



DEPARTMENTAL
GENERAL
ORDER

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Audits
Inspections
Office of Inspector General (OIG)

DEPARTMENTAL AUDITS AND INSPECTIONS

The purpose of this order is to set forth Departmental policy and procedures regarding the Department's audit and inspection process. Departmental audits and inspections may include, but are not limited to, evaluation of facilities, vehicles, equipment, records, personnel, investigative procedures, administrative and crime reporting practices, and incident reports.

This order and Departmental Training Bulletin V-P, GUIDELINES FOR AUDITS AND INSPECTIONS will provide Departmental management (organizational unit supervisors, commanders, and managers) and the Office of Inspector General (OIG) with guidelines for conducting audits and inspections.

I. INTRODUCTION

Departmental audits and inspections, and the correction of any adverse conditions discovered therein, are the function and responsibility of all command and supervisory personnel. They are an integral part of any management system which holds its members accountable for their performance. The audit and inspection process is an essential mechanism for:

- A. Evaluating the quality of the Department's operations
- B. Ensuring Departmental goals are clearly defined, understood and pursued
- C. Identifying the need for additional resources
- D. Providing a vertical, as well as lateral, means of communication within the Department

II. DEFINITIONS

A. Inspection

An examination that focuses on a specific task, activity, or event in order to ensure compliance with a policy, procedure, rule, or directive.

B. Audit

A methodical, extensive and detailed examination or analysis. An audit is more general in nature than an inspection and may involve reviewing a previous inspection or conducting a new one. An audit may include but is not limited to analyzing topics such as:

1. Accuracy of inspections
2. Policy and procedure compliance
3. Adequacy of the procedure or the directive/policy/order
4. An activity's effect on Departmental strategies
5. An activity's effect on other Departmental units

Note: The various categories of audits and inspections are described in Part V.

C. Line

Refers to personnel within the chain of command who have direct authority and responsibility for operation of the unit.

D. Staff

Refers to personnel not in the direct chain of command and who do not have operational control of persons, facilities, or procedures.

E. Formal

To be documented with the required written reports submitted to the unit commander, or higher authority.

F. Informal

No written report is required. Written notations may/may not have been executed.

G. Self-Assessment

To estimate the value and proficiency of a unit, operation, or activity by those personnel who are affiliated with the group or activity.

III. POLICY

- A. Audits and inspections shall be used to ensure that operational controls are maintained, and that practices, procedures, and efforts of all units conform to Departmental rules, policies, orders, City regulations, and existing law.
- B. Management personnel shall be encouraged to use positive measures to correct problems discovered during the audit or inspection process. The intent is to improve performance and service by examining what the Department's personnel are doing and how they perform their duties.
- C. Nothing in this order shall preclude Departmental management from conducting unannounced, periodic audits or inspections in addition to those required by this order.
- D. All Department and Bureau staff audits and inspections shall be coordinated through the Office of the Chief of Police or the Planning and Research Division. Audits and inspections shall be conducted in accordance with the provisions of Training Bulletin V-P.
- E. The OIG and its staff are not responsible for, and shall not relieve Departmental management of their responsibility for conducting audits or inspections within their own units, the direction of operations, or the development and execution of written procedures.

- F. Whenever possible misconduct is discovered, the appropriate commanding officer shall be notified. The commanding officer shall ensure that a separate personnel complaint is initiated. The audit/inspection will then proceed normally, except that the personnel complaint shall be noted in the audit/inspection report. At the conclusion of both the audit/inspection and personnel complaint investigations, the commanding officer shall ensure that the final outcomes of both inquiries are appropriately cross-referenced.
- G. Departmental management shall familiarize themselves with their specific responsibilities and ensure that audits/inspections are conducted in accordance with the provisions of the applicable Departmental orders or unit directives.

IV. AUDIT AND INSPECTION – RESPONSIBILITIES

Management control systems are necessary to ascertain whether Departmental or command policies, procedures, and rules are adequate and are being adhered to; whether Department resources are adequate and/or being properly utilized; and to evaluate the performance of Department personnel.

Departmental management is responsible for ongoing audits and inspections within their command to ensure the proper performance of assigned personnel and the most efficient use of equipment, material, and facilities. Merely finding fault is not auditing or inspecting. Departmental management's responsibility does not end with the discovery of a deficiency or inadequacy. Management must take appropriate positive measures to correct the problem. To assist in carrying out these responsibilities, the Department has established:

- A. An Internal Affairs Division (IAD) to investigate, track, and coordinate complaints of misconduct.
- B. An Office of Inspector General (OIG) to conduct audits or inspections of the non-IAD complaint issues.
- C. Special Issues Teams that are assigned and designated to conduct specific audits or inspections of a particular policy, procedure, or practice.

V. AUDITS AND INSPECTIONS – TYPES

The primary tools for meeting the general responsibilities outlined in Part VII of this order shall be audits and inspections. The OIG shall coordinate and conduct certain audits and inspections of any program, operation and/or activity within and/or connected to the Department. The core objective of these audits and inspections is to recommend improvements in the management and conduct of the Department's programs, projects and activities. The types of audits conducted by the OIG and Special Issues Teams include:

- A. Operational - Examine and evaluate systems of internal control and the quality of performance in carrying out assigned responsibilities with respect to an organization's operating functions.
- B. Performance - Focus on efficiency and effectiveness, and require that operating standards be established.
- C. Economy and Efficiency - Evaluate whether resources are being economically and efficiently used.
- D. Program - Determine to what extent desired results or benefits are being achieved.
- E. Compliance – Whether, and to what degree, an organizational unit and its personnel and practices conform to certain specific requirements of policy, procedures, standards, or laws and governmental regulations.
- F. Financial - Determine whether financial information is presented in accordance with established accounting principles, whether the entity has adhered to specific financial compliance requirements, and whether the internal control structure over financial reporting is suitably designed and implemented to achieve the control objectives. Such audits may also involve an examination of financial statements for the purpose of expressing an opinion on whether the statements conform with established criteria and guidelines.

VI. AUDITS AND INSPECTIONS – SELECTION AND SCHEDULING

Audits and inspections may be selected and scheduled by the following:

- A. Chief of Police

- B. Office of Inspector General
- C. Other –Those audits and inspections required by other written directives (e.g., DGO's, Unit Policy and Procedures) shall be conducted in accordance with the provisions of the applicable directive(s).
- D. Self-Assessment
- E. By suggestion or request to the OIG, Deputy Chiefs, or Chief of Police in accordance with the provisions of Training Bulletin V-P, Part XI.

Note: Unless otherwise specified, all Departmental facilities, personnel and equipment shall be inspected at least every two years.

VII. OFFICE OF INSPECTOR GENERAL (OIG)

The Chief of Police established the OIG. Personnel assigned to the OIG shall be designated as OCOP staff personnel and will act as advisors to the Chief. In addition to serving the Chief, the OIG will partner with commanders and managers to provide support and guidance in creating an environment which is conducive to efficient and effective Management Risk and to achieving goals and objectives established by the Department.

- A. OIG Goals and Responsibilities
 - 1. Keep the Chief and Departmental management staff informed of problems, abuses, deficiencies, and to recommend and report progress in implementing corrective action.
 - 2. Review management, supervisory, and other practices to ensure they are in compliance with Departmental policies and goals.
 - 3. Conduct audits, inspections and other reviews in order to detect and mitigate waste, abuse and mismanagement.
 - 4. Maximize the positive impact and ensure the independence and objectivity of its audits, inspections, and investigations.
 - 5. Recommend the development of new General Orders, Training Bulletins, or the revision of existing policies and procedures to

address systemic problems discovered during an audit or inspection.

6. Provide assistance, as well as assessment, in the area of accountability, performance measure initiatives, and compliance with laws, regulations and internal policies in carrying out programs.
7. Examine current policies and existing procedures/practices for omissions/errors and suggest revisions/improvements without stifling creativity.
8. Provide management advisory services, reviews, consultations, and training to Departmental units.
9. Serve as one of the Department's liaisons with risk management teams and external auditors.

B. Appointment

1. The Chief of Police may appoint a member(s) or employee(s) of any rank or classification to the Office of Inspector General.
2. The OIG is attached to the OCOP and shall report directly to the Chief of Police.
3. Personnel assigned to the OIG are exempt from the transfer policy.

VIII. REFERENCES

References include but are not limited to:

A. Departmental Manual of Rules Sections

- 226.24 ROLL CALL
- 234.12 COMMAND
- 234.6 MAINTENANCE
- 285.70 INSPECTION
- 342.00 DEPARTMENTAL PROPERTY AND EQUIPMENT

B. Departmental Publications

TB-V-P GUIDELINES FOR AUDITS AND INSPECTIONS
GO-A-1 DEPARTMENTAL MANUALS AND PUBLICATIONS
GO-A-14 SECURITY OF POLICE ADMINISTRATION BUILDING
GO-C-1 UNIFORMS AND EQUIPMENT
GO-F-5 UNDERCOVER EXPENDITURES
GO-G-4 DEPARTMENTAL SAFETY
GO-I-2 ASSIGNMENT, SERVICING, REPAIR OF POLICE
VEHICLES
GO-N-2 INVENTORY AND CONTROL OF EQUIPMENT AND
FURNITURE

By order of

Richard L. Word
Chief of Police