		,	$13,752	6
2.	Traffic Div.	5134		,	$13,215	2
3.	Traffic Div.	5128		,	$11,631	7
4.	Traffic Div.	5128		,	$10,640	2
5.	Central Prec.	5134		,	$10,078	1
6.	Traffic Div.	5128		,	$10,015	5
7.	Southeast Prec.	5128		,	$9,399	1
8.	Drugs & Vice	5128		,	$9,141	1
9.	Traffic Div.	5128		,	$9,114	2
10.	Drugs & Vice	5134		,	$9,022	1
11.	Traffic Div.	5128		,	$8,886	5
12.	East Prec.	5128		,	$8,572	4
13.	North Prec.	5028		,	$8,384	5
14.	Drugs & Vice	5128		,	$8,152	3
15.	Training	5134		,	$7,919	1
16.	Traffic Div.	5128		,	$7,884	2
17.	Records	147		,	$7,841	1
18.	Records	147		,	$7,816	3
19.	Traffic Div.	5134		,	$7,801	1
20.	North Prec.	5128		,	$7,799	1
21.	Traffic Div.	5128		,	$7,795	1
22.	Central Prec.	5128		,	$7,738	2
23.	Drugs & Vice	5128		,	$7,586	1
24.	Traffic Div.	5128		,	$7,585	2
25.	Detectives Div.	5134		,	$7,523	1

* since July 1998

Sample report 3B:
EMPLOYEE OVERTIME BY ACTIVITY, SORTED BY JOB CLASS

OVERTIME IN ACCOUNTING PERIOD (cash payments and comp. time)

Accounting period:	12			
Ending:	May 24, 2000	Bureau grand total:	1,595 hrs	$55,378
Budget level:	Precinct			

CENTRAL PRECINCT

Job Class	Name	Activity	Overtime hours	Dollars earned	Total overtime for employee
Police Officer	_____, _____	Criminal Court	14.9	$529	
		Cinco De Mayo	14.0	$497	
		Personnel Shortage	14.0	$497	
		Block Grant 98	6.5	$231	$1,754
Police Officer	_____, _____	Cinco De Mayo	24.5	$870	
		Criminal Court	12.0	$426	
		May Day	3.0	$107	$1,403
Police Officer	_____, _____	Block Grant 98	14.1	$474	
		Cinco De Mayo	14.0	$471	
		Criminal Court	6.6	$222	
		Demonstrations/ Strikes	4.0	$135	$1,302
Police Officer	_____, _____	Cinco De Mayo	32.0	$1,209	$1,209
Police Officer	_____, _____	Cinco De Mayo	21.0	$746	
		Personnel Shortage	7.0	$249	
		May Day	4.5	$160	
		Report Writing	1.5	$53	$1,208
Police Officer	_____, _____	Cinco De Mayo	22.0	$831	
		May Day	8.0	$302	$1,133
Police Officer	_____, _____	Explorers Post	17.0	$642	
		Report Writing	6.0	$227	
		Demonstrations/Strikes	3.0	$113	
		Criminal Court	2.3	$87	$1,069
Police Officer	_____, _____	Criminal Court	16.0	$478	
		Personnel Shortage	3.5	$105	
		Cruisers	3.0	$90	
		May Day	2.5	$75	
		Report Writing	0.5	$15	$1,071

(report continued on next page)

Sample report 4:
FISCAL YEAR HISTORY OF TOTAL OVERTIME EXPENDITURES, TO DATE, BY R.U.

TOTAL OVERTIME EXPENDITURES, TO DATE (cash payments and comp. time)

Accounting period: 13
Cumulative through: June 30, 2000
Budget level: R.U.

R.U.	AP 1	AP 2	AP 3	AP 4	AP 5	AP 6	AP 7	AP 8	AP 9	AP 10	AP 11	AP 12	AP 13	YTD Total
Central Precinct	$67,553	$82,890	$86,091	$75,457	$72,258	$92,711	$119,409	$73,489	$72,761	$88,000	$75,414	$108,293	$189,349	$1,203,676
Northeast Precinct	$87,593	$132,623	$114,204	$84,854	$73,547	$80,624	$108,279	$65,628	$58,314	$78,016	$100,166	$82,308	$119,029	$1,185,186
East Precinct	$78,494	$74,068	$90,405	$97,851	$95,107	$87,057	$110,731	$74,321	$68,339	$67,317	$75,515	$101,873	$101,620	$1,122,697
Southeast Precinct	$55,523	$73,761	$67,970	$58,278	$56,018	$70,874	$85,082	$75,147	$70,921	$77,717	$59,646	$77,815	$110,569	$939,319
Traffic Division	$58,777	$66,109	$80,012	$76,433	$32,839	$54,510	$47,349	$42,843	$64,878	$62,055	$60,024	$82,804	$117,302	$845,937
North Precinct	$48,731	$70,105	$84,836	$72,079	$58,079	$63,621	$73,025	$42,102	$54,109	$56,188	$57,966	$63,333	$92,113	$836,287
Detectives	$83,690	$84,012	$63,618	$51,451	$40,179	$67,121	$58,549	$54,331	$54,927	$42,162	$52,035	$61,688	$67,434	$781,197
T. O. D.	$29,705	$70,624	$42,620	$26,152	$34,896	$44,947	$31,275	$22,984	$31,111	$55,008	$31,717	$61,638	$72,744	$555,421
Drug & Vice	$24,947	$39,307	$22,477	$32,143	$29,668	$46,691	$21,600	$36,969	$35,732	$27,185	$33,339	$51,447	$88,032	$489,537
Training	$78,007	$12,818	$8,641	$3,596	$2,651	$10,016	$21,310	$15,690	$44,789	$21,867	$28,520	$37,923	$20,253	$306,082
Records	$20,654	$21,708	$21,570	$17,714	$22,228	$27,784	$27,306	$26,779	$25,026	$20,976	$21,577	$21,141	$31,006	$305,469
Identification	$14,658	$15,062	$20,102	$14,410	$16,293	$22,966	$27,684	$12,195	$11,454	$9,227	$10,793	$15,478	$18,195	$208,515
Personnel	$12,574	$6,490	$8,099	$7,847	$7,720	$12,602	$10,041	$6,311	$11,088	$6,859	$9,665	$4,214	$9,233	$112,744
TRI-MET	$10,540	$4,513	$6,361	$7,787	$5,599	$6,492	$8,730	$4,858	$5,527	$6,430	$5,598	$9,179	$12,254	$93,868
Internal Affairs	$3,476	$7,447	$9,349	$5,270	$4,982	$3,885	$3,679	$5,055	$8,101	$6,317	$5,359	$5,834	$8,580	$77,336
Management	$3,047	$2,282	$1,637	$3,070	$5,038	$3,390	$3,425	$10,116	$12,953	$19,312	$3,506	$5,083	$3,487	$76,347
Family Services	$1,858	$2,759	$6,498	$8,311	$5,554	$5,111	$4,057	$3,905	$7,491	$5,729	$6,275	$5,246	$11,301	$74,092
ROCN Task Force	$916	$2,123	$3,307	$7,523	$5,352	$3,547	$1,512	$4,257	$6,731	$3,604	$6,095	$8,283	$9,055	$62,302
Police Corp	$15,236	$23,916	$4,256	$852	$685		$1,126	$111	$1,718	$2,724	$1,474	$1,289	$3,363	$56,750
Non-depart. Services	$5,604	$5,245	$15,946	$1,087	$1,979	$239	$1,206	$2,186	$2,279	$148		$3,545	$623	$40,087
Prop/Evid Control	$1,074	$610	$605	$1,566	$1,101	$1,170	$2,531	$612	$542	$1,430	$916	$1,437	$2,032	$15,625
Planning & Support	$33	$9,640	$447	$205	$259		$2,397		$741	$148	$444	$631	$611	$15,556
Youth Crime Prevention									$1,258	$2,801	$989	$2,907	$3,114	$11,069
Data Processing		$201		$167	$134	$424		$30		$1,522	$1,508	$1,617	$2,441	$8,045
Sunshine Division			$170			$852	$639						$1,477	$3,138
Fiscal Services					$315	$819	$99	$1,334					$138	$2,705
LiabilityManagement	$394	$495				$87	$37			$209	$346	$86	$252	$1,906
GRAND TOTAL	**$703,084**	**$808,805**	**$759,220**	**$654,104**	**$572,481**	**$707,539**	**$771,076**	**$581,254**	**$650,790**	**$662,949**	**$648,888**	**$815,092**	**$1,095,608**	**$9,430,891**

D-17

Appendix E

Possible civilian positions and cost savings

E. Potential cost savings of replacing officers with civilian employees of equal job class

	Police Officer	Senior H.R. Analyst	Program Specialist	PASS	Police I & R Specialist	Senior Fac. & Maint. Super.	Mgt. Analyst	Program Coord.	Program Manager I	
		CIVILIAN POSITIONS [3]								
Total annual pay[1]	$48,110	$53,144	$50,502	$31,616	$40,498	$55,973	$50,502	$53,144	$55,973	
Benefits										
Social security & Medicare	698	4,066	3,863	2,419	3,098	4,282	3,863	4,066	4,282	
Tri-Met tax	297	328	312	195	250	346	312	328	346	
Retirement	13,841	8,011	7,612	4,766	6,105	8,437	7,612	8,011	8,437	
Health/life/dental	6,416	6,416	6,416	6,416	6,416	6,416	6,416	6,416	6,416	
Other										
Equipment allowance	90	0	0	0	0	0	0	0	0	
Total annual cost	$69,452	$71,965	$68,705	$45,412	$56,367	$75,454	$68,705	$71,965	$75,454	**TOTAL**
# of authorized officer positions		8	3	3	8	1	2	2	1	**28**
Potential savings with civilians [2]		- *$20,104*	$2,241	$72,120	$104,680	- *$6,002*	$1,494	- *$5,026*	- *$6,002*	**$143,401**

[1] Three years experience

[2] The potential savings equals (the total annual cost of a Police Officer minus the cost of a civilian) times the numbers of officers authorized for an equivalent duty; *italicized* negative amounts represent an <u>increase</u> in costs with civilian replacement

[3] **Police Officer Assignment:**

Police Officer Assignment:	Possible civilian replacement:
Reserve Coordinator	Sr. Human Resources Analyst
Crime Stoppers- media coordinator	Program Specialist
Court Coordinator	Police Admin. Support Specialist
Telephone Report Unit	Pol. Info. And Referral Specialist
Fleet Coordinator	Sr. Facilities & Maint. Supervisor
Planning & Support Division	Management Analyst
Crisis Interven. Team Coord.	Program Manager I *or* Program Coordinator
Alarm Information Officer	Program Coordinator
Personnel Officer	Sr. Human Resources Analyst
EAP Coordinator	Sr. Human Resources Analyst *or* Risk Specialist
Pension/Dis. Benefits Coord.	Sr. Human Resources Analyst *or* Risk Specialist
Police Corps Coordinator	Program Specialist
CARE Northwest	Program Coordinator

Appendix F

Other city contract provisions

F. Overtime Policy and Contract Provisions for Sworn Officers

	Overtime definition	Call back minimum*	Court minimum	Comp time accrual limits	Limits on hours worked **
PORTLAND	**Any hours outside of normal shift**	**4 hours**	**4 hours (if not extension of regular shift)**	**160 hours in a calendar year**	**None noted**
Austin, TX	Any hours outside of normal forty-hour work week	2 hours	2 hours	120 hours	No more than 16 hours work in a day; no more than 24 of overtime in a work week
Cincinnati, OH	Any hours outside of normal shift	4 hours	3 to 5 hours depending on type of court and if it is officer's scheduled day off	480 hours	**None noted**
Denver, CO	Hours in excess of normal daily work shift	3 hours	2 hours	80 hours (exceptions allowed)	No more than 64 hours of work in a work week, excluding court overtime
Indianapolis, IN	Hours in excess of regularly scheduled work day	No minimum, but 1 hour travel time may apply	2 hours at straight time	None stated	**None noted**
Kansas City, MO	Work in excess of an 8.25 hour work day	No minimum; 1 hour travel time	1 hour minimum plus 1 hour travel time	160 hours (40 must be taken in **calendar year** earned)	**None noted**
Minneapolis, MN	Any hours that deviates from employees work schedule	4 hours	No minimum—uses standby*** system	120 hours	**None noted**
Phoenix, AZ	Any hours outside of normal shift	3 hours	3 hours	165 hours **per year** for officers, 175 hours **per year** for sgts and lts	**None noted**
Sacramento, CA	Not defined	4 hours	4 hours (unless is within two hours of regular shift, then 2 hour minimum)	80 hours	Must have 8 hours off between shifts; limit of 16 consecutive hours/shift
Seattle, WA	Any hours outside of normal work day	3 hours	3 hours	27 hours for patrol; 40 hours for non-patrol	Must have eight hours off between shifts

NOTE:
Minimum hours are paid at time and one-half unless otherwise noted.

* Call back refers to a request for an officer to return to work after the officer has left the City's premises at the end of his/her shift.

** Limits do not include restrictions on outside (secondary) employment, which Portland does apply.

*** A standby system is an arrangement where the officer is on call while he awaits notification that he is or is not needed in court. The officer is paid at straight time while on standby.

Appendix G

Other city special event policies

G. Special event and festival cost recovery policies among surveyed cities

	Runs, Parades or Marches	Community Festivals
Cities where sponsors pay for police services:		
Austin	Flat hourly rate per officer. Minimum two hour per officer regardless of event duration.	Flat hourly rate per officer. Minimum two hour per officer regardless of event duration.
Cincinnati	Hourly rate per officer depending on officer rank.	Hourly rate per officer depending on officer rank.
Denver	Hourly rate per officer depending on whether alcohol is served. Minimum four hours billing for event regardless of event duration.	Hourly rate per officer depending on whether alcohol is served. Minimum four hours billing for event regardless of event duration.
Minneapolis	Hourly rate per officer.	Hourly rate per officer.
Sacramento	Hourly rate per officer depending on officer rank.	Hourly rate per officer depending on officer rank.
Cities where sponsors pay permit fees:		
Phoenix	Permit fees only on athletic events. Fee is half the cost of police services.	Police services at community festivals are provided free of charge.
Seattle	Twelve-tiered permit fee schedule ranges from $145 to $30,195 depending on projected attendance and if entry fee is charged. **Fees go into the general fund, not to the Police Department.**	Twelve-tiered permit fee schedule ranges from $130 to $30,195 depending on projected attendance and if entry fee is charged. **Fees go into the general fund, not to the Police Department.**
Cities where sponsors do not pay for either:		
Kansas City Indianapolis		
Cities where sponsors pay for both police services and permit fees:		
PORTLAND	**Five-tiered permit fee schedule ranges from $52 - $2100. The fees depend on the extent of police support necessary and if event charges an entry fee. Only the three highest permit categories return a percentage of the fee (about 50%) to the Police Bureau.**	**Hourly rate per officer depending on officer rank.**

Note: Austin, Cincinnati, Denver and Minneapolis noted certain "city-wide" events exempt from permit or hourly fees.

Responses to the Audit Report

City of Portland
Vera Katz
Mayor

October 31, 2000

Gary Blackmer
City Auditor
City of Portland
1221 S.W. Fourth Ave., Room 310
Portland, OR 97204

Dear Gary:

Thank you for responding to my request for an audit of the Portland Police Bureau's overtime practices and procedures and polices. I have read the City Auditor's report on the Portland Police Bureau Overtime Management Systems. I want to thank you and your staff for a professional, thorough and most of all, fair report.

The report gives a number of recommendations that Chief Mark Kroeker and I will seriously review and take steps to implement corrective measures. Your report has provided focus to the issue of the Police Bureau's overtime management, and we will now take the opportunity to closely evaluate the current policies and procedures.

I want to commend you for your good work and issuing an informative report that truly serves the public well.

With warm regard

Mayor Vera Katz

CITY OF

PORTLAND, OREGON

BUREAU OF POLICE

VERA KATZ, MAYOR
Mark A. Kroeker, Chief of Police
1111 S.W. 2nd Avenue
Portland, Oregon 97204

October 31, 2000

TO: Gary Blackmer, City Auditor

RE: Police Bureau's response to the Auditor's Report on
the Portland Police Bureau's Overtime Management Systems

Thank you for this opportunity to respond to the Auditor's Report on the Portland Police Bureau's Overtime Management Systems. The report was extremely thorough and fair, giving a number of suggestions that the Police Bureau can address regarding its overtime staffing as well as other practices and procedures.

Over the last year, the Police Bureau has implemented a number of procedures and policies to ensure that its overtime practices are consistently followed throughout the Bureau. These significant steps began under the leadership of Interim Chief Lynnae Berg in August 1999, and continue under my tenure. The Bureau also made tremendous strides in regards to overtime, by negotiating a new bargaining agreement with the Portland Police Association, and clarifying language in the agreement that will significantly reduce overtime costs as well as compensatory time accrual.

I would like to also acknowledge the Police Bureau's consistent successful effort over the years to effectively manage its personnel costs within budget, as stated in this report. However, the largest cause of overtime expenditures, as the report summarizes, is due to personnel shortage. Recruitment remains a top priority for the Police Bureau; the Personnel Division has been involved in an aggressive recruitment effort for almost two years. In addition, the Bureau has also made a tremendous commitment to conducting its own Basic Academy, avoiding the backlog at DPSST. Recruiting, training and the good work of the Oregon Police Corps all play a role in obtaining new officers. Though we continue with these aggressive efforts, however, attrition rates and the strong economy impact our ability to bring the Police Bureau up to authorized strength.

Along with personnel shortages, court time, the second largest cause of overtime expenditures, is going to continue. Therefore, I agree with the report's statements regarding the unrealistic overtime budget allotment for the Police Bureau as well as the

report's suggestion that City leaders and the Police Bureau review this situation in view of the previously discussed circumstances.

The report provided a number of recommendations which Police Bureau command staff have reviewed and will address. The following is the Auditor's recommendations (in bold), followed by the Police Bureau's response:

Strengthen Internal Controls
1. **The Bureau should improve internal control systems by updating and adopting policies and procedures, enhancing communication, and developing more useful management reports.**
a. **The Bureau should develop and adopt an overall policy statement on overtime use that explicitly states the Bureau's intentions to control and manage overtime use. The Bureau may wish to adopt the model overtime policy statement recommended by the International Association of Chiefs of Police (IACP), contained in Appendix A.**

The Police Bureau should develop a policy statement regarding overtime. This statement can be incorporated in the Police Bureau's Strategic Plan as well as its General Order on Timekeeping. The IACP model is an excellent framework to begin this statement, and will be used as a starting point.

b. **The General Order on Timekeeping should be updated to ensure that supervisors and timekeepers use consistent procedures that conform to current labor contracts and City policies.**

Fiscal Services Division staff is currently rewriting the General Order on Timekeeping. Its completion deadline is January 2001, where it will be incorporated into the Police Bureau's revised Manual of Policies and Procedures.

c. **The Bureau should conduct formal ethics training for all staff in accordance with the directive issued by Acting Chief Berg on August 6, 1999. The Bureau may wish to adopt or refer to the IACP mode policy on corruption prevention.**

The Police Bureau has consistently provided ethics training to its employees in the Bureau's annual in-service training. Ethics remains woven into all training for employees during its annual in-service.

However, we cannot rely on ethics classes to shape the values of this organization. The Police Bureau's core values that were implemented this year and will be incorporated into the Police Bureau's 2000-2002 Strategic Plan, will reaffirm the ethical values and standards to which we hold our employees accountable.

d. Policy and pertinent information needs to be in a concise guidebook/reference format with the contract, up-to-date decisions, settlements, etc. for reference by precinct supervisors and fiscal employees. This will reduce the chances of different contract interpretations and negative consequences of unintended "past practice" development. It will ensure that everyone is kept abreast of contract developments.

Policies must be concise and clear to ensure understanding and consistent implementation throughout the Bureau. The Police Bureau recently distributed to all employees the PPA's labor agreement in guidebook format. However, this book does not give the Police Bureau's policies and procedures regarding timekeeping. Timekeeping policies will be in the Police Bureau's newly revised Manual of Policies and Procedures, which will be published in January 2001. This extensive project will streamline our policies and procedures into a useable guidebook format for employees.

e. One key group (perhaps the Personnel Division or the fiscal office) of the Police Bureau should notify all organizational units of key developments in overtime management, such as approval of new labor contract provisions. The Division should consider scheduling informational meetings at the precincts and with timekeeping and payroll staff.

The Personnel Division is currently working with the Fiscal Services Division to provide management/supervisory training regarding the PPA's Collective Bargaining Agreement. This will be conducted in November. Key developments and other information are regularly disseminated through a Chief's memo and the newly created weekly Chief videos, as this process is ongoing. In addition, the entire payroll unit received training over three consecutive days regarding the PPA agreement.

f. Payroll accountants should meet regularly with supervisors to discuss contract interpretations and other matters, which might affect the way they approve payroll documents.

Payroll accountants are kept informed of significant contract changes on a regular basis. These updates are communicated through supervisory direction, informal meetings and email communication. This recommendation has been forwarded, however, to the manager of the Fiscal Services Division.

g. The Bureau should update and clarify controls over the authorization of overtime. General orders and SOPs should clearly designate who is authorized to approve overtime to ensure that supervisors responsible for the work performed are those who approve a subordinate's overtime slip. In addition, signature logs should be updated and kept current.

It is important to clarify controls and authorized supervisors in any timekeeping policy. The Bureau's new Timekeeping General Order to be implemented by January 2001 will include this information.

h. **The Bureau should develop and use improved management reports on overtime use and spending. These improved reports should be used by top management and managers of budgetary units to monitor and control overtime use. The Bureau may wish to consider developing the types of model reports we have recommended in Appendix D. It describes the purpose, frequency, distribution, and potential use for each of the model reports.**

The Police Bureau's Fiscal Services Division has been working closely with the Data Processing Division to develop such management reports. The Bureau's direction is to simply these management reports into clear and concise data that can be interpreted easily by Police Bureau leadership, and be applicable to staffing efforts in each precinct/division.

The Fiscal Services Division has recently produced new management reports under a pilot project. These reports take the top 20 employees within a Division that have earned the most overtime over a designated time period, and break down their time to specific projects. Another report that will be given to the Mayor at a later date includes a review of all special events overtime, separated by event, and includes costs, revenue and compensatory time.

i. **The Bureau should consider investing resources in programming the Adabas software so that it can generate the overtime reports suggested in Appendix D. Care needs to be taken to ensure that FLSA and holiday pay calculations are properly programmed in order for overtime information from the Adabas to coincide with IBIS payroll information. Also, a system would need to be developed that allowed the Bureau's fiscal office to make changes to the Adabas in circumstances when payroll changes are directly through the IBIS system.**

The current city-wide IBIS system does not provide the level of information that the Bureau needs. But enhancing the Adabas software would only address the needs of the Police Bureau and no other City Bureau. The Police Bureau suggests it would be cost-efficient and more productive for the city to enhance its database and re-structure it to meet the needs of all its users.

It is also true that the Adabas does not calculate FLSA. The FLSA calculation or subsequent payments should be downloaded from central payroll to ensure consistent city-wide payroll methods.

Improve Officer availability
2. **In order to free officers for patrol or other policing duties, we recommend that the Bureau review its use of administrative and support positions to ensure that officers are used only when absolutely necessary.**
a. **The Bureau should adopt a civilian employment policy such as the one recommended by the IACP (Appendix C) which emphasizes the importance of civilian employment within the Bureau. The policy should define the criteria for determining if a position will be filled by a civilian or sworn employee.**
b. **The Bureau should use the criteria to review all management, administrative, and technical positions to determine which ones could be filled by qualified civilian specialists. Reassignments should be made as appropriate.**

This recommendation conflicts with the City's Citywide Administrative Services Review Project's directive to reduce civilian support personnel. However, the Police Bureau in recent years has looked at civilianization as recommended by the IACP and the ILJ Report, and has implemented the practice in many positions, including desk clerks, four Bureau managers and the new Director of Services position. We will continue to define criteria for future positions and review the civilian option.

3. **In order to maximize the number of officers available to meet minimum staffing needs, the Bureau should review the continued need for special unit assignments.**
a. **The Bureau should mandate that all specialized units develop quantifiable performance measures that are outcome-based. The Auditor's Office will be available to lend support in the development of performance measures for these units.**

The Police Bureau's 2000-2002 Strategic Plan to be published in January 2001, will contain a number of performance measurements. These measurements will include specialized units. This will allow the Police Bureau to audit these units and make decisions regarding the direction and duration of these units.

In addition, to control and manage the creation of special units, the Bureau should:
b. **Develop a clear policy on the priority use of available precinct staff. The Bureau may wish to set a policy that requires meeting minimum staffing needs first, before officers are deployed to special duty assignments.**

Precinct staffing remains a top priority of the Police Bureau. Specialized units, such as as the Youth Gun Anti-Violence Task Force (YGAT) and the Auto Theft Task Force (ATTF), however, have been created over the years as a response to serious crime issues in the community. It is difficult to coordinate focused enforcement efforts by uniform officers in these areas. Because staffing at precincts is precipitous, the Bureau has tried recently to curtail filling special duty assignments.

c. **When the objectives for a unit have been met, personnel should be reassigned first to precinct patrol duties.**

Ideally, this is true and the Police Bureau has attempted to do this in the past. However, the Police Bureau and the City have to be sensitive to the needs of the community when evaluating these units. The Police Bureau's goal to reduce crime and the *fear* of crime, means that many times, we must reevaluate a unit for its direct impact on neighbor's fear. For example, if we curtail a unit focused on a serious crime, even though the precinct officers are also working on reducing that particular crime, it is perceived that the Bureau is no longer committed and the community's perception of crime may be distorted accordingly.

4. **In order to give precinct supervisors the flexibility to meet short-term shift staffing shortages, we recommend that the Bureau encourage precincts to share officers with other precincts as circumstances dictate, and to ask other precincts for assistance.**
To support this effort, the Bureau should also:
a. **Develop a knowledge database showing which precincts and patrols districts officers have served within a certain time period.**

Sharing officers with other precincts is a very valid point. We will review this idea accordingly, and evaluate the feasibility and effort to accomplish this. A knowledge database would help in this effort to send officers to familiar districts, but is not required. However, we will also review the feasibility of this data collection.

b. **Regularly compare actual staffing and overtime use to see if there are opportunities to either temporarily or permanently redeploy officers. Periodically comparing actual staffing on each shift at each precinct allows for a quick analysis of which shifts were over and under minimum staffing requirements.**

The Police Bureau has been looking at this for some time, under the Managing Patrol Performance (MPP) project. MPP's goal was to balance deployment with call load. However, there have been technical problems with data collection in this area that are still being evaluated. Ideally, MPP would enable the Bureau to look at deployment and officers' time on a thorough basis.

Currently, each precinct commander regularly reviews its call load, workload and staffing with the Operations Branch Assistant Chief. These numbers are reviewed on a precinct-by-precinct basis, taking into account special missions and events.

Limit the use and accrual of compensatory time
5. The Mayor's Office, with assistance from the Bureau of Human Resources, should seek to control and reduce the use of compensatory time. Specifically, we recommend that:
a. Future contract negotiations with the PPA should seek to amend the contract to restrict awarding of compensatory time when officers work overtime on duties/assignments funded by grants.
b. Future contract negotiations should also seek to amend the contract to stipulate that compensatory time can only be taken on an hour for hour basis. The extra half-time should be taken in pay.

The current PPA Collective Bargaining Agreement reflects a significant change by limiting compensatory time accrual to 160 hours per year. This involved a long and difficult negotiation. The next round of bargaining will commence late next year, and will work toward further changes regarding compensatory time that can benefit the Bureau's budget.

a. The City's Bureau of Human Resources and the City Attorney's Office should fast-track its analysis of the recent Supreme Court's Federal Labor Standards Act (FLSA) decision on mandated use of compensatory time. This decision should provide a useful tool to managing the use of compensatory time within the Police Bureau.

The Police Bureau will work with the Bureau of Human Resources and the City Attorney's Office on the Supreme Court's decision, and will disseminate that information accordingly.

Recover more special event revenue
5. The Mayor's Office should ask the City Council to direct the Bureau of Licenses to review its policy and procedures for recovering City service costs from special events and community festivals.

This review should assess the adequacy of the current fee schedule and the method of instituting fee increases to ensure City service costs, including police activities, are adequately reimbursed from privately sponsored events and festivals.

The Police Bureau is in total agreement with the report's statements regarding special events. This should be evaluated on a city-wide level, taking into account all costs associated with for-profit events. This is a philosophical change that must come from City leadership.

Another consideration point for budget planning is to evaluate overtime during election years in regards to dignitary protection. Though we cannot completely predict dignitary visits, we do know that they will happen during election years to some extent. This year to date, the Portland Police Bureau has had to prepare and implement operational plans for 24 dignitary visits and expect a few more before election day. This substantially influences the Bureau's overtime expenditures, as the cost is likely to be several hundred thousand dollars.

Once again, I want to thank you and your staff for its research and well-written report that allows us to address and review these many issues. I also want to propose that another audit is conducted in two to three years to follow-up on the policies and procedures the Police Bureau is adding in regards to its overtime management systems.

MARK A. KROEKER
Chief of Police

MAK/tws