

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.

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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

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Understanding · Seattle Police
Department · Chicago Police
Department

Agreement · Oakland Police
Department

Justice · 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

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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 organizations 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