



## 1-32 Compliance Division

### Policy Index

- 1-32-1 [Purpose](#)
- 1-32-2 [Policy Statement](#)
- 1-32-3 [Definitions](#)
- 1-32-4 [General Information](#)
- 1-32-5 [Compliance Section](#)
- 1-32-6 [Implementation Unit](#)
- 1-32-7 [Performance Metrics Unit](#)
- 1-32-8 [Creating an Audit](#)
- 1-32-9 [Executing an Audit](#)
- 1-32-10 [Performance Review Section](#)

### [Appendix: Audit Plan Template](#)

#### 1-32-1 Purpose

This policy outlines the duties, functions, and responsibilities of the Compliance Division.

#### 1-32-2 Policy Statement

The Compliance Division is responsible, by the authority of the Chief of Police, for ensuring APD continues to progress as an organization. The Compliance Division is a centralized division for process development, project management, auditing and assessment functions, information about improvement activities and Level one uses of force and shows of force case review activities.

The Compliance Division is committed to promoting officer safety and accountability, constitutional, effective policing and high-quality police services that comply with the Constitution and laws of the United States. The Division will provide the personnel of the Albuquerque Police Department with oversight, guidance, accountability and transparency in continuous improvement efforts throughout the department.

#### 1-32-3 Definitions

##### A. Assessments

An objective review of department facilities, property, evidence items/storage, equipment, personnel and administrative and operational activities outside the normal supervisory and line inspection procedures and the chain of command.

##### B. Audits



Audits generally fall into three categories: financial, attestation (process of validating that something is true) and compliance/performance audits. Conducted internally both at random or directed by the Performance Metrics Unit.

C. Auditor

A term to describe an individual, regardless of job title, performing work in accordance with Generally Accepted Government Auditing Standards (GAGAS) within the Performance Metrics Unit.

D. Court Approved Settlement Agreement (CASA)

In 2014, the United States of America and the City of Albuquerque entered into an agreement, sharing a mutual interest in officer safety and accountability; constitutional, effective policing; and high-quality police services. The APD must abide by the CASA in its improvement efforts.

E. Organizational Process Assets

Plans, processes, policies, procedures, and knowledge bases specific to and used by the performing organization. These assets influence the management of the project.

F. Problem Solving Process

The process of working through details of a problem to reach a solution. Problem solving may include mathematical or systematic operations and can be a gauge of critical thinking skills.

G. Project Leads

The responsible personnel assigned to specific projects. This person can identify team members to assist in the project; however, held accountable for the project(s).

H. Project Sponsor

Generally accountable for the development and maintenance of the project and provides resources, helps resolve escalated issues, approves scope changes, and approves major deliverables, and provides high level direction.

I. Requirement

Represents something that can be met by a product or service and can be used to address a need of the business, person, or group of people. When a specific type of requirement is under discussion, the term requirement is preceded by a qualifier such as a stakeholder, business, or solution.

J. Use of Force related definitions



Refer to [\(SOP 2-55 Use of Force Appendix\)](#)

#### **1-32-4 General Information**

- A. The Compliance Division is separated into two sections: the Compliance Section and the Performance Review Section.
- B. Each Compliance Division section has clearly defined functions, roles and responsibilities, explained below.

#### **1-32-5 Compliance Section**

- A. The Compliance Section is dedicated to Department-wide, continuous improvements and has developed cyclical processes and audit functions to assist in this effort.
- B. The Compliance Section is comprised of two units that have oversight of improvement functions:
  - 1. The Implementation Unit
    - a. The Implementation Unit assists in identifying and designing new processes and/or addressing process-related issues to improve efficiency and effectiveness within a specified area.
  - 2. The Performance Metrics Unit
    - a. The Performance Metrics Unit performs audit and assessment functions including auditing, evaluation, analysis and reporting on a variety of Departmental operations.
- C. Each Compliance Section unit has clearly defined functions, duties and responsibilities, explained below.
- D. The Compliance Section Lieutenant
  - 1. Responsible for managing personnel assigned to the Implementation Unit and the Performance Metrics Unit.
  - 2. Assists in the oversight of departmental improvement functions.
  - 3. Has sole authority to initiate audits.
  - 4. Reviews and approves audit reports.
  - 5. Assists in reporting development and progress of departmental improvement functions.



6. Communicates with department personnel, other government entities, civilian groups, legal representatives on departmental data, updates, and other information.
7. Assists in drafting legal documents and presentations provided to departmental personnel, representatives and the citizen of the City of Albuquerque.

### 1.32.6 Implementation Unit

- A. The Implementation Unit establishes a standard, Department-wide approach for business processes to ensure successful delivery of project outcomes aligned with organizational strategic priorities.

The Implementation Unit shall work with Departmental personnel to define the current state of business operations and processes, identify opportunities for improvement and make recommendations in support of the Mission, Vision, and Strategic Goals of the Albuquerque Police Department.

B. Implementation Unit Manager

1. Supervises the personnel assigned to the Implementation Unit.
2. Ensures data requests and submissions are routed to the appropriate departmental personnel in a timely manner.
3. Serves as the liaison between the Compliance Section Lieutenant and project leads and external entities such as the Police Oversight Board (POB) policy subcommittee and Citizen Police Oversight Agency (CPOA).
4. Serves as the OPA Coordinator for the policy development process.
5. Leads process improvement and/or problem solving efforts with internal and external stakeholders.
6. Responsible for reporting unit activity in a Monthly Status Report to the Compliance Section Lieutenant by the Seventh of every month. If the seventh falls on a non-work day, the report will be submitted the next business day.

7

C. Business Process Analysts Roles and Responsibilities

1. Assists with assigned process improvement initiatives with input from internal and external stakeholders using a defined problem-solving model.
2. Organizes and facilitates meetings to collect and document requirements for the respective process improvement initiative.
3. Creates process workflows modeling in order to gain an understanding and make recommendations for process improvements.
4. Tracks progress for assigned project or process improvement initiatives through the use of a task management tool.

7



5. Assists with the identification of issues and risks associated with business processes. Propose solutions for such issues and risks. Escalate issues and risks to management as appropriate.
6. Assists with developing Department policies and procedures and make recommendations as needed and appropriate for respective business operations to ensure adherence to local, state or federal mandates.
7. Consults with the Performance Metrics Unit to provide feedback on internal controls proposed as new processes and or procedures are developed.
8. Receives final audit reports from the Performance Metrics Unit to review and determine if business processes need to be re-evaluated. This information will be reported on the Monthly Status Report for the Implementation Unit.
9. Archives relevant documents to be used as organizational process assets.
10. Provides a Monthly Status Report to the Implementation Unit Manager by the third of every month. If the third of the month falls on a non-work day, the report will be submitted by the next business day.

7

#### D. Office of Policy Analysis

##### 1. SOP Liaison

Responsible for maintaining the Department Standard Operating Procedures manuals, distributing any revision that affects such manual and oversight of the web-based policy, procedure management system and of APD's website as it pertains to Department policies.

- a. Formats draft SOPs for presentation to OPA and PPRB.
- b. Posts OPA Agenda and draft SOPs on the City website two business days before the scheduled OPA meeting.
- c. Posts OPA agenda minutes two business days following the OPA meeting.
- d. Updates policies on the City website with effective date, annual review date and status if undergoing amendment or under development.
- e. Sends policies for publication on the City's website to the City's webmaster within one business day of approval by the Chief of Police and in conjunction with the publication on PowerDMS.
- f. Maintains published calendar of OPA meetings on the City's website.
- g. Provides a Monthly Status Report to the Implementation Unit Manager by the third of every month. If the third of the month falls on a non-work day, the report will be submitted by the next business day.

7

7

7

##### 2. OPA Coordinator/Chairperson

Responsible for oversight of the Office of Policy Analysis by facilitating meetings, guiding and leading discussions at OPA, preparing responses to



SOP Recommendations for the Chief's signature, and updating the Policy Development Process handbook as needed.

### 1.32.7 Performance Metrics Unit (PMU)

- A. The PMU is responsible for ensuring independent and objective review of procedures and practices to proactively identify risk for the department. To accomplish this, the PMU coordinates and conducts audits in accordance with the Generally Accepted Government Auditing Standards (GAGAS) and assessments. The unit is charged with reporting recommendations or observations identified by audits and assessments.

*Exception: Line inspections and video review shall be handled by unit/squad sergeants and by the Performance Review Unit.*

- B. In order to maintain independence and objectivity, the PMU function has no direct responsibility or any authority over the activities or operations that are subject to review, nor should the PMU develop or install procedures, prepare records or engage in activities that would normally be subject to review. However, the Implementation Unit may consult the PMU when new systems or procedures are designed to ensure they adequately address internal controls.

4

- C. Threats to Independence may be attempts by management, staff, elected officials, or others outside the PMU, to interfere with or limit the scope of audit work. Auditors who encounter internal or external efforts to interfere with or limit the scope of audit work while conducting an assignment must immediately notify the Performance Metrics Manager, who will attempt to resolve any issues. The interference, if not resolved, will be evaluated for severity of the threat, noted in the work papers and disclosed in the scope section of the audit report.

- D. The Compliance Division Lieutenant has the sole authority to initiate audits.

- 1. The Performance Metrics Manager will submit a list of audits to the Compliance Division Lieutenant each December that are planned for the upcoming year for review and approval. The Lieutenant may also delegate this approval to a designee. The list is subject to change based on needs and priorities throughout the year.

4

- E. The PMU shall have full and unrestricted access to all department functions, data, records (manual or electronic), physical property and personnel who may be relevant to an audit, unless specifically authorized in writing by the Chief of Police for matters of homeland security requiring a security clearance. All documentation and information given to auditors during an engagement will be handled confidentially in accordance with GAGAS and department policy.



F. Sources that initiate audits, include but are not limited to;

1. Requests by division commanders.
2. Requirements and responsibilities to the Court Approved Settlement Agreement.
3. Internal SOP requirements.
4. Statutory requirements.
5. Other external requirements.

G. Types of evidence collected for audits:

1. Physical evidence. Obtained through observation and inquiry.
2. Testimonial evidence. Based on interviews and statements from involved persons.
3. Documentary evidence. Consists of legislation, ledgers, reports, minutes, memoranda, contracts, extracts from accounting records, formal charts and specifications of process maps, systems design, or operational structure.
4. Analytical evidence. Secured by analysis of information collected by the auditor.

H. Roundtable Discussions

1. Roundtable discussions are non-adversarial in nature and for the purpose of discussing issues identified during the audit or providing review of the draft findings. Any issues of concerns, which cannot be reconciled during a roundtable discussion between the auditor and the affected command staff, will be forwarded to the Compliance Division Lieutenant, Compliance Division Commander, or the Compliance Deputy Chief of Police for resolution.
2. The affected commander(s) may request to have a roundtable discussion during three stages of the audit:
  - a. Pre-audit  
After the initial notification is sent and before the audit begins.
  - b. Post-audit  
After the analysis is complete and results are in, but before the audit report is drafted.
  - c. Closing  
After the audit report is drafted and before it is finalized by the Compliance Division Lieutenant and Compliance Division Commander.



3. The Performance Metrics Manager may, at any stage of the audit, decide to have a roundtable discussion with the lead auditor and the affected command staff.

6

I. If an audit report includes recommendations, a formal response with an action plan is required from the affected commander(s), including target dates for implementation for the recommendation to the PMU within 15 calendar days after receiving a copy of the audit report. The affected unit will forward a copy of the final response to the Implementation Unit Manager.

J. Records Retention and Peer Reviews

1. The PMU will retain and archive all documentation of audits for 10 years.
2. The PMU will use a recommendation tracking matrix to compile all recommendations and their corresponding units/squads for reporting purposes.
3. The PMU will be peer reviewed by an independent external department or organization every three years.

K. Duty to Report. In the event that a serious or criminal violation by personnel is brought to an auditor's attention, the auditor will notify the Performance Metrics Manager immediately and the affected commander in writing.

**1-32-8 Creating an Audit**

A. When creating an audit plan, auditors will use the audit plan template. The template contains the following elements:

1. Audit Agenda
2. Audit Plan
3. Audit Program
4. Work Papers
5. Audit Report to include recommendations, if any
6. Managers response (excluded if there are no recommendations)

B. Each audit receives a category assignment. Audits fall into one of the following categories. These categories are listed as checkboxes on the audit plan template:

1. Single  
This is a one-time audit.
2. Recurrent  
This type of audit is executed multiple times a year and may be random or directed. Only one recurrent audit agenda and plan is necessary to cover the multiple audits for the year.
3. Amendment





This type of audit uses the date from a previously completed audit to complete different, usually more specific objectives.

C. Set Format for Audit Report Numbering

Audit report numbers will appear in this format: 18 – AU001

18 -- AU 001  
[Year] – [Type] [Report#]

Types: AU = Audit

Recurring audits may have two report numbers that are not sequential, for example, 18-AU003 and 18-AU0015. The first audit report number was the third audit generated by the PMU for the year. The accompanying report number indicates the fifteenth audit of the year, although it is the same audit.

**1-32-9 Executing an Audit** ([see Process Map of an Audit](#))

A. Performance Metrics Manager

1. Logs the audit, assigns an audit report number and a lead auditor, and places the audit on the calendar.
2. Meets with the lead auditor to determine logistical needs, audit agenda, and the notification date.

B. Auditor

1. Sends notification e-mail(s) to include the audit agenda. If requested, a roundtable discussion is conducted.
2. Collects responses and information needed for field work and analysis.
3. Conducts field inspections and interviews, if necessary.
4. Prepares rough draft of findings based on supporting evidence. If requested, a roundtable discussion is conducted to present draft findings and results.
5. Forwards the draft audit report with revisions (if any) to the manager. If requested, a roundtable discussion is conducted.

C. Performance Metrics Manager

1. Reviews the audit report and returns it for additional work or correction.  
OR  
Forwards the report to the Compliance Division Lieutenant.

D. Lieutenant



1. Reviews the audit report and returns it for additional work or correction.  
OR  
Discusses the report with the Compliance Division Commander prior to returning it to the auditor to be released  
OR  
Permits the report to be released to the affected division's command for review.

7

E. Auditor

1. Distributes the final audit report and collects responses (14 calendar days).
2. Prepares the audit report, incorporating the command review responses.
3. Forwards the audit report for additional work or correction.  
OR  
Forwards the audit report to the Performance Metrics Manager.

F. Performance Metrics Manager

1. Review and returns it for additional work or correction.  
OR  
Signature of approval and forwards the audit report to the Compliance Division Lieutenant.

G. Lieutenant

1. Review and returns it for additional work or correction.  
OR  
Signature of approval and forwards the audit report to the Compliance Division Commander.

H. Commander

1. Reviews and returns it for additional work or correction.  
OR  
Signature of approval for the final audit report and forwards it to the manager and lieutenant.

I. Auditor

1. Distributes the final report to the command staff and the Implementation Unit Manager electronically.
2. Updates the audit log and recommendations tracking matrix.
3. Archives the reports, work papers, both electronic and hardcopy.



J. Performance Metrics Manager

1. Prepares a monthly summary of the activities and updates for the Lieutenant.

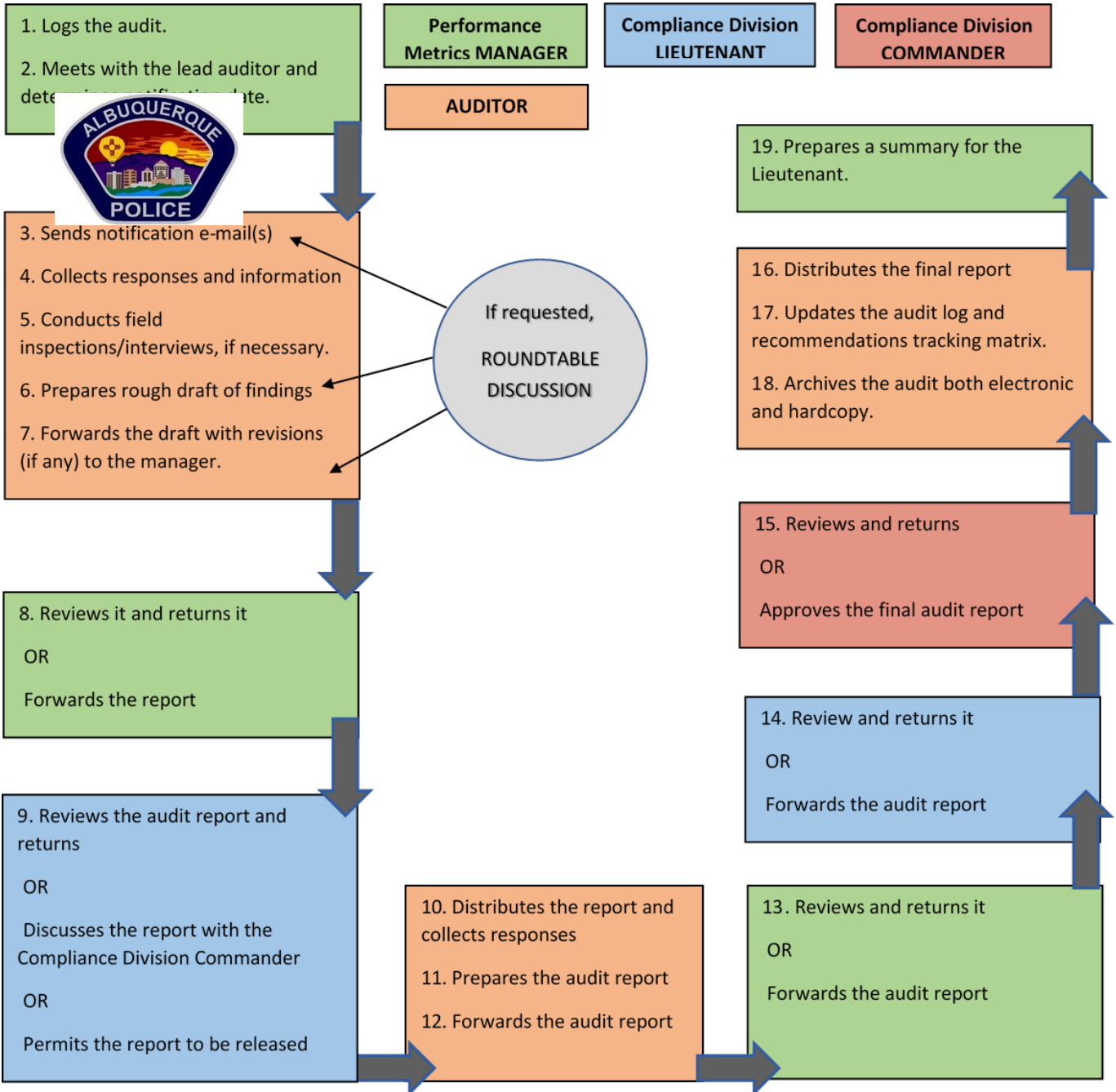
**PROCESS MAP OF AN AUDIT**



ALBUQUERQUE POLICE DEPARTMENT  
COMPLIANCE BUREAU ORDERS

SOP 1-32

OPA Draft as of 7-12-18



**APPENDIX: AUDIT TEMPLATE**

ALBUQUERQUE POLICE DEPARTMENT



## PERFORMANCE METRICS UNIT AUDIT AGENDA

|   |                                   |                            |
|---|-----------------------------------|----------------------------|
| <b>Audit Subject/SOP:</b>   | <b>Audit Number:</b>              | <b>Date:</b>               |
| <b>Unit/Division, Audited Entity:</b>   | <b>Commander, Audited Entity:</b> |                            |
| <b>Lead Auditor:</b>  | <b>Lead Auditor Phone:</b>        | <b>Lead Auditor Email:</b> |
| <b>Audit Category Assignment:</b>   |                                   |                            |
| <input type="checkbox"/> SINGLE <input type="checkbox"/> RECURRENT <input type="checkbox"/> AMENDMENT |                                   |                            |
| <b>Notice Date:</b>   | <b>Notice To:</b>                 |                            |
| <b>Audit Notification:</b>  |                                   |                            |
|   |                                   |                            |
| <b>Performance Metrics Manager Signature:</b>   |                                   | <b>Date:</b>               |
|   |                                   |                            |
| <b>Compliance Division Lieutenant Signature:</b>  |                                   | <b>Date:</b>               |
|   |                                   |                            |



|                            |   |                                   |
|----------------------------|---|-----------------------------------|
| <b>Audit Subject/SOP:</b>  | <b>ALBUQUERQUE POLICE DEPARTMENT COMPLIANCE BUREAU ORDERS</b> |                                   |
| <b>SOP effective date:</b> | <b>Last Compliance Audit:</b>                                 | <b>Commander, Audited Entity:</b> |
|                            |   |                                   |



Gain an understanding:

Review SOP X-XX [enter SOP title].

Visit with the following individual(s) and areas to gain an understanding of the area under review and internal controls in place that mitigate risk.

- Name of point of contact, title of POC, e-mail of POC

Develop fieldwork steps based on high risk areas assessed in SOP X-XX

Ask [enter POC name] what they would consider to be high risk areas addressed in SOP X-XX . Would they recommend auditors place particular emphasis and/or perform additional work in any given area? Could there be ways to commit fraud, breach confidentiality, or abuse as it relates to SOP X-XX?

**FIELDWORK:**

Criteria Under Audit:

Testing:

Testing Metrics:

Results:

Conclusion:

Recommendation(s):

---

**ALBUQUERQUE POLICE DEPARTMENT  
PERFORMANCE METRICS UNIT  
AUDIT REPORT**

|                           |                      |              |
|---------------------------|----------------------|--------------|
| <b>Audit Subject/SOP:</b> | <b>Audit Number:</b> | <b>Date:</b> |
|---------------------------|----------------------|--------------|



**ALBUQUERQUE POLICE DEPARTMENT  
COMPLIANCE BUREAU ORDERS**

SOP 1-32

**OPA Draft as of 7-12-18**

|                        |  |                            |
|------------------------|--|----------------------------|
| Last Compliance Audit: |  | Commander, Audited Entity: |
| TO:                    |  | FROM:                      |
|                        |  | Cc:                        |
|                        |  |                            |

**RECOMMENDED ACTIONS:**

| REC # | Recommendation |
|-------|----------------|
|       |                |
|       |                |
|       |                |
|       |                |

**TABLE OF CONTENTS**

1. Purpose
2. Prior Audits
3. Summary of Findings
4. Methodology
5. Detailed Findings

**PURPOSE**

**PRIOR AUDITS**

**SUMMARY OF FINDINGS**

**METHODOLOGY**

**DETAILED FINDINGS**

**MANAGEMENT RESPONSE**

|                                       |              |
|---------------------------------------|--------------|
| <b>Performance Metrics Manager</b>    | <b>Date:</b> |
|                                       |              |
| <b>Compliance Division Lieutenant</b> | <b>Date:</b> |
|                                       |              |
| <b>Compliance Division Commander</b>  | <b>Date:</b> |
|                                       |              |

**1.32.10 The Performance Review Section**

- A. The Performance Review Section is responsible for the comprehensive reviews of Show of Force and Level One Uses of Force. The purpose is to ensure Level One Use of Force and Show of Force investigations are properly reported and categorized in accordance with the Department's three-tier classification system. (Refer to SOP 2-53 Use of Force Definitions)



- B. The Performance Review Section reviews will determine if supervisors are accurately classifying the level of force and whether each involved officer's conduct was legally justified and complied with APD policy. This additional layer of review will ensure that missing shows of force or additional uses of force do not go unreported. Strengths and weaknesses identified from these reviews will be used to assist with recommendations for Department policy, training, supervision, tactics and equipment.
- C. Performance Review Unit
1. Performance Review Unit Lieutenant
    - a. Responsible for managing personnel assigned to the Performance Review Unit.
    - b. Ensures complete and thorough reviews of Level One Shows and Uses of Force.
    - c. Identifies any additional training, supervisory tactical, equipment, or policy needs of Level One Shows and Uses of Force.
    - d. The Administrative Lieutenant for the Force Review Board (FRB).  
[\(Refer to SOP 2-56-Force Review Board\)](#)
  2. Performance Review Unit (Sworn Personnel)
    - a. Responsible for the reviews of Level One Shows and Uses of Force.
    - b. Ensures findings from the reviews of Level One Shows and Uses of Force are supported by the preponderance of evidence.
    - c. Identifies patterns and trends from Level One Shows and Uses of Force for future Department training needs.
    - d. Ensures all issues identified in the review of Level One Shows and Uses of Force are documented and referred to the Performance Review Unit Lieutenant.
  3. Video Review Unit (Civilian Staff)
    - a. Reviews On-Body Recording Device (OBRD) regarding Level One Shows and Use of Force investigations.
    - b. Identifies incidents of Level One Shows and Uses of Force and any potential policy outliers.
    - c. Reviews police reports regarding Shows and Uses of Force in conjunction with OBRD footage to extract pertinent facts to aid Performance Review Personnel.
    - d. Identifies and bookmarks specific segments of OBRD footage.
    - e. Submits a video review form to Performance Review Unit Personnel to aid in their review.





4. Administrative Personnel (Civilian Staff)

- a. Performs a variety of highly responsible and complex administrative support functions and assist in daily correspondence, scheduling, and documentation between the Performance Review Unit, additional specialized units, and outside agencies.
- b. Reviews, researches, and summarizes a variety of administrative information pertinent to the Compliance Bureau's objectives.
- c. Prepares agendas, sends out calendar invites, and assists with case distribution for the Force Review Board (FRB).
- d. Tracks referrals, keeps minutes and other course of business documentation originating from each FRB meeting.

D. Responsibilities of the Performance Review Unit

To conduct complete and thorough reviews of Level One Shows and Uses of Force to ensure findings are supported by the preponderance of the evidence. Trends, patterns, supervisory issues, and/or policy needs will be identified for future training needs. The following constitutes Level One Reviews:

1. Show of Force Investigations
2. Level One Use of Force Investigations [\(Refer to SOP 2-55 Use of Force Appendix\)](#)
3. Deployment of chemical munitions and Noise Flash Diversionary Devices (NFDD) as a use of force option by the Tactical Team or Emergency Response Team [\(Refer to Department Special Order 18-51-Use of Chemical Munitions and Noise Flash Diversionary Devices\)](#)
4. Conduct a random sample review of completed Level Two and Three Use of Force Investigations from the Internal Affairs Force Division as part of the auditing review process.