Police Internal Audit Report

Records Section Culture Survey

Contents

Auditor's Conclusion

Internal Audit has completed Aurora Police Department Records Culture Survey. We conducted this engagement as an addition to the 2021 Annual Police Audit Plan.

The audit objective was to establish a baseline for the state of the culture in the Aurora Police Department Records Section.

To these ends, Internal Audit:
- Issued an anonymous survey to all employees within the Records Section,
- Conducted related research, and
- Evaluated and summarized results for Management.

We believe that while there are both strengths and weaknesses within the Records' culture, the current state is less than optimal. Workplace cultures do not decline overnight. It is our opinion that the absence of sufficient management attention over time combined with a lack of strong management skills has contributed to the dysfunctional culture, which is clearly impacting Section performance as noted in the CORA/CCJRA engagement report. There are significant issues for Management to address as soon as possible and related opportunities to improve the culture that could improve operational effectiveness. Accordingly, we have detailed our recommendations at the end of this report.

Wayne Sommer

Wayne C. Sommer, CPA, CGMA
Internal Audit Manager

Audit Profile

Audit Team
Wayne Sommer, CPA, CGMA – Internal Audit Manager
Michelle Crawford, M.Acct, CIA, CFE, CRMA – Police Auditor

Background
The Aurora Police Records Section is the centralized storage and processing area for all records and information relating to Aurora Police Department activities, including criminal reports, arrest records, and accident reports. During the 2021 Risk Assessment evaluation, we noted concerns with the culture and attitude in the Records Section. Therefore, we issued this survey to establish a culture baseline and make recommendations to Management to address the issues.

Aurora Police Records Section provided historical turnover data below:[1]

Unit	Year	Separation Reason	Total
Records Unit	**2017**	Resignation	3
		Transfer	2
	2017 Total		**5**
	2018	Resignation	8
		Promotion[2]	2
		Retirement	2
		Transfer	1
	2018 Total		**13**
	2019	Retirement	3
		Resignation	3
		Transfer	1
		Promotion	1
	2019 Total		**8**
	2020	Transfer	2
		Resignation	1
	2020 Total		**3**
	2021	Transfer	2
		Resignation	1
		Retirement	1
	2021 Total		**4**
Records Unit Total Turnover			**33**

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[1] This information was provided by Records and was not audited or otherwise verified and was not relied upon or used during our work.

[2] Promotions are a transfer outside the unit to a higher-classed position.

The Records Section staffing is made up of:

Title	2021	2022 (Projected)
Manager	1	1
Admin Specialist	1	1
Supervisor	6	7
Lead Records Technician	2	3
Lead Digital Technician	1	1
Records Technician	31.5	31.5
Call-takers (new 2022)	0	3
Digital Technician	3	3
Total staffing	*45.5*	*50.5*

Scope
Our scope included all Records employees as of our survey date, October 1, 2021.

City Manager Response

I have reviewed the Police Internal Audit Report of the Police Records Section Culture Survey. There are some concerning results, including something of a disconnect between staff and supervisors and then supervisors and leadership. However, this section has been operating under stressful circumstances for some time, and the impacts of that come through in this survey. A mounting backlog, employee turnover, staffing concerns, and perhaps process and system inefficiencies contribute to the survey results.

The Records Section has been the subject of an evaluation by the City's Innovation Design Team (IDT), a cross-functional group of employees, some of whom have training in Six Sigma style continuous or process improvement. The IDT group worked in different sections and identified some recommendations. In the end, they recommended that we hire a consultant to help analyze how our personnel resources are organized and deployed, what processes and systems could be improved, and where technology could help. I believe that implementing recommendations from this analysis will help with some of the issues identified in the culture survey. I also believe that this section needs closer management from the department as it provides important and critical services to the public.

James Twombly
Aurora City Manager

The Culture: Background and Survey

Corporate culture refers to the shared values, attitudes, standards, and beliefs that characterize members of an organization, department, or workgroup and define its nature.

> Culture resides in the perception of employees. If employees believe the culture is x, y, or z, that's what it is, and they will act accordingly.[3] **What is typically called a "toxic culture" is most often a confused culture.** Culture becomes confusing when different aspects of your organization communicate conflicting messages. For example, onboarding information for employees does not match guidance given in management training; or leaders' behaviors do not match expected employee behaviors. (**Emphasis added.**)
>
> When executive teams fail to see their culture holistically and fail to identify the primary drivers of their desired culture, the result is a patchwork approach that does more harm than good.[4]

Culture is unique to each organization; it defines the organization, influencing a wide range of decisions made about areas that include safety, innovation, quality, customer service, integrity, and employee behavior and decision making. Culture has a powerful ability to affect how people do their jobs; how decisions about quality, compliance, and other critical concerns are made; and how the organization is perceived both internally and externally. [5]

To assess the culture within a department or division, Internal Audit employs a survey based on Rensis Likert's Four Systems of Management.[6] (See graphic below.) The questions are designed to capture employee's perceptions along a sliding scale about various aspects of department culture.

The survey questions fall within the following categories and offer opportunities for elaboration.

- Leadership
- Motivation
- Communication / Interaction
- Decision Making
- Goal Setting

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[3] https://iaonline.theiia.org/2019/Pages/Auditing-Culture-History-and-Principles.aspx
[4] https://www.gallup.com/workplace/232682/culture-paper-2018.aspx Gallup's Approach to Culture. Building a Culture that Drives performance.
[5] https://www.thecaq.org/wp-content/uploads/2020/03/afc_assessing_corporate_culture_a_proactive_approach_to_deter_misconduct.pdf

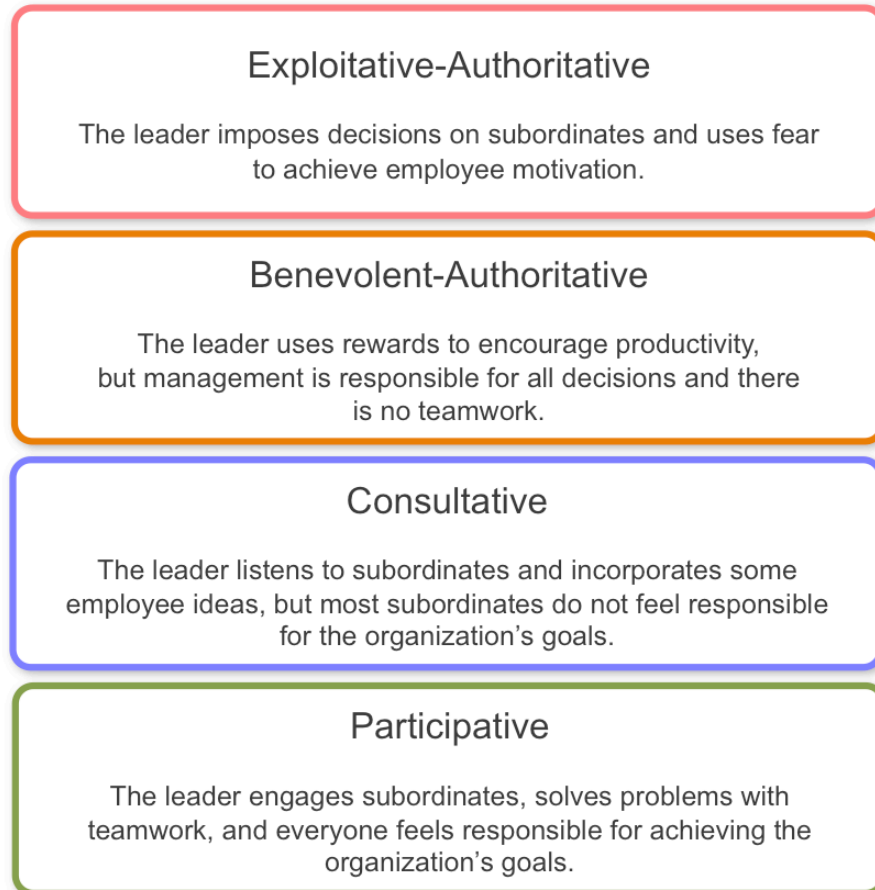[6] https://www.pocketbook.co.uk/blog/tag/likerts-four-management-systems/; The survey was also adapted from work performed by the Commonwealth Centers for High-Performance Organizations (CCHPO).

- Control
- Teamwork
- Benefits and Wellness (These questions were not part of Likert's original work)
- Core 4 and Other Matters (These questions were not part of Likert's original work; some were borrowed from Gallup's Employee Engagement Survey.)

Likert advocated for the Participative management system. "Participative management is based on trust and confidence in employees. Goals are determined collectively and form a basis for motivation and rewards. This fosters a collective sense of responsibility for meeting company goals and incentivizes collaborative teamwork and open communication."[7] These attributes contribute to staff having positive attitudes and producing quality work.

The Four Systems of Management
Rensis Likert

Exploitative-Authoritative

The leader imposes decisions on subordinates and uses fear to achieve employee motivation.

Benevolent-Authoritative

The leader uses rewards to encourage productivity, but management is responsible for all decisions and there is no teamwork.

Consultative

The leader listens to subordinates and incorporates some employee ideas, but most subordinates do not feel responsible for the organization's goals.

Participative

The leader engages subordinates, solves problems with teamwork, and everyone feels responsible for achieving the organization's goals.

We issued the survey to 45 Records employees and received 40 complete responses, a completion rate of 89%.

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[7] Ibid.

We must emphasize that the survey results and comments reflect employees' perceptions. Survey respondents had the opportunity to provide comments or further explanations to their answers.

We summarized comments in the relevant sections of our analysis below. We only included comments when we identified more than one similar comment, or the comment added clarity to the results.

> *Perception is not reality, but, admittedly, perception can become a person's reality (there is a difference) because perception has a potent influence on how we look at reality.[8]*

By identifying and addressing employee perceptions and misperceptions, Records can take steps to establish a culture that can improve its operational effectiveness while increasing employee satisfaction and engagement. Our analysis of the survey results follows. The Appendix includes the complete survey scores.

Internal Audit uses these terms throughout the report and defines them below:

- Executive Management: Police Chief and above
- Records Management: Records Manager, Business Services Manager
- Supervisors: Supervisors and Records Manager
- Staff: Non-supervisory staff, technicians, and lead technicians

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Leadership

Good leadership creates engaged employees, and that leadership influences a variety of outcomes such as personnel turnover, customer satisfaction, productivity, and so on.

The leadership and other processes of the organization must be such as to ensure a maximum probability that in all interactions and in all relationships within the organization, each member, considering his/her background, values, desires, and expectations, will view the experience as supportive and one which builds and maintains his/her sense of personal worth and importance.[9]

Survey questions in the Leadership section focused on management's confidence in staff's work, employee comfort level in discussing job-related issues with management, and how often employees' ideas and opinions were sought and used by management.

Employees perceive that those above them have confidence in their work; they are generally comfortable talking with supervisors about job-related issues.

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[8] https://www.psychologytoday.com/us/blog/the-power-prime/201908/perception-is-not-reality
[9] The Human Organization; Likert, Rensis; 1967, McGraw-Hill; page 47.

However, comments highlighted concerns that any complaints or negativity shared could result in poor performance reviews. Employees also expressed concerns with the management and equity of workloads between shifts; these issues are creating tension.

When asked how often their ideas and opinions are sought and used constructively, 55% responded "rarely" or "sometimes." Some employees commented that while they provided suggestions via the suggestion box or in response to inquiries, management rarely implemented them.

I believe that mangement supports me
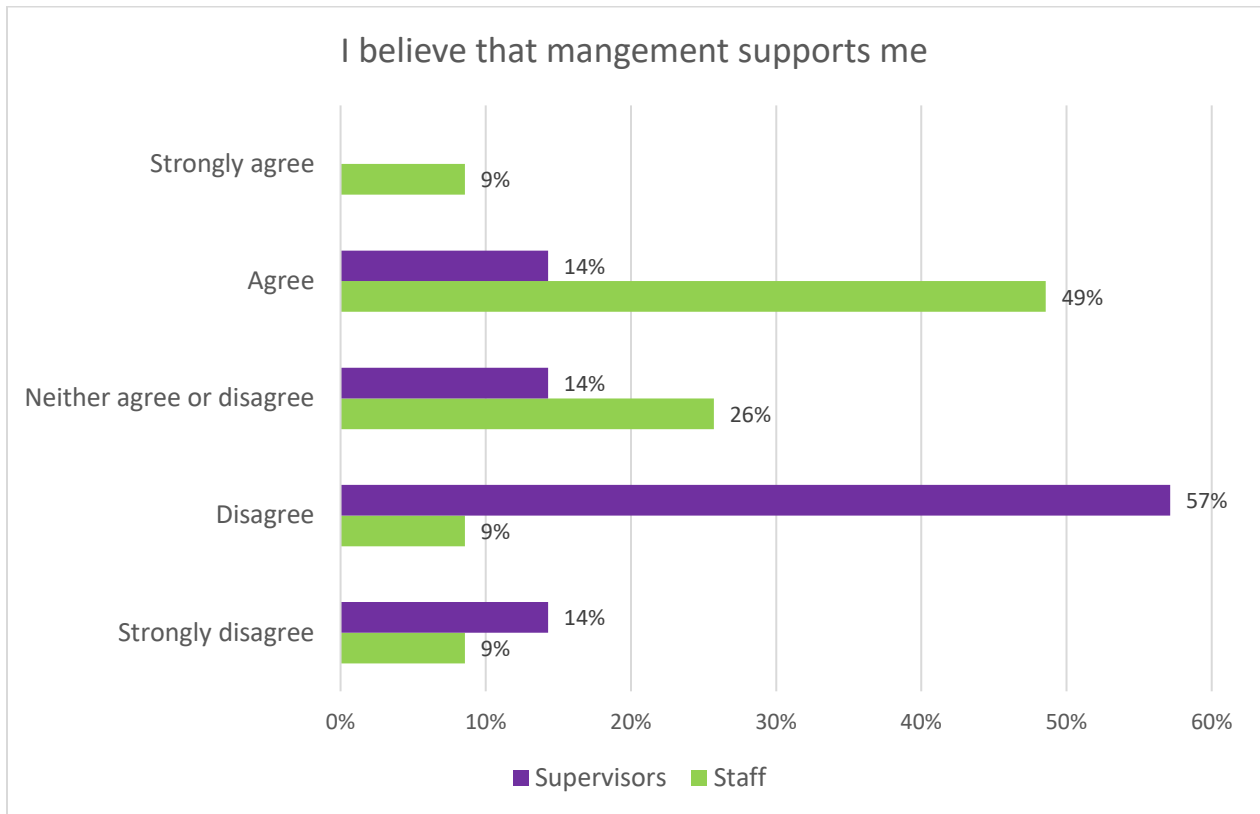
Supervisors were significantly less likely to believe management supports them when compared to staff. Several respondents commented that they received verbal appreciation or support but complained of a lack of real action or monetary support. In addition, several employees commented explicitly on a lack of support from the Records Manager.

As summarized below, responses were mixed when asked if they believed the Business Services Manager supported them.

Disagree 21%	Neither agree nor disagree 48%	Agree 31%

Some employees recognized the current efforts to make improvements, while others did not feel supported or cared about.

Based on the survey results and comments throughout the survey, we believe that Management (Records Management and supervisors) are contributing to the less-than-optimal state of the Section culture. For example, employees commented on fear of giving feedback and supervisors being secretive or hiding things. Others commented on the inability of supervisors to address the root cause of problems and follow up or follow through on solutions.

Additionally, we saw comments about a lack of leadership, including no interactions with the Records Manager and a lack of communication over the past year.

Motivation

Workplace recognition motivates, provides a sense of accomplishment, and makes employees feel valued for their work. Recognition not only boosts individual employee engagement, but it also has been found to increase productivity and loyalty to the [organization], leading to higher retention.

A substantial body of research findings demonstrates that the greater the loyalty of members of a group towards the group, the greater is the motivation among the members to achieve the goals of the group, and the greater is the probability that the group will achieve its goals.[10]

The survey Motivation questions targeted methodologies for motivating and recognizing staff.

The predominant method identified by respondents to motivate employees was "some rewards but no involvement in decision making" (46%). Several commenters stated that the recent compensation study de-motivated them with the changes made to their tier system.

We asked respondents how motivating the various qualities below were:

Quality	Modestly to Highly	Neutral	Not at all to Not much
Consistency	78%	22%	0%
Pride	71%	22%	7%
Growth	71%	17%	12%
Variety	68%	27%	5%
Contribution	64%	24%	12%
Connection	44%	37%	19%

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[10] Likert, page 64.

Below are some of the employees' recommendations to increase motivation:
- Competitive pay
- Bonuses
- Management support to solve the root causes of issues and the resources to address them
- Involvement in changes
- More staff
- Different work shifts (Four ten-hour days)
- Review shift workloads
- Cease mandatory overtime
- Better communication
- Facility upgrades (paint, carpet)
- More support from other areas (Officers, Courts, Detention)
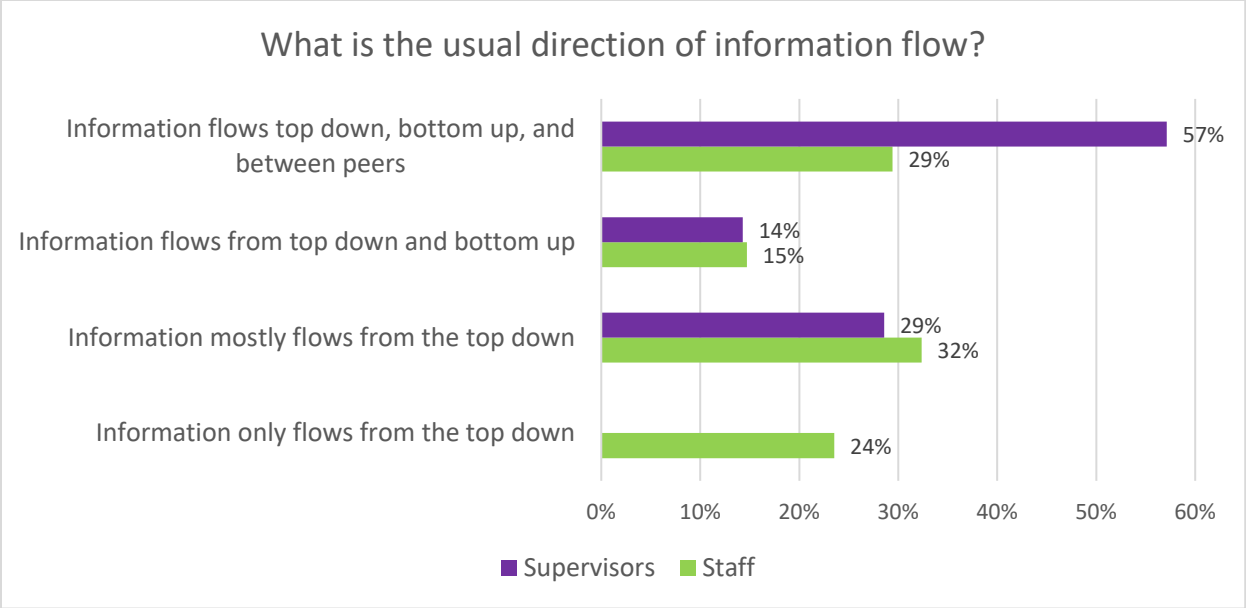
Communication and Interaction
Different communication styles and ineffective use of communication tools are contributing to the lack of clarity about…certainly adding to workplace stress levels.[11]

Communication and Interaction questions focused on perceptions about cooperation within the Section and between the Section and the Police Department. Questions also addressed communication flow and the quality and degree of interaction between Staff and Management.
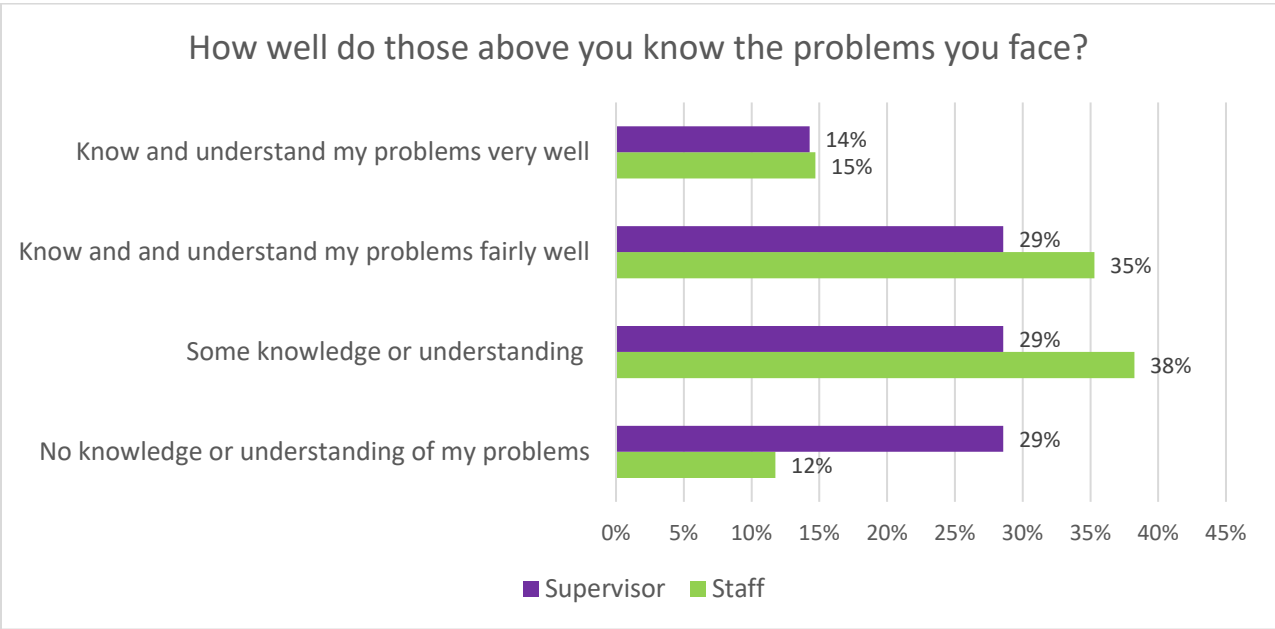
There is "some" to "quite a bit" of perceived teamwork between the Section and other units within the Police Department with a sense that it could be better. For example, Records employees perceive they are the catchall unit; if someone doesn't know where something should be directed, they direct it to Records. Improved communication, increased training, and more involvement in issues could increase the teamwork between Records and other units.

Employees perceive the level of teamwork within Records is "quite a bit" to "as much as could be expected." However, the comments acknowledged that while teamwork is highly functioning <u>within</u> shifts, it is not working well <u>between</u> shifts, creating tensions.
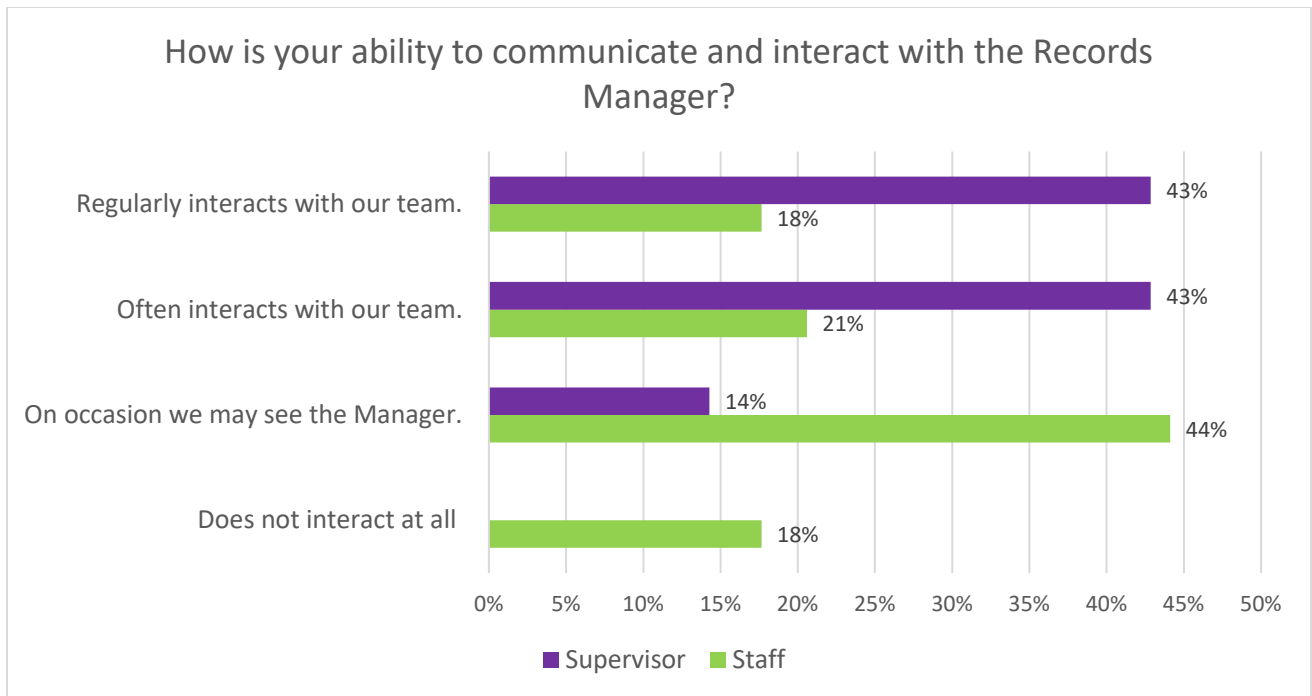
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[11] https://eiuperspectives.economist.com/sites/default/files/EIU_Lucidchart-Communication%20barriers%20in%20the%20modern%20workplace.pdf

What is the usual direction of information flow?

Response	Supervisors	Staff
Information flows top down, bottom up, and between peers	57%	29%
Information flows from top down and bottom up	14%	15%
Information mostly flows from the top down	29%	32%
Information only flows from the top down		24%

■ Supervisors ■ Staff

Supervisors perceive the direction of information as flowing across the Section. In contrast, staff perceives the information flows mainly from the top down. Respondents mainly accept communication from those above with minimal suspicion. However, respondents perceive information is held back, hidden, inaccurate, or changed.

How well do those above you know the problems you face?

Response	Supervisor	Staff
Know and understand my problems very well	14%	15%
Know and and understand my problems fairly well	29%	35%
Some knowledge or understanding	29%	38%
No knowledge or understanding of my problems	29%	12%

■ Supervisor ■ Staff

Half of the employees believe those above them have "no" to "some" understanding of their issues. For example, employees commented that while supervisors generally understand their problems, those managers above supervisors do not.

How is your ability to communicate and interact with the Records Manager?

Category	Supervisor	Staff
Regularly interacts with our team.	43%	18%
Often interacts with our team.	43%	21%
On occasion we may see the Manager.	14%	44%
Does not interact at all		18%

■ Supervisor ■ Staff

Staff lacks meaningful interactions with the Records Manager. Employees' comments reflected that they might not understand the role of the Records Manager. Several commented that they had not seen the Manager in over a year and identified a lack of communication. Several others noted that the Manager assists them as needed.

Decision-Making

As the pace of change increases, the ability of leaders to make high-quality decisions quickly and accurately is a critical leadership capability. Bad decisions can put organizations in jeopardy for obvious reasons, but delayed decisions can also hurt by losing competitive advantage.

We are coming to recognize with increasing clarity that the capacity of an organization to function well depends both upon the quality of its decision-making processes and upon the adequacy and accuracy of the information used. [12]

Decision-making questions focus on staff perceptions about how and where decisions are made and the impact on operations. This section scored lowest across the survey and provides a significant opportunity for improvement.

Staff perceives that their team decisions are mostly made at the top, with some specific decisions made at the staff level. For Section decisions, staff perceives that decisions are made at the top with limited involvement from them.
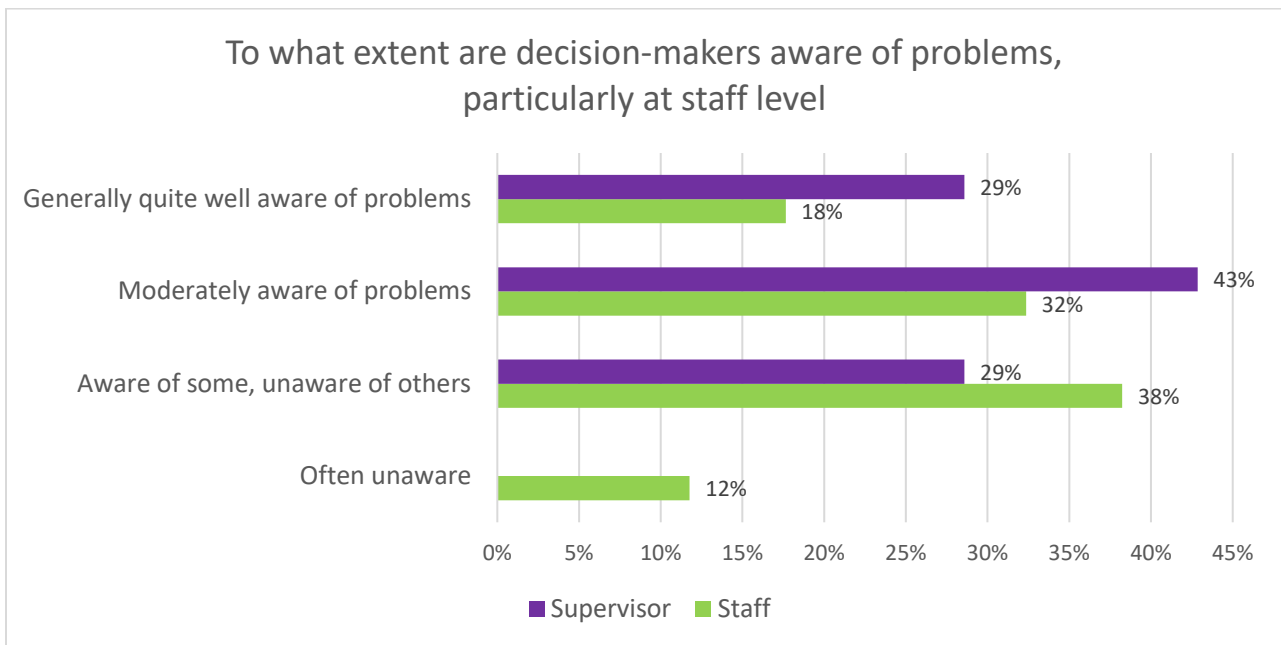
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[12] Likert, page 128.

On the other hand, supervisors perceived a greater involvement in decision-making at both the team and section level.

When asked if the decision-making process used in their Section contributed to their motivation, responses varied as noted below.

| Not at all 19% | Relatively little 27% | Some 42% | Much 12% |

Staff was less motivated than supervisors; however, employees indicated support for identifying ways to increase the efficiency of processes.

To what extent are decision-makers aware of problems, particularly at staff level

Generally quite well aware of problems — Supervisor 29%, Staff 18%
Moderately aware of problems — Supervisor 43%, Staff 32%
Aware of some, unaware of others — Supervisor 29%, Staff 38%
Often unaware — Staff 12%

■ Supervisor ■ Staff

Respondents noted that although there is some <u>awareness</u>, there is a lack of <u>understanding</u> of the entire issue.

Goal Setting and Control
Individuals are unlikely to set high performance goals for themselves and organize their work well if their supervisors and managers do not have such aspirations for everyone and for the entire department.[13]

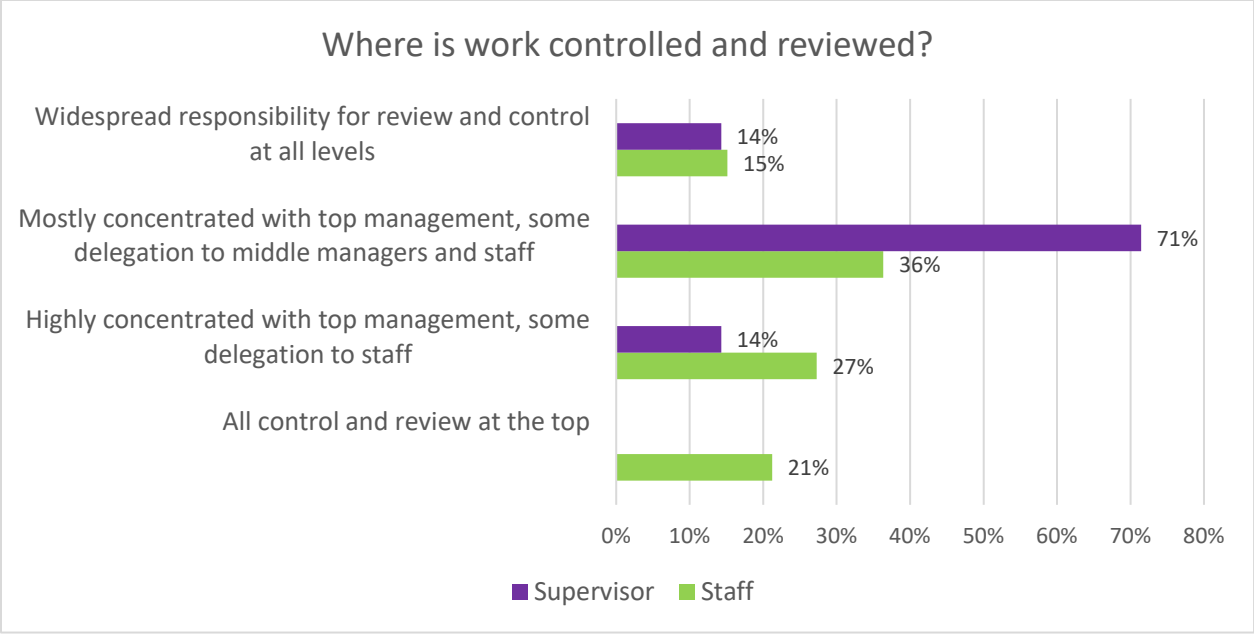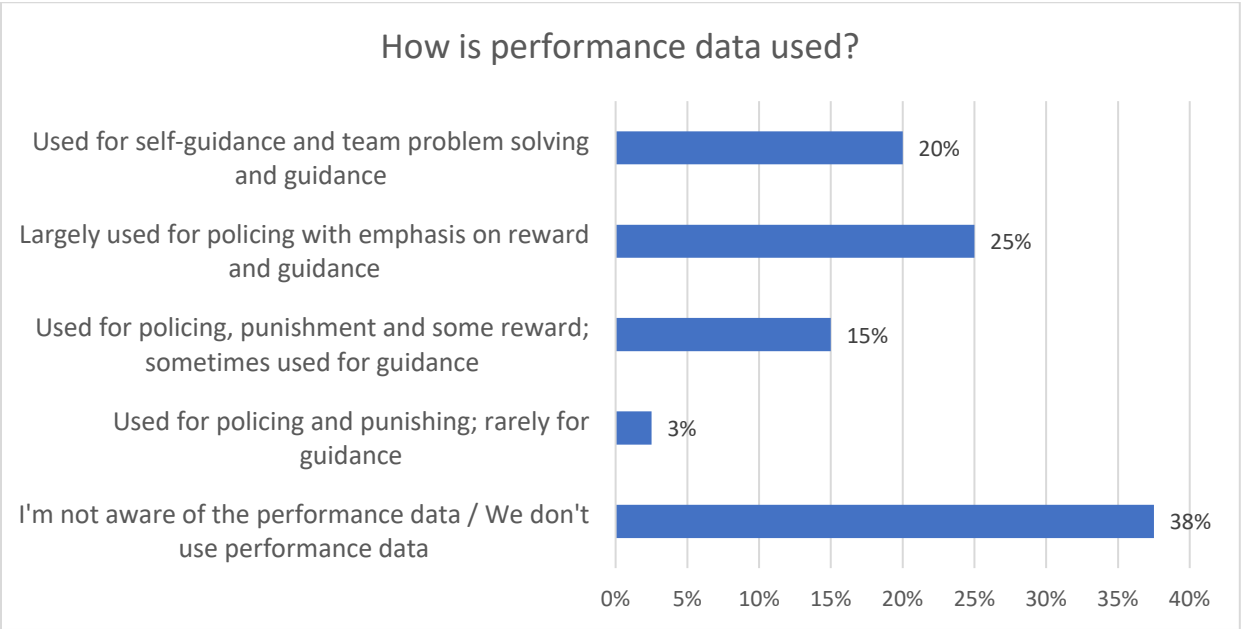Goal setting questions focus on assessing team goals and personal work goals.

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[13] Likert, page 63.

How are your team goals established?

	Supervisor	Staff
Except in emergencies, goals are usually established by group participation	14%	9%
Goals established by management after discussion with staff	57%	12%
Goals established by management; opportunity to comment may or may not exist	14%	35%
Goals are established by management	14%	26%
I don't know what our goals are or we do not have any		18%

Additional work is needed in this area, including creating team goals with the involvement of all employees.

Have you established annual personal work goals?

Yes 56%
No 44%
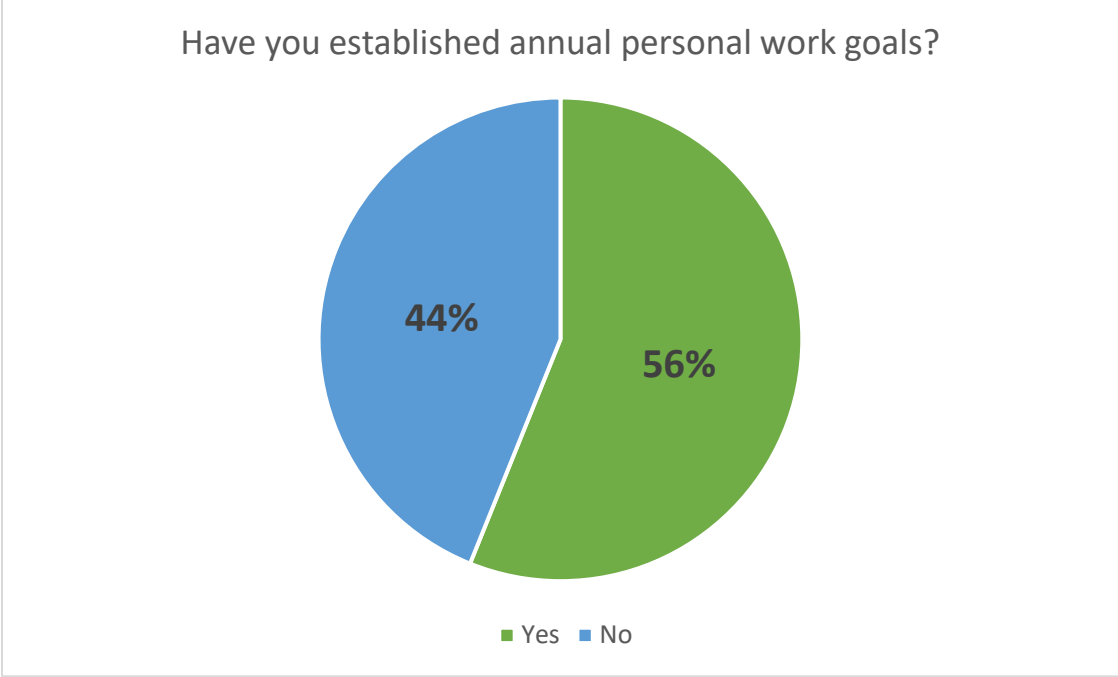
Some employees are setting informal goals, while others are just trying to stay on top of current workloads.

Where is work controlled and reviewed?

	Supervisor	Staff
Widespread responsibility for review and control at all levels	14%	15%
Mostly concentrated with top management, some delegation to middle managers and staff	71%	36%
Highly concentrated with top management, some delegation to staff	14%	27%
All control and review at the top		21%

Supervisor and staff perceptions regarding where work is controlled and reviewed differ sharply. Supervisors perceive some delegation while staff perceives little to none.

How is performance data used?

Used for self-guidance and team problem solving and guidance	20%
Largely used for policing with emphasis on reward and guidance	25%
Used for policing, punishment and some reward; sometimes used for guidance	15%
Used for policing and punishing; rarely for guidance	3%
I'm not aware of the performance data / We don't use performance data	38%

A good performance measure allows the ability to make changes and see whether those changes improve performance. Unfortunately, with 38% of respondents unaware of performance data or not using it, operations are less efficient, and decisions do not use a data-driven approach.

Teamwork

Team building is key to the success of your employees. When there is tension or rifts between the members of your department, it can slow down processes, severely hamper creativity and decrease overall employee satisfaction—things that you want to avoid.

The capacity to achieve cooperative teamwork improves an organization's productive capability. [14]

Teamwork questions focus on assessing how teams are functioning within the Section.

When asked to describe how well teammates worked together, 87.5% of respondents stated they effectively worked together as a team. Comments were generally positive, but some commented about issues with personalities and work ethic within teams. Several also commented that teamwork between shifts is not working well.

Respondents view their teammates as performing quality work. Of the respondents, 75% described their teammate's contributions as "high" to "very high" quality. However, some commented that contributions vary by individual, some better than others.
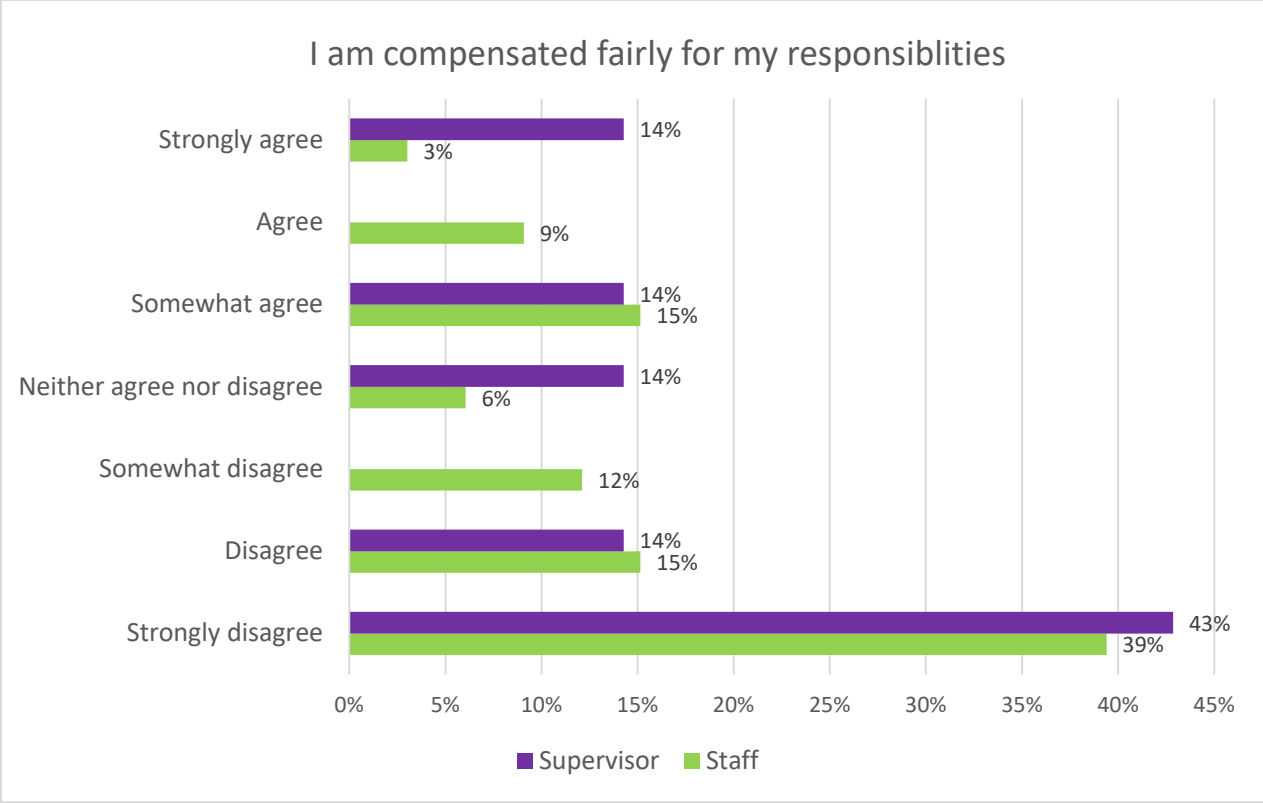
Employee well-being

Work is good for mental health, but a negative working environment can lead to physical and mental health problems. There are many effective actions that organizations can take to promote mental health in the workplace; such actions may also benefit productivity. [15]

We developed the employee well-being questions to gain insight into some–but not all-aspects of employee well-being in the workplace.
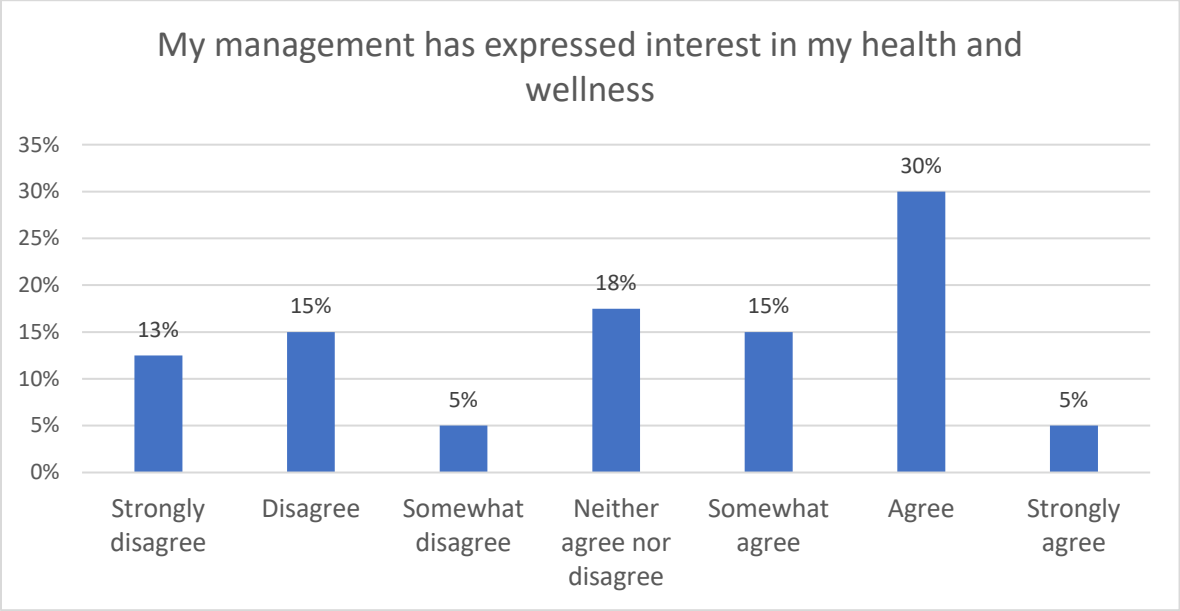
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[14] Likert, page 148.
[15] https://www.who.int/teams/mental-health-and-substance-use/promotion-prevention/mental-health-in-the-workplace

I am compensated fairly for my responsiblities

| Response	Supervisor	Staff
Strongly agree	14%	3%
Agree		9%
Somewhat agree	14%	15%
Neither agree nor disagree	14%	6%
Somewhat disagree		12%
Disagree	14%	15%
Strongly disagree	43%	39%

■ Supervisor ■ Staff

Several respondents expressed frustration with the recent compensation study from Human Resources. Comments across multiple employees noted:
- Pay is not competitive with other departments in the Metro Denver area.
- Pay is not competitive with other departments within APD, resulting in employees leaving for those units.
- Compensation is not in line with workload and tasks.

My management has expressed interest in my health and wellness

Response	Percent
Strongly disagree	13%
Disagree	15%
Somewhat disagree	5%
Neither agree nor disagree	18%
Somewhat agree	15%
Agree	30%
Strongly agree	5%

Multiple employees feel they cannot take days off because it would cause a strain on other technicians who work in the office. One employee noted they are continually assessing whether to quit due to the current work environment in the office, working during the pandemic, and the potential for public harassment at the entry gates. In addition, we also saw multiple comments that there is a perceived imbalance between remote and in-office workloads.
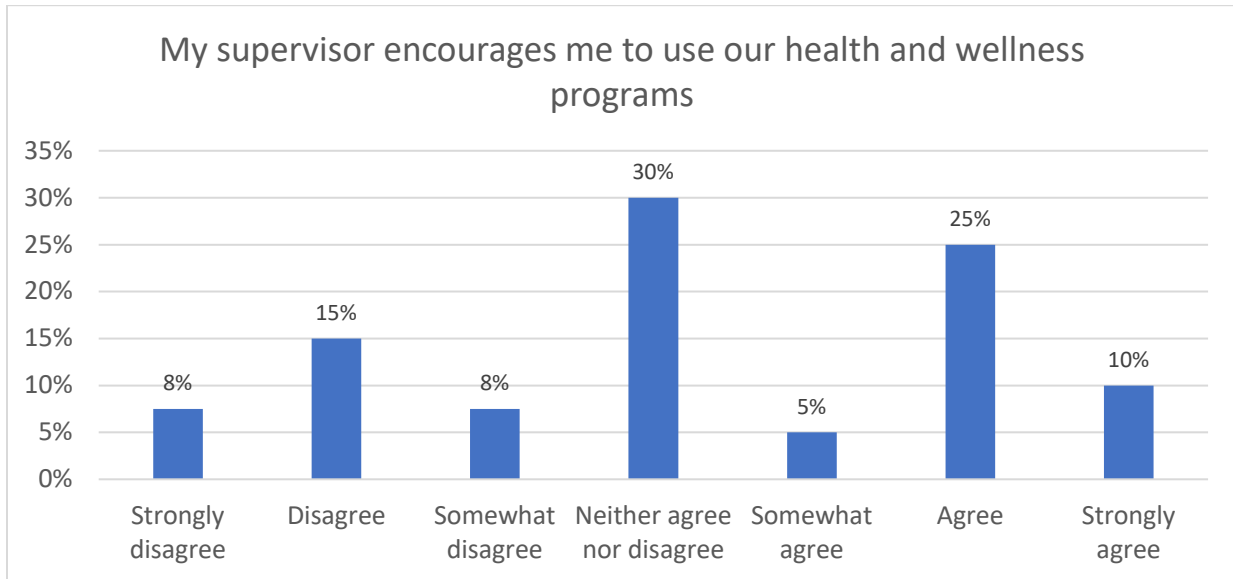
Respondents commented that two supervisors have promoted taking time for mental health. Another person did express that they have had supervisors support them when needed. However, Management can do more to communicate health and wellness programs and available resources to employees.
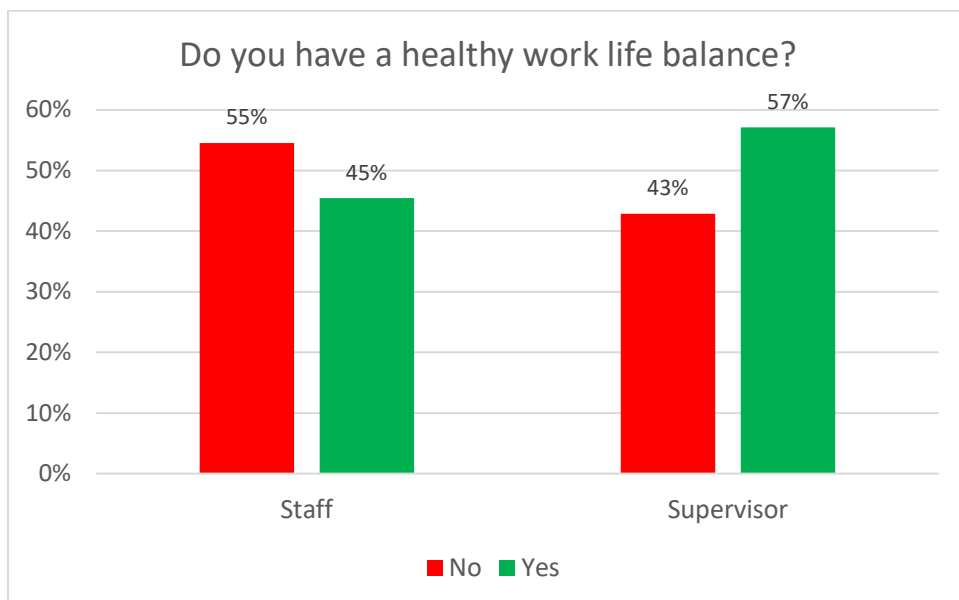
Several people noted that before COVID, they had a better work-life balance. Others commented that mandatory overtime is impacting their work-life balance. One supervisor noted they could not get their job done in 40 hours, so they worked on their own time to keep up.

When asked how management could relieve work-related stress, respondents offered the following:
- Increase staffing,
- Increase pay,
- Implement technology solutions
- Review work schedules, using a four-day 10-hour week,
- Review work locations (remote vs. in-office),
- Work on employee retention,
- Train more people to complete secondary jobs,
- Stop mandatory overtime, and
- Consider therapy animals for the office/department.
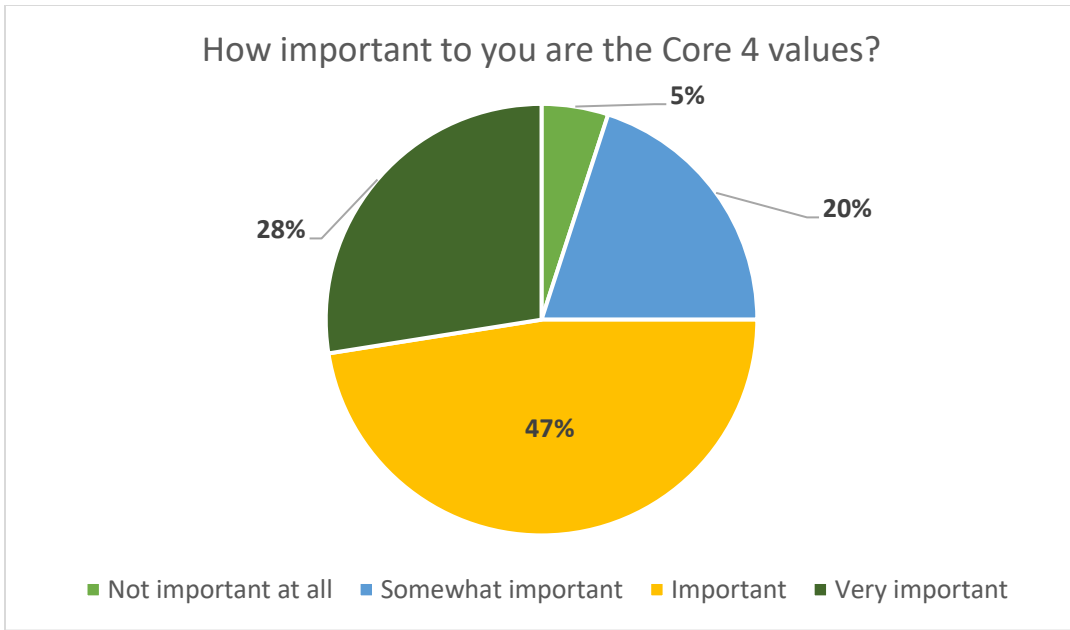
Core 4 and other matters

The employee's perception of the situation, rather than the manager's, determines whether an experience is supportive.

The more often a supervisor's or manager's behavior is supportive rather than deflating, the better will be the effect of their behavior on organizational performance.[16]
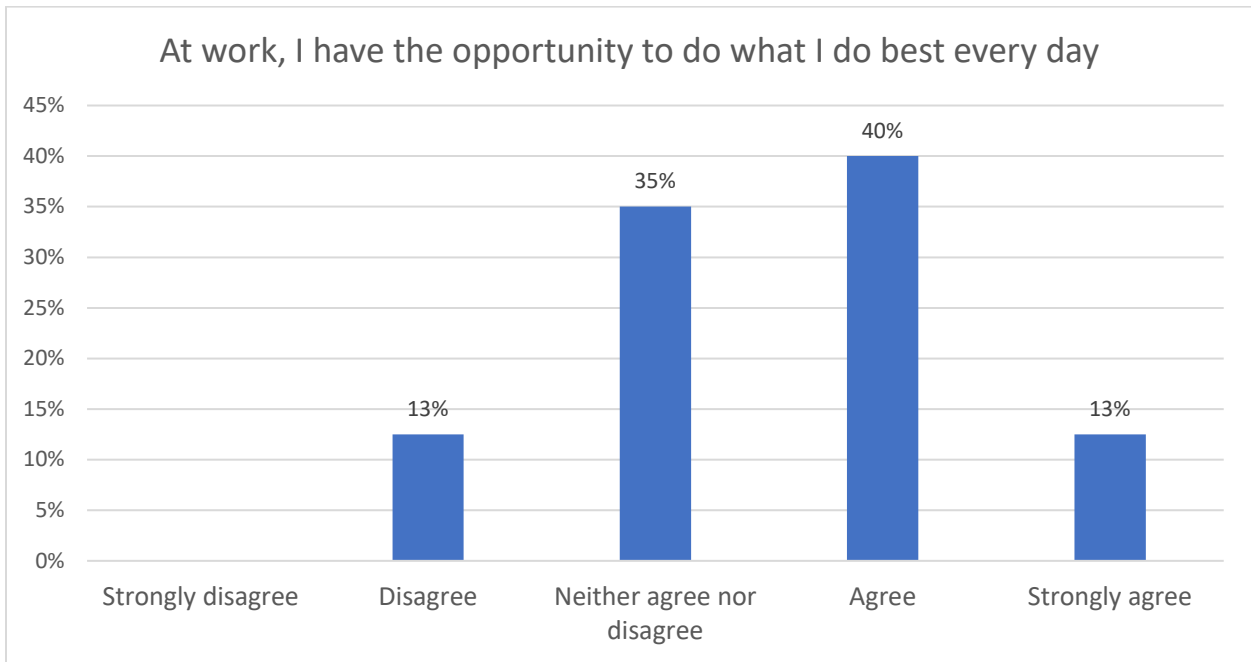
The questions in this section focused on the importance of the Core 4 Values to employees and other matters.

When asked if they have received recognition or praise for good work in the last 30 days, 58% responded "yes." Several commented that they are recognized regularly. However, others noted that they do not receive the praise as meaningful.
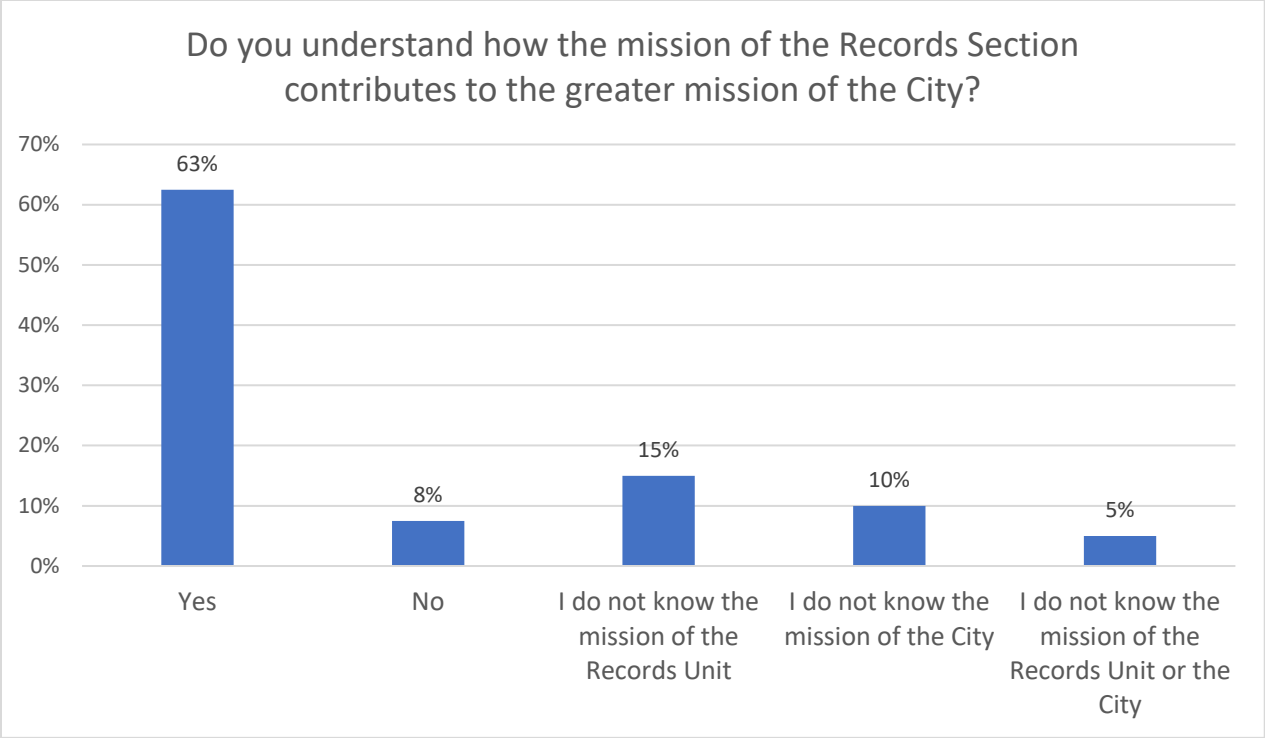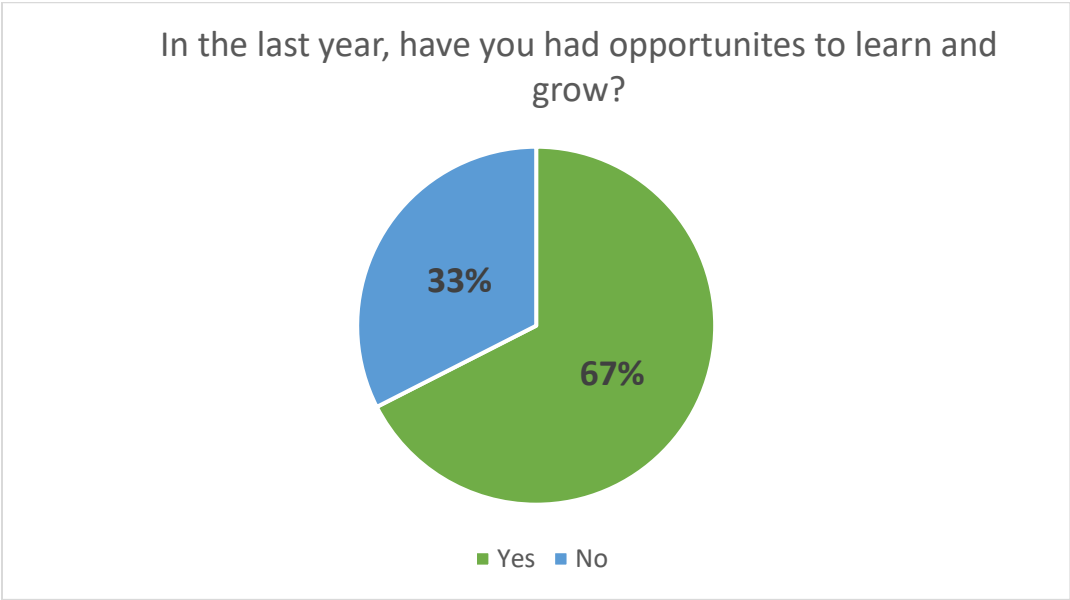
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[16] Likert, page 47.

How important to you are the Core 4 values?

5% — Not important at all
20% — Somewhat important
47% — Important
28% — Very important

Legend: ■ Not important at all ■ Somewhat important ■ Important ■ Very important

Core 4 values are important to most employees.

At work, I have the opportunity to do what I do best every day

Response	Percentage
Strongly disagree	0%
Disagree	13%
Neither agree nor disagree	35%
Agree	40%
Strongly agree	13%

Several supervisors commented that they must perform technician tasks due to short staffing and being behind.

Do you understand how the mission of the Records Section contributes to the greater mission of the City?

Response	Percentage
Yes	63%
No	8%
I do not know the mission of the Records Unit	15%
I do not know the mission of the City	10%
I do not know the mission of the Records Unit or the City	5%

Most employees understand how the Records mission contributes to the City, however; 30% either did not know the mission of Records, the City, or both. Most employees believe their job is important in serving the City.

In the last year, have you had opportunites to learn and grow?

Response	Percentage
Yes	67%
No	33%

While two-thirds of employees expressed that they had opportunities to learn and grow, one-third did not. Some respondents noted self-motivation to learn. Other respondents stated a lack of time for training due to staffing. Most responses pointed out that any learning was new tasks within Records.

In a strong culture, pressure to commit fraud is counteracted by sound risk management strategies and appropriate incentives. The fraud triangle is a framework that illustrates the factors that can motivate people to commit fraud: pressure (personal pressure experienced by individuals), opportunity (poor management practices or internal controls), and rationalization (those who commit fraud believe they are justified in doing so.) When these three factors are present, the organization's risk increases. A strong culture hedges against all three sides of the fraud triangle. [17] Addressing the root causes of a broken culture can reduce the associated risks to a manageable level. We intend for our recommendations below to provide Records Management direction and guidance to address some of the root causes producing the current culture. We believe that as long as the issues in the current culture go unaddressed, the organization will continue to face increasing risks for fraud, legal risks, and non-compliance risks. We recommend immediate attention.

We ended the survey by asking what respondents believed the Department could do to better improve operations in Records. Research shows that including staff in developing solutions to problems directly affecting their work improves the chances of success. To assist management, we created a summary of the responses below:

- Staffing – hiring more staff and retaining current staff,
- Increase pay rates,
- Adjust schedules to four ten-hour days,
- Bring everyone back to the office,
- Better communication between supervisors and staff,
- Increase personal interactions,
- Team building,
- A change in leadership,
- Move towards electronic processes,
- Grant system access to dispatch and detention,
- More technology hardware, including more monitors, mics, and laptops,
- Allow civilians to submit and pay for request reports online,
- More efficient report process,
- Streamline information,
- Standardize internal training,
- Assess how new skills are taught,
- Additional training for officers, and
- Care and provide resources to help.

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[17] https://www.thecaq.org/wp-content/uploads/2020/03/afc_assessing_corporate_culture_a_proactive_approach_to_deter_misconduct.pdf

Audit Recommendations

Leadership

Management and supervisors need to spend more quality time with their staff to identify issues more quickly so that they can either handle them or escalate them before they become unmanageable and destructive to team performance. They also need to develop and expand their leadership and management skills. A theme from comments throughout the survey was that employees perceive a lack of leadership and support from supervisors and above. Employees commented that supervisors were not reliable or were unapproachable and, in some instances, staff feared giving negative information.

Recommendation

We recommend that all employees at a level of supervisor or above obtain, at minimum, their Basic Supervisory Certification within one year. We also recommend that Management identify additional resources, such as training and coaching opportunities for supervisors to attend.

Management Response - *We agree with the recommendation. Our Records Manager and supervisory team will be utilizing the HR leadership library going forward to discuss and develop leadership strategies.*

Training specific to team culture and leadership will be scheduled and attended. Additional resources and coaching opportunities will be researched and applied.

Management will confirm that Supervisors and above have received their Basic Supervisory Certification or will obtain if not completed. There have been enhancements and additions to this training program, and refresher and advanced training will be researched, scheduled, and attended.

Seeking out and attending ongoing training is and has been listed as a specific goal/objective for Records Supervisors for many years. We will continue to emphasize the importance in this area.

Targeted Implementation Date: December 31, 2022

Decision-making and communication

Employees perceive they lack involvement in decisions, which are mostly made at the top. Where Management sought employee feedback, the perception was that Management rarely implemented their suggestions, nor did they explain why. Employees perceive information mostly flowing from the top down.

Recommendation

We recommend developing ways to increase two-way feedback and employee participation in decision-making and problem solving on both the

team and Section level. For example, Management could post suggestions from the suggestion box and outline the steps taken to implement and address them or explain why they could not be implemented or addressed. Management might also post some suggestions anonymously and ask for input into how they might be implemented.

Management Response – We agree with the recommendation. Three committees, a Culture Committee, an Innovation Committee, and a Training Committee, are being developed to address historical and ongoing needs surrounding culture, process, and training and to incorporate input and a feedback loop at all levels of the unit. This will also be a mechanism for employees to increase their participation.

Targeted Implementation Date: March 31, 2022

Team goals and performance measures

Records lack goals and performance measures. Where goals exist, Management sets them with minimal staff involvement. Employee perception is that management and employees should both be responsible for achieving team goals. Well-defined goals and performance metrics can help measure how a team is progressing in accomplishing its mission, as well as operational efficiency and effectiveness. They can also be used to identify processes that need improvement.

Recommendation

We recommend that Records Management works with all employees to establish Section and Team goals, performance metrics, and a communication plan to share updates on progress toward achieving them.

Management Response – We agree with the recommendation. Management will work with employees and committees to establish overall goals and keep a running status of progress on a storyboard in an office common area.

Individual goals are currently assigned on annual and midyear evaluations in the goals/objectives section. This will be clearly discussed with the employee during review intervals.

The upcoming increase in staffing will assist the unit with development, specifically emphasizing prioritization and logical task grouping for job duties. This will assist in the creation of performance measures applicable for that unit.

Targeted Implementation Date: March 31, 2022

Professional Development and Training

Half of the Records employees do not have annual personal work goals. Employees commented on the need for improved and standardized training for staff and supervisors. Multiple employees commented on the tensions between shifts and

work locations. Employees perceive some cooperative teamwork between Records and other sections while expressing that it could be better. Respondents perceive a lack of understanding of Records roles by those outside the Section. Employees throughout the survey perceived that other units and officers create additional work for Records due to a lack of knowledge, a lack of understanding, or inadequate training. Additionally, some officers reach out to Records for assistance with technology and various systems.

Recommendation
We recommend that Records Management actively encourage and support employee professional development. Employees' annual personal work goals could include professional development goals. Goals might include learning a specialized process, earning a certification, developing new skills, or allowing employees to attend relevant training or conferences.

Management Response – We agree with the recommendation. A Training Committee is being developed to engage staff in recommendations and research for outside and internal training material.

Personal development goals are developed and documented on Core4 Evaluations. Management will actively support and encourage professional development. Acting supervisory and training positions have also been developed to encourage professional development and involvement with unit decisions and direction.

Targeted Implementation Date: December 31, 2022

Recommendation
We recommend training or activities related explicitly to cooperative teamwork across the Section, perhaps focusing on communicating with different personalities in the workplace. Training options could include the *Discovery Insights* (a familiar instrument to City of Aurora staff), *Crucial Conversations*, or *Emotional Intelligence in the Workplace*, the latter two taught by Human Resources. Including a social aspect such as a virtual escape room or scavenger hunt would also be beneficial for strengthening relationships, especially between different shifts and those employees working onsite and remotely. We also recommend that Records Management creates a training schedule to ensure all employees attend training or activities within the implementation timeframe.

Management Response – We agree with the recommendation. A schedule will be created with ongoing teamwork, communication, informal leadership, and emotional intelligence built into in-service, which will occur two times per year. Additional training needs will be researched and recommended by the Training Committee. Human Resources and Wellness have been contacted to begin development.

Training Schedule Targeted Implementation Date: January 31, 2022

<u>Training or Activity Targeted Implementation Date</u>: June 30, 2023

Recommendation
We recommend developing a program where Records employees have an opportunity to job shadow different groups. These groups could include internal teams within Records, APD, and other departments to expand their knowledge and awareness of the other groups' missions and contributions to the Department or the City.

Management Response *– We agree with the recommendation. The police department has a job shadow program/ride along opportunities that are on hold due to COVID but that I believe will be reinstituted when it is safe to do so.*

Our teams are also encouraged to participate and volunteer in the department's Peer Support Program, Incline, Mentorship Program, Innovation Design Team, and any other opportunity that will give them a greater awareness and ability to contribute to the overall success of goals and missions of the police department and city.

This suggestion will be shared with our Culture Committee to incorporate the previous ideas into a more formal plan, with additions to implement once risks and restrictions per COVID protocols are lifted.

<u>Targeted Implementation Date:</u> December 31, 2022

Recommendation
We recommend that the Records Section develops training materials for non-Records employees such as reference manuals, how-to manuals, and process maps for internal department users, such as dispatch or officers.

Management Response *– We agree with the recommendation. One of our Technicians has proposed process maps for Dispatch and the Front Desk and is actively working on this as a side project. We will follow up using proper protocol and channels to address misdirected work items.*

Records currently teaches a class at the academy and will continue to update PowerPoints for Officer training in report writing, data integrity, CCIC and continue to identify areas where we can provide greater assistance in training. Records will work with the Training Academy and assigned staff to identify existing training and reference manuals, assist in development for those that don't exist, and share information that will allow them to remain up to date.

<u>Targeted Implementation Date:</u> June 30, 2022

Recommendation

We recommend that Records regularly solicit feedback from employees related to any potential gaps in Officer training and share that information with the Academy training staff, the Electronic Support Section, and the Versadex Sustainment Team at least quarterly to enhance Officer knowledge and increase unit efficiency.

Management Response *– We agree with the recommendation. Records will formalize the process to solicit feedback from employees and provide that information to the assigned Sergeant, Academy training staff, the Electronic Support Section, and the Versadex Sustainment Team to enhance Officer knowledge and increase unit efficiency.*

Targeted Implementation Date: March 31, 2022

Guiding principles

Thirty percent of employees did not know the mission of either Records or the City. A team charter helps a team understand their mission, how it aligns with the larger organizational mission, and the parameters within which they can operate autonomously. Team charters also allow a team to establish and document its operational norms and mutual expectations between team members. Team members sign the completed charter signifying their agreement to abide by the requirements therein. Finally, team members hold each other accountable to the charter requirements.

Recommendation

We recommend that Records Management works with employees to develop a team charter and review the charter at least annually or when there are major changes to team personnel for any needed revisions.

Management Response *– We agree with the recommendation and will begin working on this through team meetings.*

Targeted Implementation Date: September 30, 2022

Workload

Employees perceive that their work is mainly controlled from the top down with some delegation. Employees' comments included concerns with workloads between shifts and work locations (remote vs. onsite). One supervisor commented that they work outside their work hours to keep up. Others commented that two shifts work through their lunch breaks and leave early. We cannot validate the accuracy or frequency of these occurrences; however, it highlights a need for Management to reset expectations on working hours for all employees and shifts.

Recommendation

We recommend that Records Management identify opportunities to empower employees to work independently where appropriate.

***Management Response** – We agree with the recommendation. Records will work to identify empowerment and independent work opportunities.*

Targeted Implementation Date: December 31, 2022

Recommendation
We recommend that Records Management evaluate workloads across employees and shifts to ensure they are optimal and equitable.

***Management Response** – We agree with the recommendation. Management will work with teams and committees to resolve concerns and review task distribution.*

Targeted Implementation Date: September 30, 2022

Recommendation
We recommend that Records Management communicate to employees the expectations regarding working outside normally established work hours and working through breaks.

***Management Response** – We agree with the recommendation. Reminders will be communicated more frequently.*

Targeted Implementation Date: January 31, 2022

Interaction
Employees perceive that those above them have insufficient understanding of the problems they face. For example, interactions with the Records manager were noted as at best occasional by half of the employees. Likewise, interactions with the Business Services Manager were rare for most employees.

Recommendation
We recommend that the Records Manager regularly attend team meetings and supervisor meetings to increase employee interactions and understanding of work issues.

***Management Response** – We agree with the recommendation. Records Manager attends team briefings when invited by shift supervisors and has a schedule that purposefully overlaps all three shifts. Manager coordinates and attends supervisory meetings biweekly.*

Records Manager will be actively engaged in working with committees being developed to encourage partnership and teamwork along all levels of the unit.

Targeted Implementation Date: September 30, 2022

Recommendation
We recommend the Business Services Manager periodically but consistently attend Records meetings to increase staff interactions and understanding of work issues.

Management Response: We agree with the recommendation, this will be coordinated by manager when opportunities are scheduled.

Targeted Implementation Date*:* September 30, 2022

Recognition
Slightly over half of employees received praise or recognition for doing work in the last 30 days. A similar number of employees have someone at work who encourages them. Recognition increases the drive of an individual and serves as an illustration of the desired behavior expected of other staff. The top performers need to know that their performance is appreciated. As a result, these employees are likely to be more engaged and loyal to the organization.

Recommendation
We recommend that Records develop activities to recognize staff performance formally and informally.

Management Response – We agree with the recommendation. Records will develop activities to recognize staff performance formally and informally through the Culture Committee and will develop a budget to address this ongoing and important need.

Targeted Implementation Date**:** June 30, 2022

Employee compensation and wellness
Employees strongly disagreed that they were fairly compensated for their responsibilities. The Human Resources (HR) compensation project and changes to promotions appear to have negatively impacted employees' morale. Less than half of the employees attended a presentation or investigated the HR hub to learn about this project.

Recommendation
We recommend the Records Manager works with Human Resources to educate employees on the changes from the compensation study, including the changes to the promotions and tier structure.

Management Response – We agree with the recommendation. Records Manager will work with Human Resources, schedule meetings, and invite staff to address concerns.

Targeted Implementation Date: March 31, 2022

Recommendation

We recommend that Records Management work with Human Resources to further evaluate the current compensation compared to other agencies in the Denver region and internally to APD. In addition, Records Management and HR should share these results with employees for transparency.

Management Response – We agree with the recommendation. Records Manager has been in conversations with Human Resources with the compensation study moved up in priority for review early 2022. Results will be shared with teams for transparency.

Targeted Implementation Date: September 30, 2022

Recommendation

We recommend that Records Management works with the APD Wellness Unit and Human Resources to create a list of resources for employees. In addition, Records Management should identify training, articles, and other materials to share regularly to help support employees' mental health.

Management Response – We agree with the recommendation. Management will work with Human Resources and APD Wellness Unit to ensure ongoing communication of support and mental health resources.

A Wellness channel is currently used in Microsoft Teams to share articles and information, posts to get to know your coworkers, and resources and videos for mindfulness and stress management. Management and supervisors will remind of its existence and continue to encourage its use and availability as a resource and tool.

Targeted Implementation Date: January 31, 2022

Appendix – Survey Scores and Summaries

Internal Audit considers scores below 2.5 (highlighted in red) to indicate areas that need further attention. The closer to the top of the scale, the better.

Section	Question	Weighted Average	Top of Scale	Internal Audit Summary
Leadership	How much confidence is shown in you by those who oversee your work?	3.48	4	Employees perceive that they have substantial confidence shown in them by those who oversee their work.
	How comfortable do you feel talking to those who oversee your work about issues related to your job?	2.90	4	Overall, most staff expressed that they were rather comfortable or completely comfortable discussing some issues with those who oversee their work.
	How often are your ideas and opinions sought and used constructively by those above you?	2.26	4	Employees perceive that those above them only sometimes seek their ideas and opinion.
	I believe that management supports me.	3.21	5	Staff believes management supports them; supervisors believe they are not supported.

	I believe that the Business Services Manager supports me.	3.10	5	Half of employees neither agreed or disagreed that the Business Services Manager supported them, the others were split between agreement and disagreement.
Motivation	What are the predominant methods supervisors use to motivate you in your job?	3.20	5	Employees perceive that some rewards, but no involvement in decision-making is used to motivate them.
	How much would these qualities motivate you if they were present to a high degree?			Consistency is the highest motivation for employees, followed by pride and growth. Connection is the lowest motivator.
	Consistency, defined by clear vision and goals	Modestly - High 78%		
	Variety, defined as an opportunity to try new things	Modestly - High 68%		
	Pride, defined as an opportunity to show what I can do	Modestly - High 71%		
	Connection, defined as the ability to work with others in the City	Modestly - High 44% Neutral 37% Not at all - Not much 19%		

	Growth, defined as the ability to add new skills and experiences expanding me horizontally and vertically	Modestly - High 71%		
	Contribution, defined as the chance to be a part of something bigger than myself	Modestly - High 64% Neutral 24% Not at all - Not much 12%		
Communication / Interaction	How much cooperative teamwork occurs within your department (APD)?	2.85	4	Overall, perceptions are split, between "some but not much"; "quite a bit but there could be more"; and "as much as could be expected."
	How much cooperative teamwork occurs within your section (Records)?	3.12	4	Most employees expressed there is quite a bit of cooperation to as much as can be expected.
	How much cooperative teamwork occurs between your team and other police sections?	2.68	4	Overall, employees assess the level of cooperative teamwork between "some" and "quite a bit, but there could be more."
	What is the usual direction of information flow?	2.63	4	Employees perceive information mostly flows from the top down.
	How do you view communications from those above you in the organization hierarchy?	3.00	4	Communications are often accepted but may be viewed with suspicion.

APD Records Section Culture Survey

How accurate is what you communicate to those above you in the organization?	3.37	4	Employees provide accurate information but may hold back at times.
How well do those above you know the problems you face in your job?	2.49	4	Employees perceive that those above have no to some understanding of their problems they face in their job.
How would you characterize the interactions between management and staff?	2.83	4	Interactions are moderate genuine interaction with some mutual trust.
How is your ability to communicate and interact with the Records Manager?	Regular: 22% Often: 24% Occasional: 39% No interaction: 15%		Employees perceived different abilities and interactions with the Records Manager.
How is your ability to communicate and interact with the Business Services Manager?	Regular: 2% Often: 10% Occasional: 42% No interaction: 46%		The Busines Services Manager is the direct supervisor for the Records Manager. Employees perceive occasional to no interactions.
How is your ability to communicate and interact with the Police Chief or Deputy Police Chief?	Regular: 0% Often: 5% Occasional: 24% No interaction: 71%		The Chief level is over the Business Services Manager. With the hierarchy of the police department, we expected less interactions with the direct employees of the unit.

APD Records Section Culture Survey

Category	Question	Score	Rating	Description
Decision Making	At what level are decisions made in your team?	2.59	4	Employees expressed policy and general decisions are made at the top, some more specific decisions may be made at the staff level.
	At what level are decisions made in the Records Unit	2.24		Perceptions are decisions are made at the top, with limited staff involvement.
	Are you involved in decisions related to your work?	2.12	4	Employees perceive they are rarely to occasionally consulted.
	Does the decision-making process used in your section contribute to your motivation?	2.46	4	The decision-making process somewhat contributes to employee motivations
	To what extent are decision-makers aware of problems, particularly those at the staff level?	2.63	4	Employees perceive decision-makers are somewhat to moderately aware of problems.
Goal Setting	How are your team goals established?	1.85	4	Perception is goals are established by management with minimal involvement. 15% responded they don't know the goals or there are not any.
	How are the team goals received and treated?	2.68	5	Employees accept the goals and work to achieve them.
	Where do you believe the responsibility should be for achieving your team goals?	2.49	4	Management and staff should be responsible equally.

APD Records Section Culture Survey

Control	Have you developed annual personal work goals?	Yes 56% No 44%		Slightly over half of employees have developed work goals.
	Are your personal work goals consistent with the roles/responsibilities of your position/title?	Yes 56% No 7% No established goals 37%		Those with work goals are aligned with their roles and responsibilities.
	Where is work controlled and reviewed in your department?	2.40	4	Employees perceive control of work is mostly to highly concentrated with top management, with some delegation.
	What is performance data used for in your area?	1.88	5	Employees perceive performance data is used for policing, with some emphasis on reward. 38% of employees were not aware of performance data or they do not use it.
Teamwork	How would you describe "teamwork" with your teammates?	3.75	5	Employees are working effectively together as a team on each shift. Comments identified teamwork is not as effective across shifts.
	Do you believe your teammates are committed to doing quality work?	3.70	4	Employees perceive teammates work is usually quality work.
	How would you describe the quality of your teammates' contributions to your department's work?	5.95	7	Employees perceive teammates contributions as high to very high quality.

APD Records Section Culture Survey

Employee well-being			
	I am compensated fairly for my responsibilities	Strongly disagree 40% Somewhat disagree – disagree 25% Neither disagree nor agree 8% Somewhat agree- agree 22% Strongly agree 5%	Employees disagree that they are fairly compensated.
	I am _____ with the city's benefits package (coverage and cost)	Dissatisfied ratings 15% Neither satisfied nor dissatisfied 22% Satisfied ratings 63%	Employees are mostly satisfied with the city's benefits.
	I have a good understanding of compensation policies and practices that affect me	Disagree ratings 15% Neither agree nor disagree 18% Agree ratings 67%	Employees understand the compensation policies and practices.
	I know who to talk to if I don't understand my benefits.	Yes 93% No 7%	Employees know who to speak with for benefit questions.
	In regard to the recent compensation study, I (select all that apply):	Attended 18% Visited HR hub 40% Not aware of study 5% None of the options 50%	Respondents could select more than one option. Most were aware of the study, less than half attended the presentation or visited the HR site.

	My management has expressed interest in my health and wellness.	Disagree ratings 33% Neither disagree nor agree 17% Agree ratings 50%	Half of staff perceive management as interested in their mental health.
	My supervisor encourages me to use our health and wellness programs.	Disagree ratings 30% Neither agree nor disagree 30% Agree ratings 40%	Less than half of staff perceive their supervisor as encouraging them to use health and wellness programs.
	Do you think you have a healthy work life balance?	Yes 48% No 52%	Staff are split on if they have a healthy work-life balance.
Core 4 and Other Matters	How important to you are the Core 4 values?	2.98 4	The Core 4 values are important to employees.
	Do you know what is expected of you at work as it relates to your position/title?	Yes 100%	Employees know what is expected of them at work.
	At work, I have the opportunity to do what I do best every day?	3.53 5	Employees generally agree that they have an opportunity to do that they do best.
	In the last thirty days, have you received recognition or praise for doing good work?	Yes 58% No 42%	Slightly over half of employees have received recognition or praise in the last thirty days.
	Is there someone at work who encourages your development?	Yes 58% No 42%	Slightly over half of employees have someone who encourages their development.

	Do you understand how the mission of the Records Unit contributes to the greater mission of the City?	Yes 63% No 7% Do not know the mission of Records, City, or both 30%	While more than half of employees understand how the mission contributes to the City's, 30% did not know the mission.
	Do you feel your job is important in serving the City?	Yes 93% No 5% Not sure 2%	Employees feel their job is important in serving the City.
	In the last six months, has someone at work talked to you about your performance?	Yes 78% No 22%	Employees have spoken with someone about their performance recently.
	In the last year, have you had opportunities to learn and grow?	Yes 68% No 32%	Employees have had an opportunity to learn and grow, but there is significant room for improvement.