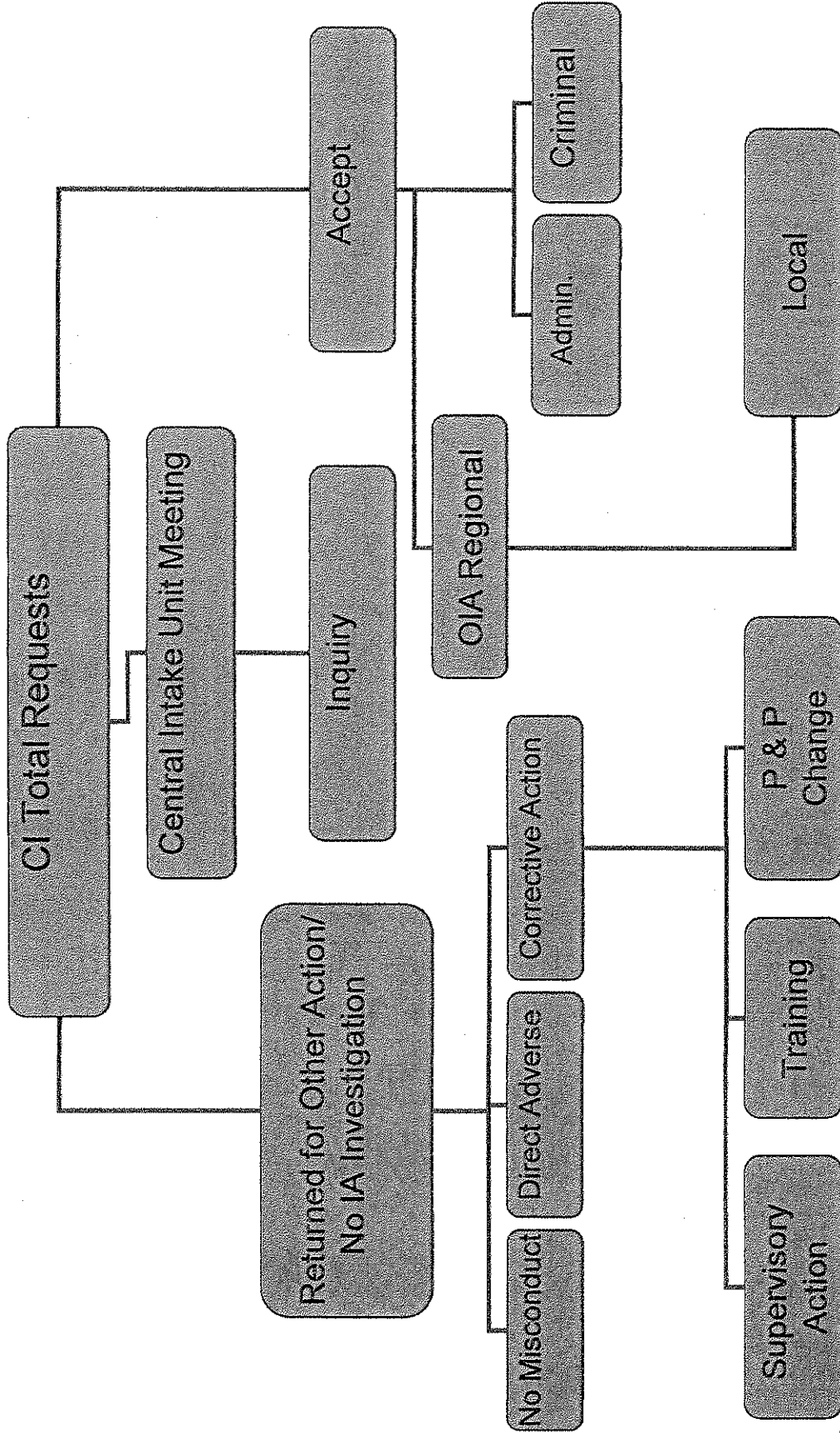


# Family of Measures

- ▶ **Productivity**
  - RFI's – Investigations
- ▶ **Process Cycle Times**
  - CIU average days – INV. average days
- ▶ **Timeliness**
  - CIU 30 day maximum – INV. 180 day maximum
- ▶ **Quality**
  - CIU appeals – INV. sufficiency
- ▶ **In Process**
  - 60 day Statute Reports

**Note: Data will continue to change until all 2006 investigations are complete and closed.**

# Central Intake Operations



# Central Intake – Data Table 2006

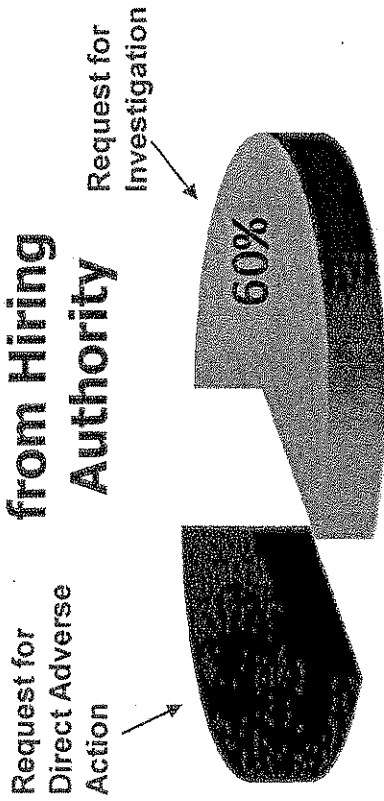
CENTRAL INTAKE - Productivity	Annual Totals
Total Requests from Hiring Authorities (CMS)	2,388
Requests for Investigation	1355 *
Requests for Direct Adverse Action	904 *
Requests Processed on Consent Calendar	1800 *
Requests Adjudicated by Central Intake panel	449 *
Referred to other Agency	19 **
Accepted for Office of Internal Affairs Investigation Administrative & Criminal	669*
Returned without Investigation Training, Corrective, Direct Adverse Action, or No Misconduct Identified	1,580*

\* Central Intake Data Collected Manually at CI weekly meetings

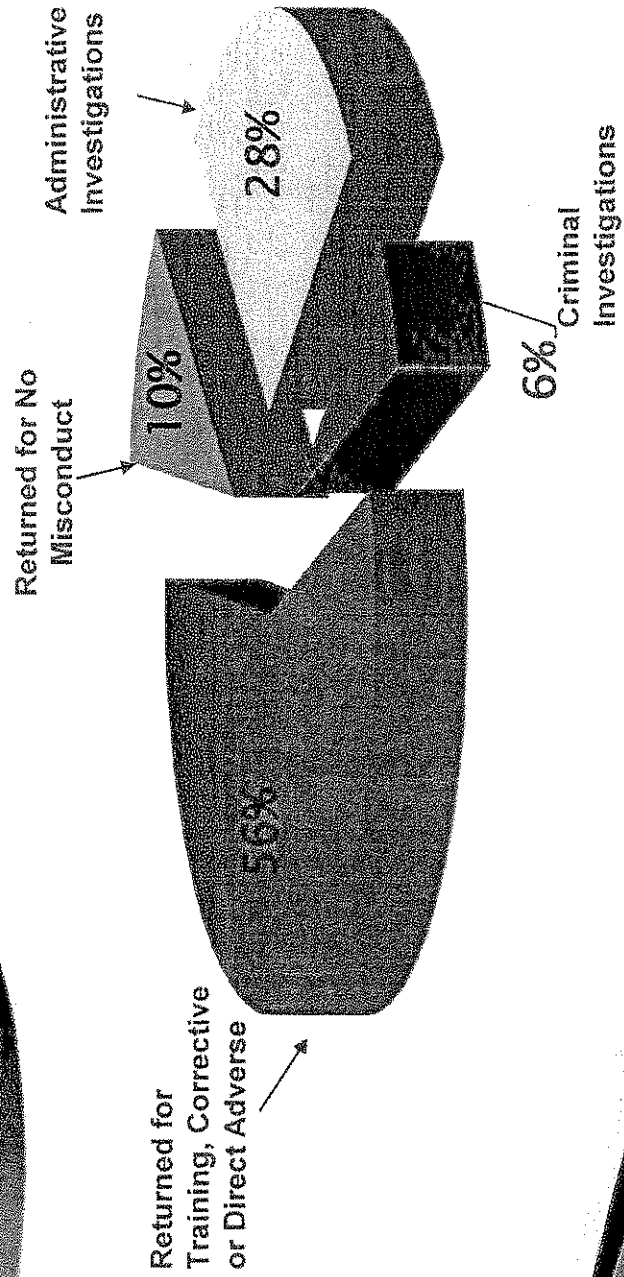
\*\* Referred to Other Agency cases included in "Returned without Investigation" total

# Hiring Authority Requests vs. Central Intake Actions

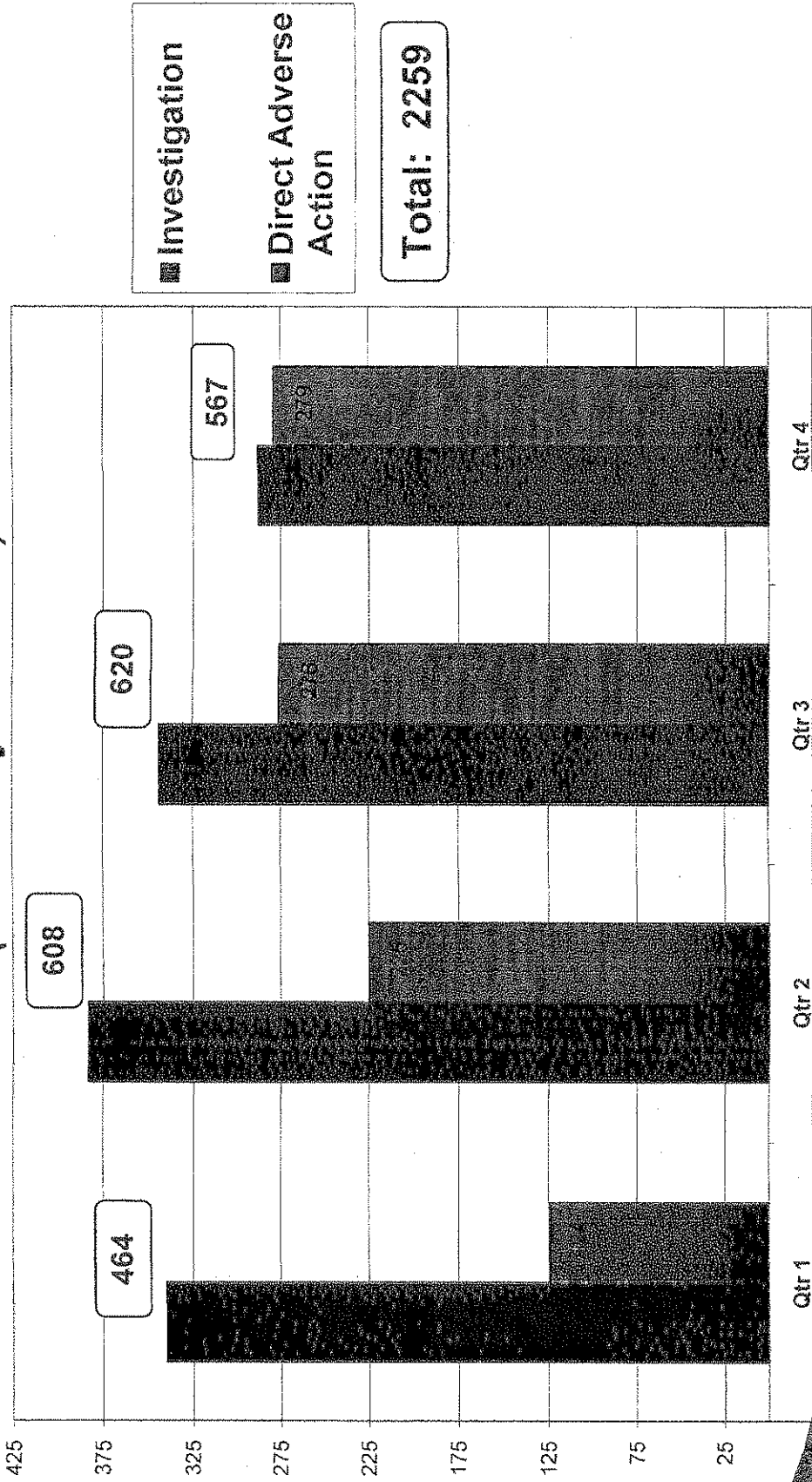
## Initial Request from Hiring Authority (2006)



## Central Intake Action



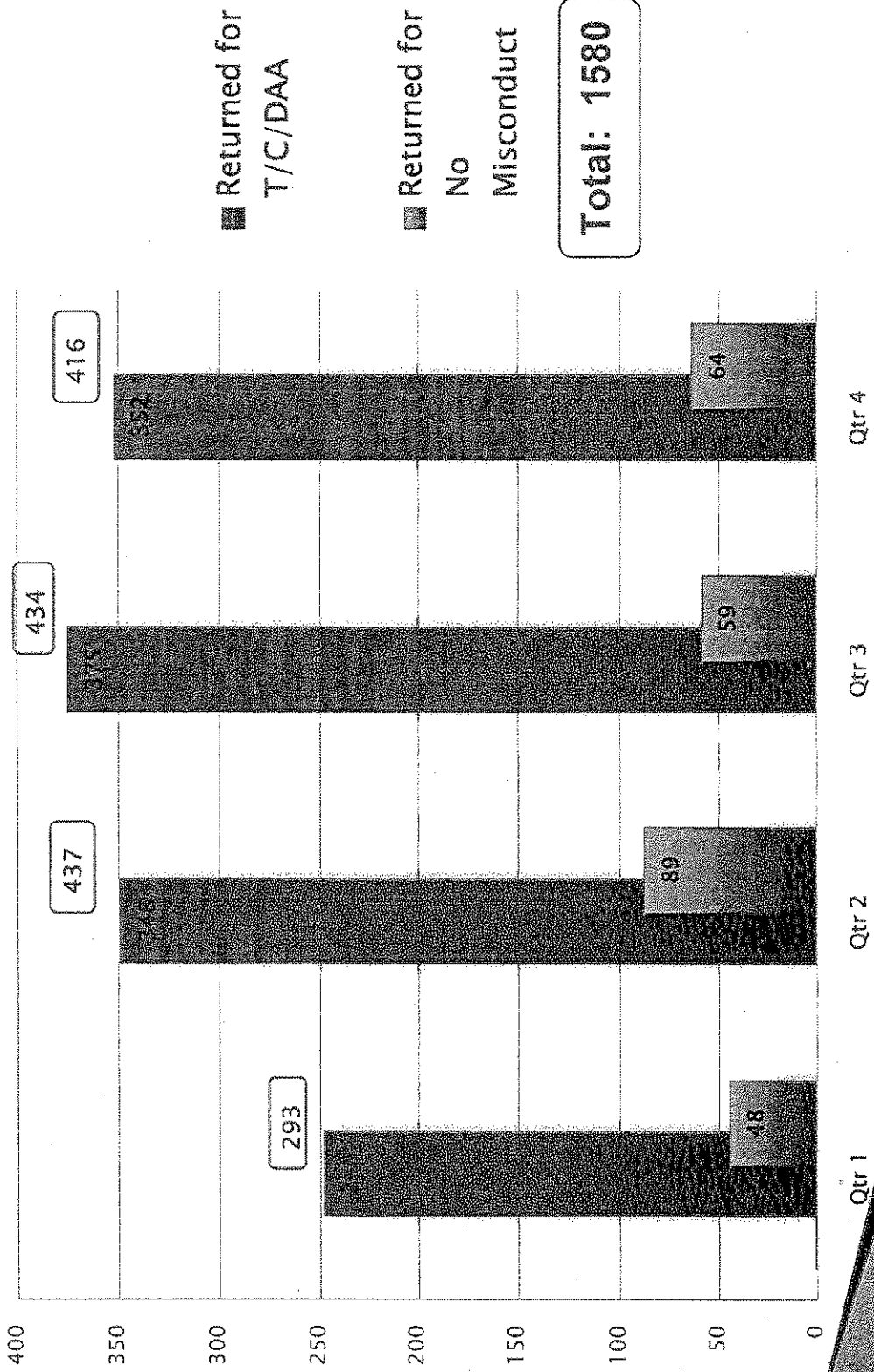
# 2006 Hiring Authority Requests (Trend By Quarter)



# 2006 Central Intake Consent vs. Adjudication (Trend By Quarter)



# Central Intake - Cases Returned To Hiring Authority (2006)

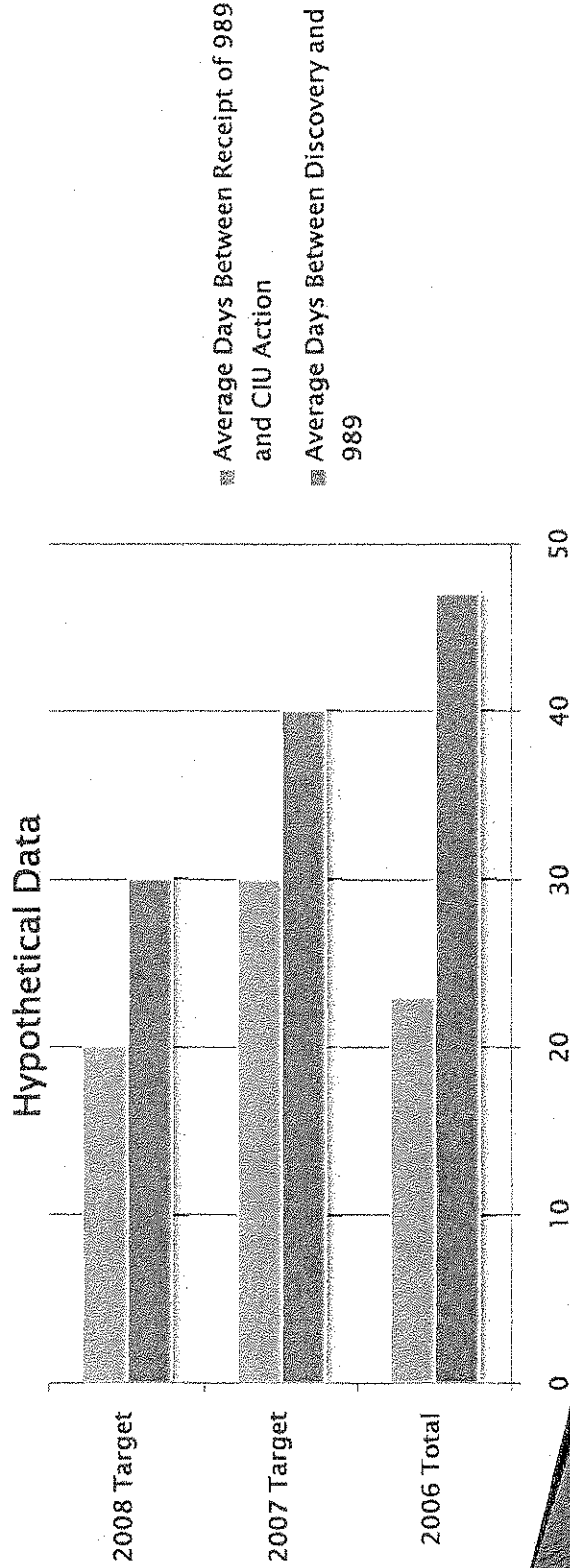


# Central Intake Process Cycle Time

CENTRAL INTAKE - Cycle Time & Quality	Annual Totals	2007 Target	2008 Target
<b>Process Cycle Time in Mean Average Days:</b>			
Between Date of Discovery and RFI (989)	47	TBD	TBD
Between Receipt of RFI (989) & CIU Action	23*	30	TBD
Number of Requests Exceeding 30 Days in CI	TBD	TBD	TBD
<b>Quality of Actions</b>			
Number of Requests for Reconsideration	64 **	TBD	TBD
Number of Requests for Reconsiderations Granted	TBD	TBD	TBD

\* Cycle time between (RFI) 989 and CIU action can only be calculated for DAA's and rejected/returned requests.

\*\* Not all reconsiderations are currently tracked using CMS.





# 2006 Investigation Results from Hiring Authorities

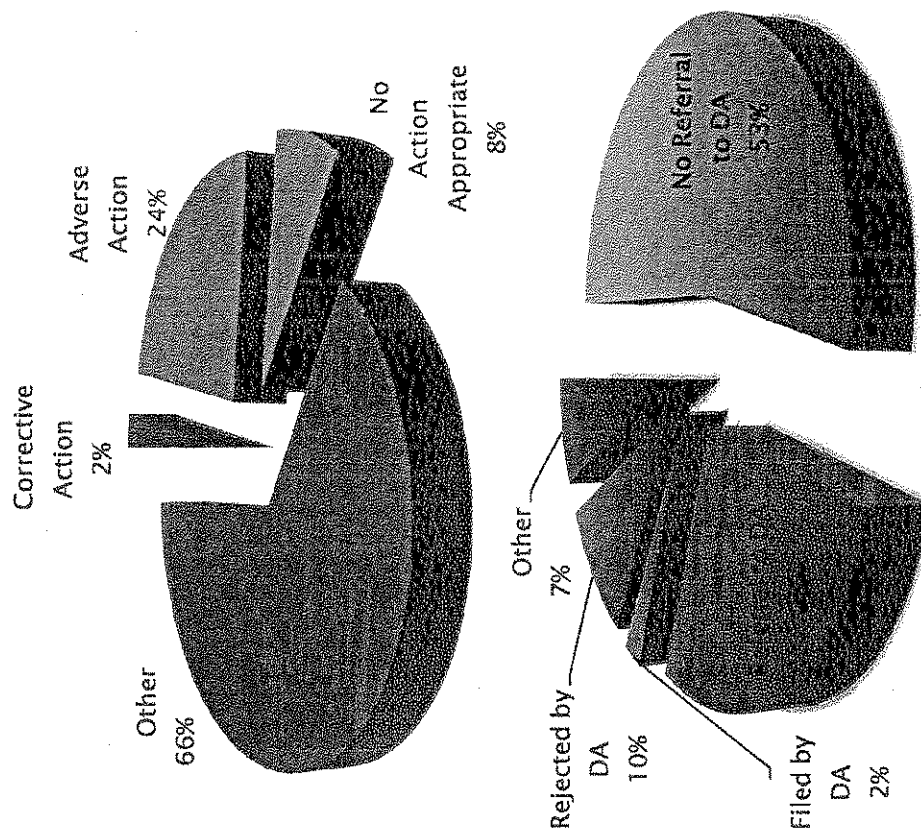
Administrative Investigation Results	Totals
Returned for Further Investigation	0
Corrective Action	8
Adverse Action	75*
No Action Appropriate	24**
Other	204 ***
<b>Total:</b>	<b>311</b>

\*Adverse Action includes 30 dismissals.

\*\*No Action Appropriate includes "Not Sustained", "Sustained" where no action took place.

\*\*\*No information was available.

Criminal Investigation Results	Totals
No Referral to DA	72
Referral to DA	37
Filed by DA	3
Rejected by DA	13
Other	10
<b>Total:</b>	<b>135</b>



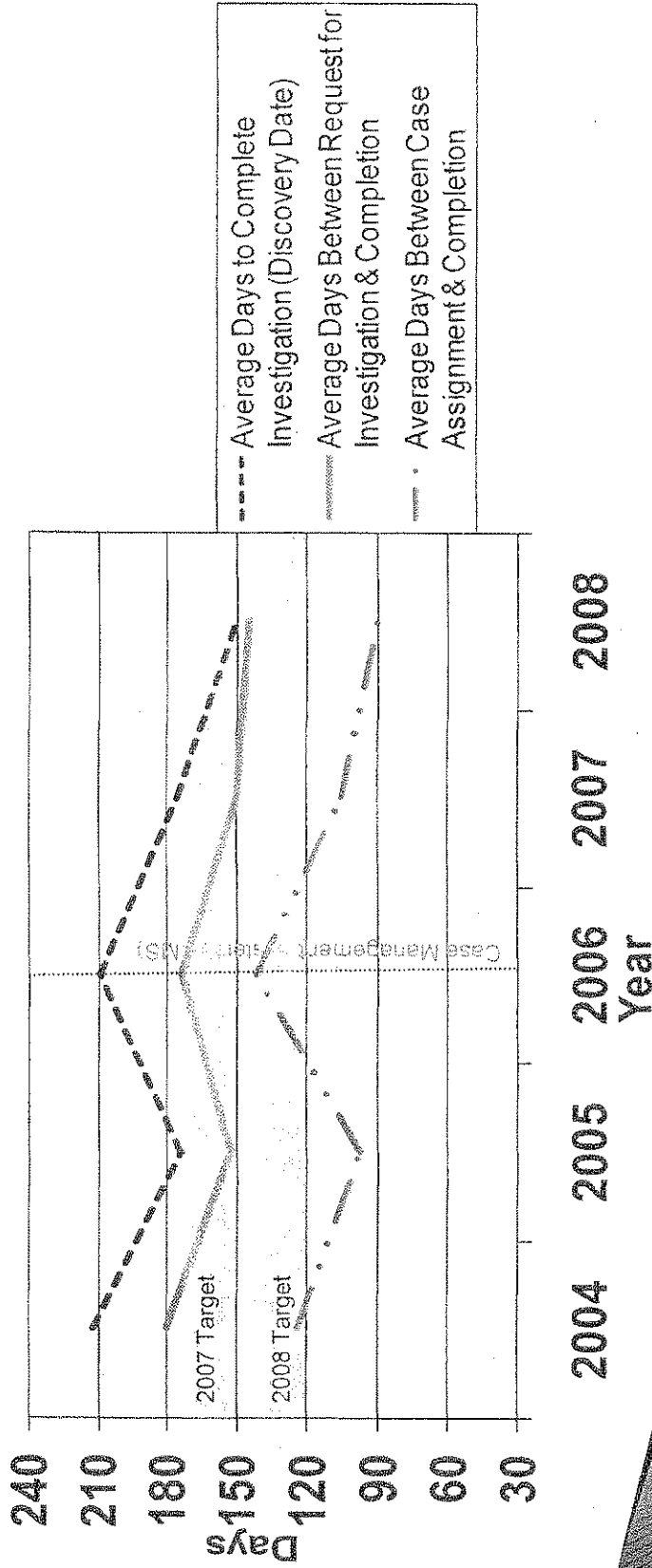
Note: Data based on 402/403's received from HA as of March 2007.

# Disciplinary Cases - Total CDCR

## Operation Cycle

(HA dod + OIA CIU rfi + OIA INV + HA/VA 402/403 + HA/VA noaa)

### CASE AGING INFORMATION



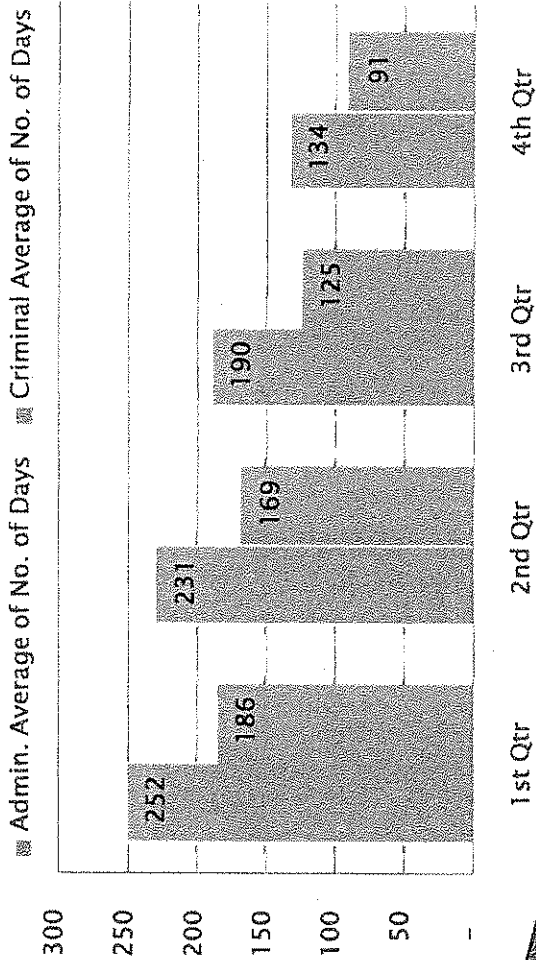
# 2006 DATA

## Date of Discovery to Investigation Completion

(HA dod + OIA CIU rfi + OIA INV + HA/VA 402/403 + HA/VA noaa)

Investigations - CYCLE TIME (CASE AGING)					
Mean Average Days:	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	Total
Date of Discovery to Complete Investigation (Admin.)	252	231	190	134	219
Date of Discovery to Complete Investigation (Criminal)	186	169	125	91	158
Date of Discovery to Complete Investigation (Admin & Criminal)	192	244	173	252	209

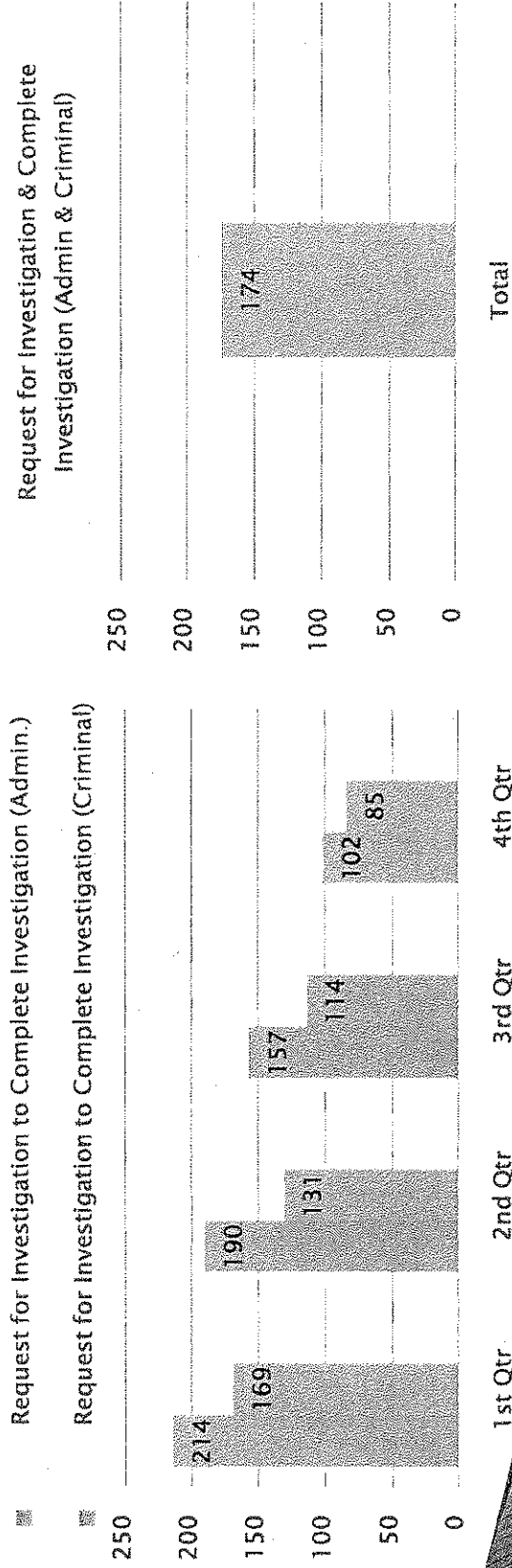
Total Admin & Crim. Average of No. of Days



## 2006 DATA

# Request for Investigation (989) to Investigation Completion (HA dod + OIA CIU rfi + OIA INV + HA/VA 402/403 + HA/VA noaa)

Investigations - CYCLE TIME (CASE AGING)	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	Total
<b>Mean Average Days:</b>					
Request for Investigation to Complete Investigation (Admin.)	214	190	157	102	181
Request for Investigation to Complete Investigation (Criminal)	169	131	114	85	136
Request for Investigation to Complete Investigation (Admin & Criminal)	207	181	148	101	174

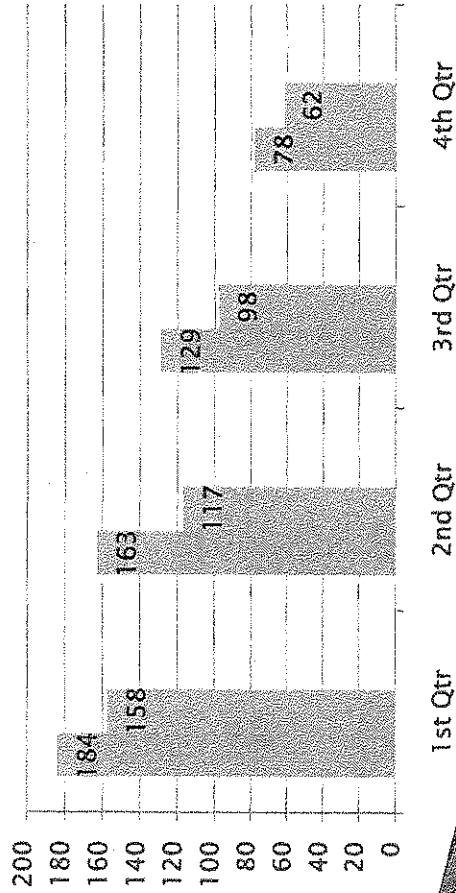


## 2006 DATA

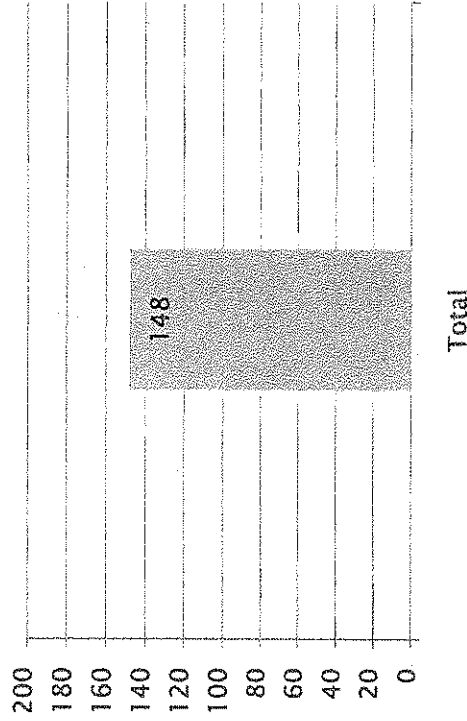
# Request for Investigation (989) to Investigation Completion (HA dod + OIA CIU rfi + OIA INV + HA/VA 402/403 + HA/VA noaa)

Investigations - CYCLE TIME (CASE AGING)	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	Total
<b>Mean Average Days:</b>					
OIA Investigation (Admin)	184	163	129	78	153
OIA Investigation (Criminal)	158	117	98	62	122
OIA Investigation (Admin & Criminal)	180	156	122	76	148

OIA Investigation (Admin)  
 OIA Investigation (Criminal)



OIA Investigation Admin & Criminal



Total

# Statute of Limitations Data 2006

Investigations - CYCLE TIME (CASE AGING)	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	Total
Investigations Exceeding Statute of Limitations	--	--	--	--	3
Investigations within 60 Days of Statute of Limitations	--	--	--	--	133

Data as of 4/8/07

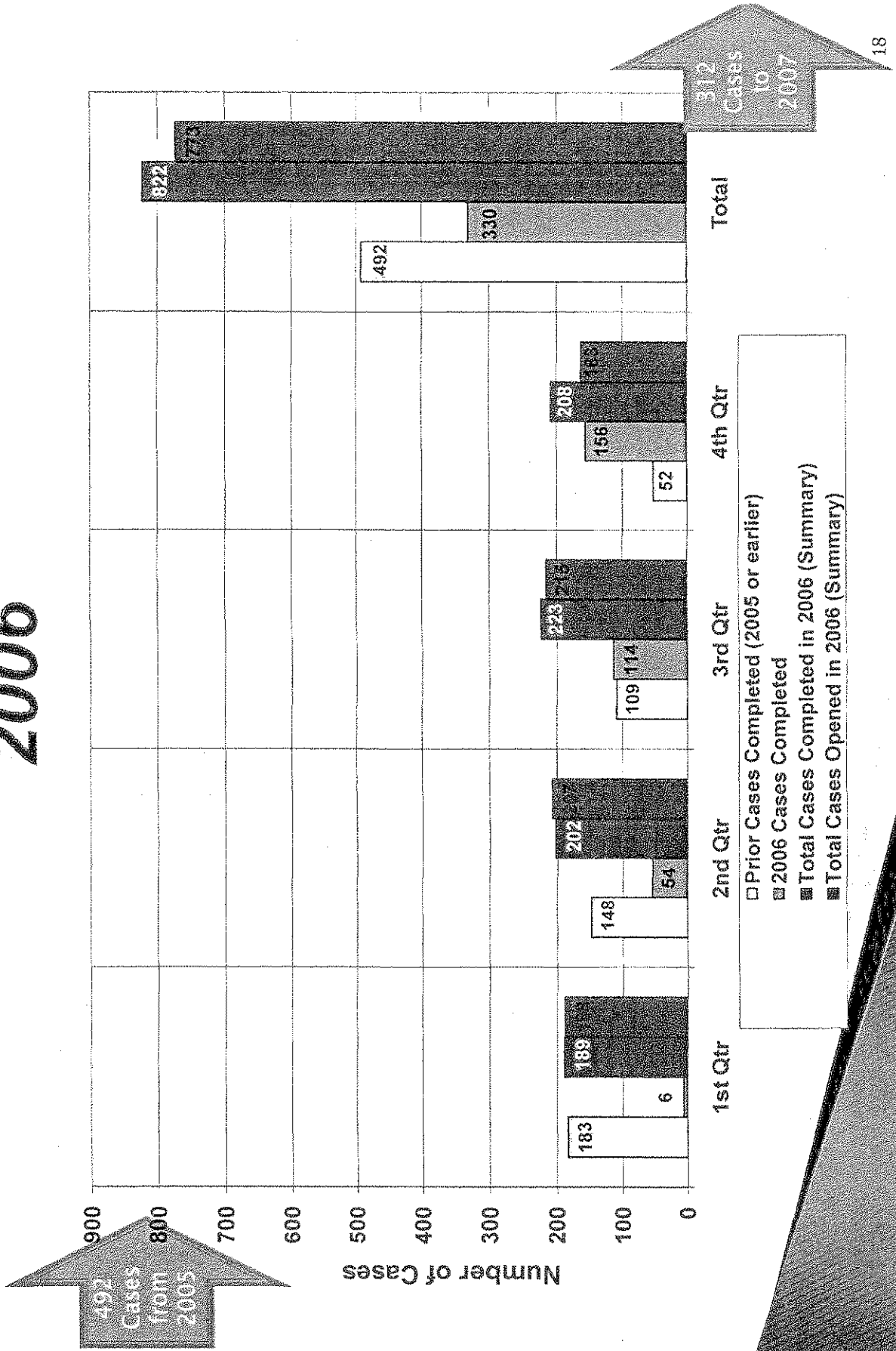
# Investigations Productivity & Quality 2006

INVESTIGATIONS - PRODUCTIVITY & QUALITY	Administrative				
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Admin. Total
Investigations Opened	153	171	182	132	638
Completed and Referred					
2006 Cases Only	4	35	98	129	266
Cases Prior to 2006	146	126	88	40	400
Total	150	161	186	169	666
Ratio of Opened : Completed Investigations	1.02 : 1	1.06 : 1	.98 : 1	.78 : 1	.95 : 1

INVESTIGATIONS - PRODUCTIVITY & QUALITY	Criminal				
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Original Total
Investigations Opened	35	36	33	31	135
Completed and Referred					
2006 Cases Only	2	19	16	27	64
Cases Prior to 2006	37	22	21	12	92
Total	39	41	37	39	156
Ratio of Opened : Completed Investigations	.90 : 1	.95 : 1	.89 : 1	.79 : 1	.87 : 1

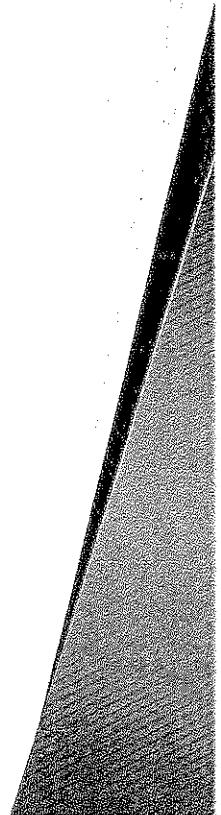
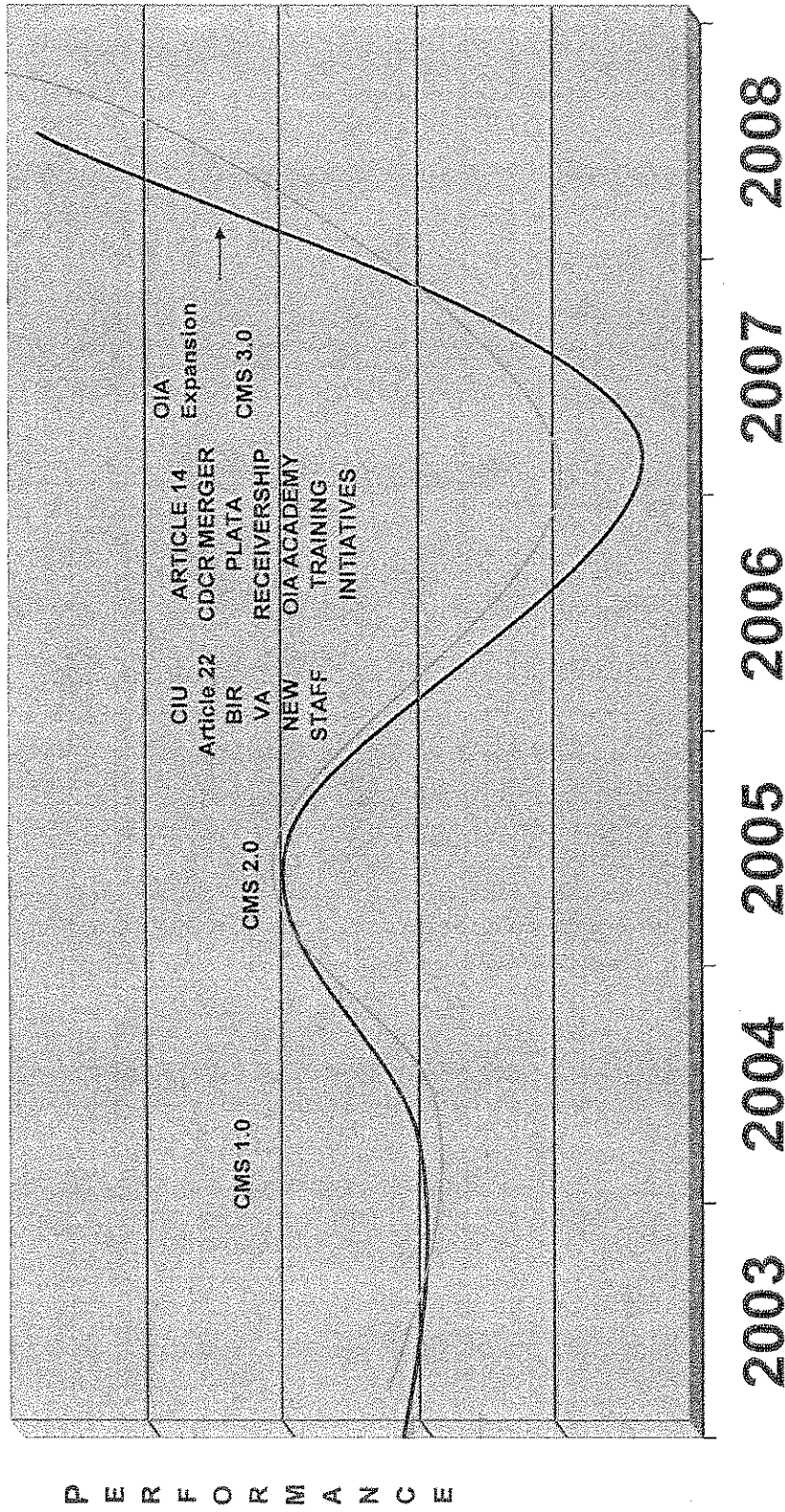
INVESTIGATIONS - PRODUCTIVITY & QUALITY	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Total
Administrative & Criminal Investigations Opened Total	188	207	215	163	773
Administrative & Criminal Completed & Referred Total	189	202	223	208	822
Ratio of Opened : Completed Investigations	.99 : 1	1.02 : 1	.96 : 1	.80 : 1	.94 : 1

# Investigations Completed vs. Opened in 2006





# The Real Performance Curve



# EAPT/HA/ERO Discipline-Performance Measures

EAPT WORKLOAD	Total #	Percentage of Total	Percentage Change	Average Days
Completed Investigations				
EAPT Designated				
Direct Adverse Action				

FIRST CONFERENCE (EAPT)	Total #	Percentage of Total	Percentage Change	Average Days
Statute of Limitation Determinations Within 21 Calendar Days of Assignment				
Statute of Limitations Determinations Exceeding 21 Calendar Days of Assignment				
Average Days to Conduct First Conference				
Average days to contact Investigator & BIR within 21 calendar days				

FIRST DRAFT REVIEW (EAPT)	Total #	Percentage of Total	Percentage Change	Average Days
Investigative Report Reviews Within 21 Calendar Days				
Investigative Report Reviews Exceeding 21 Calendar Days				
Average Days to Conduct First Draft Investigative Report Reviews				

HA WORKLOAD	Total #	Percentage of Total	Percentage Change	Average Days
Investigative Findings on Final Report Within 14 Calendar Days of Receipt				
Investigative Findings on Final Report Exceeding 14 Calendar Days of Receipt				
Average Days to Complete Findings				
Cases Resulting in Adverse Action (403 Forms)				
Cases Resulting in Corrective or Other Action (No 403 Form Required)				
Number of Cases Resulting in Exemptive Review				

NOTE: Above numbers will be greater than number of cases noted by EAPT - Not all cases use "VA Designated"

SKELLY PROCESS (HA)	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Skelly Hearings Waived by Employee				
Skelly Hearings Requested by Employee				
Number of Resignations in Lieu of Discipline				
Skelly Officer Recommendations				
Proceed Without Modification				
Amend, Modify, or Reduce Penalty				
Withdraw Notice of Adverse Action				
Conduct Additional Investigation				
Penalty Changed between service & effective date				

Settlements (EAPT/HA)	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Skelly Hearings Suspended for Settlement Negotiations (CDCR Form 3028)				
Settlement Agreements Prior to SPB Form 3021				

POST-SKELLY PROCESS (HA)	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Cases Appealed to SPB				
Cases Settled at SPB				
Cases Modified by SPB				
Cases Revoked by SPB				
SPB Decisions Appealed by the CDCR				

## ***Next Steps***

- ▶ **Data Breakouts for Hiring Authorities, Managers, Customers**
  - E.g. case aging and statute reports for each institution, region, mission, etc. Trend reports on UOF allegations, retaliation complaints, etc.
- ▶ **Refine Measures – Explore others**
  - E.g. # of grievances filed citing due process errors, # of SPB modifications citing due process errors
- ▶ **Set Targets for Performance**
- ▶ **Collaborate with EAPT to develop similar set of measures for discipline side**
- ▶ **OIA Region & Team Specific Performance**

# EXHIBIT 7

# **California Department of Corrections and Rehabilitation**

## **Disciplinary System Reforms**

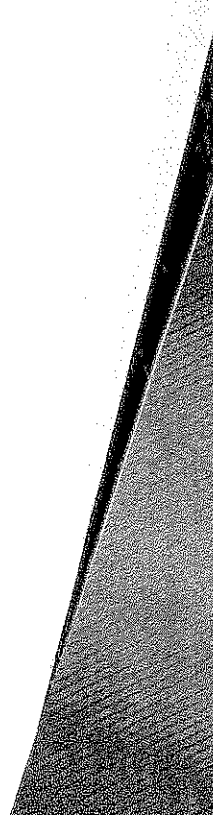
### **Performance Measures 2006 Baseline and 1<sup>st</sup> Qtr 2007**

**DRAFT**

**Updated 5/18/07**

# **CDCR Operations**

- ▶ **OIA Central Intake (input)**
- ▶ **OIA Investigations (output)**
- ▶ **EAPT/HA/ERO Actions**

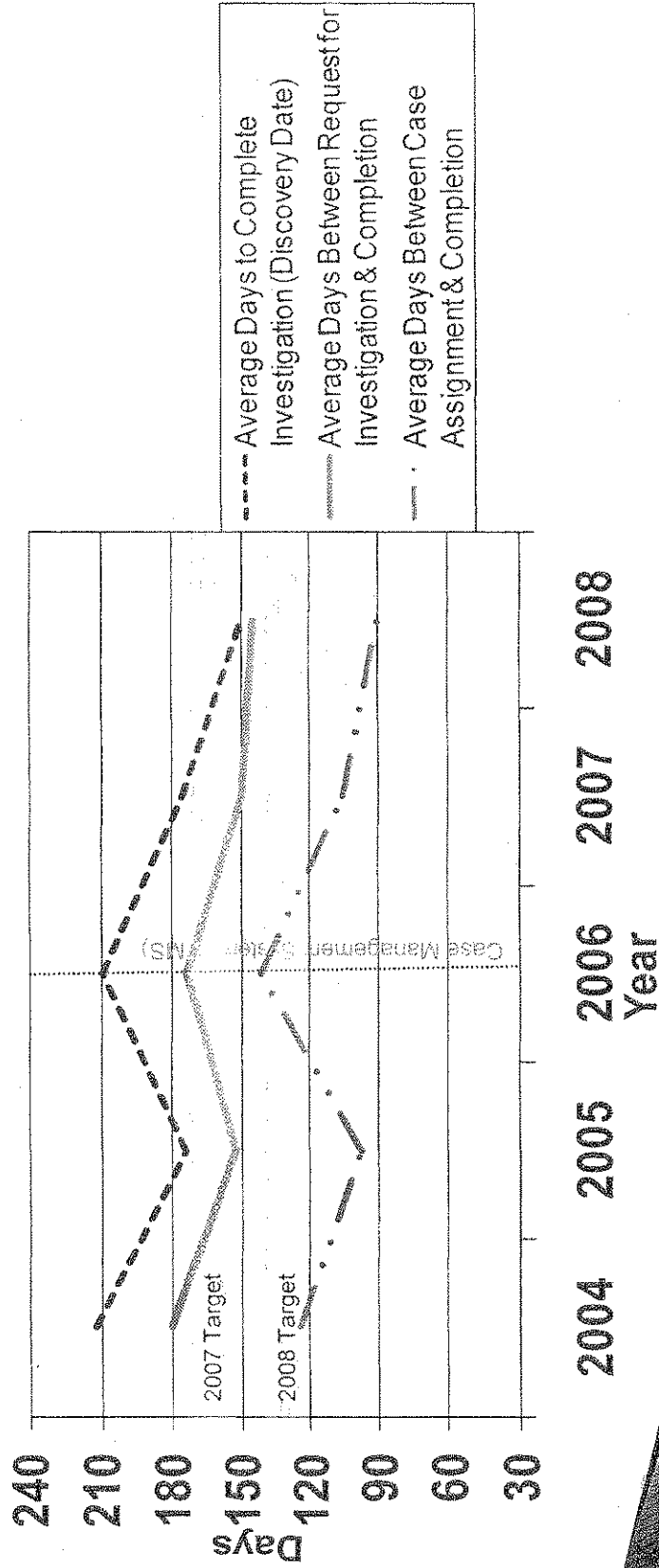


# Disciplinary Cases - Total CDCR

## Operation Cycle

(HA dod + OIA CIU rfi + OIA INV + HA/VA 402/403 + HA/VA noaa)

### CASE AGING INFORMATION



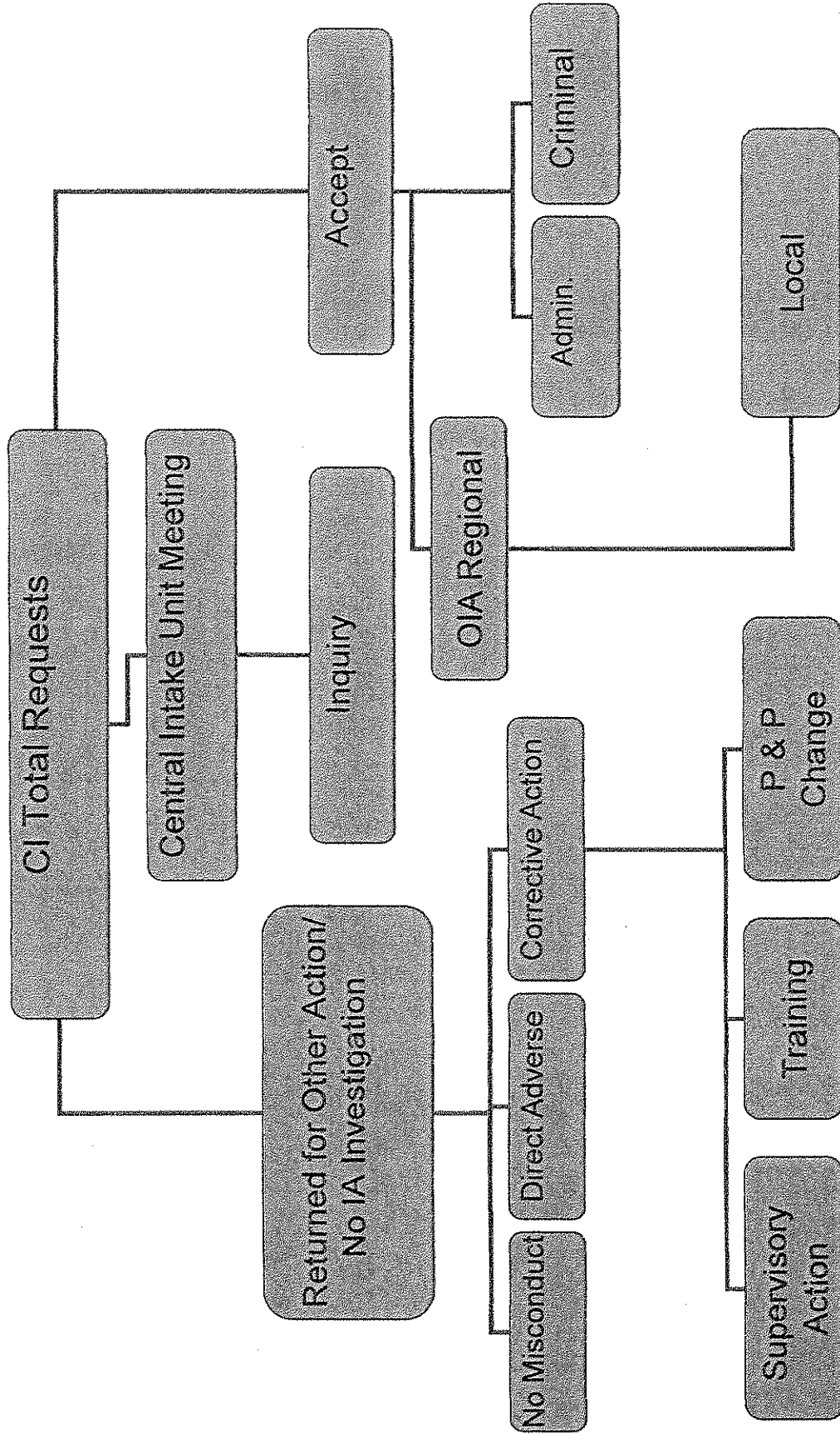
# Family of Measures

- ▶ **Productivity**
  - RFI's – Investigations
- ▶ **Process Cycle Times**
  - CIU average days – INV. average days
- ▶ **Timeliness**
  - CIU 30 day maximum – INV. 180 day maximum
- ▶ **Quality**
  - CIU appeals – INV. sufficiency
- ▶ **In Process**
  - 60 day Statute Reports

**Note: Data will continue to change until all 2006 investigations are complete and closed.**



# Central Intake Operations



# Central Intake – Data Table 2006

CENTRAL INTAKE - Productivity	Annual Totals
Total Cases Entered Into CMS	2,389
Total Request from Hiring Authorities	2,255 *
Requests for Investigation	1,352
Requests for Direct Adverse Action	903
Total Request Processed by Central Intake	2,246
Requests Processed as Consent Calendar	1,800
Requests Adjudicated by Central Intake panel	446
Referred to other Agency	19 **
Accepted for Office of Internal Affairs Investigation	
Administrative	669
Criminal	
Returned without Investigation	
Training, Corrective, or Direct Adverse Action	1,577
No Misconduct Identified	

\* Central Intake Data Collected Manually at CI weekly meetings

\*\* Referred to Other Agency cases included in Returned w/o investigation total

\*\*\*Two cases were taken out of the total numbers, as they were data entry errors into CMS.

# Central Intake – Data Table 2006 vs 1st Qtr. 2007

CENTRAL INTAKE - Productivity	1st Qtr. 2006	1st Qtr. 2007	% of Change
Total Cases Entered Into CMS	522	647	24%
Total Request from Hiring Authorities	464	633	36%
Requests for Investigation	340	345	1%
Requests for Direct Adverse Action	124	288	132%
Total Request Processed by Central Intake	436	607	39%
Requests Processed as Consent Calendar	319	480	50%
Requests Adjudicated by Central Intake panel	117	127	9%
Referred to other Agency	1**	1**	
Accepted for Office of Internal Affairs Investigation			
Administrative	146	194	9%
Criminal			
Returned without Investigation			
Training, Corrective, or Direct Adverse Action	290	413	9%
No Misconduct Identified			

\* Central Intake Data Collected Manually at CI weekly meetings

\*\* Referred to Other Agency cases included in Returned w/o investigation total

\*\*\* Two cases were taken out of the total numbers, as they were data entry errors into CMS.

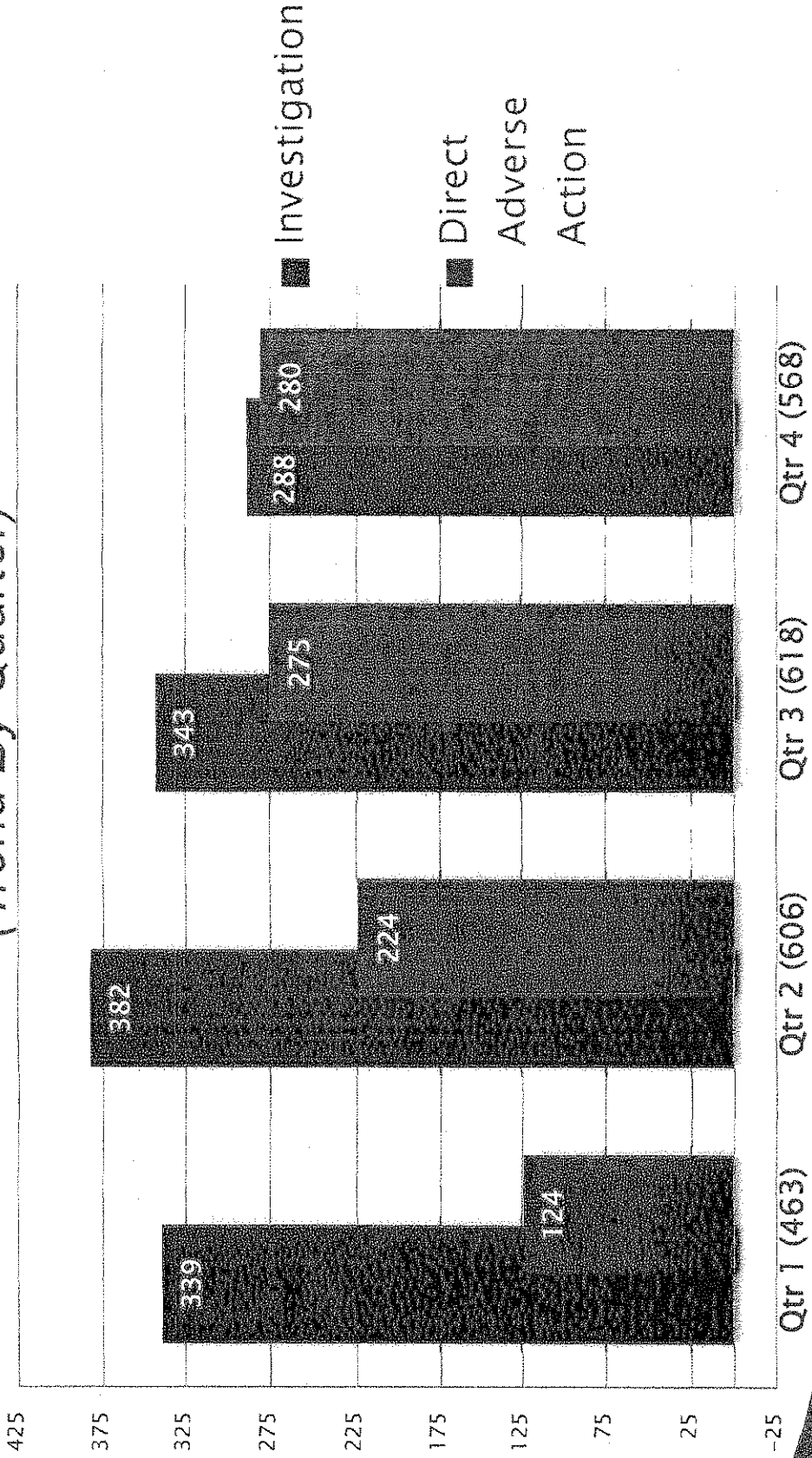
# Hiring Authority Request vs. Central Intake Action

## 1st Qtr 2006 vs. 1st Qtr 2007

Type of Request from Hiring Authority	2006 1st Qtr. (464)	%	2007 1st Qtr. (633)	%
Investigation	340	73%	345	55%
Direct Adverse Action	124	27%	288	45%

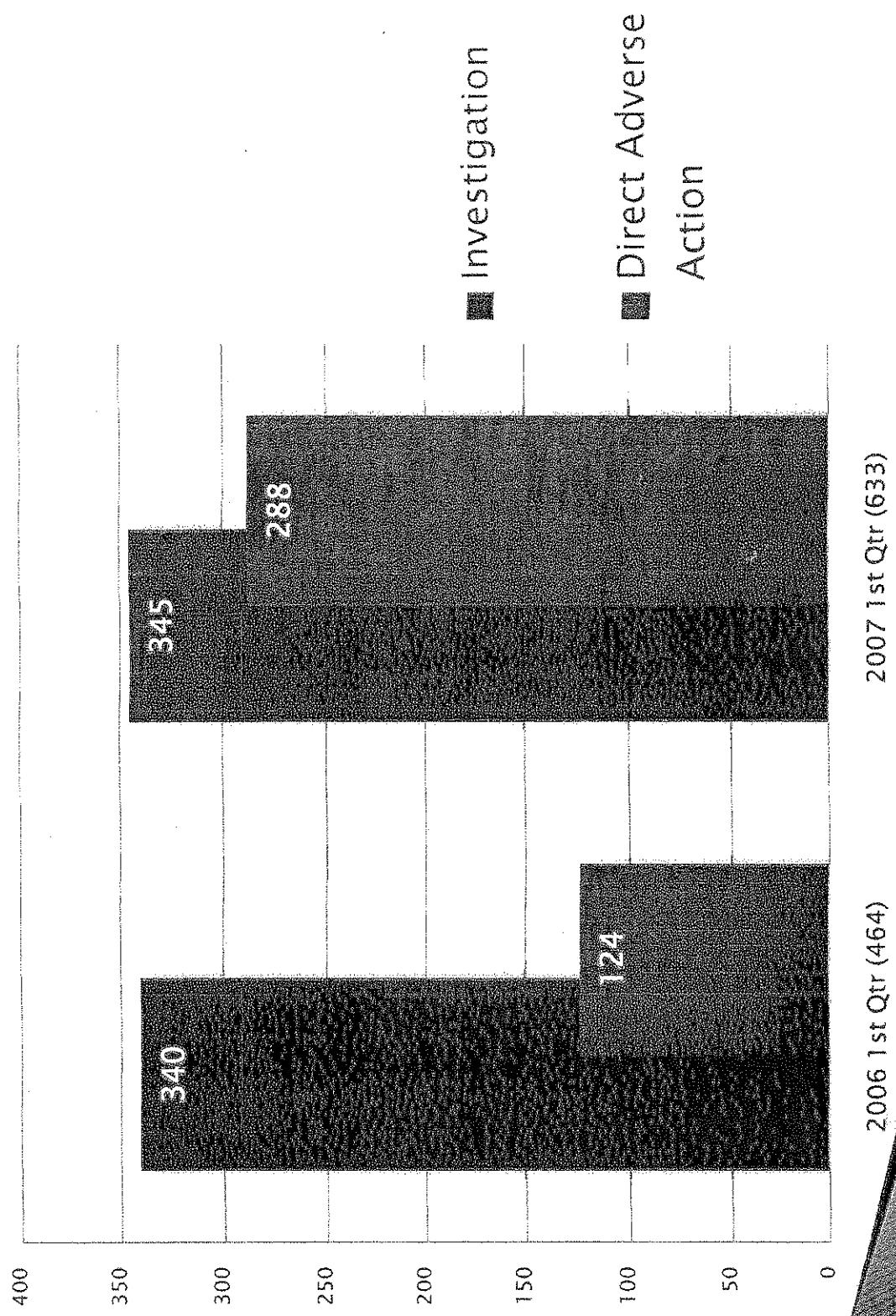
Central Intake Action	2006 1st Qtr. (439)	%	2007 1st Qtr. (607)	%
Administrative Investigations	121	28%	165	27%
Criminal Investigations	25	6%	29	5%
Returned for Training, Corrective, Direct Adverse Action	242	56%	339	56%
Returned for No Misconduct	48	11%	74	12%

# 2006 Hiring Authority Requests (Trend By Quarter)

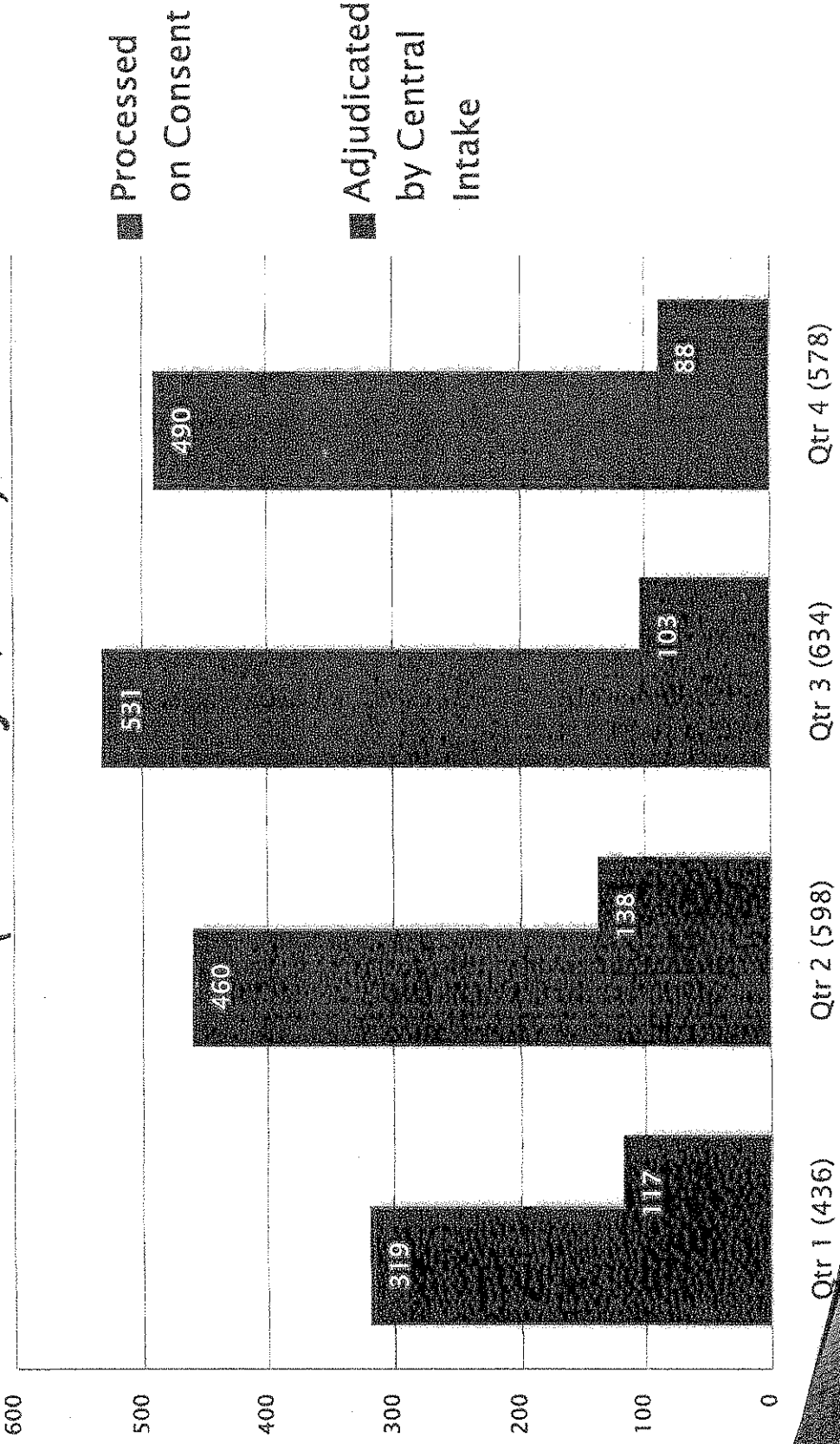


# Hiring Authority Requests

1<sup>st</sup> Qtr. 2006 vs. 1<sup>st</sup> Qtr. 2007

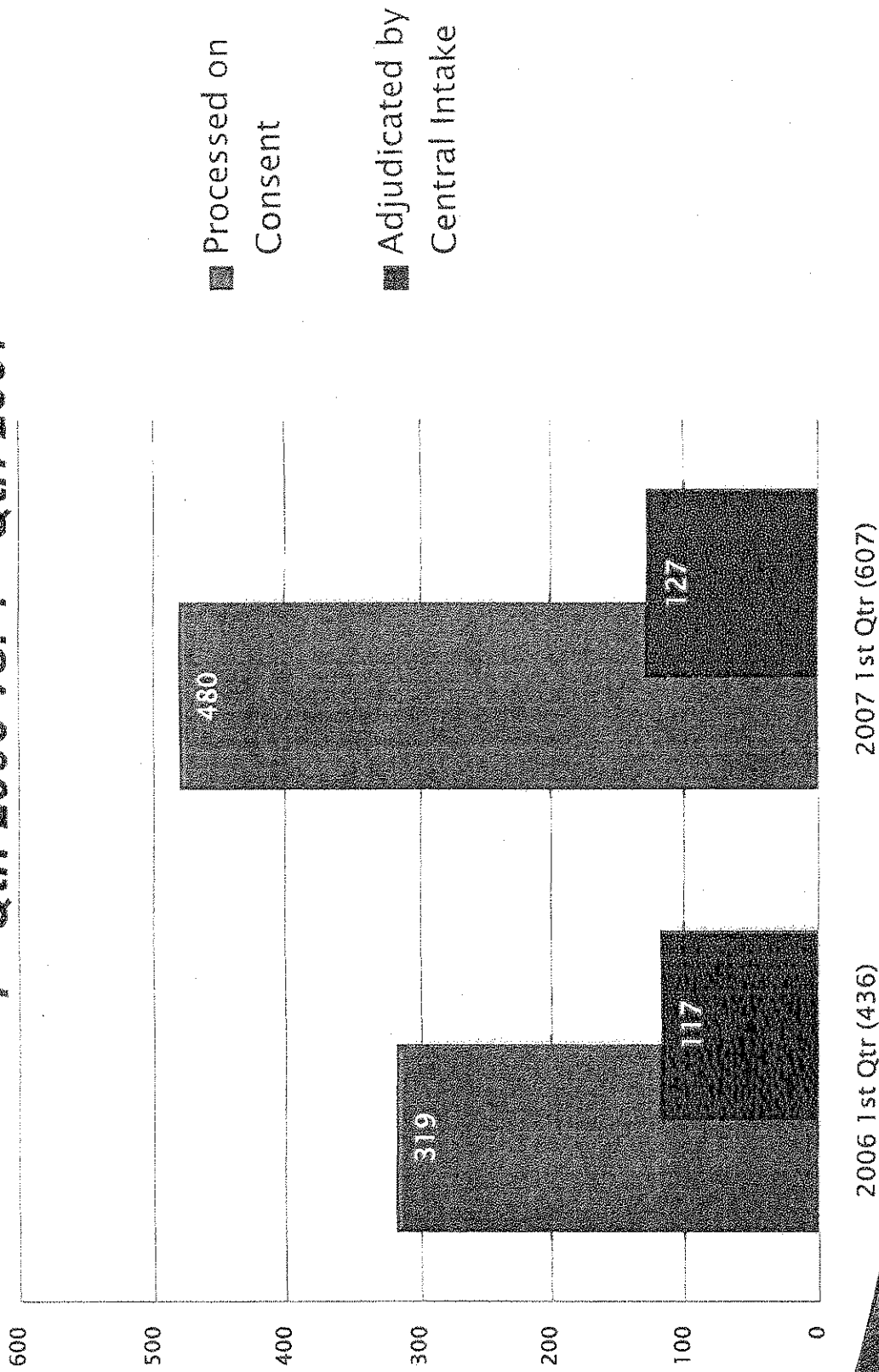


# 2006 Central Intake Consent vs. Adjudication (Trend By Quarter)



# Central Intake Consent vs. Adjudication

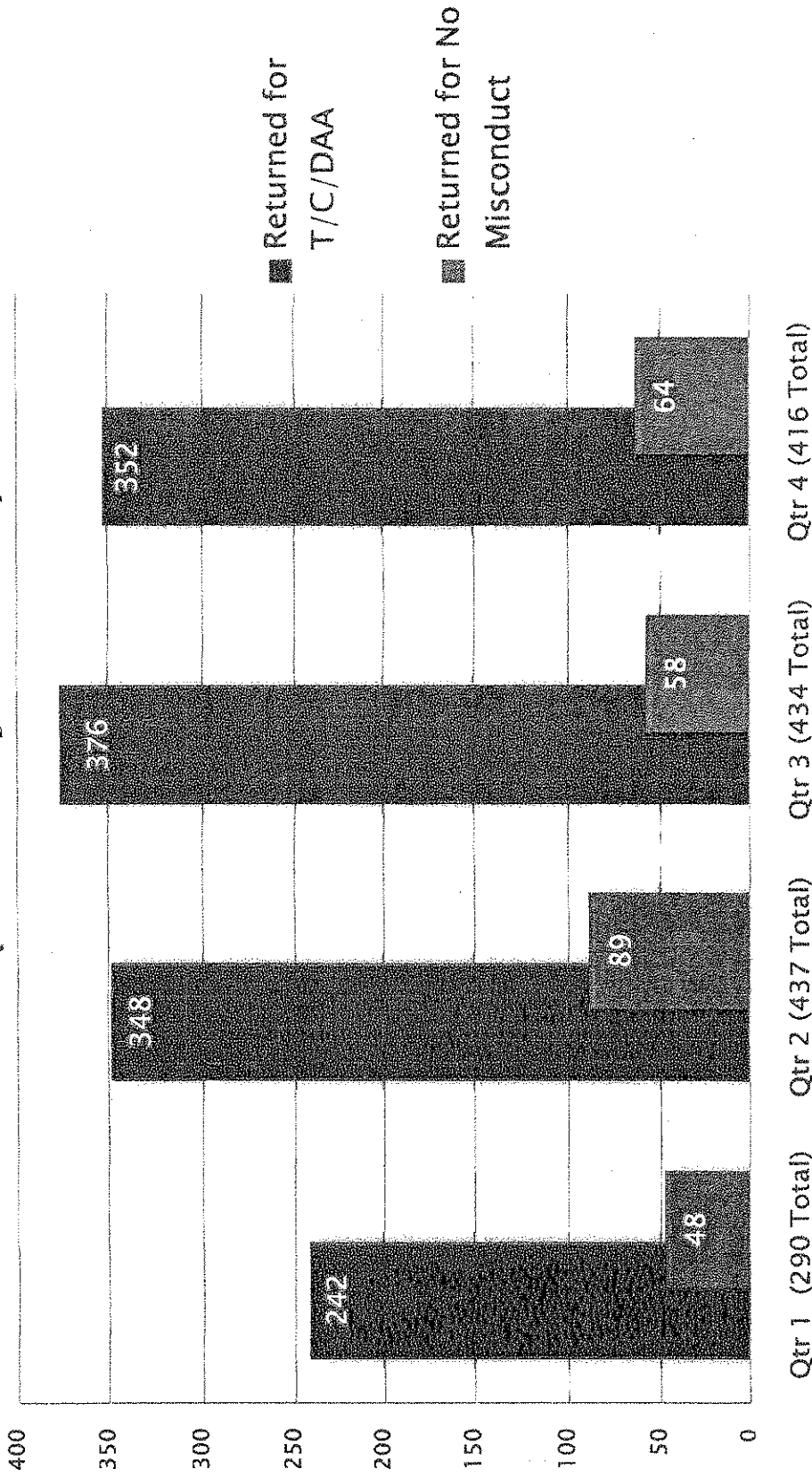
## 1<sup>st</sup> Qtr. 2006 vs. 1<sup>st</sup> Qtr. 2007





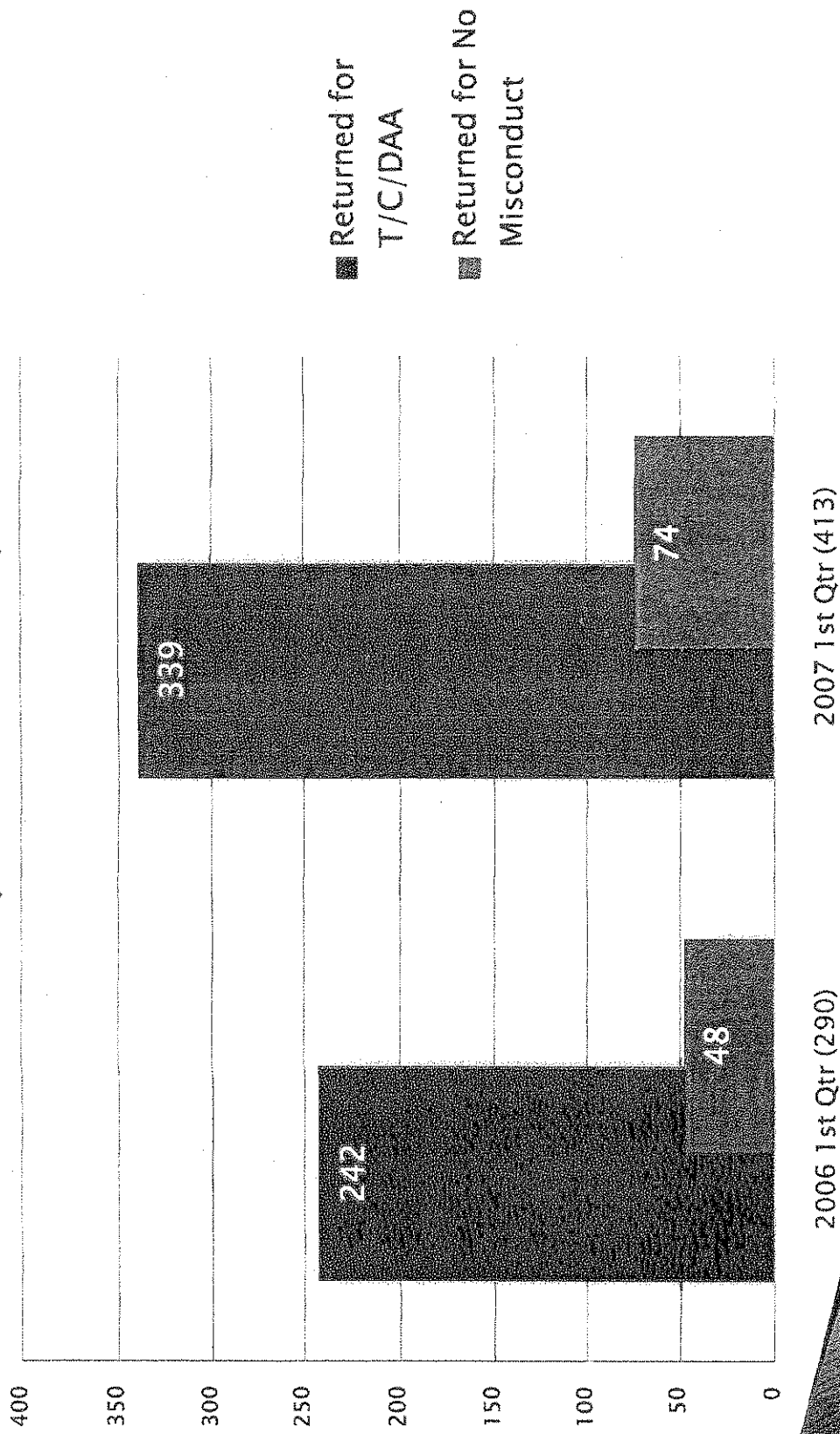
2006

# Central Intake Cases Returned To Hiring Authority (Trend By Quarter)



# Central Intake - Cases Returned To Hiring Authority

## 1st Qtr. 06 vs. 1st Qtr. 07

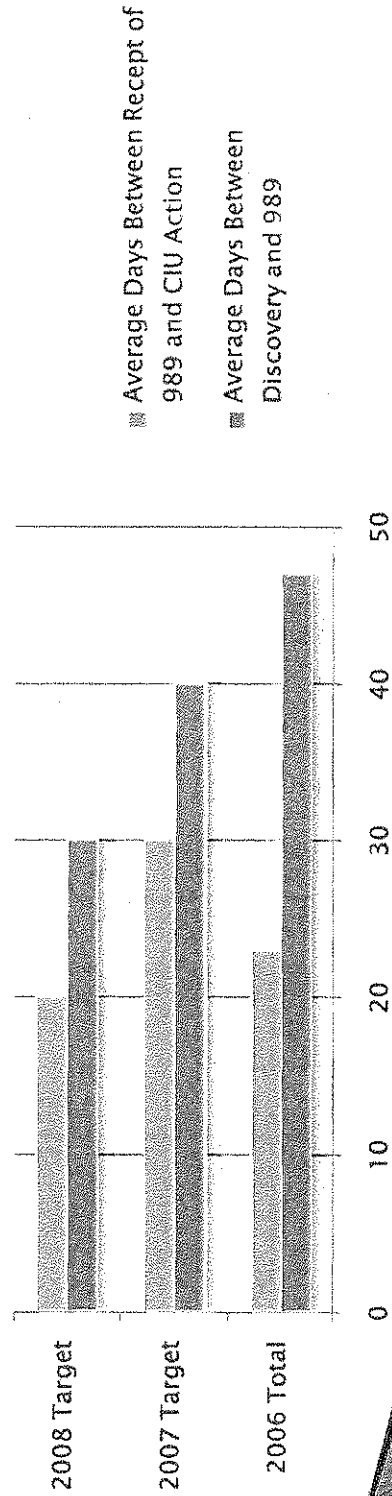


# Central Intake Process Cycle Time

CENTRAL INTAKE - Cycle Time & Quality		2006 Totals	2007 Totals	2008 Target
<b>Process Cycle Time in Mean Average Days:</b>				
Between Date of Discovery and RFI (989)		53 *	55 *	TBD
Between Receipt of RFI (980) & CIU Action		25 *	23 *	TBD
Number of Requests Exceeding 30 Days		TBD	TBD	TBD
<b>Quality of Actions</b>				
Number of Requests for Reconsideration		64 **	11	TBD
Number of Appeals		TBD	TBD	TBD

\* Cycle time between (RFI) 989 and CIU action can only be calculated for DAA's and rejected/returned requests.  
 \*\* Not all reconsiderations are currently tracked using CMS.

Hypothetical Data

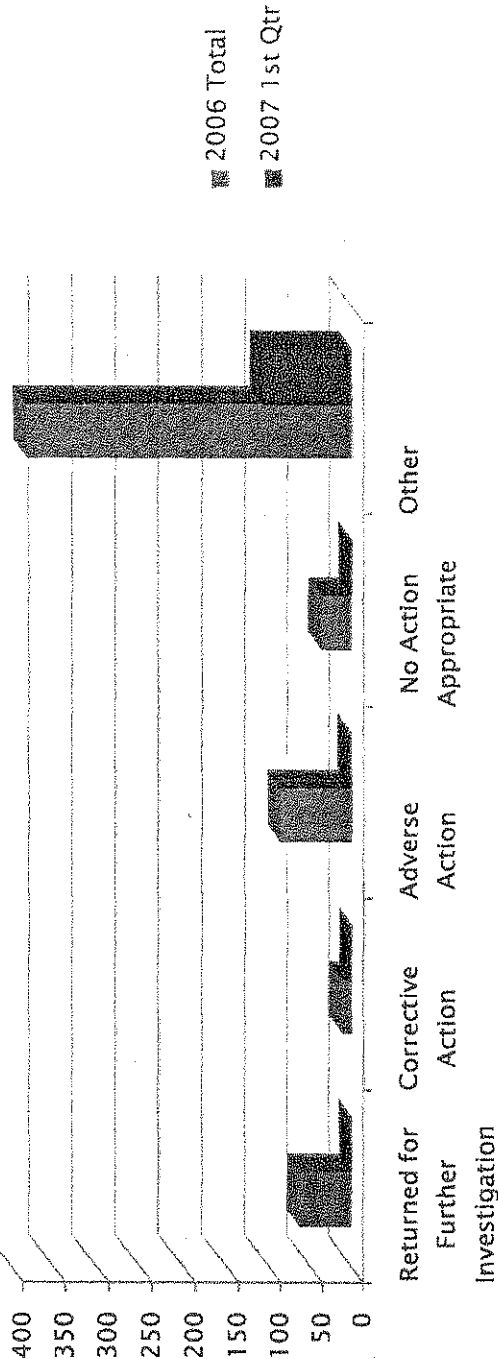


# Administrative Investigation Results from Hiring Authorities 2006 vs. 1st Qtr 2007

Administrative Investigation Results	2006 Total	2007 1st Qtr
Returned for Further Investigation	64	0
Corrective Action	12	0
Adverse Action	87	2
No Action Appropriate	38	1
Other	382	108

\* Adverse Action includes 39 Dismissals

\*\* No Action Appropriate includes "Not Sustained" and "Sustained" where no action took place



Note: Data based on 402/403's received from HA as of May 2007.

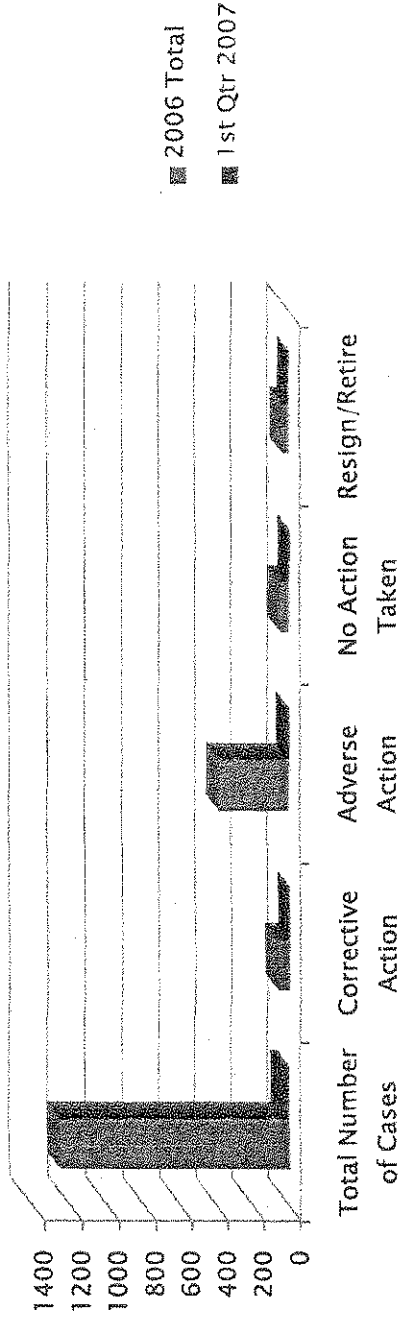
# Direct Adverse Action Results from Hiring Authorities

## 2006 vs. 1st Qtr 2007

Direct Adverse Actions	2006 Total	1st Qtr 2007
Total Number of Cases	1259	38
Corrective Action	69	0
Adverse Action	393	6
No Action Taken	52	0
Resign/Retire	40	0

\*402/403 Not Available on 591 Cases

\*\*17 Cases Remain Open



Note: Data based on 402/403's received from HA as of May 2007.

# 2006

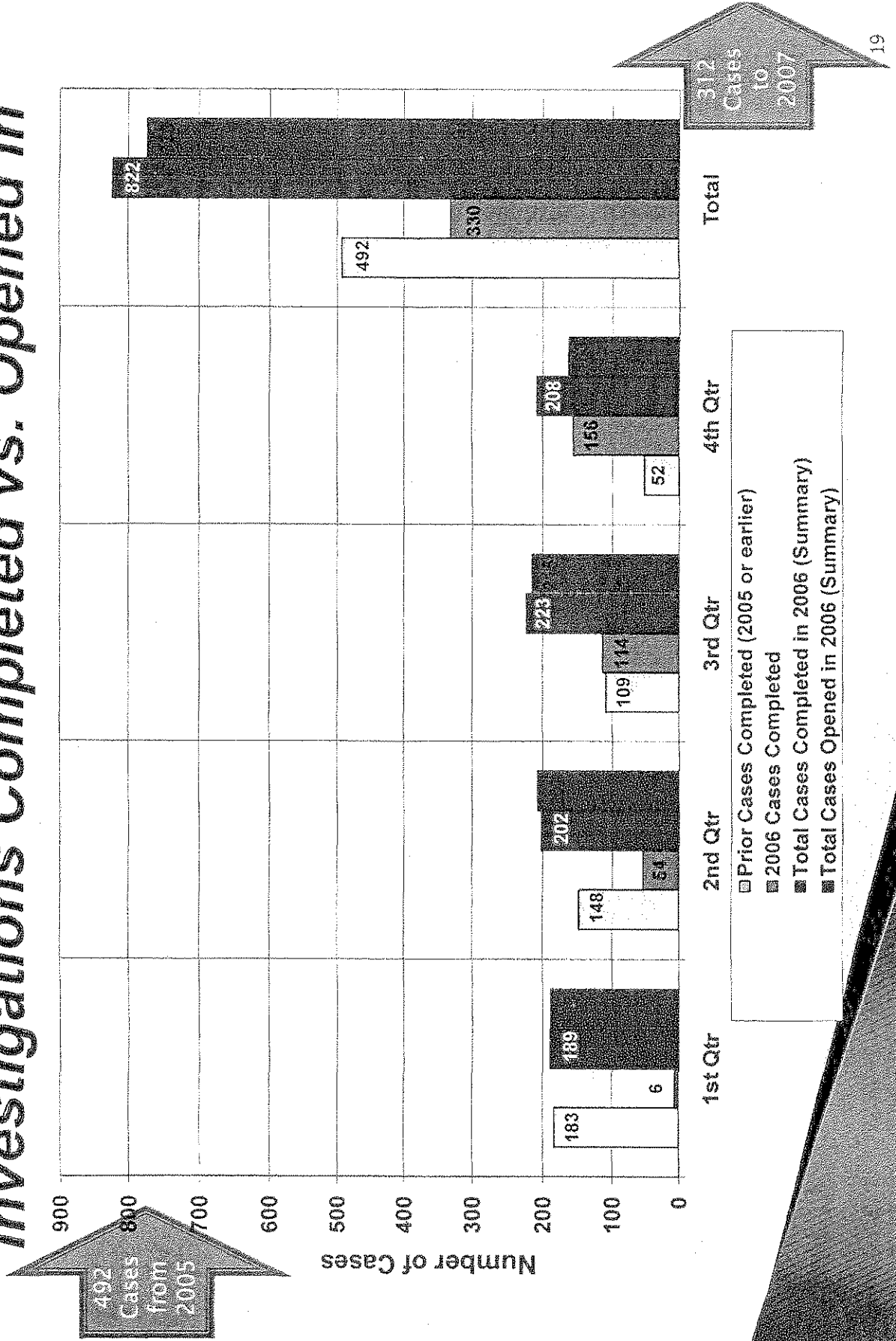
## Investigations Productivity & Quality

INVESTIGATIONS - PRODUCTIVITY & QUALITY	Administrative				
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Admin. Total
Investigations Opened	153	171	182	132	638
Completed and Referred					
2006 Cases Only	4	35	98	129	266
Cases Prior to 2006	146	126	88	40	400
Total	150	161	186	169	666
Ratio of Opened : Completed Investigations	1.02 : 1	1.06 : 1	.98 : 1	.78 : 1	.95 : 1

INVESTIGATIONS - PRODUCTIVITY & QUALITY	Criminal				
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Criminal Total
Investigations Opened	35	36	33	31	135
Completed and Referred					
2006 Cases Only	2	19	16	27	64
Cases Prior to 2006	37	22	21	12	92
Total	39	41	37	39	156
Ratio of Opened : Completed Investigations	.90 : 1	.95 : 1	.89 : 1	.79 : 1	.87 : 1

INVESTIGATIONS - PRODUCTIVITY & QUALITY	Administrative and Criminal				
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Total
Administrative & Criminal Investigations Opened Total	188	207	215	163	773
Administrative & Criminal Completed & Referred Total	189	202	223	208	822
Ratio of Opened : Completed Investigations	.99 : 1	1.02 : 1	.96 : 1	.80 : 1	.94 : 1

# 2006 Investigations Completed vs. Opened in



# EAPT/HA/ERO Discipline-Performance Measures

EAPT WORKLOAD	Total #	Percentage of Total	Percentage Change	Average Days
Completed Investigations				
EAPT Designated				
First Adverse Action				
FIRST CONFERENCE (EAPT)	Total #	Percentage of Total	Percentage Change	Average Days
Status of Limitation Determinations Within 21 Calendar Days of Assignment				
Status of Limitations Determinations Exceeding 21 Calendar Days of Assignment				
Average Days to Conduct First Conference				
Average days to contact investigator & BIR (within 21 calendar days)				
FIRST DRAFT REVIEW (EAPT)	Total #	Percentage of Total	Percentage Change	Average Days
Investigative Report Reviews Within 21 Calendar Days				
Investigative Report Reviews Exceeding 21 Calendar Days				
Average Days to Conduct First Draft Investigative Report Reviews				
HA WORKLOAD	Total #	Percentage of Total	Percentage Change	Average Days
Investigative Findings on Final Report Within 14 Calendar Days of Receipt				
Investigative Findings on Final Report Exceeding 14 Calendar Days of Receipt				
Average Days to Complete Findings				
Cases Resulting in Adverse Action (403 Forms)				
Cases Resulting in Corrective or Other Action (No 403 Form Result)				
Number of Cases Resulting in Executive Review				

NOTE: Above numbers will be greater than number of cases noted by EAPT. Not all cases are "VA Designated"

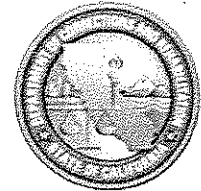
SKELLY PROCESS (HA)	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Skelly Hearings Waived by Employee				
Skelly Hearings Requested by Employee				
Number of Resignations in Lieu of Discipline				
SKelly Officer Recommendations	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Proceed Without Modification				
Amend, Modify, or Reduce Penalty				
Withdraw Notice of Adverse Action				
Conduct Additional Investigation				
Penalty Changed between service & effective date				
Settlements (EAPT/HA)	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Skelly Hearings Suspended for Settlement Negotiations (CDCR Form 3029)				
Settlement Agreements Prior to SPB Form 3021				
POST SKELLY PROCESS (HA)	Total #	Percentage of Total of all NAA's Served	Percentage Change	Average Days
Cases Appealed to SPB				
Cases Settled at SPB				
Cases Modified by SPB				
Cases Revoked by SPB				
SPB Decisions Appealed by the CDCR				



## **Next Steps**

- ▶ **CMS 3.0 Implementation**
- ▶ **Data Breakouts for Hiring Authorities, Managers, Customers**
  - E.g. case aging and statute reports for each institution, region, mission, etc. Trend reports on UOF allegations, retaliation complaints, etc.
- ▶ **Refine Measures – Explore others**
  - E.g. # of grievances filed citing due process errors, # of SPB modifications citing due process errors
- ▶ **Set Targets for Performance**
- ▶ **Collaborate with EAPT to develop similar set of measures for discipline side**
- ▶ **OIA Region & Team Specific Performance**

# EXHIBIT 8



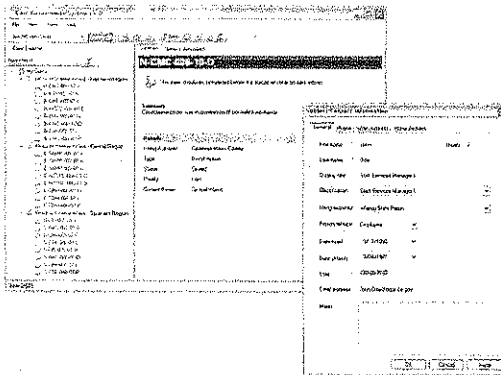
OFFICE OF INTERNAL AFFAIRS

# Case Management System v3.0

The Case Management System is a revolutionary tool for managing Adverse Personnel Actions (APA). CMS has been reengineered from the ground up to provide reliable and accurate APA tracking from start to finish. New features promote greater collaboration between individuals involved in investigations, discipline, and legal advocacy. A streamlined user interface helps professionals complete tasks quickly and efficiently.

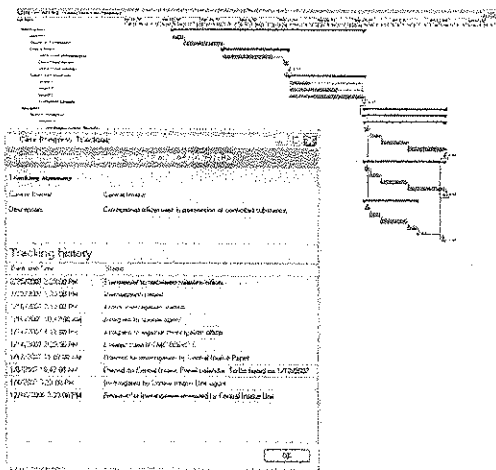
## Redesigned user interface

- Easily browse through cases. Check case statuses at a glance using a redesigned user interface.
- Make data entries. Use streamlined editors to enter data quickly and efficiently.



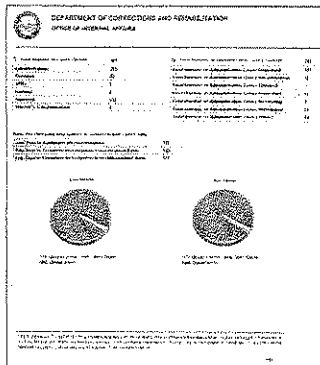
## Improved case tracking tools

- Track case progress. Use several new case tracking features to obtain real-time case statuses.
- Visual case progress. Use graphical case summary tools to identify potential problems.



## Enhanced reporting structure

- Take advantage of integrated reports. Enhanced reporting features are designed to give users confidence in the case information they are responsible for.
- Access improved management reports. New reports will help executives and managers identify trends and stay on top of critical cases.



## Available in 2007!

CMS v3.0 includes:

**NEW** – *Reengineered Platform* migrate cases in a new, speedy and stable environment that maximizes the benefits of the latest technologies.

**NEW** – *Management Reports* access a host of executive and management reports.

**NEW** – *Case Wizards* get step-by-step help accomplishing complex tasks.

**NEW** – *Online Help* find answers to your questions using integrated help.

**Employee Relations Officer support includes:**

**NEW** – *Penalty History* maintain a history of penalty modifications throughout the disciplinary process.

**NEW** – *ERO Log* make electronic log entries.

**NEW** – *APA Review Log* document Warden ERO APA file review dates and meetings.

**NEW** – *Statute of Limitation Date Warnings* receive electronic notifications when a case is within 60-90 days of violating the statute of limitation date.

**NEW** – *Designated Case Tracking* follow cases monitored by the Bureau of Independent Review and Legal Affairs.

Important: This document is for review only. Do not publish.

**Case Management System Versions** v1.60 v3.0

**Compliance**

[Faded content]

**General Support**

[Faded content]

**Disciplinary Support**

[Faded content]

**Software Security**

[Faded content]

**System requirements**

To use the Case Management System, you need:

- A completed CMS Security Agreement
  - CDCR standard workstation
- OR
- PC with Pentium III or higher processor
  - Windows 2000 Professional, Windows XP or later operating system
  - 254 MB of RAM
  - Microsoft Office 2000 or later

Visit the Office of Internal Affairs website at [\[CIA WEBSITE LINK\]](#)

Email: [cms.support@cdcr.ca.gov](mailto:cms.support@cdcr.ca.gov)

Important: This document is for review only. Do not publish.

# EXHIBIT 9

**Bureau of Independent Review  
 Assessment Results of CDCR's Investigations, Hiring Authorities, Advocacy, and Case Dispositions  
 January 2007 to June 2007**

**CRIMINAL & ADMINISTRATIVE CASES COMBINED**

	INVESTIGATIONS		INVESTIGATION TOTAL	INVESTIGATION %
	CRIMINAL	ADMINISTRATIVE		
Green	32	98	130	59.63%
Yellow	8	67	75	
Red				5.96%
Subtotal	41	177	218	93.97%
* Not Evaluated	0	14	14	6.03%
Total	41	191	232	100.00%

	ADVOCACY		ADVOCACY %
	ADVO	ADVO	
Green	19		14.39%
Yellow	48		
Red	63		49.24%
Subtotal	132		56.90%
* Not Evaluated	100		43.10%
Total	232		100.00%

	HIRING AUTHORITY		HIRING AUTHORITY %
	HIRING AUTHORITY	HIRING AUTHORITY	
Green	104		60.47%
Yellow	61		
Red			4.07%
Subtotal	172		74.14%
* Not Evaluated	60		25.86%
Total	232		100.00%

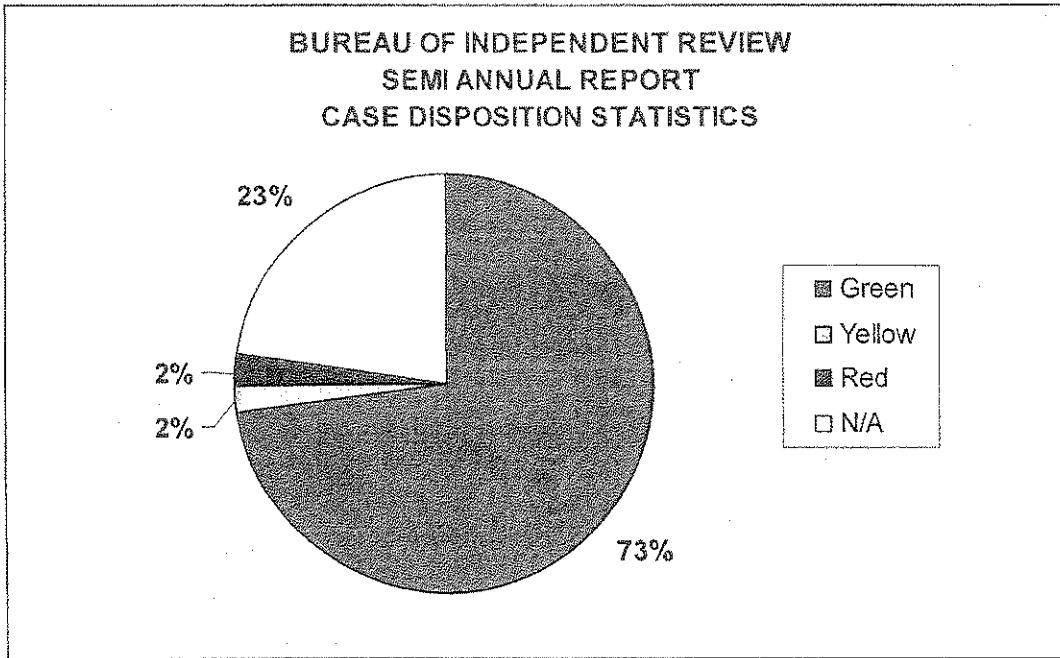
	CASE DISPOSITION		DISPOSITION %
	DISPO	DISPO	
Green	179		93.72%
Yellow	6		
Red	47		3.14%
Subtotal	191		82.33%
* Not Evaluated	41		17.67%
Total	232		100.00%

\* Cases are deemed "Not Evaluated" if the case is criminal or if an insufficient number of questions are answered to adequately rate the case

① Overall - 6.28%  
 in compliance  
 ② One half of that 6.28%  
 however - were "in compliance"  
 B/R





# EXHIBIT 10

OVERVIEW OF CASE DISPOSITIONS (JULY-DEC, 2006)



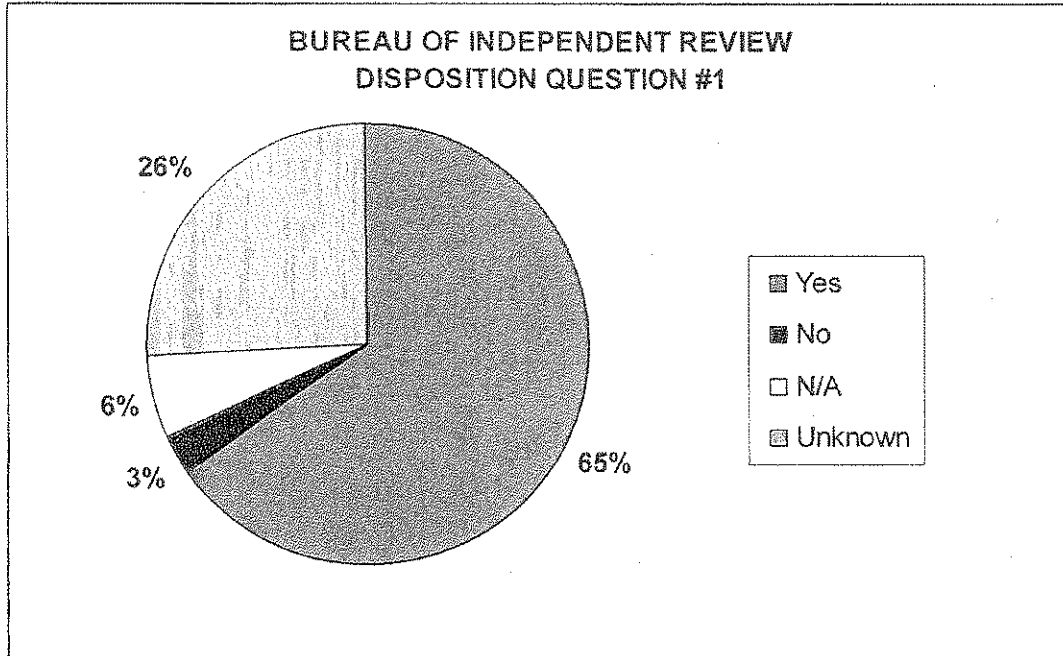


## OVERVIEW OF CASE DISPOSITIONS (JULY-DEC, 2006)

Symbol	Rating Explanation
	Given the totality of circumstances, the disposition of the case was reasonable and substantially consistent with the bureau's recommendations.
	Given the totality of circumstances, the disposition of the case was unreasonable and inconsistent with the bureau's recommendations.
	<p>Given the totality of circumstances, the initial disposition of the case was unreasonable and inconsistent with the bureau's recommendations but later rectified as a result of executive review;</p> <p>or</p> <p>The case eventually resulted in a finding that there was insufficient evidence of misconduct. However, had actionable misconduct been found, no action could have been taken because the time for a prosecutor to file charges (in a criminal case) or for the department to take disciplinary action (in an administrative case) expired before the case was resolved.</p>
	The case monitored was a criminal case so there were no administrative charges, findings, or penalties imposed by the department for the bureau to assess.

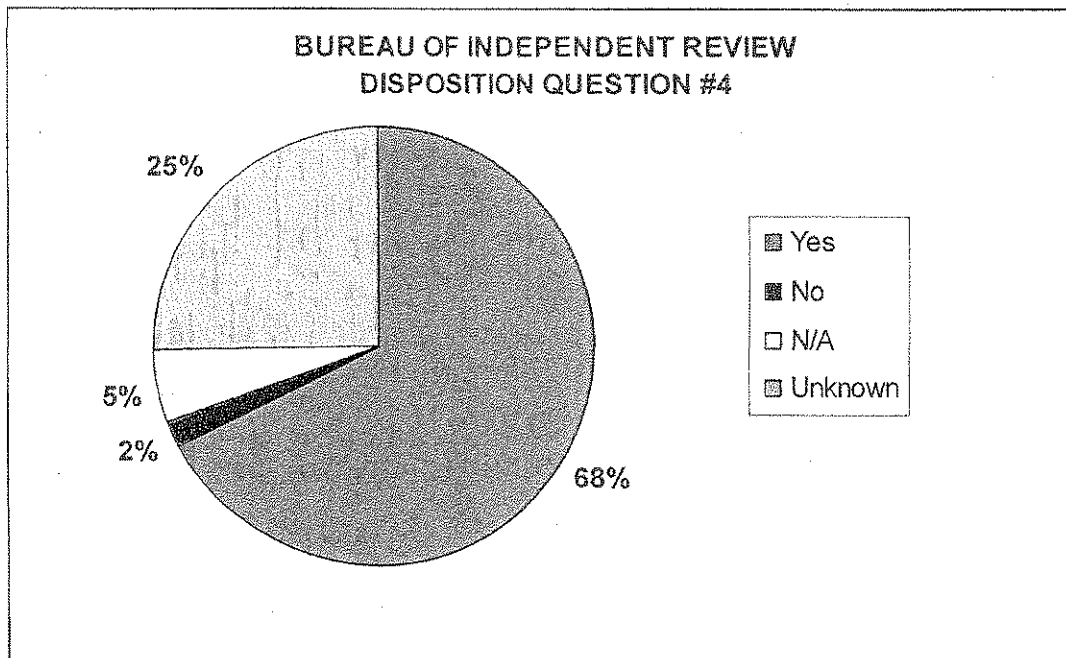
## OVERVIEW OF CASE DISPOSITIONS (JULY-DEC, 2006)

When reviewing the investigation, did the initial HA identify all the appropriate disciplinary charges based on the evidence?



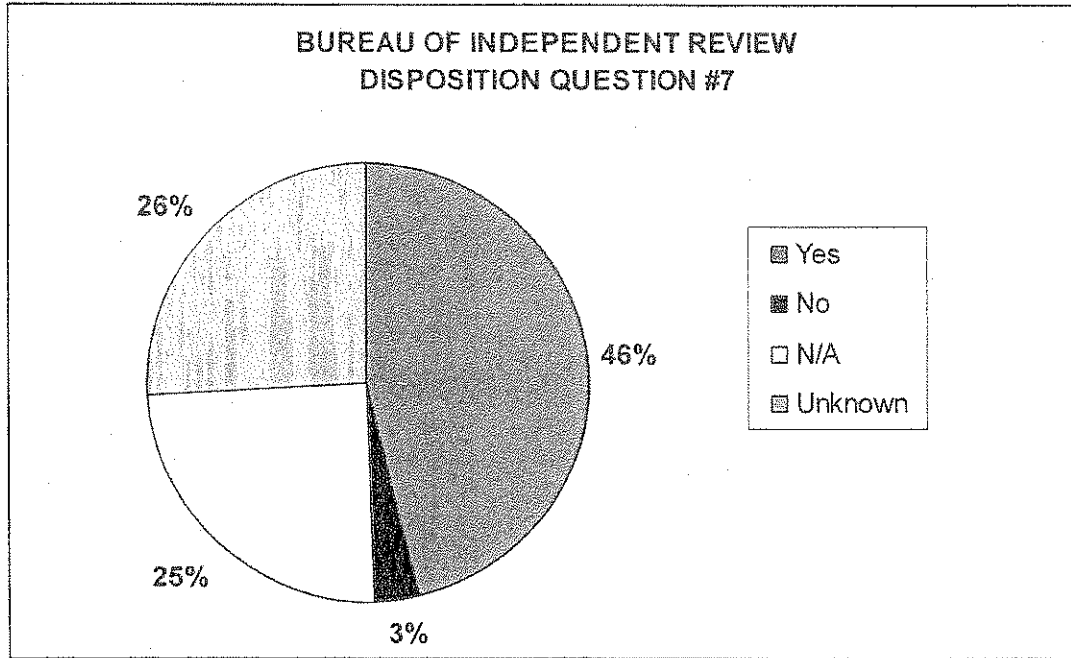
## OVERVIEW OF CASE DISPOSITIONS (JULY-DEC, 2006)

Did the initial HA appropriately determine the findings of each disciplinary charge (i.e. "No Finding," "Not Sustained," "Unfounded," "Exonerated," or "Sustained")?



**OVERVIEW OF CASE DISPOSITIONS (JULY-DEC, 2006)**

Did the initial HA select the appropriate level of discipline (i.e. consistent with the Employee Disciplinary Matrix)?



## OVERVIEW OF CASE DISPOSITIONS (JULY-DEC, 2006)

If the case was settled prior to the filing of an appeal with SPB, were the terms of the settlement agreement unreasonable, given the totality of circumstances?

