



3-53 SELF-ASSESSMENTS

Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):

A. Related SOP(s)

- 1-1 Personnel Code of Conduct (Formerly 1-04 and 1-4)
- 3-30 Line Inspection Process (Formerly 3-42)
- 3-41 Complaints Involving Department Personnel (Formerly 3-22 and 3-43)

B. Form(s)

None

C. Other Resource(s)

United States of America v. City of Albuquerque, No. 1:14-cv-01025 – Document 465 (D.N.M. 2019)

D. Rescinded Special Order(s)

None

3-53-1 Purpose

The purpose of this policy is to outline the rules and responsibilities for Albuquerque Police Department (Department) and Performance Metrics Unit (PMU) personnel when conducting self-assessments.

3-53-2 Policy

It is the policy of the Department to assess compliance, manage projects, and perform self-assessments to ensure that the Department continues to sustain reform efforts.

N/A

3-53-3 Definitions

A. Auditor

An employee authorized to review and verify the accuracy of records and ensures that Department personnel comply with Standard Operating Procedures (SOP).

B. Project Lead

A Department employee assigned as the leader of a specific project and the main point of contact for a self-assessment. The Project Lead identifies team members to assist in the project or self-assessment; however, they are primarily responsible for the project(s) and self-assessment(s).



C. Self-Assessment

An internal inspection by PMU personnel, or the management of Department processes, or the management of unit or division programs that further the mission of the Department.

4 3-53-4 Authority to Conduct a Self-Assessment

A. PMU Personnel

1. By the authority of the Chief of Police, PMU personnel shall:
 - a. Have full and unrestricted access to all Department functions, data, records (manual or electronic), physical property, and personnel who may be relevant to the self-assessment unless specifically authorized in writing by the Chief of Police;
 - b. Be responsible for ensuring independent and objective review of procedures and practices to proactively identify risk for the Department; and
 - c. Report recommendations or observations that have been identified during a self-assessment.
2. In order to maintain independence and objectivity, PMU personnel shall not:
 - a. Have direct responsibility or any authority over the activities or operations that are subject to review; or
 - b. Develop or install procedures, prepare records, or engage in activities that would normally be subject to review.
 - i. Implementation Unit personnel may consult with PMU personnel when new systems or procedures are designed to ensure they adequately address internal controls.

B. PMU Auditor

1. A PMU Auditor who encounters internal or external efforts to interfere with or limit the scope of audit work while conducting a self-assessment shall immediately notify the PMU Manager.
 - a. The PMU Manager shall attempt to resolve the issues.
 - i. If the PMU Manager cannot resolve the issues, they shall evaluate the severity of the threat, and disclose the interference in writing to the Compliance and Oversight Division (COD) Deputy Director.
 - b. The COD Deputy Director shall attempt to mediate any interference in the work performed by PMU and notify executive leadership if unable to remedy.



2. A PMU Auditor shall maintain the confidentiality of all documentation and information that is given to them during a self-assessment in accordance with Department Standard Operating Procedures (SOP).

C. PMU Manager

The PMU Manager shall have the authority to initiate and schedule self-assessments.

6 3-53-5 Initiating a Self-Assessment

N/A A. Executive command staff, including the Chief of Police, may initiate a self-assessment of any area within the Department:

- N/A**
1. Requests to initiate a self-assessment may come from other sources, including, but not limited to:
 - a. As required by an SOP; and
 - b. Other external requirements, such as state rules and regulations.

B. The PMU Manager shall submit to the COD Deputy Director an annual list of self-assessments that are planned for the following year for review and approval.

1. The list of planned self-assessments is subject to change based on the needs and priorities of the Department throughout the year.

C. The PMU Manager shall identify a Project Lead for each self-assessment and shall notify the Project Lead in advance regarding the duration of the self-assessment.

5 D. The Project Lead and all Department personnel who are involved in the self-assessment shall:

1. Cooperate with PMU personnel who are conducting the self-assessment;
2. Collect and submit data and/or records (hardcopy or electronic) as requested by PMU or Implementation Unit personnel; and
3. Respond to self-assessment findings that require a response no later than fifteen (15) calendar days.

7 3-53-6 Data Collection and Responses for Self-Assessments

N/A A. The types of data that are collected for self-assessments, include, but are not limited to:

1. Physical data obtained through observation and inquiry;



2. Testimonial data based on interviews and statements from involved Department personnel;
 3. Documentary data that consists of legislation, ledgers, reports, handbooks, policies, minutes, memoranda, contracts, extracts from accounting records, formal charts, and specifications of process maps, systems design, or operational structure; and
 4. Analytical data collected by a PMU Auditor.
- B. Department personnel shall have fifteen (15) calendar days to respond to any data request from PMU personnel.
- C. The Project Lead shall provide clarification on any data or documents submitted to PMU personnel for the self-assessment.

6 3-53-7 Reporting on Self-Assessment Findings

- A. PMU personnel shall provide the results of a self-assessment to executive command staff.
1. PMU personnel may detail the results from the self-assessment through a report, compliance scorecards, or an Interoffice Memorandum.
 2. When PMU personnel provide the results of the self-assessment through a self-assessment report, they may include recommendations for corrective action as needed.
 - a. If corrective action is needed, PMU personnel shall provide the draft self-assessment report to the Project Lead to develop a corrective action plan to address non-compliant findings.
 - b. The Project Lead shall provide a formal managerial response, including target dates for implementation in response to the corrective action.
 - i. The Project Lead shall submit the managerial response to the PMU Manager within fifteen (15) calendar days.
 - c. The PMU Manager may request from the Project Lead clarification or more details regarding the corrective action the Project Lead has outlined in the draft self-assessment report.
 - d. The Project Lead may document the managerial response within the draft self-assessment report.
 - e. Prior to finalizing a draft self-assessment report that requires a managerial response, PMU personnel shall forward the draft report to the Project Lead for review.
- D. The PMU Manager shall finalize and forward the self-assessment report to the Project Lead, the Implementation Unit Manager, and the COD Deputy Director.



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- E. The COD Deputy Director shall review the report and distribute it to executive command staff.
- F. Implementation Unit personnel shall track all corrective action plans, including the target start and finish dates, within the Department's project management tool.
- G. Duty to Report
 - 1. During a self-assessment, when a PMU Auditor identifies a potential policy violation and/or criminal misconduct by a Department employee, they shall notify the PMU Manager.
 - 2. The PMU Manager shall notify the chain of command as outlined in SOP Complaints Involving Department Personnel (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties).

N/A

REDLINED



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B. Form(s)

None

C. Other Resource(s)

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D. Rescinded Special Order(s)

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assist in the project or self-assessment; however, they are primarily responsible for the project(s) and self-assessment(s).

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 - b. The COD Deputy Director shall attempt to mediate any interference in the work performed by PMU and notify executive leadership ~~if unable to~~ remedy.



2. A PMU Auditor shall maintain the confidentiality of all documentation and information that is given to them during a self-assessment in accordance with Department Standard Operating Procedures (SOP).

C. PMU Manager

The PMU Manager shall have the authority to initiate and schedule self-assessments.

N/A D. ~~Sworn Personnel Supervisors~~

~~Sworn personnel supervisors shall conduct monthly line inspections as outlined in SOP Line Inspection Process (refer to SOP Line Inspection Process for sanction classifications and additional duties).~~

6 3-53-5 **Initiating a Self-Assessment**

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- N/A** 1. Requests to initiate a self-assessment may come from other sources, including, but not limited to:
- a. As required by an SOP; and
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1. The list of planned self-assessments is subject to change based on the needs and priorities of the Department throughout the year.

C. The PMU Manager shall identify a Project Lead for each self-assessment and shall notify the Project Lead in advance regarding the duration of the self-assessment.

5 D. The Project Lead and all Department personnel who are involved in the self-assessment shall:

- 1. Cooperate with PMU personnel who are conducting the self-assessment;
- 2. Collect and submit data and/or records (hardcopy or electronic) as requested by PMU or Implementation Unit personnel; and
- 3. Respond to self-assessment findings that require a response no later than fifteen (15) calendar days.

N/A



~~E. Department personnel who fail to cooperate with PMU personnel may be subject to discipline pursuant to Department SOPs, including, but not limited to SOP Personnel Code of Conduct, and SOP Complaints Involving Department Personnel (refer to SOP Personnel Code of Conduct and SOP Complaints Involving Department personnel for sanction classifications and additional duties).~~

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N/A A. The types of data that are collected for self-assessments, include, but are not limited to:

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4. Analytical data collected by a PMU Auditor.

B. Department personnel shall have fifteen (15) calendar days to respond to any data request from PMU personnel.

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A. PMU personnel shall provide the results of a self-assessment to executive command staff.

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2. When PMU personnel provide the results of the self-assessment through a self-assessment report, they may include recommendations for corrective action as needed.
 - a. If corrective action is needed, PMU personnel shall provide the draft self-assessment report to the Project Lead to develop a corrective action plan to address non-compliant findings.
 - b. The Project Lead shall provide a formal managerial response, including target dates for implementation in response to the corrective action.



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- i. The Project Lead shall submit the managerial response to the PMU Manager within fifteen (15) calendar days.
 - c. The PMU Manager may request from the Project Lead clarification or more details regarding the corrective action the Project Lead has outlined in the draft self-assessment report.
 - d. The Project Lead may document the managerial response within the draft self-assessment report.
 - e. Prior to finalizing a draft self-assessment report that requires a managerial response, PMU personnel shall forward the draft report to the Project Lead for review.
- D. The PMU Manager shall finalize and forward the self-assessment report to the Project Lead, the Implementation Unit Manager, and the COD Deputy Director.
- E. The COD Deputy Director shall review the report and distribute it to executive command staff.
- F. Implementation Unit personnel shall track all corrective action plans, including the target start and finish dates, within the Department’s project management tool.
- G. Duty to Report
1. During a self-assessment, when a PMU Auditor identifies a potential policy violation and/or criminal misconduct by a Department employee, they shall immediately notify the PMU Manager in writing.
 2. The PMU Manager shall notify the chain of command as outlined in SOP Complaints Involving Department Personnel (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties) in writing within twenty-four (24) hours of the potential policy violation and/or criminal misconduct, including any supporting evidence.
 3. The chain of command shall review the potential policy violation and/or criminal misconduct and submit an Internal Affairs Request (IAR) as outlined in SOP Complaints Involving Department Personnel (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties).

N/A

N/A