

Auditing and Inspections

8 Hours – TCOLE Course #37011



Presented by:

***Texas Police Chiefs Association
Foundation***

P.O. Box 819, Elgin, Texas 78621



Welcome to a Texas Police Chiefs Association Foundation (TPCAF) training session. Thank you for participating in some of the best leadership focused training in Texas. Whether you are seeking the coveted Law Enforcement Command Officer Professional (LECOP) status or taking an individual class to sharpen your skill set, we hope you find this class personally and professionally rewarding.

Proceeds from training sessions like this support the TPCA Foundation's work, including the Fallen Officer Fund. The Fallen Officer Fund provides a \$10,000 check to the family of any peace officer killed in the line of duty in Texas. This includes Federal, State, county, local, and other peace officers working in Texas. The goal of the Fallen Officer Fund is to assist the family with any immediate needs by providing funds within 24-48 hours after the line of duty death. The family of a fallen officer should not have to worry about having money to pay a bill, flying in family from out of town, buying groceries, or any other need. Your attendance at this training session directly supports these families.

We encourage you to consider becoming a member of the Texas Police Chiefs Association (TPCA). TPCA is the largest association of police leaders in Texas and one of the largest state police chiefs associations in the nation. TPCA provides members with professional networking opportunities, a voice on legislative matters, resources, training opportunities, and access to model policies through the Texas Law Enforcement Accreditation Program. Please visit www.texaspolicechiefs.org for more information.

We hope you will check out our course catalog at [Texas Police Chiefs Association Conference & Training Site](#) to learn more about other training opportunities available.

Please consider donating to the Fallen Officer Fund

TEXAS POLICE CHIEFS ASSOCIATION FOUNDATION

To make a difference, please scan below



TEXAS POLICE CHIEFS ASSOCIATION FOUNDATION

TRUCK RAFFLE

2025 Chevrolet Trail Boss Valued at \$60,000
Approximate Value

 100% of Proceeds Benefit the TPCAF Fallen Officer Fund

Tickets
\$100 each

[Click Here To Purchase](#)

Drawing to be held:
April 17, 2025

Winner need not be present to win

[SCAN ME](#)



Winner assumes responsibility for all taxes and registration fees.

TPCA Foundation | PO Box 1030 | Elgin, TX 78621 | www.texaspolicechiefs.org



Actual Truck Not Pictured



TPCA Training



Open To All Texas Law Enforcement Agencies

-  Classes offered throughout different regions of Texas
-  Aims to provide the very best of executive and command level training for chiefs, commanders and supervisors to lead and manage throughout their organizations
-  Classes are focused on leadership with common themes of fairness, dignity, respect, trust and non-biased practices that create healthy organization and community confidence.

Details &
Registration
Here



TRAINING TOMORROW'S LEADERS TODAY!



LECOP

Law Enforcement Command Officer Program

Earn acknowledgment as a trained Law Enforcement Command Officer by completing a series of 10 training courses. Classes are open to all Texas Law Enforcement Agencies and designed to develop leadership skills and apply those skills to specific assignments.

TRACK A

Focuses on Individual Leadership Skills

TRACK B

Focuses On Leadership In An Organization & Influencing Culture



TEXAS POLICE CHIEFS ASSOCIATION

66th Annual Conference

APRIL 14-17, 2025
Galveston Convention Center



Training Opportunities

200+ Vendor Booths

Speakers

Golf Tournament

Run 2 Remember

Networking



Plan on attending the annual TPCA Conference.

Register at [Texas Police Chiefs Association Conference & Training Site](#)

Texas Law Enforcement Accreditation Program



The Texas Police Chiefs Accreditation Program allows Law Enforcement Agencies to voluntarily demonstrate compliance with over 170 best practices, developed by professionals, to ensure efficient service delivery and protection of individual rights.



External Review of policies & operations



Enhances knowledge of policing & procedures



Decreased exposure to liability risk & cost



Demonstrates to the community the police department meets or exceeds the highest standards of Law Enforcement excellence





WHAT YOU NEED TO KNOW:

- Open to all Law Enforcement Agencies
- Financial obligations: new application fee, annual program fee, travel costs for review team
- Program manager is required to complete 8 hours of program training - Agency heads are highly encouraged to attend
- Agency has two years to complete the process
- Accredited status is granted for four years. During this period, agencies are required to submit annual reports to demonstrate ongoing compliance with relevant standards
- Participating entities may qualify for scholarship to cover initial fee



www.texaspolicechiefs.org

PROFESSIONAL SERVICES



The Texas Police Chiefs Association (TPCA) is the largest association of police executives in Texas and one of the largest state police chiefs associations in the country. With a diverse group of experts in all areas of policing, TPCA provides a wide range of professional services to Texas governmental entities.

Police Chief Search and Selection

Staffing Studies

Executive Level Training

Comprehensive Organizational Studies

Strategic Planning

Accreditation Program

POLICE CHIEF SEARCH AND SELECTION

The Texas Police Chiefs Association offers valuable technical assistance in evaluating resumes and pinpointing credible candidates. Utilizing these resources can enhance your ability to choose the most suitable candidate for your department. Additionally, the Association can deliver a comprehensive selection process, typically at a significantly lower cost than many consulting firms.

STAFFING STUDIES

We provide Staffing Studies that use the IACP and ICMA recommended workload models to determine the staffing options for various policing strategies.

COMPREHENSIVE ORGANIZATIONAL STUDIES

A comprehensive Organizational Audit is beneficial, as it examines all departmental operations to ensure adherence to legal standards and best practices. This evaluation provides an analysis of crime control strategies, necessary staffing levels, and may include an anonymous employee survey.

STRATEGIC PLANNING

A roadmap providing organizational direction can be an effective management and budget tool. TPCA can assist law enforcement agencies in developing a strategic plan and can facilitate the strategic planning process for other city departments.

EXECUTIVE LEVEL TRAINING

TPCA provides quality training around the state. The Law Enforcement Command Officers Program (LECOP) offers a series of 10 courses to command level officers and supervisors covering the full range of law enforcement operations including Developing Leaders, Managing Administrative Operations, Patrol, Traffic, Special Operations and Criminal Investigations. Upon completing the full course series, they receive a LECOP Certificate and special recognition. All TPCA classes emphasize the importance of Leadership.

ACCREDITATION PROGRAM

A nationally recognized program with over 170 standards outlining best practices for law enforcement agencies in Texas. This program includes independent review of policies and operations of an agency, ensures efficient service delivery to the public, protection of individual rights, and decreased exposure for liability and risk.

FOR MORE INFORMATION PLEASE EMAIL
GELLIS@TEXASPOLICECHIEFS.ORG
OR CALL 512-281-5400



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Texas Police Chiefs Association Foundation

Overview and Macro Curriculum **Auditing and Inspections**

Rationale:

Police agencies have a myriad of policies, procedures and rules. Many times, those standards are not universally implemented throughout an organization and sub-cultures and inconsistencies within that organization can result. Methods to ensure Department wide compliance should be developed and implemented to develop the overall competence of the organization. A rigorous set of inspections and audits can allow senior leadership to be confident that the agency's policies are being followed.

Overview:

This 8 hour course is presented in one full day. It is designed for Chiefs and Command Officers. It explores the “whys” and “how's” associated with conducting audits and inspections in police organizations through presentations, lectures and discussions.

Course Goals:

At the conclusion of this course, the participants will:

1. Articulate the importance of audits and inspections.
2. Define the tenants of the non-confrontational audit process.
3. Discuss options for how to conduct audits with limited personnel.
4. Create a list of critical audits needed in any police agency.
5. Develop an extensive list of audit ideas based on their agency needs.

Schedule of Topics:

1. Why we need audits.
2. Various types and forms of audits.
3. Benefits of audits and inspections.
4. Conducting a risk assessment to identify audit needs.
5. Steps in the audit process.
6. Statistical sampling.
7. Creating the audit report.
8. Related follow-up responsibilities.

Instructor:

Marlin R Price, Chief of Police (ret.)
Administrative Services Manager, Plano Police Department



Texas Police Chiefs Association

Instructor Bio

Chief Marlin Price (ret.)

Chief Price served in the Dallas Police Department from 1972 until 2000, retiring as the Assistant Chief of Police over the Special Investigations Bureau. During his tenure with DPD, he served in every rank from Police Officer to Assistant Chief, holding various commands during that time. He graduated from DPD Police Academy Class #123 after being elected Class President. He was assigned to Southeast Patrol until promoting to Sergeant in 1976 and being assigned as a Jail Supervisor. In 1977, Chief Price was promoted to Lieutenant and assigned to the Property Division. Promoted to Captain in 1979, he held commands in the Identification, Personnel, Planning and Research, and Crimes Against Persons Sections until being promoted to Deputy Chief of Police in 1985. As a Deputy Chief, he commanded the Criminal Investigations Division and the Southwest Patrol Division. In 1988 Chief Price was again promoted to the rank of Assistant Chief of Police. At that rank he commanded the Professional Standards Bureau, the Northeast and Southwest Patrol Divisions, the Criminal Investigations Bureau and the Special Investigations Bureau.

In 2000, after retiring from the Dallas Police Department, Chief Price accepted the position of Chief of Police for Southlake, Texas. There he was responsible for overall operations of Southlake's Police Services. He supervised a total of 58 sworn and 3 non-sworn officers providing both police and public safety services to a city of 23,000 population. He developed the first Strategic Plan format for the Department of Public Safety, conducted the detailed Threat Assessment process for City of Southlake, developed a cooperative assistance plan for major criminal investigations and implemented a Missing Child Protocol to enhance the investigations of missing children. He again retired in August, 2005.

Chief Price is known as a law enforcement management consultant and served as a CALEA assessor and team leader from 2001 to 2007. He was the Program Director for the TPCA Foundation's Best Practices Recognition Program at its inception, overseeing and facilitating the creation of the program which has continued to thrive.

Chief Price is a graduate of the FBI National Academy, the SWLEI Command and Management School and the PERF Senior Management Institute for Police. He holds a Master of Public Administration Degree from North Texas State University and a Bachelor of Science Degree in Law Enforcement and Criminal Justice from Sam Houston State University. He is a member of the International Association of Chiefs of Police, the Texas Police Chiefs Association and the North Texas Police Chiefs Association.

Chief Price is a veteran, serving as a Helicopter Crew Chief in Vietnam and a Helicopter Technical Inspector at Fort Wolters, Texas upon his return. He currently serves as the Administrative Services Manager for the Plano Police Department.

AUDITS AND INSPECTIONS FOR LAW ENFORCEMENT

WHAT IS LECOP?

Law Enforcement Auditing

- ◆ Introductions

- ◆ Name
- ◆ Rank
- ◆ Agency and number of sworn
- ◆ What audits and inspections do you do now?
- ◆ Why are you here?

Law Enforcement Auditing

◆ Why Audit?

Law Enforcement Auditing

◆ Recent Headlines

- ◆ • Audit finds HPD poses 'substantial risk' to the city it serves.
- ◆ • BPD failed to monitor excessive overtime or institute promised reforms, state auditor finds.
- ◆ • Internal Audit at FPD Reveals Outside Work Violations.
- ◆ • Internal Audit Uncovers Misconduct in BPD.
- ◆ • Audit finds SPD has a backlog of untested rape kits.
- ◆ • Audit Identifies 'Major Gaps' In MPD Data Collection.
- ◆ • Audit of HPD Narcotics found 404 errors in more than 200 cases involving two officers.
- ◆ • OPD under-reported uses of force, especially on people of color, audit finds.
- ◆ • FPD Audit Faults Response Times, 911 Issues.

Law Enforcement Auditing

- ◆ Why do we need to do Audits?
 - ◆ Effectiveness and Efficiency
 - ◆ Crime Control Strategies
 - ◆ Accountability
 - ◆ Policy and Procedure Compliance
 - ◆ Transparency and Public Trust
 - ◆ Training and Development
 - ◆ Citizen Satisfaction

Law Enforcement Auditing

- ◆ Why do we need to do Audits?
 - ◆ With the current challenge of fewer personnel and fewer resources, we have to do a better job with what we have.

Law Enforcement Auditing

- ◆ Why do we need to do Audits?
 - ◆ What are some recent failures in Law Enforcement?
 - ◆ Memphis Police Scorpion Unit
 - ◆ Louisville Police – Breona Taylor
 - ◆ Uvalde, Texas
 - ◆ DOJ Investigations/Lawsuits/Consent Decrees
 - ◆ Houston PD Lack of Investigations

Law Enforcement Auditing

- ◆ Why do we need to do Audits?
 - ◆ Improve safety procedures
 - ◆ Identify equipment malfunctions
 - ◆ Correct process failures (example: warrant affidavits, warrant executions, use of force, arrests)
 - ◆ Improve Case Management
- ◆ Auditing lets people know you are watching!
- ◆ Auditing lets people know you care!

Law Enforcement Auditing

FORT WORTH JUNE 7, 2016 10:16 PM

Fort Worth police task force to review all of detective's child cases

HIGHLIGHTS

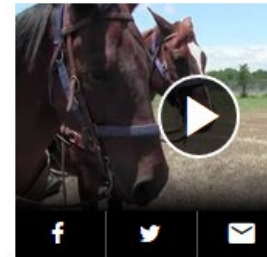
Initial review found two cases never filed with DA's office

Arrests warrants obtained in at least three other cases

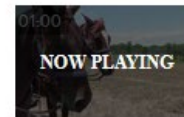
Task force to review all of detective's cases



VIDEOS



Horse'n around with the FWPD patrol



Horse'n with the mounte



Fort Wo Above - drone for the city Worth

00:31

#TBT: M

Law Enforcement Auditing



FILE - Houston Police Chief Troy Finner speaks on Feb. 18, 2024, in Houston. Finner on Tuesday, April 2, declined to say whether recent revelations that more than 264,000 cases filed with Houston police in the past eight years were dropped due to a lack of personnel speaks to broader problems within his agency that need to be fixed. (AP Photo/David J. Phillip, File)

Houston police chief won't say if thousands of dropped cases reveals bigger problems within agency



BY ASSOCIATED PRESS | HOUSTON
PUBLISHED 7:43 PM ET APR. 02, 2024

Law Enforcement Auditing

- ◆ Major City Audits....
 - ◆ High-Risk Weapons
 - ◆ Armory Inventory Management
 - ◆ Property Room Management
 - ◆ Handling of Internal Complaints
 - ◆ Off-Duty Jobs
 - ◆ Police Payroll
 - ◆ Police Oversight
 - ◆ Overtime Controls
 - ◆ Reporting and Investigation of Sexual Assaults

Law Enforcement Auditing

◆ Why do we do Audits?

- ◆ The most famous Maxim in the auditing field is "**Don't Expect what you Don't Inspect.**"
- ◆ Because of the basic human desire to simplify tasks, everyone is tempted to develop shortcuts and eliminate steps they see as unnecessary. This becomes quite dangerous when critical legal or safety steps are skipped or not completed.
- ◆ Officers are subject to "Noble Cause" corruption because of their desire to perform well.

Law Enforcement Auditing

- ◆ Why do we do Audits?
 - ◆ Humans, including police, will lie, and will always paint themselves in the best possible light.
 - ◆ In order to give assurance that the Department/agency operates effectively, it is important to carry out some form of monitoring activity.
 - ◆ Auditing is SUPERVISION for Chiefs and upper level administrators.

Law Enforcement Auditing

- ◆ Why do we do Audits?
 - ◆ Supervisors regularly monitor and examine individual officer performance. This is the supervision of personnel.
 - ◆ Auditing is the supervision of department processes, operations and results.
 - ◆ We can be very efficient, but not very effective...
 - ◆ Do citizens want us to be effective?
 - ◆ Does the media expect us to be effective?

Law Enforcement Auditing

- ◆ Why do we do Audits?
- ◆ They let people know you are watching... that what you are auditing is important and will be checked...
- ◆ Discourages unauthorized modification...

Law Enforcement Auditing

- ◆ Challenges in Smaller Agencies
 - ◆ Availability of accurate or quality data
 - ◆ Lack of Training
 - ◆ Limited Resources
 - ◆ Fear of Consequences

Law Enforcement Auditing

- ◆ This Training
 - ◆ Why we Audit
 - ◆ What is Auditing
 - ◆ What to Audit
 - ◆ Risk Assessment
 - ◆ How to Audit
 - ◆ Sampling
 - ◆ Examples of Audits
 - ◆ Materials to assist in Auditing

Law Enforcement Auditing

- ◆ What is Auditing

Law Enforcement Auditing

- ♦ In simple terms, an audit is a thorough check or examination of an operation to ensure it is accurate, honest and follows the appropriate rules or procedures.
- ♦ It is a detailed review of information or data collected over time to assure department leadership that everything works as it should.
- ♦ Auditing activities does not mean management does not trust its employees; instead, management (and government) must provide unmistakable proof of appropriate operation to our citizens.

Law Enforcement Auditing

- ◆ So...
 - ◆ Examining department operations in detail.
 - ◆ Comparing what is really happening to what should be happening.
 - ◆ Identifying Best Practices
 - ◆ Identifying weaknesses and correcting them.
 - ◆ Based on the evidence – not opinion, belief, or conjecture.
- ◆ Auditing is SUPERVISION!

Law Enforcement Auditing

- ◆ Audit or Inspection?
 - ◆ Audits are typically periodic, structured in-depth looks at an operation. They are used to determine if all of the details of an operation are being performed properly. They usually look at things over time.
 - ◆ Inspections are usually more routine, informal, and a single looks at an operation to ensure things are still working properly. They are usually more regular and superficial. Are things working right now...
 - ◆ Both are needed!

Law Enforcement Auditing

- ◆ Types of Audits
 - ◆ Administrative
 - ◆ Operational
 - ◆ Performance
 - ◆ Accountability
- ◆ Audits frequently are combinations of the above types.

Law Enforcement Auditing

- ◆ Types of Audits

- ◆ Administrative: Examining the internal operations of the department with employees and operations that affect the entire department.
 - ◆ Financial audits
 - ◆ Information Technology (TLETS, Passwords, etc.)
 - ◆ Training and Development
 - ◆ Staffing levels
 - ◆ Crime Control Effectiveness

Law Enforcement Auditing

CRIME & COURTS

Vacations, credit card debt: Wichita police accountant was stealing money

BY MICHAEL STAVOLA

UPDATED JUNE 15, 2024 5:48 PM



... The Wichita Eagle

Law Enforcement Auditing

- ◆ Types of Audits

- ◆ Operational: Examining departmental law enforcement operations as they are exercised in our community.
 - ◆ Use of force
 - ◆ Vehicle and Foot Pursuits
 - ◆ DWI Enforcement
 - ◆ Field Supervision
 - ◆ Traffic Stops

Law Enforcement Auditing

- ◆ Auditing Outputs or Outcomes?
 - ◆ Operational Audits = Activities or Outputs
 - ◆ The Things we Do
 - ◆ Performance = Outcomes
 - ◆ The Intended Results toward Goals

Law Enforcement Auditing

- ◆ What do we need to Audit?
- ◆ Difference in Auditing OUTPUTS and OUTCOMES
 - ◆ Outputs: Arrests, Calls Answered, Warrants Executed, Traffic Stops, Citations, Complaints, Cases Investigated....
 - ◆ Outcomes: (Goal Related) Crime Rate, Traffic Accident Reduction, Response Time, Clearance Rate, and Citizen Satisfaction.

Law Enforcement Auditing

- ◆ Types of Audits
 - ◆ Performance: Are our operations achieving the objectives? (Outcomes)
 - ◆ Crime Reduction
 - Effectiveness of Patrol Hot Spot Activity
 - ◆ Accident Reduction
 - ◆ Response Time
 - ◆ Detective clearance rates
 - ◆ Effectiveness of Misdemeanor Drug Arrests

Law Enforcement Auditing

◆ Types of Audits

- ◆ Accountability: The review of activities and internal controls to ensure they provide integrity, fairness, and the prevention of bias in policing.
 - ◆ Racial Profiling
 - ◆ Arrests by Type and Race
 - ◆ Supervisor Body Camera reviews
 - ◆ Required reviews of COC arrests (LAPD)
 - ◆ Ethics and Integrity Audits
 - ◆ Warrant or Arrest Accuracy Audits



Minneapolis State Patrol officers on May 29, 2020. Image: [Flickr](#) / [Tony Webster](#)

LAW, RACE

How Police Abuse the Charge of Resisting Arrest

We must reject the current legal regime under which resisting arrest is so widely accepted as a justification for police brutality and officer shootings.

[Lisa Cacho](#), [Jodi Melamed](#)

2020 Uprisings, Law and Justice, Power over Policing, Race



June 29, 2020

Police officers often use the charge of “resisting arrest” to criminalize black people who try to defend themselves from brutal, punitive, and often illegal police actions. They also do so to justify the violence it takes to compel compliance—even if that violence results in taking a life. The Minneapolis officers who killed George Floyd, for example, claimed that



Law Enforcement Auditing

- ◆ Types of Audits

- ◆ Audits can also be either Internal or External Audits.

- ◆ Normally, External Audits are looked upon by citizens as more reliable due to the increased independence of the auditors.

- ◆ External Audits are usually disliked by internal personnel and management because they do not believe the auditors know anything about their business.

Law Enforcement Auditing

- ◆ Essential Features of Audits
 - ◆ They are pre-planned and methodical in nature rather than haphazard.
 - ◆ They should be free from bias or prejudice.
 - ◆ They encompass some form of inquiry and critical consideration of the resulting findings.
 - ◆ They should ensure that activities are carried out in an effective and consistent manner in accordance with policy of department.
 - ◆ They provide proof of finding with actual data.

Law Enforcement Auditing

- ◆ What is Data?
- ◆ Data is whatever you are looking at to answer your questions.
 - ◆ Computer lists of stuff
 - ◆ Copies of all use of force reports for two years
 - ◆ The investigative notes module of the case management system
 - ◆ All arrest reports with injured prisoners

Law Enforcement Auditing

- ◆ Where do you get Data?
- ◆ Specific to your department... not all departments use same systems...
- ◆ CAD
- ◆ RMS
- ◆ JMS
- ◆ Admin Files
- ◆ Dept. Video
- ◆ Payroll Records
- ◆ IAD Records
- ◆ State Website
- ◆ CID Files
- ◆ Training Records
- ◆ Spec. Unit Files
- ◆ Court Websites

Law Enforcement Auditing

- ◆ What data do you need to do an Audit?
- ◆ Depends on the questions you want answered.
- ◆ Where would you look for data in the following Audits?
 - ◆ Use of Force
 - ◆ Transfers to CID
 - ◆ Off Duty Job Equity and Operation
 - ◆ Confidential Informant Usage

Law Enforcement Auditing

- ◆ How often do you Audit?
 - ◆ Depends on Risk and Control Systems in place.
 - ◆ High Risk Issue - First time – Full Audit
 - ◆ Identifies weaknesses, corrects policy or operation.
 - ◆ Develops continuous control mechanisms and monitoring systems.
 - ◆ Future audits just tests control and monitoring systems.

Law Enforcement Auditing

- ◆ Potential Disadvantages of Audits...
 - ◆ Audits are costly in the time required.
 - ◆ In smaller departments they usually require a paid staff member to do something that is not their primary job, a job that directly benefits the citizens.
 - ◆ However, in the long run, the citizens usually benefit by insuring that operations are being conducted properly.

Law Enforcement Auditing

- ◆ Potential Disadvantages of Audits...
 - ◆ Audits may cause disharmony in the agency
 - ◆ Can be mitigated by clear explanations of purpose
 - ◆ Restrict results to improvements rather than discipline (unless criminal).
 - ◆ Multiple omissions or continued failure may need to result in corrective action.

Law Enforcement Auditing

- ◆ How to Prevent Disharmony due to Audits
- ◆ Chief should clearly explain purpose of audit is not to find fault but to improve operations.
- ◆ No disciplinary action will be taken (unless criminal).
- ◆ Unit Supervisor/Commander will have first review and comment of audit report.

Law Enforcement Auditing

- ◆ What to Audit

Law Enforcement Auditing

- ◆ What do we need to Audit?
 - ◆ Obviously, the things in your department that place officers and citizens at risk of injury or death,
 - ◆ Things that are required of the department to properly manage, such as cash accounts and information security, and equipment,
 - ◆ Other items identified in a Risk Assessment.

Law Enforcement Auditing

- ◆ What is a Risk Assessment?
- ◆ Detailed analysis of department operations that will identify significant or major risks...
 - ◆ The two primary questions to consider when evaluating the risk are:
 - ◆ What is the probability that things can go wrong? (the **likelihood** of any one event)
 - ◆ What is the cost if what can go wrong does go wrong? (the **exposure** of one event)

Law Enforcement Auditing

- ◆ Steps in Risk Assessment
 - ◆ Step 1: Identify critical assets, operations, and stakeholders.
 - ◆ Step 2: Brainstorm potential threats to these assets, operations, or people.
 - ◆ Step 3: Determine “Likelihood” of threat. (1-5)
 - ◆ Step 4: Determine potential consequences if that were to happen. (1-5)

Law Enforcement Auditing

- ◆ Steps in Risk Assessment
- ◆ Step 5: Compute Relative Risk (Step 3 multiplied by step 4)
- ◆ Step 6: Determine if audit needed or conduct Threat Mitigation activities.

Risk Analysis Matrix

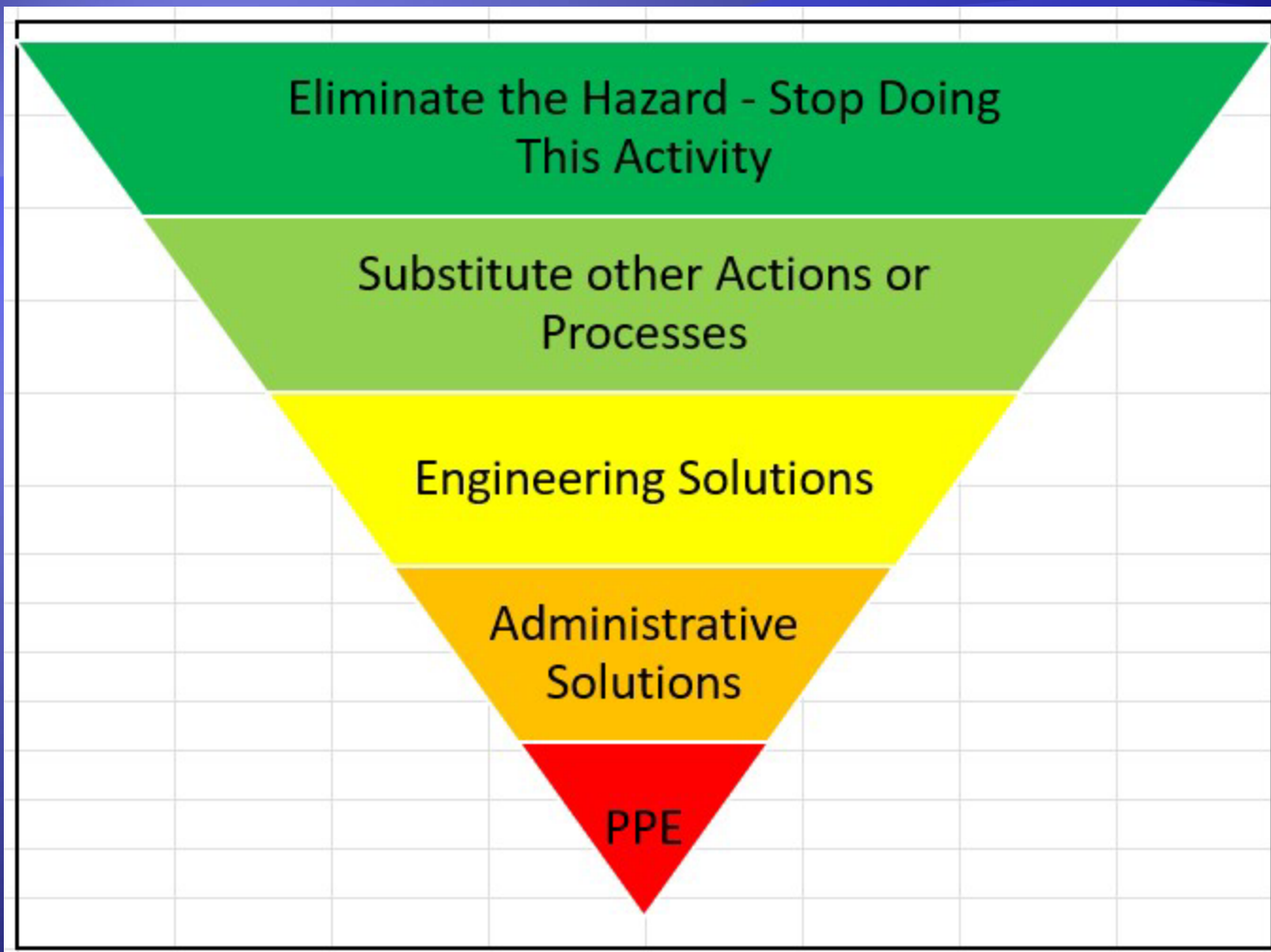
Extremely Likely (1 chance in 100 or possibly once a month or less)	5	5	10	15	20	25
Likely (1 chance in 1000 or possibly 1-2 times a year)	4	4	8	12	16	20
Fairly Likely (1 chance in 10,000 or once in 1-2 years)	3	3	6	9	12	15
Unlikely (1 chance in 100,000 or once in 5-10 years)	2	2	4	6	8	10
Very Unlikely (1 chance in a million or almost never)	1	1	2	3	4	5
Likelihood		1	2	3	4	5
Consequence		Insignificant - no significant injury or no damage to physical items or reputation.	Minor - minor injuries - first aid, or minor damage to physical items or reputation.	Moderate - injuries (hospital up to 3 days), moderate damage to items or reputation.	Major - severe injuries, severe damage to items or reputation.	Catastrophic - Fatal injuries, extreme damage to items or reputation.

Risk Analysis Values

1-2	No Action Needed
3-6	No Immediate Action Monitor for Changes
7-12	Plan and Take Action as time allows
12-18	Urgent Action Needed ASAP
19-25	Immediate Action required to reduce threat.

Law Enforcement Auditing

- ◆ Threat Mitigation Steps:
 - ◆ 1. Eliminate the Operation.
 - ◆ 2. Substitute a less dangerous activity/operation.
 - ◆ 3. Apply engineering solution.
 - ◆ 4. Apply and Administrative Solution
 - ◆ 5. Provide personnel with PPE, training, or equipment.



Law Enforcement Auditing

- ◆ What is a Risk Assessment?
- ◆ Risk Assessment Process for Small Departments is included in Handout Reference Materials.
- ◆ What are Common risks???

Law Enforcement Auditing

◆ What do we need to Audit?

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	Department Audits and Inspections												
2													
3													
4	Department Policies and Operations												
5	High Risk Department Policies	5		5	High Risk to Physical Safety of Officers and Citizens								
6	Department Policy Updating and Receipt Process	4		4	High Risk to Department Reputation, Community Trust, or Ability to Prosecute Offenders								
7	Compliance with Civil Rights Policies	4		3	Medium Risk to Department Reputation, Community Trust, or Ability to Prosecute Offenders								
8	Compliance with City Directives	3		2	Lower Risk but needed to insure integrity of department and public trust								
9	Off-Duty Job process	3		1	Lower Risk but needed to ensure appropriate internal operations and relationships								
10	Use of Force Policy and training	5											
11	Community Engagement	3											
12	CJIS Requirements	3											
13	Hiring and Selection Process	3											
14	Promotional Process	2											
15	Whistleblower Complaints	X											
16	Specific Incident Analysis	X											
17	Community/Council Complaints	X											
18													
19	Department Facilities and Equipment												
20	Department owned Firearms	3											
21	Ammo Tracking	2											
22	Department owned less-lethal weapons	3											
23	Vehicle Usage and Needs	1											
24	Vehicle Maintenance and Fuel Costs	2											
25	Vehicle emergency equipment	1											
26	Officer equipment and weapons	5											

Law Enforcement Auditing

◆ What do we need to Audit?

What other Cities have audited...

Major Cities Audits

Dallas

- Dallas RMS System
- Design of Controls over Hiring and Training
- Performance Measurement Process
- High Risk Weapons

San Antonio

- Confidential Informants and Crime Stopper Funds
- Detention Center
- Park Police Operations
- Follow-up Crisis Response Team
- Auto Pound Contract Administration
- Armory Inventory Management
- Child Safety Restricted Fund

Law Enforcement Auditing

- ◆ Fraud
 - ◆ Management has the responsibility to prevent Fraud...
 - ◆ What are examples of Fraud in Police Agencies?
 - ◆ Any activity where we say we do one thing and we actually do another for our own benefit.

Law Enforcement Auditing

◆ Fraud

- ◆ What are examples of Fraud in Police Agencies?
 - ◆ Mismanagement of Confidential Funds
 - ◆ Overtime padding
 - ◆ Off Duty assignments
 - ◆ Time Sheet fraud (Paid for hours not worked)
 - ◆ Personal Use of Resources
 - ◆ Outright Theft
 - ◆ Others?

Law Enforcement Auditing

- ◆ Fundamentals of Operations to prevent Fraud
 - ◆ All procedures should be written so that anyone can read the procedures and clearly understand what is required.
 - ◆ All critical tasks should be divided into at least two components (people) which self-check each other.
 - ◆ Supervisors should conduct self tests frequently.

Law Enforcement Auditing

- ◆ Fundamentals of Operations to prevent Fraud
 - ◆ Free Ice Cream Cone if our cashier fails to give you a receipt.
 - ◆ Frequent Spot Checks.
 - ◆ Surveillance cameras.
 - ◆ Third Party Reporting.
 - ◆ Employee Theft – Reward systems.

Law Enforcement Auditing

- ◆ Fundamentals of Operations to prevent Fraud
 - ◆ All staff audit and inspections should be conducted by staff outside chain of command of unit being inspected.
 - ◆ Audits and inspections of critical issues should be carried out randomly but on a regular schedule where responsible staff are unaware of when an upcoming audit will be conducted.
 - ◆ Audits of critical issues should be inspected by outside auditors regularly if possible.

Law Enforcement Auditing

◆ How to Audit

Law Enforcement Auditing

- ◆ Larger Departments/Cities
 - ◆ Full Time Staff
 - ◆ Audit / Inspections Divisions or OIG
 - ◆ Trained Auditors both Sworn and Non-Sworn
 - ◆ Some specialized in areas such as finance
 - ◆ Auditors are “Certified” by Auditing Associations
 - ◆ Detailed auditing schedule

Law Enforcement Auditing

- ◆ Smaller Departments/Cities
 - ◆ Unable to afford full time staff
 - ◆ Unable to afford in-depth Auditing training
 - ◆ But need the benefits of auditing procedures
 - ◆ Auditing Process provided by this training can allow smaller department to conduct effective audits

Law Enforcement Auditing

◆ Who should do the Audits in your Agency?

- ◆ Because individuals seldom find fault with themselves or the operations which they designed, operations should never be audited by the person doing that job.
- ◆ While supervisors of operations might be able to conduct an independent audit, the fact that they are personally responsible for seeing that employees under their command comply with the policy could result in not identifying or reporting instances of failure.

Law Enforcement Auditing

- ◆ Who should do the Audits in your Agency?
 - ◆ Some suggestions on who might conduct the audits within your agency:
 - ◆ The Chief of Police
 - ◆ Command or Supervisor from another operational area
 - ◆ Any supervisor
 - ◆ A Reserve officer
 - ◆ Manager or supervisor from another City Department
 - ◆ Citizen's Academy volunteer

Law Enforcement Auditing

- ◆ Who should do the Audits in your Agency?
 - ◆ Code of Ethics for Internal Auditors in Government
 - ◆ Integrity,
 - ◆ Objectivity,
 - ◆ Competency,
 - ◆ Confidentiality,
 - ◆ Independence.

Law Enforcement Auditing

- ◆ The Audit Process
 - ◆ The entire audit process can be described as
 - ◆ Planning,
 - ◆ Executing (Fieldwork), and
 - ◆ Reporting.

Law Enforcement Auditing

- ◆ Steps in the Audit Process
 - ◆ Determining Questions to be Answered
 - ◆ The Assignment of the Audit
 - ◆ Development and approval of an Audit Plan
 - ◆ Entrance Conference
 - ◆ Fieldwork
 - ◆ Draft Report
 - ◆ Exit Conference
 - ◆ Final Audit Report

Law Enforcement Auditing

- ◆ Determining the Questions to be Answered
- ◆ Usually done by the person assigning the audit.
- ◆ This determines what data will need to be reviewed.
- ◆ Possible Audit questions in Reference materials.

Law Enforcement Auditing

- ◆ The Audit Process

- ◆ Assignment of the Audit

- ◆ Select the person(s) to conduct the Audit
- ◆ Notify the person(s), give time frame
- ◆ Require review of training materials and Audit Manual
- ◆ Notify unit supervisor of unit being Audited

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Assignment of the Audit

Memorandum

To: Sergeant Bob Handy, Patrol
CC: Lieutenant David Samuels, Support Services
From: Chief Franklin
Date: 12/17/2016
Re: Department Audit of Bond Acceptance Procedures

Upon receipt of this Memorandum, you are assigned to conduct a Department Audit of the Bond Receipt, Cash Handling, Reporting, and all required Follow-up activities required in the Bond process. The objective of this Audit is to determine if the proper procedures are in place and are being followed. This Audit will be in addition to your current duties as Patrol Sergeant and will be completed as time permits.

If you have not performed an Internal Audit before, please review both the Audit Manual and the Auditor Training Power Point on the F Drive.

An Audit Plan should be prepared and reviewed with me prior to beginning the Audit. I anticipate reviewing the Audit Plan no later than Wednesday, January 7, 2017, and having a completed Audit Report no later than February 7, 2017. Any delays should be approved by me.

Lieutenant Samuels will provide access to all personnel, files, and documents required for the Audit.

Please report to me any difficulties in completing the Audit.

Attached is a list of the specific questions and issues that need to be addressed during the audit.

Law Enforcement Auditing

◆ The Audit Process

◆ Planning the Audit

- ◆ Use preformatted planning document (provided)
- ◆ Objective of audit
- ◆ Scope (What do you want the audit to cover)
- ◆ Timing of Audit
- ◆ Comparison departments and Best Practices to be reviewed
- ◆ Chief review to ensure all issues covered before audit

Law Enforcement Auditing

- ◆ The Audit Process

- ◆ Planning the Audit

- ◆ Set up Entrance Conference and Initial Walkthrough with Unit Supervisor
- ◆ Data to be reviewed including minimum number of internal documents
- ◆ Review any prior audits of same function
- ◆ Interviews to be conducted
- ◆ Are Double checks of Data required

Law Enforcement Auditing

◆ The Audit Process

◆ Entrance Conference

- ◆ Ensure clear understanding of purpose and scope
- ◆ Ensure supervisor aware of review before submission
- ◆ Request assistance in access
- ◆ Ask if unit supervisor wants anything else reviewed
- ◆ Determine least disruptive times to audit

Law Enforcement Auditing

◆ The Audit Process

◆ Fieldwork

- ◆ Consider using flowcharts – chart what policy says to do, then chart what is actually done, compare the two.
- ◆ Make copies of logs and documents that may be discussed in the audit report
- ◆ Use sampling process for sampling of large number of documents
 - ◆ Ensure all shifts/personnel covered in audit
- ◆ Ensure all audit questions are covered

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Two Types of Sampling
 - ◆ Statistical
 - ◆ Non-Statistical

Law Enforcement Auditing

- ◆ The Audit Process

- ◆ Statistical sampling

- ◆ Gives mathematical credibility to audit.
- ◆ For sampling to be valid, all statistical samples must be random.
- ◆ Any random process will work.
- ◆ Random Sampling Processes in Reference Materials.
- ◆ Must stick with plan to be credible.

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Random Sampling
 - ◆ Call IT
 - ◆ Systematic Sampling (every Nth item)
 - ◆ Stratified Sampling (proportional to presence in data)
 - ◆ Cluster Sampling (random cluster, all sampled)
 - ◆ Online Tools

Law Enforcement Auditing

◆ The Audit Process

Calculator.net FINANCIAL FITNESS & HEALTH

[home](#) / [math](#) / [random number generator](#)

Random Number Generator

This version of the generator creates a random integer. It can deal with very large integers up to a few thousand digits.

Lower Limit

Upper Limit

Comprehensive Version

This version of the generator can create one or many random integers or decimals. It can deal with very large numbers with up to 999 digits of precision.

Lower Limit

Upper Limit

Generate numbers

Allow duplication in results?
 Yes No

Sort the results?
 Ascend Descend No

Type of result to generate?
 Integer Decimal

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Statistical sampling
 - ◆ How many is enough?
 - ◆ Statistical Sampling to get 95% Confidence level
 - ◆ Formula to determine sample size is:

$$n_0 = \frac{Z^2 pq}{e^2}$$

Law Enforcement Auditing

◆ The Audit Process

Required Sample Size for 95% Confidence Level

(with Margin of Error of 5%)

Population Size	Sample Size	Population Size	Sample Size
10	10	1200	291
20	19	1500	306
30	28	2000	322
50	44	2500	333
75	63	3500	346
100	80	5000	357
150	108	7500	365
200	132	10000	370
250	152	25000	378
300	169	50000	381
400	196	75000	382
500	217	100000	383
600	234	250000	384
700	248	500000	384
800	260	1000000	384
1000	278		

Law Enforcement Auditing

- ◆ The Audit Process
 - ◆ Non-Statistical sampling
 - ◆ Random Sampling
 - ◆ Fixed Interval
 - ◆ Value-Weighted
 - ◆ Block Selection
 - ◆ Stratified Sampling

Law Enforcement Auditing

◆ The Audit Process

◆ Documentation:

- ◆ Keep log of all items reviewed, actions taken, interviews conducted and results.
- ◆ Copies of all exceptions (to be included in final report).
- ◆ Don't skimp in data collection; may keep from having to review data again.

Law Enforcement Auditing

- ◆ The Audit Process
 - ◆ Analysis of Results
 - ◆ State facts and not opinions
 - ◆ Be careful of confusing Correlation and Causation...

Law Enforcement Auditing

◆ The Audit Process

- ◆ Correlation – Clear evidence that when one thing goes up, another thing goes up or down.
- ◆ Causation – When something goes up or down, it causes another thing to go up or down. (Can't assume this relationship)

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Draft Report (Not all Audits require formal reports)
 - ◆ Use pre-formatted Report or your own design
 - ◆ Describe the function process in detail
 - ◆ Summarize findings
 - ◆ Comparison to other cities and best practices
 - ◆ Finding of internal review
 - ◆ Detail of any failures in procedure or operations
 - ◆ Detail of any management oversight failures
 - ◆ Recommendations and future control methods

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Exit Conference
 - ◆ Provide draft report to Unit Supervisor
 - ◆ Clear review and response period
 - ◆ Responses obtained / issues clarified

Law Enforcement Auditing

- ◆ The Audit Process

- ◆ Final Report

- ◆ Management Responses added after each detailed issue
- ◆ Formatted as needed / spell checked
- ◆ Copies of attachments added
- ◆ Report and work papers submitted.

Law Enforcement Auditing

- ◆ The Audit Process
- ◆ Follow-up
 - ◆ Chief of Police is responsible for assigning or conducting follow-up activities.
 - ◆ Should schedule follow-up inspection to ensure completions and compliance.
 - ◆ Not all findings must be addressed.

Law Enforcement Auditing

◆ The Audit Process – Using Surveys

- ◆ Surveys are often informative but not usually done correctly.
- ◆ Who does the survey?
- ◆ Who creates the survey questions?
- ◆ Who decides who to contact?
- ◆ Lack of random sampling.

Law Enforcement Auditing

◆ The Audit Process – Using Surveys

◆ Survey Design Strategies

- ◆ Clearly define the objective
- ◆ Be as concise as possible
- ◆ Use simple language
- ◆ Use mixed questions (Open-ended, multiple choice, etc)
- ◆ Use a logical flow of questions
- ◆ Allow anonymity
- ◆ Allow Exclusive answer (NA or Prefer not to answer)
- ◆ Pilot test instrument
- ◆ Make mobile friendly
- ◆ Keep as short as possible to increase the response rate

Law Enforcement Auditing

◆ The Audit Process – Using Surveys

- ◆ Survey Methods
 - ◆ Online
 - ◆ Social Media
 - ◆ Mobile Apps
 - ◆ Mail In
 - ◆ Focus Groups
 - ◆ Community Meeting
 - ◆ Incentives and Recognition

Law Enforcement Auditing

- ◆ The Audit Process
 - ◆ What gets inspected, gets Done!
 - ◆ Don't Expect what you don't Inspect!

Law Enforcement Auditing

- ◆ **Setting Up and Audit Schedule**
 - ◆ Depends on Size of Department
 - ◆ Depends on resources
 - ◆ Depends on Risk
- ◆ You determine your Audit Schedule

Law Enforcement Auditing

- ◆ **Your Departmental Audit Plan... (overall plan)**
 - ◆ Risk Assessment and Department problems first
 - ◆ Determine how you can audit (Special audit, monthly report, after action, checklists???)
 - ◆ Resource Availability (who can do audits)
 - ◆ Identify Audits to be conducted
 - ◆ Determine frequency
 - ◆ Schedule throughout year
 - ◆ Find and assign personnel to conduct

Law Enforcement Auditing

- ◆ Setting Up and Audit Schedule
- ◆ Group Discussion – What are our highest risks?
 - ◆ Admin Support
 - ◆ Operations Cash Handling
 - ◆ Patrol Property
 - ◆ Investigations Equipment
 - ◆ Special Ops
 - ◆ What got Officers/Citizens Hurt or damaged Dept???
 - ◆ What got Chiefs Fired???

Law Enforcement Auditing

◆ Examples

Law Enforcement Auditing

- ◆ Examples of Administrative Audits
 - ◆ Overtime Use / Time Reporting
 - ◆ Special Weapons and Equipment
 - ◆ All department weapons
 - ◆ Petty Cash Funds / Confidential Fund
 - ◆ Required Training / Qualifications
 - ◆ Off-Duty Jobs
 - ◆ Seized Assets
 - ◆ Citizen/Employee Complaint process

Law Enforcement Auditing

AP

Louisville police chief resigns after mishandling sexual harassment claims

DYLAN LOVAN

Tue, June 25, 2024 at 4:16 PM CDT · 2 min read



218



FILE - Louisville Metro Police Chief Jacquelyn Gwinn-Villaroel speaks during a news conference, May 23, 2024, in Louisville, Ky. Louisville's police chief has been placed on leave over her handling of a sexual harassment allegation involving her officers, Louisville Mayor Craig Greenberg said Wednesday, June 12. (AP Photo/Timothy D. Easley, File)

LOUISVILLE, Ky. (AP) — Louisville's police chief, [suspended earlier this month](#) over

Law Enforcement Auditing

- ◆ Examples of Operational Audits
 - ◆ Body Cam Reviews
 - ◆ Required reviews of all arrests for COC arrests?
 - ◆ Arrest Reports / Body Cam Reviews
 - ◆ Use of Force / Body Cam and Car cam review
 - ◆ Special Detail Compliance (Hot Spot)
 - ◆ Traffic Enforcement Activity
 - ◆ Scheduling Efficiency
 - ◆ Case Management / Case Clearances
 - ◆ Warrant Affidavit Veracity / Warrant Execution Process
 - ◆ Special Unit Operations and Effectiveness

Florida deputies who fatally shot US airman burst into wrong apartment, attorney says

DAVID FISCHER

Wed, May 8, 2024 at 6:05 PM CDT · 4 min read



1.3k



1 / 2

Police Shooting Airman

This photo provided by the U.S. Air Force, shows Senior Airman Roger Fortson in a Dec. 24, 2019, photo. The Air Force says the airman supporting its Special Operations Wing at Hurlburt Field, Fla., was shot and killed on May 3, 2024, during an inci... [More](#)

MIAMI (AP) — Deputies responding to a disturbance call at a Florida apartment complex burst into the wrong unit and fatally shot a Black U.S. Air

DC Police improperly staffing patrol officers on the street audit finds

—
MPD says findings are "at odds with reality and does not align with the feedback from residents and businesses throughout the city."



COMMAND/HQ

Houston Police Chief Retires Suddenly amid Suspended Cases Probe

Houston's mayor announced the retirement of Police Chief Troy Finner, effective immediately, and Houston Police Executive Assistant Chief Larry Satterwhite will take over as acting chief.

By Dan Carson
Source Houston Chronicle

May 8, 2024 



Houston Police Chief Troy Finner.



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NEWS

Columbus officer fired after 'excessive' sex acts on duty at Kroger, chief says

by: [Mark Feuerborn](#)

Posted: Jun 15, 2024 / 03:02 PM EDT

Updated: Jun 15, 2024 / 03:03 PM EDT

SHARE



COLUMBUS, Ohio (WCMH) — A [Columbus police](#) officer has lost his job after engaging in sexual acts multiple times while on duty at a local grocery store, according to the division's chief.

Columbus Police Chief Elaine Bryant spoke with NBC4 on Friday, where she disclosed she terminated Officer Robert Spann for actions while on special duty at an unspecified Kroger in the area. A document dated for Tuesday detailed Bryant made the decision to fire him for violating the division's rules of conduct with "consensual sexual activity with a store employee."



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LOCAL // HOUSTON

'An operation completely out of control': Damning HPD narcotics audit reveals hundreds of errors

By **St. John Barned-Smith**, Staff writer

Updated July 2, 2020 8:43 a.m.



Audit criticizes Houston police unit tied to fatal drug raid





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The Daily News.

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July 25, 2024

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Dickinson police audit reveals 17 years of untested rape kits

By B. SCOTT McLENDON The Daily News 7 hrs ago 0

Stolen guns and missing drugs: I-Team finds thousands of potential thefts inside one police department

CBS NEWS
TEXAS

By Andrea Lucia, Kelsy Mittauer, Katie Standing
June 25, 2024 / 10:20 PM CDT / CBS Texas



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Front Mugshot - EDMISON, CARL THOMAS -
#DEIN2404000325

Printed on April 19, 2024



Law Enforcement Auditing

◆ Examples of Performance Audits

- ◆ Crime Rate now and over time
- ◆ Response Time to Priority One Calls
- ◆ Department Clearance rate comparison to other similar cities and state average
- ◆ Accident rate over Time
- ◆ Citizen Satisfaction
- ◆ Increased Park and Public Space usage
- ◆ Increased attendance at Public Events

Law Enforcement Auditing

◆ Examples of Performance Audits

KEY PERFORMANCE METRICS

	2022	2023
Plano Crime Rate	20.29 (5900)	18.11 (5290) ▼
Historic Crime Rate (2018)	19.49 (5485)	18.11 (5290) ▼
Aggravated Assault	0.94 (272)	0.89 (259) ▼
Homicide (Number of incidents)	0.003 (1)	0.014 (4) ▲
Rape	0.34 (100)	0.37 (108) ▲
Robbery	0.30 (87)	0.33 (96) ▲
Burglary	2.35 (683)	1.93 (564) ▼
Theft	14.62 (4253)	12.60 (3679) ▼
Vehicle Theft	1.73 (504)	1.99 (580) ▲

Number of reported incidents per 1,000



Dispatched Calls for Service
Number of incidents

2022 = 108,080
2023 = 111,224



Officer Self-Initiated Calls
Number of incidents

2022 = 109,631
2023 = 124,784



Telephone Reporting Unit Calls
Number of reports

2022 = 11,922
2023 = 13,310



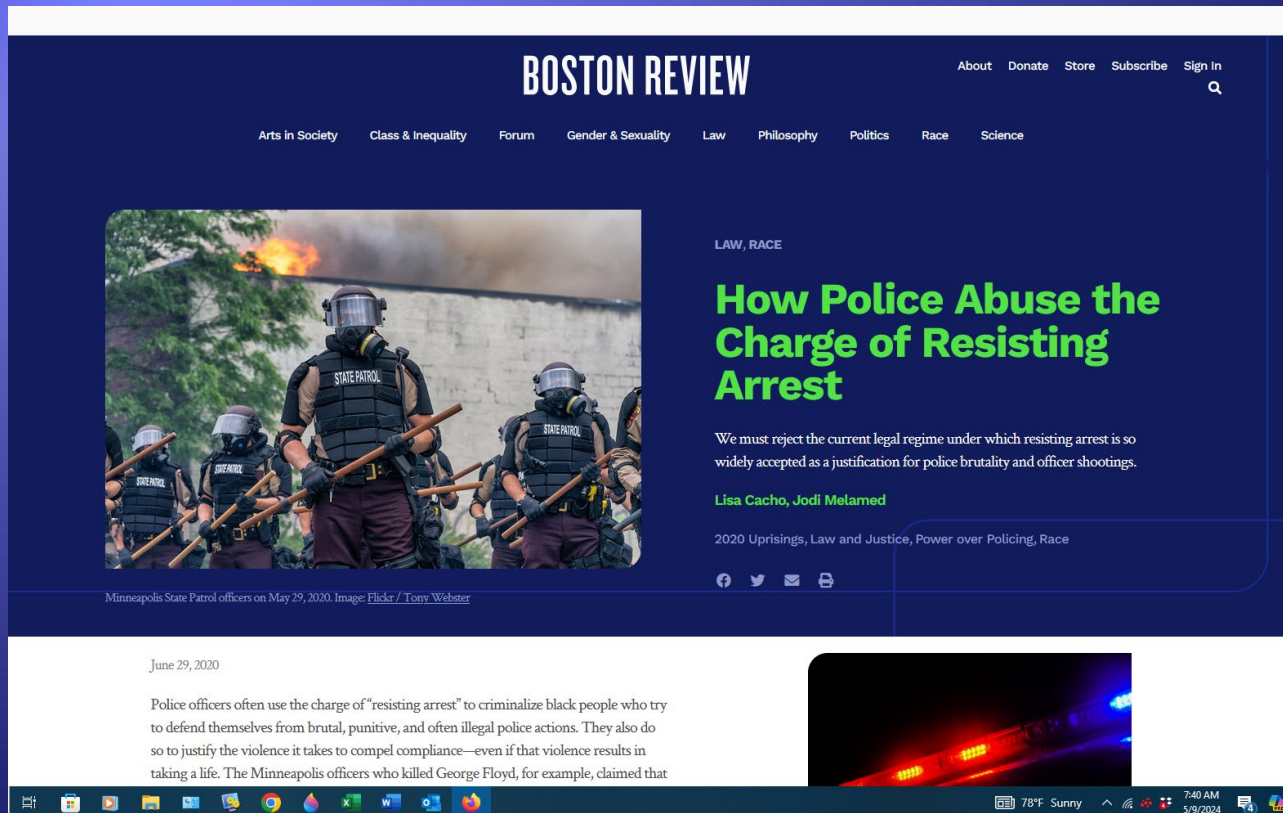
Average response time in minutes to Priority "1" Calls
= 3.80

Law Enforcement Auditing

- ◆ Examples of Accountability Audits
 - ◆ Racial Profiling
 - ◆ Consent Searches
 - ◆ Arrests by Type and Race
 - ◆ Use of Pretext Stops
 - ◆ Electronic Messaging

Law Enforcement Auditing

◆ Examples of Accountability Audits



The screenshot shows the Boston Review website interface. At the top, the logo "BOSTON REVIEW" is centered, with navigation links for "About", "Donate", "Store", "Subscribe", and "Sign In" on the right. Below the logo is a horizontal menu with categories: "Arts in Society", "Class & Inequality", "Forum", "Gender & Sexuality", "Law", "Philosophy", "Politics", "Race", and "Science".

The main content area features a large image of Minneapolis State Patrol officers in riot gear, with "STATE PATROL" visible on their vests. To the right of the image, the article title "How Police Abuse the Charge of Resisting Arrest" is displayed in green text, with the category "LAW, RACE" above it. Below the title is a short introductory paragraph: "We must reject the current legal regime under which resisting arrest is so widely accepted as a justification for police brutality and officer shootings." The author's name, "Lisa Cacho, Jodi Melamed", is listed below the paragraph, followed by a list of tags: "2020 Uprisings, Law and Justice, Power over Policing, Race". Social media sharing icons for Facebook, Twitter, Email, and Print are located at the bottom of the article preview.

Below the article preview, the date "June 29, 2020" is shown. The main text of the article begins with: "Police officers often use the charge of 'resisting arrest' to criminalize black people who try to defend themselves from brutal, punitive, and often illegal police actions. They also do so to justify the violence it takes to compel compliance—even if that violence results in taking a life. The Minneapolis officers who killed George Floyd, for example, claimed that".

At the bottom of the screenshot, a Windows taskbar is visible, showing various application icons, the system tray with the date "5/9/2024" and time "7:40 AM", and the weather "78°F Sunny".

Law Enforcement Auditing

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17 JUNE 2024 / SF NEWS / JOE KUKURA

13 Antioch Police Officers Fired or Resigned As Racist Text Scandal Fallout Continues

A number of Antioch Police Department officers are facing federal charges over racist texts and violent behavior on the job, and the city just cleaned house of many of them, with a total of 13 officers either being fired or resigning because the hammer was about to come down on them.

The news broke in spring 2023 of [another police racist text scandal](#), this time in the East Bay city of Antioch. (If you must read excerpts of the texts, the [Bay Area News Group details](#) how the cops referred to Black people as “gorillas,” “monkeys,” and “water buffalo,” and some texts included remarks like “I’ll bury that n—r in my fields,” or a vow to “make these n—as eat s—.”) One text offered to “buy a prime rib dinner” for anyone who shot a projectile bullet at Antioch’s Black mayor Lamar Thorpe-Hernandez, [which drew quite the animated retort](#) from Thorpe-Hernandez himself.

Law Enforcement Auditing

- Examples of Internal Audits

Sample Racial Profiling Analysis							
		White		African American		Hispanic	
	Total	Number	Percent	Number	Percent	Number	Percent
City Driving Population			55.3		28.1		16.5
PD MV Stops	38,453	20,035	52.1	12,458	32.4	5,960	15.5
PD Citations	25765	12,934	50.2	8,889	34.5	3942	15.3
Percent Citations	67	64.6		71.4		66.1	
PD Consent Searches	962	271	28.2	486	50.5	205	21.3
Percent Consent	2.5	1.4		3.9		3.4	

Law Enforcement Auditing

◆ Examples of Internal Audits

		Individual Officer Motor Vehicle Stops by Race					
		African American	Asian	Caucasian	Hispanic	Native American	Total
Department Total MV Stops		18.9%	15.3%	50.0%	15.6%	0.2%	
Officer 1	MV Stops	351	59	227	196	0	833
	Percent	42.1	7.1	27.3	23.5	0.0	100.0
Officer 2	MV Stops	93	17	173	129	0	412
	Percent	22.6	4.1	42.0	31.3	0.0	100.0
Officer 3	MV Stops	239	17	266	151	0	673
	Percent	35.5	2.5	39.5	22.4	0.0	100.0
Officer 4	MV Stops	112	8	118	75	0	313
	Percent	35.8	2.6	37.7	24.0	0.0	100.0

Law Enforcement Auditing

- ◆ Examples of CID Audits
 - ◆ Investigations
 - ◆ Victim Interviews
 - ◆ Case Clearances
 - ◆ Case Documentation
 - ◆ Case Closures (Open cases)
 - ◆ Victim Satisfaction
 - ◆ Cases Filed and Results
 - ◆ Confidential Funds

Law Enforcement Auditing

- ◆ Examples of Internal Audits
- ◆ Specialized Units
 - ◆ Arrest Body Cam Reviews
 - ◆ Arrest Report / Body Cam confirmation
 - ◆ Arrest and Citation Activity and location
 - ◆ Affidavit Preparation
 - ◆ High-Risk Warrant Service
 - ◆ Cases Filed and Results
 - ◆ Impact on Goals of Unit

Law Enforcement Auditing

Control Systems and Monitoring

Law Enforcement Auditing

- ◆ What are some things that you can do for constant monitoring?
 - ◆ Monthly/Quarterly Reports
 - ◆ Automated Alerts/Reports
 - ◆ Tracking data over time – trend examination
 - ◆ After Action Reports
 - ◆ Completion of Checklists
 - ◆ MBWA
 - ◆ Reviews of Specific Events

Law Enforcement Auditing

- ◆ Monthly Reports
 - ◆ Use some form of comparison
 - ◆ Last Month
 - ◆ Year to Date
 - ◆ Last Year to Date
 - ◆ Previous Years to Date?
 - ◆ Use charting

Law Enforcement Auditing

◆ After Action Reports

- ◆ Soon after event
- ◆ What went right
- ◆ What needs to be better
- ◆ Any specific failures
- ◆ Recommendations
- ◆ Chief must Review for them to be effective

Law Enforcement Auditing

◆ Checklists

- ◆ Most critical procedures
 - ◆ Preliminary Investigations
 - ◆ Major Case Investigation
- ◆ Time well spent
- ◆ Specific actions and decisions required
- ◆ Must be reviewed after the event in AAR
- ◆ Chief needs to ensure use by reviewing after each incident.

Law Enforcement Auditing

- ◆ Checklists
 - ◆ Take-off
 - ◆ Landing
 - ◆ Emergency Loss of Power
 - ◆ Pre Surgery
 - ◆ Post Surgery

Law Enforcement Auditing

BOEING 747-400 NORMAL PROCEDURES CHECKLIST

POWER UP / SAFETY CHECK			
First Officer	Captain		
CIRCUITBREAKERS.....	..CHECKED	TRANSPONDER.....	SET
BATTERY.....	ON	SOURCE SELECTORS.....	SET
STANDBY POWER.....	AUTO	CLOCKS.....	SET
HYDRAULIC DEMAND PUMPS.....	OFF	CRT SELECTORS.....	NORMAL
WINDSHIELD WIPERS.....	OFF	PFD.....	CHECKED
ALTERNATE FLAPS AND GEAR.....	OFF	ND.....	CHECKED
GEAR LEVER.....	DOWN	AUTOBRAKES.....	RTO
FLAPS.....	CHECKED	EIU SELECTOR.....	AUTO
APU.....	RUNNING	HDG REFERENCE SWITCH.....	NORMAL
ELECTRICAL SYSTEM.....	SET/APU AVAIL ON	FMC MASTER SELECTOR.....	LEFT
APU BLEED AIR.....	ON	GROUND PROX SYSTEM.....	CHECKED
ISOLATION VALVES.....	OPEN		
PACKS.....	NORMAL	BEFORE STARTING	
		First Officer	Captain
PREFLIGHT			
First Officer	Captain		
EMERGENCY EQUIPMENT.....	CHECKED	HYDRAULIC DEMAND PUMPS.....	AUTO, AUX (1 AND 4)
FIRE PROTECTION.....	CHECKED	AUTO, AUX (1 AND 4)
INTERRUPT SWITCHES.....	ON	BRAKE PRESSURE.....	NORMAL
PASSENGER OXYGEN.....	NORMAL	FUEL QUANTITY.....	KG
STAB TRIM CUTOFF SWITCHES.....	AUTO	FUEL SYSTEM.....	SET
NAV EQUIPMENT.....	CHECKED	X-FEEDS.....	OPEN (1 & 4 CLOSED)
OXYGEN AND INTERPHONE.....	CHECKED	SEAT BELTS SIGN.....	ON
GEAR PINS.....	STOWED	NOTOC.....	CHECKED
FLIGHTDECK LIGHTS.....	SET	SHIPS PAPERS.....	ON BOARD
SERVICEABILITY.....	CHECKED	PERFORMANCE DATA.....	CHECKED AND SET
FMC.....	SET / CHECKED	V2.....	SET
CREW BRIEFING.....	COMPLETED	LNAV AND VNAV.....	SET
EEC PUSHBUTTONS.....	NORMAL	DOORS.....	CLOSED
IRS.....	NAV	YELLOW DOOR SELECTORS AUTOMATIC.....	ANNOUNCED
HYDRAULIC SYSTEM.....	SET	RECALL.....	CHECKED
EMERGENCY LIGHTS.....	ARMED	ENGINE DISPLAY.....	SELECTED
AUDIO SYSTEMS.....	NORMAL	BEACON LIGHTS.....	BOTH ON
INTERPHONE SWITCHES.....	OFF		
		BEFORE TAXI	
		First Officer	Captain

Law Enforcement Auditing



World Health Organization

SURGICAL SAFETY CHECKLIST (FIRST EDITION)

Before induction of anaesthesia



Before skin incision



Before patient leaves operating room

SIGN IN

- PATIENT HAS CONFIRMED
 - IDENTITY
 - SITE
 - PROCEDURE
 - CONSENT
- SITE MARKED/NOT APPLICABLE
- ANAESTHESIA SAFETY CHECK COMPLETED
- PULSE OXIMETER ON PATIENT AND FUNCTIONING

DOES PATIENT HAVE A:

KNOWN ALLERGY?

- NO
- YES

DIFFICULT AIRWAY/ASPIRATION RISK?

- NO
- YES, AND EQUIPMENT/ASSISTANCE AVAILABLE

RISK OF >500ML BLOOD LOSS
(7ML/KG IN CHILDREN)?

- NO
- YES, AND ADEQUATE INTRAVENOUS ACCESS AND FLUIDS PLANNED

TIME OUT

- CONFIRM ALL TEAM MEMBERS HAVE INTRODUCED THEMSELVES BY NAME AND ROLE
- SURGEON, ANAESTHESIA PROFESSIONAL AND NURSE VERBALLY CONFIRM
 - PATIENT
 - SITE
 - PROCEDURE

ANTICIPATED CRITICAL EVENTS

- SURGEON REVIEWS: WHAT ARE THE CRITICAL OR UNEXPECTED STEPS, OPERATIVE DURATION, ANTICIPATED BLOOD LOSS?
- ANAESTHESIA TEAM REVIEWS: ARE THERE ANY PATIENT-SPECIFIC CONCERNS?
- NURSING TEAM REVIEWS: HAS STERILITY (INCLUDING INDICATOR RESULTS) BEEN CONFIRMED? ARE THERE EQUIPMENT ISSUES OR ANY CONCERNS?

HAS ANTIBIOTIC PROPHYLAXIS BEEN GIVEN WITHIN THE LAST 60 MINUTES?

- YES
- NOT APPLICABLE

IS ESSENTIAL IMAGING DISPLAYED?

- YES
- NOT APPLICABLE

SIGN OUT

NURSE VERBALLY CONFIRMS WITH THE TEAM:

- THE NAME OF THE PROCEDURE RECORDED
 - THAT INSTRUMENT, SPONGE AND NEEDLE COUNTS ARE CORRECT (OR NOT APPLICABLE)
 - HOW THE SPECIMEN IS LABELLED (INCLUDING PATIENT NAME)
 - WHETHER THERE ARE ANY EQUIPMENT PROBLEMS TO BE ADDRESSED
-
- SURGEON, ANAESTHESIA PROFESSIONAL AND NURSE REVIEW THE KEY CONCERNS FOR RECOVERY AND MANAGEMENT OF THIS PATIENT

Law Enforcement Auditing

◆ MBWA

- ◆ Unannounced
- ◆ Regular
- ◆ Question staff about activities
- ◆ Look at critical items
- ◆ Ask “What do most officers (employees) think about....” Gives officer or employee opportunity to give input without it being tied to them.

Law Enforcement Auditing

Sample Questions

Law Enforcement Auditing

- ◆ What questions would you want answered???
- ◆ Overtime Usage
- ◆ Confidential Funds
- ◆ Traffic Enforcement and Operational Activity
- ◆ Special Weapons and Equipment

Law Enforcement Auditing

- ◆ Materials
- ◆ USB Drive contains a copy of this Presentation and all documents and resources needed for an effective audit program.
- ◆ Not going to happen without effort on your part.

Law Enforcement Auditing

- ◆ Specific Audit Questions???
- ◆ Chief Marlin Price (Ret.) 817-676-3023
- ◆ marlinrprice@verizon.net
- ◆ *"Police Department Auditing" (2024)*
Improving Performance and Accountability