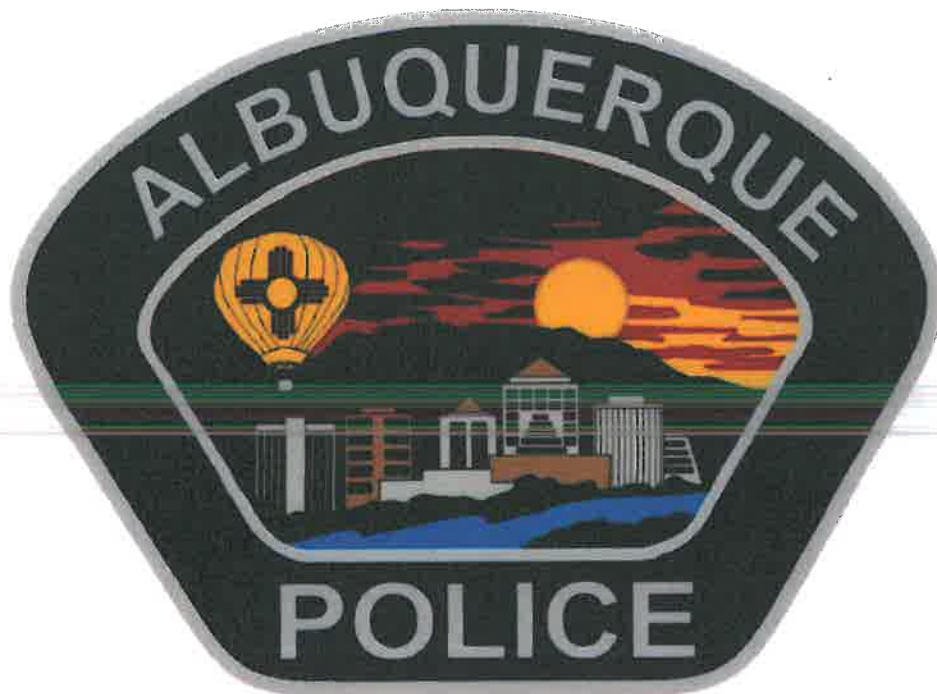


Albuquerque Police Department
BACKGROUND
INVESTIGATIONS AUDIT



Conducted by: Audit Division

No. 16-AU002

Gordon E. Eden, Jr.
Chief of Police

November 2016



City of Albuquerque

Albuquerque Police Department



Richard J. Berry
Mayor

Gorden E. Eden, Jr.
Chief of Police

Memorandum

November 30, 2016

To: Gorden E. Eden, Chief of Police

From: Darlene Ortiz, Quality Assurance Auditor *DOO*

Subject: Background Investigations Audit (No. 16-AU002)

Pursuant to SOP 6-2 & paragraphs 237 & 238 of the Department's Settlement Agreement, the Audit Division conducted the Background Investigations Audit to assess compliance with the Department policies and procedures as they relate to background investigations.

RECOMMENDED ACTIONS:

Rec #	Recommendation
A1.1	Ensure that the "Background Investigations Checklist" provided in the background file is completed. Each document included in the file should be checked off and initialed by the assigned Background Investigator.
A1.2	Ensure that all documentation is included in the background file and corresponds to the "Background Investigations Checklist"
A1.3	When a background file is complete, Background Investigators need to verify that the "Recruiting & Personnel Selection Completed Background Selection Report" is included.
A1.4	Verify that during the Employer and Personal Reference interview the Background Investigator asks if the applicant can work with diverse communities, this is a requirement within the CASA paragraph.

Approved: *Gabriel Cruz*
Gabriel Cruz, Quality Assurance Auditor II, Audit Division

1/30/2017
Date

cc: Assistant Chief, R. Huntsman
Executive Director, B. Slauson

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PURPOSE

In accordance with SOP 6-2 and the department's Settlement Agreement, the Audit Division conducted the Background Investigation Audit to assess compliance with policies and procedures for the following paragraphs:

- 237. APD shall continue to require all candidates for sworn personnel positions, including new recruits and lateral hires, to undergo a psychological, medical, and polygraph examination to determine their fitness for employment. APD shall maintain a drug testing program that provides for reliable and valid pre-service testing for new officers and random testing for existing officers. The program shall continue to be designed to detect the use of banned or illegal substances, including steroids.
- 238. APD shall ensure that thorough, objective, and timely background investigations of candidates for sworn positions are conducted in accordance with best practices and federal anti-discrimination laws. APD's suitability determination shall include assessing a candidate's credit history, criminal history, employment history, use of controlled substances, and ability to work with diverse communities.

PRIOR AUDITS

The Background Investigations Audit is the first of its kind for the department and no prior data is available.

SUMMARY OF FINDINGS

TABLE NO. 1- SUMMARY OF AUDIT FINDINGS AND COMPARISON TO PRIOR AUDITS

OBJ. NO.	AUDIT OBJECTIVE	CURRENT STANDARDS MET PERCENTAGE		PRIOR AUDIT ¹ STANDARDS MET PERCENTAGE		PERCENT CHANGE
1	Review candidate background investigation files and verify the file is complete based on the CASA requirements.	31*/32	96%	n/a	n/a	0%

*1 of the 8 completed background file did not indicate if the applicant has the ability to work with diverse communities.

METHODOLOGY

Background

Pursuant to paragraph 237 & 238 of the Department's Settlement Agreement, the Audit Division reviewed 32 background files for Academy Class #116 applicants and assessed compliance with the Department policies and procedures as they relate to the recruiting and selection of academy recruits. All applicable documentation related to the audit objectives was reviewed. A test work paper (matrix) was created to ensure consistent reviews of each sample. The data was compiled and analyzed to determine conclusions and recommendations.

Period

Background file data range for Academy Class #116 is January 8- May 13, 2016.

¹ No prior audits are on record for APD to compare to current findings.

Audit Population and Statistical Sampling

All applicants that successfully passed the testing phase within the time period referenced above are included in the audit population. The total population size was 111 background files. Each background file was assigned a sample number from 1 to 111. The Audit Division utilized a random sampling generation from the following website: www.randomizer.org. The scope was a 95% confidence level using a margin of error of 15%, the sample size selected was 32.

DETAILED FINDINGS

OBJECTIVE NO. 1: CONDUCT AUDIT ON ACADEMY CLASS #116 CANDIDATES BACKGROUND INVESTIGATION FILES.

Criteria

Academy class background files will be audited for each academy class in order to comply with CASA paragraphs 237 & 238,

Audit Procedures

The review of the background files consisted of verifying that each file was thorough, objective, and timely.

Findings

- 24 of the 32 reviewed background files were not complete due to the applicant being removed from the process for various reasons documented in the file.
- 8 of the 32 reviewed background files were complete and were approved to attend the Academy class.
- The document named, "Recruiting and Personnel Selection Completed Background Selection Report" lists if the background investigator specifically asks if the applicant has the ability to work with diverse communities. Of the 8 completed background files, two files did not indicate if the applicant has an ability to work with diverse communities. One of the two abovementioned files did not have the "Recruiting and Personnel Selection Completed Background Selection Report" document, I reached out to the assigned background investigator and upon speaking to the Background Investigator he provided a copy of the document, this action completed the file.

RECOMMENDATIONS

<u>REC NO.</u>	<u>RECOMMENDATION</u>
A1.1	Ensure that the "Background Investigations Checklist" provided in the background file is completed. Each document included in the file should be checked off and initialed by the assigned Background Investigator.
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