Law Enforcement

Performance Auditing

Retired Captain Jodi Wakefield
Former Commanding Officer
AUDIT DIVISION
LOS ANGELES POLICE DEPARTMENT
Background

• Law enforcement agencies carry inherent risks
• Operations (including special operations)
• Arrests
• Search warrants
• Vice enforcement
• Gang enforcement
• Bomb squad
• Special Weapons and Tactics (SWAT)
Law Enforcement Performance Measures

• There is a need to measure performance
• Possible gap in knowledge on how to measure
• Difficulties in measuring due to nature of police work and inherent gray legalities
• Typically focused on efficiency and effectiveness (typically stat driven)
• traditional outputs and outcomes
such as total number of arrests, total number of calls for service, overtime worked, traffic accidents, arrests, and citizen satisfaction
Law Enforcement Performance Measures
Address the Symptom – not the problem...point the finger

Good example is May Day Demo in 2007

• Officers disciplined
• Command Staff demoted
• Lack of resources

Law Enforcement Responds “Addressing” the Issue
Consent

Decrees

How does an agency end up in a Consent Decree (CD)?

• A pattern or practice of unconstitutional policing: use of force, racial profiling, etc. and a complaint is initiated with the Department of Justice (DOJ) which opens an investigation
  • A pattern or practice is reported and an investigation is initiated into those allegations
  • The DOJ sues the city in which these
allegations have been determined to be an issue. An independent monitor and a Federal Judge is assigned to work with the agency. Usually 4 to 8 years to comply with the CD.
Consent Decrees · New Orleans Police Department · Ferguson Police Department · Los Angeles County Sheriff’s Department · Albuquerque Police Department · Cleveland Police Department · Puerto Rico Police Department · U.S. Virgin Islands Police Department

Response to Law
Enforcement

- Baltimore Police Department
- Miami Police Department
- Missoula Police Department
- Newark Police Department
- Suffolk County Police Department
- Yonkers Police Department
- Cleveland Police Department
- Warren Police Department
Understanding · Seattle Police Department · Chicago Police Department · Oakland Police Department · Riverside Police Department · Maywood Police Department

**Negotiated Settlement Memorandum of California Department of**

Additional Agreements
Ethical (and Operational?) Dilemmas

Los Angeles Police Department

- Rodney King (1991)
  - Los Angeles Riots (1992)
- Rampart Scandal (1998)

Los Angeles Police Department
Rampart CRASH unit
July 2001

• Staffing of Audit Division (2001) (Required by the CD)
• Police Performance Auditing Program
• Nation’s first risk based, professional internal audit function that applies performance auditing to police operations.
• Sworn pay grade advanced positions and Police
Performance Auditors
• Combine sworn with civilian auditors
• Built in subject matter experts

Establishment of Audit Division
Definition of Internal Auditing

“Internal audit is an independent, objective assurance and consulting activity designed to add value and improve an organization’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined
approach to evaluate and improve the effectiveness of risk management, control and governance processes.”

_Institute of Internal Auditing_
TYPES OF AUDITS

• "Performance audit objectives vary widely and include assessments of program effectiveness, economy, and efficiency; internal control; compliance; and prospective analyses" (US GAO, 2011)
Audit Certifications

Common Certifications:
Certified Public Accountant
Institute of Internal Auditors Certified in Risk Management Assurance
Certified Internal Auditor
Certified Government Auditing Professional
Association of Certified Fraud Examiners
Certified Fraud Examiner
Performance Audits as Performance Measures

- Common Audits
- Use of Force
- Categorical
- Non-Categorical
- Personnel Complaints
- Search Warrants
- Command Accountability Performance Audits
- Gang Enforcement Detail
- Narcotic Enforcement Detail
- Vice
- Arrest Reports
• Confidential Informants
• Since 2009, audits have expanded to address other areas of high risk, for instance, Fiscal auditing, specialized division inspections, IT audits.
Audit Report Review and Approval

• Distribution of Performance Information
• Commanding Officer, Audit Division
• Auditee and Respective Chain of Command
• Director, Office of Constitutional Policing and Policy
• Chief of Staff
• Chief of Police
• Police Commission
• Inspector General
What do audits accomplish?

• First and foremost change and identifying Best Practices to share with the organization
• Findings and recommendations are reviewed and approved by Police Commission
• Tracking and ensuring that the recommendations are addressed and acted upon, if feasible.
• Over 300 recommendations have been closed out since the
implementation of the Consent Decree.
Examples of Change

• Use of Force Process
• Several Manuals developed/updated for specialized units (Confidential Informant Manual)
• Tactical Plan for every search warrant
• Undercover Officer training requirement
• Redesign and development of
outdated tracking systems, such as Property Management System (APMIS)
Overall Value of Internal Auditing

- Performance Measures
- Performance Information
- Best Practices
- Performance Management
- Accountability
- Transparency
- Governance
- Public Value
• Substantive Value
• Legitimate and Politically Sustainable
• Operationally and Administratively Feasible
Question and Answer Session