



ALBUQUERQUE POLICE DEPARTMENT
ADMINISTRATIVE SUPPORT BUREAU ORDERS

SOP 8-2

Effective: 09/08/16 Review Due: 09/08/17 Replaces: 07/13/15

8-2 INSPECTIONS AND AUDIT UNIT

8-2-1 Purpose

This policy describes the functions and procedures of the Inspections and Audit Unit.

8-2-2 Policy

The Inspections and Audit Unit, by the authority of the Chief of Police, is responsible for ensuring that procedures, practices, and members of the department adhere to policy and the shared mission and goals. To accomplish this, the Inspections and Audit Unit coordinates and conducts audit engagements and inspects components of the department as needed. The unit is charged with facilitating proper changes or corrections identified by inspections and audits.

8-2-2 Definition

A. Staff Inspections

Inspections conducted by the Inspections Unit to ensure 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.



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8-2-3 Procedures

N/A

A. Responsibility and Authority

1. Staff inspections are conducted by the Inspections Unit at the direction of the Chief of Police.

2. The Inspections Unit will

- a. Act on behalf of the Chief of Police as a staff investigative body.
- b. Function under the policies and directions established by the Chief of Police.
- c. Have access to all records and any other properties relevant to the performance of an inspection.
- d. Have the authority to review and appraise any policy, order, plan, procedure, or record within the department.
- e. Have the authority to solicit the expertise of additional personnel whenever necessary.
- f. Conduct staff inspections of all organizational components within the department.

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3. Personnel being inspected will:

- a. Cooperate fully with inspection personnel during the execution of an inspection.
- b. Keep all appointments with Inspections personnel.
- c. Make available all records and properties requested by Inspections personnel.
- d. Will not obstruct the inspection process in any manner.

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B. Nature and Types of Inspections

1. Types of Inspections

- a. A general inspection examines a cross-section of operational functions and procedures of a particular unit or command.
- b. A specific inspection is an examination and evaluation of a single function or operational procedure performed either by a single unit or as a process by several units.

2. Nature of Inspections

- a. General and specific inspections are designed to provide concise, objective, and relevant information free of the subjectivity often found in information provided through the normal chain of command.
- b. The focus throughout an inspection is on procedures, effects, and issues; not on personalities.



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- All facts, findings, and recommendations are phrased without reference to particular individuals.
- It must be emphasized that the focus is on improvement rather than fault finding.

c. In the event that a serious or criminal violation by personnel is brought to an inspector's attention, the inspector will:

- Notify the affected commander immediately.

C. Objective of an Inspection:

1. The objective of an inspection is to assist all employees of the management team through independent and objective analysis, review, and evaluation of existing programs, procedures, and activities.

a. A staff inspection reviews programs to determine whether results are consistent with pre-established goals and objectives; and whether programs are being carried out as planned.

b. An inspection is concerned with all phases of department operations and obtaining a thorough understanding of those operations under review.

2. To attain overall objectives, inspections include, but not limited to:

a. Evaluating compliance of rules, regulations, policies, and procedures.

b. The review and appraisal of financial as well as other operational controls.

c. Appraisal of the quality of performance in regard to assigned responsibilities.

d. Evaluating compliance with established plans and programs.

e. Ascertaining the extent to which department resources are accounted for and evaluate safeguards in place to limit losses of all kinds.

D. Response to Inspection Reports

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1. The affected Deputy Chief, Major, Executive Director, Commander, or Division Manager or designee, will respond in writing to the Inspections Unit no later than 30 days after receiving their copy of the inspection report from the Inspections Unit.

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2. Responses to inspection reports will not question the inspection process and/or scope. Responses will either accept or reject that the issue identified during the inspection exists. The recommendation made by the Inspections Unit may then be accepted in whole or in part. Commanders may implement other methods of correcting deficiencies; however, they shall document the action being taken in their response.



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3. All inspection reports will be hand carried to the Inspections Unit. No one outside the Inspections Unit is authorized to keep or duplicate an inspection report.

E. Follow-up Inspection

An unannounced follow-up inspection will be conducted 30 to 90 days after the affected Deputy Chief, Major, Executive Director, Commander, and/or Division Manager has responded, to ensure compliance.

F. Audit Unit Organization

The Audit Unit is comprised of Quality Assurance Auditors and a Quality Assurance Auditor supervisor. The Unit reports directly to the Administrative Support Bureau Executive Director.

G. Audit Unit Duties

1. Plan, conduct and monitor compliance requirements
2. Assure ongoing compliance with quality and Governmental regulatory requirements
3. Document internal audits, findings, and other quality assurance activities
4. Evaluate adequacy of quality assurance standards
5. Interpret and implement quality assurance standards
6. Collect and compile statistical quality data
7. Support on-site audits conducted by external providers
8. Review the implementation and efficiency of quality systems
9. Analyze data to identify areas for improvement in the quality system

H. Quality Assurance Auditors shall assess:

1. Quality and timeliness of required reporting submissions
2. Fulfillment of required training of all personnel
3. Compliance with Department Standard Operating Procedures
4. Effectiveness of internal control mechanisms

I. Electronic Control Weapon (ECW) Audits



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1. Random Audits

- a. The Audit/Inspections Division shall conduct random audits to ensure all ECW deployments are reported properly.
- b. Audit/Inspection Division will keep all records of audit work papers.

2. Directed Audits

A serious use of force event shall direct the Critical Incident Review Team (CIRT) to download a deployed ECW and compare the data with the use of force report to ensure accuracy.