

Audit & Accountability Bureau - Procedural Manual

- **Introduction**
 - **Mission Statement**
 - **Audit Authority and Responsibilities**
 - **Confidentiality and Independence**
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- • **Mission Statement**

The mission of the Audit and Accountability Bureau (AAB) is to provide an independent, objective, thorough analyses designed to assess and improve our policies, procedures, and practices. AAB supports the Department in accomplishing its objectives by undertaking systematic disciplined audits and non-audit functions in the effectiveness of the Department's risk management, internal controls, and governing processes. In doing so, AAB assists in bringing transparency and accountability to the Department's operations and management.

Manual of Policies and Procedures, Section 3-04/040.00, Audit and Accountability Bureau

- • **Authority and Responsibilites**

AAB is granted Departmental internal oversight authority by, and reports directly to, the Sheriff. AAB is granted complete access to all Department records (manual or electronic), physical properties, and personnel relevant to audits and non-audit functions, including but not limited to all search warrants, confidential informant packages, arrest and incident reports, complaint inquiries, criminal investigations, administrative investigations, use of force investigations, electronic communications, personnel records, and any documents deemed necessary. All documents and information provided to internal auditors during an audit will be handled with confidentiality and due consideration.

Manual of Policies and Procedures, Section 3-04/040.10, Authorization

The Audit and Accountability Bureau shall, at the direction of the Sheriff or his designee: Conduct Law Enforcement Performance Audits;

- **Develop an annual audit plan;**
- **Be guided by Generally Accepted Government Auditing Standards;**
- **Conduct non-audit functions, examinations, reviews, agreed upon procedures, and special projects;**
- **Serve as a resource to other Department units in conducting audits;**
- **Review established systems, policies, and procedures to evaluate compliance with laws and regulations;**
- **Evaluate plans and actions taken to correct reported issues and concerns; and**
- **Convene Shooting Analysis Committee meetings and assess employee involved shootings and critical incidents when called upon by policy and/or the Critical Incident Review Panel.**

Manual of Policies and Procedures, Section 3-04/040.30, Responsibilities

- • **Confidentiality and Independence**

The Audit and Accountability Bureau (AAB) adheres to the Department's Manual of Policy and Procedures (MPP), Unit Orders, and Generally Accepted Government Auditing Standards (GAGAS) pertaining to audits or other related projects, including requests from external entities. All personnel who conduct or assist with these projects are required to exercise confidentiality and be free from personal and/or external impairments to independence, which may compromise professional

judgment.

The AAB conducts Audit/Projects under the guidance of the GAGAS. These professional standards, also known as the “Yellow Book,” provide a framework for performing high-quality audit work with competence, integrity, objectivity, and independence to provide accountability and to help improve operations and services. The GAGAS (General Requirements for Complying with Government Auditing Standards §2.15, Relationship between GAGAS and Other Professional Standards) recognizes that for performance audits, auditors may use other professional standards. This would include the International Standards for the Professional Practice Framework (IPPF), also known as the “Red Book,” and is authored by the Institute of Internal Auditors.

All projects assigned to the AAB are deemed confidential and sensitive in nature until the Unit Commander authorizes the release or publication of the information. All members of the AAB will exercise the utmost discretion and maintain the integrity of all information related to any project. Members will not disclose any information for professional or personal use without the approval of the Unit Commander or their designee. (See Attachment 1)

- **Administrative**
 - **Auditing Duties and Responsibilities (Audits/Projects)**
 - **Audit and Accountability Bureau Training Office**
 - **Personnel Mentoring Program**
 - **Audit Training and Continuing Professional Education**
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- • **Auditing Duties and Responsibilities**
 - **Unit Commander**
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- **Operations**
 - **Audit Team Lieutenant (Team Lieutenant)**
 - **Head Compliance Officer (HCO)**
 - **The Audit Team**
 - **Project Manager**
 - **Assistant Project Manager**
 - **Quality Assurance Reviewer**
 - **Operations Assistant**
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- • • **Unit Commander**

The Unit Commander is the chief auditor for the Audit and Accountability Bureau, who is responsible for the final review and approval of all audits and special projects. The Unit Commander effectively manages these responsibilities by communicating with Department management. Responsibilities include but are not limited to:

- **Approve the Annual Audit Plan.**
 - **Approve Proposal Memorandums.**
 - **Conduct roundtable discussions with the audit team as necessary.**
 - **Approve Executive Summaries and reports.**
 - **Receive and acknowledge response memorandum from the auditee.**
 - **Communicate project results to Department executives, the Office of Inspector General, and other Department management.**
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- • • **Operations**

Operations personnel are responsible for reviewing and processing

project-related correspondence, draft and final reports for the Unit Commander's review and approval. Responsibilities include but are not limited to:

- **Review proposal memorandums and assign project numbers as approved by the Unit Commander.**
- **Track and monitor the progress of all projects.**
- **Review draft and final reports and communicate the edits when necessary to the project manager, Head Compliance Officer (HCO), or team lieutenant.**
- **Facilitate the request for a response memorandum, via email, from the auditee.**
- **Distribute final draft reports to Executive Management and the Office of Inspector General for their review.**

• • • **Audit Team Lieutenant (Team Lieutenant)**

The team lieutenant will provide administrative supervision and guidance for the assigned team personnel and related projects. Responsibilities include but are not limited to:

- **Review, approve, and submit proposal memorandums to Operations for Unit Commander approval.**
- **Assign projects to team personnel and identify the project manager and assistant project manager.**
- **Review and approve all phases of the audit process and documentation to ensure timeliness.**
- **Participate in entrance and/or exit meetings.**
- **Facilitate communication between Department management.**
- **Conduct meetings with team personnel to obtain updates and provide guidance.**

- **Supervise the Quality Assurance Review phases.**
 - **Ensure edits for reports are completed.**
 - **Review final audit binders for completeness.**
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• • • **Head Compliance Officer (HCO)**

The HCO will review all phases of the audit to ensure consistency with auditing standards. The HCO assists the Audit Team Lieutenant, regarding the supervision of the auditors, both sworn and civilian. Responsibilities include but are not limited to:

- **Provide audit expertise and guidance to the Unit Commander and all members of the AAB.**
 - **Develop the Annual Audit Plan which addresses settlement agreements, Department of Justice mandates, and management departmental risk issues.**
 - **Attend entrance and/or exit meetings as necessary.**
 - **Participate in and/or conduct meetings with the audit team.**
 - **Monitor each phase and ensure the timeliness of the audit.**
 - **Ensure the accuracy of the draft report and communicate necessary edits to the project manager.**
 - **Review Quality Assurance notes.**
 - **Review the completed binder checklist.**
 - **Ensure completed projects are archived.**
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• • • **The Audit Team**

The audit team is comprised of law enforcement auditors, both sworn and

civilian. This team is responsible for completing mandated and risk based audits. The team will take direction from the team lieutenant and oversight from the HCO. The team lieutenant and HCO are responsible for identifying a Project Manager and Assistant Project Manager for each audit.

• • • Project Manager

The project manager is responsible for completing each step of the audit process. The project manager position can be assigned to a sergeant or a Law Enforcement Auditor (LEA), as this position is interchangeable. Responsibilities include but are not limited to:

- Prepare a proposal memorandum for Unit Commander approval.**
- Develop the audit/project work plan by researching previous audits, including relevant Department policy and procedures, federal, state, and local laws, and legal agreements.**
- Communicate any areas of concern to the Audit Team Lieutenant and HCO.**
- Prepare an Entrance Meeting Memorandum and schedule an entrance meeting with the auditee.**
- Identify the audit population.**
- Prepare work papers.**
- Identify and collect evidence and data.**
- Develop the testing instruments.**
- Conduct and oversee fieldwork and completion of testing instruments.**
- Conduct analysis of results.**
- Provide weekly updates to the Audit Team Lieutenant and HCO.**
- Provide ongoing communication with the quality assurance reviewer.**
- Ensure all Quality Assurance notes are addressed and cleared.**

- **Ensure that the audit is conducted in accordance with auditing standards.**
 - **Ensure that work papers directly support results.**
 - **Inform the auditee of audit results.**
 - **Schedule and conduct an exit meeting with the auditee.**
 - **Prepare the draft and final audit reports.**
 - **Present audit results to Department executives as needed.**
 - **Ensure work papers are complete, organized, and maintained in the shared files.**
 - **Organize the audit binder and submit to the Team Lieutenant for review.**
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• • • **Assistant Project Manager**

The assistant project manager is responsible for assisting the project manager in completing each step of the audit process. This position is also interchangeable and may be a sergeant or an LEA. Responsibilities include but are not limited to:

- **Participate in all meetings with the project manager.**
 - **Participate in the entrance and/or exit meeting with the auditee as necessary.**
 - **Assumes role of the Project Manager in his/her absence or reassignment.**
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• • • **Quality Assurance Reviewer**

The quality assurance review shall be conducted in accordance with auditing standards. Responsibilities for the Quality Assurance Reviewer but not limited to:

- **Participate in audit team meetings as needed.**
- **Monitor and maintain open communication with the project manager throughout the audit process.**
- **Determine if the population selected for testing is sufficient and appropriate with an unbiased approach.**
- **Determine if the audit objectives are properly formulated and correlate to the required criteria. The criteria should be relevant, cited verbatim according to the reference, and directly support the objectives.**
- **Ensure the testing instruments are measurable and relevant to support the criteria with a clear disposition.**
- **Review the draft report to ensure the findings are consistent with the written narrative results, as supported by the evidence.**
- **Confirm audit work papers directly support results.**
- **Compile written notes for clarification of areas that are not appropriately cited or supported by the audit work papers.**
- **Ensure the project manager provides a written response for each note.**

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- • • **Operations Assistant**

The operations assistant is responsible for but are not limited to:

- **Perform administrative duties to assist the audit team.**
- **Attend audit team meetings as necessary.**
- **Assist the HCO with the archiving process.**
- **Maintain and update the Audit Team Tracker.**

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- • **Audit and Accountability Bureau Training Office**
 - **Training Sergeant**

- **Personnel Mentoring Program**
 - **Audit Training and Continuing Professional Education**
 - **Continuing Professional Education**
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- • • **Training Sergeant**

The Training Sergeant's responsibilities include but are not limited to:

- **Schedule and supervise bureau training for all AAB personnel.**
 - **Complete Mentoring Program for all AAB personnel.**
 - **Monitor Continuing Professional Training and Continuing Professional Education.**
 - **Ensure staff are compliant with Department training policies and procedures.**
 - **Organize and retain personnel training folders and certificates.**
 - **Liaison with Department training and external training groups.**
 - **Prepare all documentation for travel training for personnel attending training.**
 - **Complete special projects assigned by management.**
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- • **Personnel Mentoring Program**

The Mentoring Program was designed to ensure all AAB personnel are provided direction and training to complete their assignment. The program will provide assistance to minimize the need to learn through trial and error.

The HCO and/or the Training Sergeant will act as the mentor(s) throughout the mentoring program. In addition to any other training or orientation provided, the mentor(s) will have the responsibility to direct and monitor the auditor throughout the identified assignments. The auditor will

acknowledge an understanding of the subjects listed for each assignment. The mentor(s) will guide personnel with subjects that require further training. The HCO and/or the Training Sergeant will be responsible for monitoring the progress of the auditor. The Auditor Mentoring Program documents will be maintained in the AAB training files. (See Attachment 2)

- • **Audit Training and Continuing Professional Education**

Training and education are critical to AAB personnel. All AAB personnel are required to attend the Basic Law Enforcement Performance Auditor Course certified by the California Commission on Peace Officer Standards and Training. In addition, AAB personnel will also participate in the Los Angeles County Sheriff Department's Basic Law Enforcement Performance Auditor Course (No. 22711). The Training Sergeant is responsible for all training related matters.

AAB personnel possess professional certifications which lend great credibility to the AAB. Each certification demands different Continuing Professional Education requirements, and AAB personnel are responsible for completing the required Continuing Professional Education hours (GAGAS Section 4.16 - 4.29, Continuing Professional Education, General).

- **Audit Process**

- **The Audit Process**
 - **Documentation**
 - **Internal Audit Follow-Up Procedures**
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- • **The Audit Process**

The AAB audit process is governed by the Generally Accepted Government Auditing Standards (GAGAS) and is utilized in all audit related projects. See the Audit Process flow chart, (See Attachment 3).

• • • Audit Proposal

The audit proposal is the first step of the audit process. The team lieutenant and the HCO will assign the audit to the project manager, which is to be approved by the Unit Commander. (GAGAS §4.02 – 4.11, Competence, §8.31 – 8.32, Assigning Auditors). The project manager will submit a proposal memorandum to the Unit Commander for approval. (See Attachment 4) Once the memorandum is approved, a project number is issued by Operations. The project manager will utilize the Project Manager Duties and Responsibilities Checklist to assist in the completion of each phase of the audit. (See Attachment 5)

• • • Audit Work Plan Development

The project manager begins the planning phase of the audit and develops the Audit Work Plan (GAGAS §8.03 – 8.07, Planning, §8.33 – 8.35, Preparing a Written Audit Plan). The project manager will develop the work plan according to the scope of the audit/project. The Audit Work Plan documents the audit objectives and addresses relevant risks. The Audit Work Plan will include the audit scope and methodology, which support the audit objectives. This provides assurance that the data gathered is sufficient and appropriate. (See Attachment 6) Once the Audit Work Plan prepared, the project manager will submit it to the Unit Commander for approval.

Auditors also conduct various projects, including examinations, reviews, compilations and agreed upon procedures, and are required to apply the same auditing standards and processes (GAGAS §7.34, Examination Engagement Documentation).

The project manager should determine the audit population, including the best way to retrieve that data. The population may vary depending upon the audit. Population is defined by the Institute of Internal Auditors as the following:

...Population is defined as, the entire set of data from which a sample is selected and about which the internal auditor wishes to draw conclusions.

• • • Entrance Meeting with Auditee

The entrance meeting is conducted to inform the auditee of details regarding the audit (GAGAS §8.20 - 8.26, Auditor Communication). The project manager will contact the auditee to schedule and conduct the entrance meeting. During this time, the project manager will present the entrance meeting memorandum, discuss the audit objectives, scope, time period, and request for a designated contact person. This is an interactive process in which the auditee may ask questions and make suggestions regarding audit related issues. (See Attachment 7)

• • • Fieldwork/Testing/Analysis

Fieldwork is conducted according to requirements for performance audits under the guidelines of GAGAS. The fieldwork requirements relate to planning the audit; conducting the entrance meeting, providing direction to the audit team members, obtaining audit evidence; and preparing all audit documentation (GAGAS §8.02, Fieldwork Standards for Performance Audits)

The Institute of Internal Auditors defines audit evidence as the information obtained through observing conditions, interviewing people, and examining records. Audit evidence is documentation and information which supports conclusions.

The project manager may begin fieldwork as soon as the entrance meeting is completed by collecting the necessary documentation and information. The project manager will collect relevant audit evidence to address the audit objectives. The project manager may use Departmental databases or other resources to identify the population. These resources can be reconciled to ensure the completeness of all evidence. The project manager should perform inquiries with Department personnel and conduct observations. (GAGAS §8.77, Identifying Sources of Evidence and the Amount and Type of Evidence Required, and §8.108, Overall Assessment of Evidence).

The project manager is responsible for the development of the testing instrument(s). The testing instrument(s) provides the data analysis to support the results of the audit. Questions should be simple and be developed for “Yes” or “No” type responses. Other responses may

include “Not Applicable” or “Unable to Determine,” for which a comment would be required. (See Attachment 8)

• • • Review of Audit Results

After completing the testing instrument, the project manager will review the results and develop audit findings. Throughout the audit, the project manager will coordinate and discuss preliminary results with the auditee. These preliminary results may be used by the auditee to initiate corrective action plans before the completion of the audit. (GAGAS §8.116 – 8.131, Findings, and §9.24, Reporting Findings, Conclusions, and Recommendations).

• • • Draft Report

The project manager is responsible for writing the audit report (GAGAS Chapter 9, Reporting Standards for Performance Audits). The report shall contain the following:

- Objectives, scope, and methodology of the audit.
- Audit results, including findings, conclusions, and recommendations, as appropriate.
- A summary of the views of responsible officials.
- The report may include sections entitled “Other Related Matters” or “Additional Information.”
 - Other Related Matters are defined as issues that are not measured within the scope of the audit; however, they may be supported by another Department policy or procedure. Other Related Matters may pose a risk to the audit subject and may continue to do so if not addressed.
 - The “Additional Information” section often supplies valuable

statistical data to the auditee.

All audit reports will be watermarked with “DRAFT” until the final report is completed. The project manager is responsible for submitting the draft report for final review to the Team Lieutenant, the HCO, Operations, and ultimately the Unit Commander.

• • • Quality Assurance Review

The project manager will provide the quality assurance reviewer with the work plan, the draft audit report, access to all audit work papers, and shared files. The quality assurance reviewer verifies the audit population, testing instrument(s), and the validity of the criteria. This process is a comprehensive review to evaluate if the results and conclusions are appropriately supported and begins during the Planning phase continuing until the draft report is completed. (GAGAS §5.22, Engagement Performance, General).

The quality assurance reviewer develops a list of notes in the established format, to include the page, section, and/or paragraph for the identifying note. (See Attachment 9) The notes should be concise, free of biased opinion, and based on factual information. The reviewer shall make every effort to perform research and communicate with the project manager to clarify information.

The project manager is responsible for responding to each note with a disposition. If the project manager disagrees with the note, they must show evidence or reason for their disposition. A meeting will be conducted to resolve disagreements of notes. Notes will be reviewed in open discussion with the team lieutenant and HCO. If an agreement cannot be reached, the Unit Commander and audit team will initiate a Round Table to resolve issues.

• • • Exit Meeting and Review

The exit meeting is conducted to provide the auditee with the final results of the audit (GAGAS §8.20 - 8.26, Auditor Communication). The project manager will provide details of the findings, at which time the auditee can discuss the results. The team lieutenant and/or the HCO will attend the

meeting along with the project manager and assistant project manager. After the exit meeting, Operations distributes a draft copy of the report to Executive Management. The auditee will have the opportunity to submit a formal memorandum response to be addressed to the Unit Commander of the AAB. The final draft report is also provided to the Office of the Inspector General for their review.

- • • Final Report

The final report is to be completed once the formal response is received. The auditee will provide a formal response memorandum stating concurrence or non-concurrence with the audit results (GAGAS Chapter 9, Reporting Standards for Performance Audits). The project manager prepares the Executive Summary Memorandum once a response is received. If a response is not received, the project manager will summarize the exit meeting discussion within the “Views of Responsible Officials” section of the audit report.

The final report shall include the Executive Summary, the formal response memorandum (if any), and the final report. The project manager, assistant project manager, and the HCO will sign the final report before submitting to Operations for the Unit Commander’s approval.

- • • Executive Distribution

Once the Unit Commander approves the final report, it is delivered to the Office of the Sheriff. (GAGAS §9.56, Report Distribution)

- • Documentation

- Audit Documentation
 - Archiving and Retention
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- • • Audit Documentation

The project manager will ensure the following:

- **A binder is created to retain all work papers and original documents.**
 - **All team members shall store all work papers in the binder.**
 - **A Table of Contents is included to ensure organization.**
 - **Create and electronic file for storing audit documentation (electronic audit work papers.)**
 - **All documents containing original signatures and notes will be scanned for storage.**
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• • • **Archiving and Retention**

All audit reports including original signatures are maintained in the AAB office. The project manager submits the completed audit binder and the electronic shared folder to the Team Lieutenant for review. Once this review is complete, the Team Lieutenant signs the binder review checklist and submits the documentation to the HCO for archiving.

All completed binders are stored in a secured file cabinet at AAB. The location of the file folders is documented and maintained within the shared files, entitled the AAB File Catalog folder entitled Master Archive Catalog.

Operations will update and maintain the Master Archive Catalog. The retention time of documents are processed as directed by the Department's Manual of Policy and Procedures Section 5-07/290.15, Administrative Documentation/Materials. The minimum retention requirement for audit documentation and special project documentation is 3 years. Shooting analysis documentation is kept indefinitely. The Unit Commander has the discretion to extend the retention of all audit documents.

• • **Internal Audit Follow-Up Procedures**

The follow-up phase of the audit process (interdepartmental) begins 30-days after the audit report is completed. The initial request for follow-up will be sent via County mail and Department e-mail. The due date for response to the recommendations will be indicated in the request. The

status of all recommendations are categorized by the following three dispositions:

- **Implemented – The Departmental unit(s) supported and fulfilled all elements of the recommendation.**
- **In-Progress – Based on the information provided, the Departmental unit(s) support the recommendation and are in progress of fulfilling all elements of the recommendation. Additional follow-up is required.**
- **Not Implemented – The recommendation was not fulfilled (management disagrees or; unable to implement or; process already changed).**

Responses may be provided in a memorandum, completed recommendation response plan, corrective action plan, or another form of similar correspondence. Proof of practice and supporting documentation will be required in order to deem the recommendation as “Implemented.”

After the initial follow-up request, the AAB will continue to contact the concerned auditee, or designee, on an on-going basis, and request a status update of the implementation process until the recommendation(s) is categorized as “implemented” or “not-implemented.”

All responses and any actions taken by the respective executive managers in an effort to successfully resolve the recommendations will be documented. The status of all recommendations will be tracked and all data will be provided to the Sheriff, and his staff, on a monthly basis. All recommendations that have not been implemented will be presented to the Sheriff in the Semi-Annual Recommendations Follow-Up Report, which outlines the details of all responses.

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- **Special Projects**
 - **External Projects**
 - **Shooting Analysis Committee**

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- • **External Projects**

The Department periodically receives reviews, audits, evaluations, analyses reviews, and other reports conducted by external entities. External entities are organizations outside the Los Angeles County Sheriff's Department, such as, but not limited to, the Los Angeles County Office of Inspector General (OIG), California State Auditor, Civilian Oversight Commission (COC), and Sybil Brand Commission for Institutional Inspections.

Upon the AAB's receipt of any report by an external entity requiring a formal Department response, the AAB will draft the formal response, on behalf of the Sheriff, based on the information provided to the Constitutional Policing Advisor by the concerned Department unit(s).

External requests sent to AAB will be assigned a tracker number. The request will be sent to the concerned unit for analysis and response, whether formal or informal. AAB will collect the information, track the response, and record all actions under the respective tracker number.

After receiving the response from the concerned unit, AAB will forward the response to the requester. In instances where the nature of the request deems it appropriate to do so, AAB may forward the response to the concerned Department executive for dissemination approval. Should a formal response be provided by the executive level of the Department, or if AAB forwards the response directly to the requester, AAB will receive and retain a copy of the response in AAB's electronic files.

The AAB will forward the formal response draft to the Executive Offices for review and approval by the Sheriff and/or designated Executive Staff. After the formal response to the recommendations is provided, the AAB will monitor all recommendations and Department actions.

The AAB will maintain contact with the concerned Assistant Sheriff, or designee, regarding status updates (i.e. completed recommendation response plans, corrective action plans, and/or supporting documentation).

All follow-up action information will be recorded on a tracker maintained by AAB's Special Projects Lieutenant.

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- • Shooting Analysis Committee

- **Introduction**
 - **Team Lieutenant Responsibilities**
 - **Team Sergeants Responsibilities**
 - **Professional Staff Responsibilities**
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- • • **Introduction**

Shooting Analysis Committee

The AAB has administrative responsibility for the Shooting Analysis Committee (SAC) process (MPP 3-09/330.05, Shooting Analysis Committee). The SAC is chaired by the AAB Unit Commander and comprised of the AAB Special Projects Team Lieutenant, team investigators, the Constitutional Policing Advisor, the Chief Legal Advisor, and a lieutenant from the following units:

- **Homicide Bureau (for hit shootings only)**
- **Training Bureau**
- **Risk Management Bureau**
- **Special Enforcement Bureau**
- **Internal Affairs Bureau (for non-hit shootings)**
- **The involved employee's unit of assignment**

The AAB Special Projects Team is responsible for conducting Shooting Analyses. All projects will be conducted in accordance with Department policy. The team is comprised of a lieutenant, sergeants, and professional staff. All Shooting Analyses are to be completed within 30 days from the Critical Incident Review Panel (CIRP) unless otherwise directed by the CIRP and/or AAB Unit Commander.

The Sheriff may direct a Special Shooting Analysis of any current Department members who were previously involved in three or more shootings. Special Shooting Analyses are to be completed within 30 or 60 days after being assigned by the AAB Unit Commander. The completion time may be extended upon AAB Unit Commander approval.

• • • Team Lieutenant Responsibilities

The team lieutenant will provide supervision and guidance over assigned personnel. Responsibilities include but are not limited to:

- Attend the initial CIRP presentations.**
 - Verify all relevant documents and information are collected.**
 - Ensure all personnel assigned to the SAC are provided pertinent documents for their review prior to the SAC.**
 - Conduct AAB (pre-CIRP) meetings, assess all PowerPoint presentations and reports.**
 - Ensure all personnel assigned to the CIRP are provided pertinent documents for their review prior to the CIRP.**
 - Attend Shooting Analysis presentations for the CIRP.**
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• • • Team Sergeants Responsibilities

The team sergeants are responsible for completing each step of the Shooting Analysis. Responsibilities include but are not limited to:

- Attend the initial CIRP.**
 - Conduct fieldwork and obtain all necessary documents and information.**
 - Place electronic copies of all documents obtained in the SAC shared folder.**
 - Create a Shooting Analysis binder to ensure essential information is**
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available for each SAC presentation and the CIRP. (See Attachment 10)

- Review all documentation to assess the incident from a tactical, training, and risk management perspective.
- Prepare PowerPoint presentations summarizing the incidents in chronological order utilizing the PowerPoint template. (See Attachment 11)
- Retain draft reports and draft PowerPoint presentations in the AAB shared files.
- Present Shooting Analyses to SAC members.
- Revise presentations with any new information gathered from SAC findings.
- Submit draft reports and printed PowerPoint presentations to the AAB Shooting Analysis Professional Staff member for initial review.
- Forward Shooting Analyses to team lieutenant for secondary review. (See Attachment 12)
- Present Shooting Analyses to CIRP.
- Provide the final report to the AAB Unit Commander for final review and approval.

• • • Professional Staff Responsibilities

The professional staff is responsible for organizing the SAC. Professional staff responsibilities include but are not limited to:

- Obtain project numbers from AAB Operations.
- Track and monitor target dates and deadlines. (See Attachment 13)
- Conduct initial review of draft reports and printed PowerPoint presentations.

- **Schedule pre-CIRP discussion.**
 - **Create a secure electronic folder for the Shooting Analysis in the AAB shared files. Professional staff will allow access into the AAB Shared File for SAC members to review Shooting Analysis documentation.**
 - **Identify the SAC members and send notification of presentation meetings.**
 - **Submit the SAC final report to select Department Executives.**
 - **Coordinate the CIRP presentation and prepare binders for participants.**
 - **Assist the team sergeants in organizing the Shooting Analysis documents for the archiving binder before and after the CIRP presentation. The Shooting Analysis archiving checklist shall be used for document organization. (See Attachment 14)**
 - **Maintain the updated disposition status of the involved employee named in the Shooting Analysis.**
 - **Email the updated tracker to Special Projects Team personnel and AAB Operations weekly.**
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- **Appendix**

Introduction

Attachment 1 – Agreement of Confidentiality and Independence Statement

Administrative

Attachment 2 – Personnel Mentoring Program Task List

Audit Process

Attachment 3 – Audit Process Flow Chart

Attachment 4 – Project Proposal Memorandum Sample

Attachment 5 – Project Manager Duties and Responsibilities Check List

Attachment 6 – Work Plan Sample

Attachment 7 – Entrance Meeting Memorandum Sample

Attachment 8 – Testing Instrument Sample

Attachment 9 – Quality Assurance Review Notes Sample

Special Projects

Attachment 10 – Shooting Analysis Committee Quality Assurance Checklist

Attachment 11 – Shooting Analysis Committee PowerPoint

Attachment 12 – Shooting Analysis Committee Report Template

Attachment 13 – Shooting Analysis Committee Timetable

Attachment 14 – Shooting Analysis Committee Archiving Binder Checklist

• • Attachment 1 – Agreement of Confidentiality and Independence Statement

Attachment #1

Agreement of Confidentiality and Independence Statement



AUDIT AND ACCOUNTABILITY BUREAU (AAB)

Agreement of Confidentiality and Independence Statement

The Audit and Accountability Bureau (AAB) adheres to the Manual of Policy and Procedures (MPP), Unit Orders, and Generally Accepted Government Auditing Standards (GAGAS) pertaining to audits or other related projects, including requests from external entities. All personnel who conduct or assist with these projects are required to exercise confidentiality and be free from personal and/or external impairments to independence, which may compromise professional judgment.

All projects assigned to the AAB are deemed confidential and sensitive in nature until the Unit Commander authorizes the release or publication of the information. All members of AAB will exercise the utmost discretion and maintain the integrity of all information related to any project. Members will not disclose any information for professional or personal use without the approval of the Unit Commander or their designee.

All personnel shall follow confidentiality and independence guidelines as set forth in the MPP, Section 3-01/040.95, Confidential Information, Unit Order No. 1 and the Generally Accepted Government Auditing Standards 3.17-3.61, Standard of Independence. Department Personnel in violation of the Confidentiality or Independence Statement may be subject to discipline or removal from the unit.

I have reviewed the indicated guidelines and understand the confidentiality and expectations required for these projects and do not have any real or perceived conflict with my participation in any project being conducted while assigned to the AAB. I also understand, that where permitted by law, if any such confidential information is released to a third party, or becomes public, without prior approval, I may be in violation of Department policy.

If at any time, I am unable to fulfill my obligation, it will be discussed with my immediate supervisor.

Employee's Signature

Supervisor's Signature

Print Name

Print Name

Title

Date

Title

Date

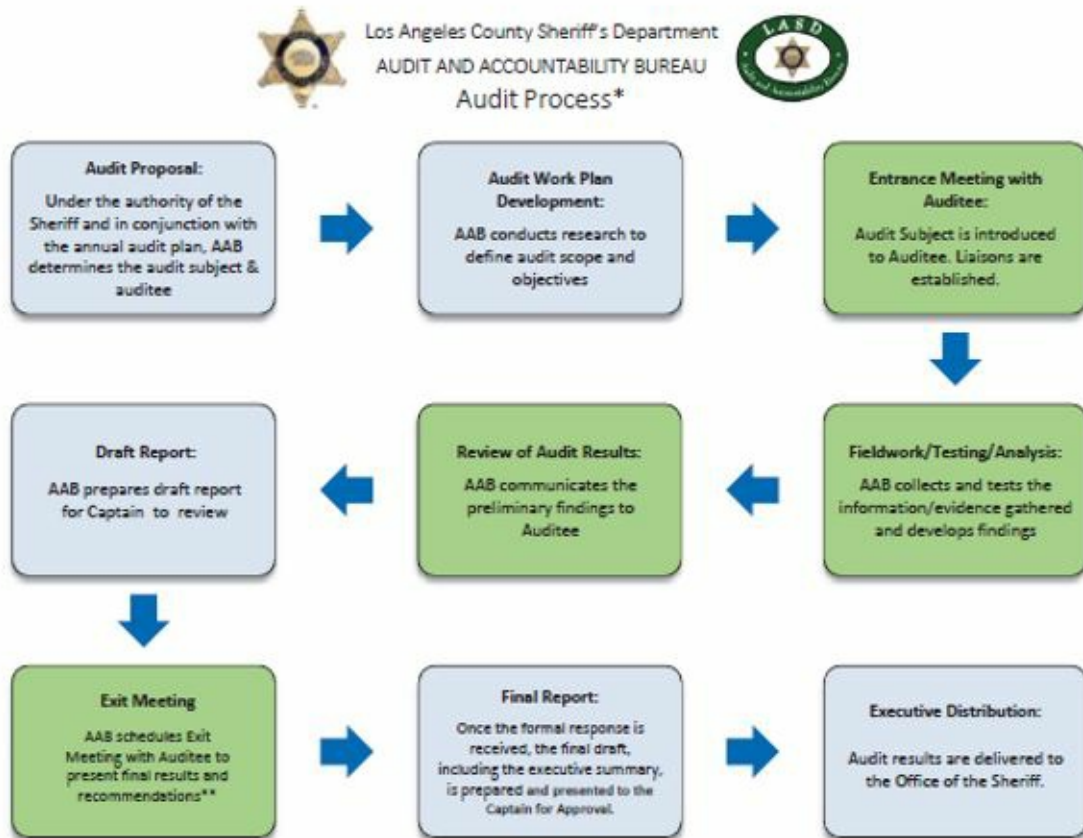
• • Attachment 2 – Personnel Mentoring Program Task List

Attachment #2
Personnel Mentoring Program Task List

Task #1
General Information
Newly assigned personnel will meet the Unit Commander, operations staff, and Law Enforcement Technicians. The staff will discuss Audit and Accountability Bureau's (AAB) expectations, distribute supplies, and work equipment. The building layout, disaster, fire, and emergency procedures will be explained. Personnel will be given a tour of the facilities. Receive documents on AAB's Unit Orders and procedures.
Task #2
Law Enforcement Applications
Auditing requires the gathering of information from a variety of data bases from Federal, State, local, and Departmental data bases. The auditor will be provided a copy of the Department's Manual of Policy and Procedures (MPP) sections and Unit Orders pertaining to use of Department applications. The mentor will assist the auditor in the request for access to the following data bases, and having an understanding of the legal responsibilities and policies of the use of these data bases.
Task #3
Auditing Standards
The auditor will attend a 24-hour <i>Basic Law Enforcement Performance Auditor Course</i> as soon as practical. In preparation for the class, the auditor should be introduced to, review, and become familiar with the following: <ul style="list-style-type: none"> • Generally Accepted Government Auditing Standards (GAGAS): Chapters 1, 2, 3, 5, 6, and 7. • The Department's MPP in relation to AAB (ethical principles, the public interest, integrity, objectivity, proper use of government information, professional behavior, resources, and positions. • Review the "Basic Law Enforcement Performance Auditor Course" manual.
Tasks #4-7
The auditor will be introduced to AAB's auditing procedure outlined in Unit Order #4. The mentor and auditor will review the current audit process from start to finish. These tasks will include: Task #4: Audit Planning; Task #5: Fieldwork; Task #6: Report Writing; and Task #7: Additional Information will include: <ul style="list-style-type: none"> • Research of relevant policy and procedures • Review of prior audits • Organization of objectives • Produce memorandums • Develop work plans for audit/projects • Conduct fieldwork • Audit/project report writing
Task #8
The auditor will be familiar with the Shooting Analysis Committee review process. In accordance with Department policy, a Shooting Analysis Committee (SAC) will convene with the task of assessing shootings from a tactical, training, and risk management perspective, and reporting those findings to the Critical Incident Review Panel (CIRP). The auditor will be introduced to AAB/SAC's review procedure. The mentor will expose the auditor to the current process from start to finish.
Final
At the end of the program, training materials, minimum standards of performance, and the assigned tasks will be reviewed. A discussion of the auditor's responsibilities and obligations will conclude the program.

• • **Attachment 3 “ Audit Process Flow Chart**

Attachment #3 Audit Process Flow Chart



* The audit is an interactive process requiring an open line of communication between AAB and the auditee.

Phases in GREEN denote steps requiring direct interaction with the auditee.



** After exit meeting, final report is provided to auditee. Operations requests formal response, to be received within ten business days.

Revised: April 29, 2020

• • Attachment 4 “ Project Proposal Memorandum Sample

Attachment #4

Project Proposal Memorandum Sample

	AUDIT AND ACCOUNTABILITY BUREAU PROPOSED SUBJECT FOR PROJECT	
Project No: 2020 - <u>X</u> - A	Date:	
Due Date:		
Subject: Detentions of Individuals and Data Collection - North Patrol Division, Palmdale Station		
References:		
<ul style="list-style-type: none">• Manual of Policies and Procedures (5-09/520.00, et seq)• Palmdale Station Unit Orders• Los Angeles County Sheriff's Department Newsletter (13-12) New MDC Codes for Logging Field Activity• Los Angeles County Sheriff's Department Newsletter (16-16) New Clearance Requirements for Logging Field Activity• LASD Statistical Code Guide and Radio Code Book (Rev 09/2017)		
<p>On April 28, 2015, the Sheriff's Department entered into a settlement agreement with the Civil Rights Division of the United States Department of Justice (CV 15-03174). Part of the settlement agreement detailed directives and procedures for investigatory stops and detentions.</p>		
<p>AAB personnel will conduct an audit of the Palmdale Sheriff's Station detentions, including the U.S. Department of Justice Settlement Agreement, policies, field operations directives, Sheriff's Department newsletters, unit orders, unit logs, and station records.</p>		
Project Manager: Sergeant (Name)		
Assistant Project Manager: Law Enforcement Auditor (Name)		
Approved: _____	Lieutenant (Name)	Date
Approved: _____	Captain (Name)	Date

• • **Attachment 5 – Project Manager Duties and Responsibilities Check List**

Attachment #5

Project Manager Duties and Responsibilities Check List

**Audit and Accountability Bureau
Project Manager Duties and Responsibilities**

This check-off list is meant to be a guide for the Project Manager to monitor all milestones in the audit/project process. While the steps are identified within each phase, there may be instances where the process will not necessarily be in order.

Date	Comments	Item
Audit/Project Assignment Phase		
		Audit/Project assignment - Project Manager (PM) selected
		Prepare audit/project proposal
		Team Lieutenant/HCO review proposal
		Audit/Project proposal memorandum submitted to Operations
		Audit/Project proposal memorandum approved by Unit Commander
		Project number assigned by Operations
		Create audit/project folder in shared files and audit/project binder
Planning Phase		
		Prepare audit/project work plan
		Quality assurance (QA) review of work plan
		Team Lieutenant/HCO reviews draft audit/project work plan
		Submit draft audit/project work plan to Operations
		Roundtable audit/project work plan
		Audit/Project Work plan approved by Unit Commander
		Schedule entrance meeting with Auditee
Field Work/Testing/Analysis Phase		
		Conduct entrance meeting with Auditee
		Begin Audit/Project fieldwork
		Develop and complete testing instrument
		QA review of testing instrument/work packet
		Team Lieutenant/HCO reviews testing instrument
		Analysis of data/evidence
		Discussion of results with Auditee
		Complete Audit/Project fieldwork
Report Writing And Quality Assurance		
		Draft audit/project report
		QA review draft audit/project report
		QA notes submitted to PM to clear

Attachment #5

Project Manager Duties and Responsibilities Check List

Audit and Accountability Bureau Project Manager Duties and Responsibilities		
		PM clear QA notes and make necessary changes to draft report
Supervisory Review		
		Team Lieutenant/HCO reviews draft audit/project report
		HCO submits draft audit/project report to Operations
		Operations reviews draft audit/project report
		Operations returns draft audit/project report to PM for edits
		Roundtable if requested by Unit Commander
		Unit Commander approves draft audit/project report
Auditee Review Phase		
		PM schedules exit meeting and provides the draft audit/project report
		Exit meeting roundtable with HCO and Team Lieutenant (and Unit Commander, if necessary)
		Conduct exit meeting with Auditee
		PM to provide Operations with draft report who will solicit final response memorandum
Finalizing Audit/Project Report		
		Formal response received from Auditee
		Completion of Executive Summary
		HCO and Team Lieutenant Review of Executive Summary
		PM prepares final report package (Draft Executive Summary, Management's Response, Audit/Project Report) *Finalize with signatures from (PM, APM, HCO,) Unit Commander
Operations Finalize Report		
		Operations prepares final PDF with signatures and cover page *Email distribution of PDF
		Operations delivers final report package to Undersheriff
Archiving		
		PM completes electronic files and compiles the audit/project work papers in binders
		Team Lieutenant reviews binders and electronic files
		Original final report archived with HCO
		Binder *audit/project documentation is archived in filing cabinet

[\\cc-ab-6\AAB Forms\Project Manager Duties and Responsibilities_01.11.20.docx](#) 2/2

• • Attachment 6 “ Work Plan Sample

Attachment #6

Work Plan Sample

**LOS ANGELES COUNTY SHERIFF'S DEPARTMENT
Audit and Accountability Bureau**

**Unmanned Aircraft System Audit
Countywide Division
Project No. 2019-1-A
WORK PLAN**

PURPOSE

The audit will evaluate deployments of the Unmanned Aircraft System within the Countywide Division in accordance with the Manual of Policy and Procedures (MPP), Special Enforcement Bureau Unit Orders, and any relevant Certificates of Authorization with the Federal Aviation Administration (FAA). The audit will evaluate compliance with mandatory procedures associated with unmanned aircraft deployment. The audit will also evaluate compliance with additional recommendations by the Office of Inspector General and Citizen's Oversight Commission agreed to by the Department.

The audit time period will be from January 1, 2017, through December 31, 2018.

The audit population will include all deployments of the Department's unmanned aircraft system.

RISKS

The Unmanned Aircraft System is a concern for the community the Department serves. In the interest of transparency and trust, the Department has agreed to requests of the Office of Inspector General and the Citizen Oversight Committee to annually audit the program.

In its efforts to uphold professional standards for, The result was comprehensive policy changes regarding the Unmanned Aircraft System program.

METHODOLOGY

Scope

The following criteria will be utilized in the analysis of the audit:

- MPP, Section 5-09/570.00, Unmanned Aircraft System
- MPP, Section 5-09/570.10, Unmanned Aircraft System Procedures
- Special Enforcement Bureau Unit Order 2017-01, Utilization of Unmanned Aircraft System (UAS) Platform
- Department of Transportation Federal Aviation Administration (FAA) Certificate of Authorization (COA) 2016-WSA-178 and 2017-WSA-022

Auditors will also measure compliance with previous recommendations from the Office of Inspector General and Civilian Oversight Committee reports published in 2017.

Audit Population

The population for this audit includes all unmanned aircraft system deployments within the audit time period.

Attachment #6

Work Plan Sample

<p><u>OBJECTIVE NO. 1 – MISSION TYPE</u></p> <p>Determine if the Deployment was of an approved mission type.</p> <p>MPP 5-09/570.10, Unmanned Aircraft System Procedures and SEB Unit Order 2017-01, Utilization of Unmanned Aircraft System (UAS) Platform, list the mission types that are authorized by the Department for UAS deployment.</p> <p>RISK ASSESSMENT</p> <p><u>OBJECTIVE NO. 2 – UNWAIVED FAA REGULATIONS AND DEPLOYMENT REQUIREMENTS</u></p> <p><i>Determine if UAS deployments adhered to MPP and unwaived FAA regulations applicable in COAs valid for 2017 and 2018.</i></p> <p>Objective No. 2(a) –Were all deployments limited to 400 feet Above Ground Level (AGL)?</p> <p>MPP, Section 5-09/570.00, Unmanned Aircraft System, MPP, Section 5-09/570.10, Unmanned Aircraft System Procedures, Special Enforcement Bureau Unit Order 2017-01, Utilization of Unmanned Aircraft System (UAS) Platform, Department of Transportation Federal Aviation Administration (FAA) Certificate of Authorization (COA) 2016-WSA-178 and 2017-WSA-022</p> <p>RISK</p> <p>The above FAA regulations are listed in both COAs and remain unchanged for the years 2017 and 2018. The above criteria are part of the standard Part 107 regulations governing UAS pilots and deployments set by the FAA.</p> <p>Objective No. 2(b) Was UAS camera default set to non-record?</p> <p>MPP, Section 5-09/570.00, Unmanned Aircraft System, MPP, Section 5-09/570.10, Unmanned Aircraft System Procedures, Special Enforcement Bureau Unit Order 2017-01, Utilization of Unmanned Aircraft System (UAS) Platform, Department of Transportation Federal Aviation Administration (FAA) Certificate of Authorization (COA) 2016-WSA-178 and 2017-WSA-022</p> <p>RISK</p> <p>The above FAA regulations are listed in both COAs and remain unchanged for the years 2017 and 2018. The above criteria are part of the standard Part 107 regulations governing UAS pilots and deployments set by the FAA.</p> <p>Objective No. 2(c)- Was a two man team utilized in the UAS deployment?</p> <p>MPP, Section 5-09/570.00, Unmanned Aircraft System, MPP, Section 5-09/570.10, Unmanned Aircraft System Procedures, Special Enforcement Bureau Unit Order 2017-01, Utilization of Unmanned Aircraft System (UAS) Platform, Department of Transportation Federal Aviation Administration (FAA) Certificate of Authorization (COA) 2016-WSA-178 and 2017-WSA-022</p> <p>RISK</p>	
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- • Attachment 7 – “Entrance Meeting Memorandum Sample”

Attachment #7

Entrance Meeting Memorandum Sample

SH-AD-32A (8/17)

COUNTY OF LOS ANGELES
SHERIFF'S DEPARTMENT
"A Tradition of Service Since 1850"

DATE: January 23, 2020

FILE NO: 2020-1-A

OFFICE CORRESPONDENCE

FROM: RODNEY K. MOORE, ACTING CAPTAIN
AUDIT AND ACCOUNTABILITY BUREAU

TO: KELLY M. POROWSKI, CHIEF
CUSTODY SERVICES DIVISION
SPECIALIZED PROGRAMS

SUBJECT: CLOSED CIRCUIT TELEVISION SYSTEM AUDIT

The Audit and Accountability Bureau will be conducting an audit of the Closed Circuit Television (CCTV) System at the Twin Towers Correctional Facility.

The audit will determine compliance with the Department's policies and procedures on video and audio recording procedures. The audit process will involve audit planning, facility assessment, evidence collection, analysis, and the completion of a formal written report detailing findings and any recommendations for the Sheriff.

The following requirements will be considered and reviewed:

- Continuous recording of all activities in the view of the cameras
- Watch Commander inspections
- Documentation of system malfunctions and subsequent corrective action
- Retention of video recordings

We welcome open and frequent communication. Should you have any questions, please have your staff contact Sergeant (NAME) or Law Enforcement Auditor (NAME) at (323) 307-8300.

RKM:PJP:pjp

c: Bruce D. Chase, Assistant Sheriff, Custody Operations
Sergio A. Aloma, Commander, Custody Services Administration Command
Diana V. Gealta, Commander, Custody Services Division, Specialized Programs
Joel L. Barnett, Captain, Twin Towers Correctional Facility
Tonya P. Edwards, Captain, Twin Towers Correctional Facility

• • **Attachment 8 – "Testing Instrument Sample"**

Attachment #8

Testing Instrument Sample

2019-12-A PUBLIC COMMENTS - NORTH PATROL DIVISION, PALMDALE STATION					
Control Number:	1	APM Review:	Auditor 2 Emp#	Date:	10/10/19
Incident Report Date:	01/02/19	PM Review:	Auditor 1 Emp#	Date:	10/22/19
Location:	Palmdale Station				
Objective 1 - Complaint Intake					
Objective 1(a) - Determine if personnel complaint forms and informational materials are made available to the public, as required per the AV Agreement. <i>(This objective is on a separate tab because this is a general/overall question)</i>					
Objective 1(b) - Determine if all personnel complaints made during the audit period were accepted and reviewed. <i>(This objective is on a separate tab because this is a general/overall question)</i>					
Objective 1(c) - Determine if non-English language complaint forms and informational materials and/or translation services are available to Limited English Proficient individuals. <i>(This objective is on a separate tab because this is a general/overall question)</i>					
Objective 1(d) - Determine if a Department member did not refuse to accept a complaint, discourage the complainant from filing a complaint, or provide false or misleading information about filing a complaint.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
9	Based on the information available, did personnel refuse to accept the complaint or discourage the filing of a complaint, or provide false or misleading information about filing a complaint? If so:	NO	NO		
Objective 2 - Complaint Classification					
Objective 2(a) - Determine if complaint investigation related policies were revised, as required per the AV Agreement. <i>(This objective is on a separate tab because this is a general/overall question)</i>					
Objective 2(b) - Determine if personnel complaints were not classified as service complaints.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
16	Based on the information available, was the personnel complaint incorrectly classified as a service complaint?	N/A	N/A		
Objective 2(c) - Determine if the unit commander appropriately classified each allegation and personnel complaint.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
17	How was the complaint received?	Mail	Mail		
18	Who made the complaint?	Involved Person	Involved Person		
19	What was the initial classification of the complaint?	Personnel Complainant	Personnel Complainant		
20	Indicate the complaint reason: <i>(if there is more than one reason, choose "Other" and indicate all reasons that apply in Comment Section)</i>	Other	Other		
21	Was the complaint appropriately classified at the time of intake based on the information available?	YES	YES		
22	After additional information was received or the investigation was conducted, did the classification of the complaint change from the initial classification?	NO	NO		
23	If so, what was the final classification of the complaint? Indicate the complaint reason: <i>(if there is more than one reason, choose "Other" and indicate all reasons that apply in Comment Section)</i>	N/A	N/A		
24	Based on the information available, was the complaint appropriately classified after additional information was received or the investigation was conducted?	YES	YES		
25	Were all allegations, even if an allegation was not specifically articulated by the complainant, investigated?	YES	YES		
Objective 2(d) - Determine if all allegations of misconduct were investigated. <i>(This objective is on a separate tab because this is a general/overall question)</i>					
Objective 3 - Investigations					
Objective 3(a) - Determine if the personnel complaints were thoroughly investigated, as required per the AV Agreement.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
28	Was automatic preference for a deputy's statement over a non-deputy's statement granted/noted?	NO	NO		
29	Was a witness' statement disregarded because the witness had some connection to the complaint or because of any criminal history?	N/A	N/A	No witnesses.	
30	Were there material inconsistencies between witness statements?	N/A	N/A	No witnesses.	
31	If so, was effort made to resolve the inconsistencies?	N/A	N/A	No witnesses.	
32	Was there sufficient information and relevant evidence to support the disposition?	YES	YES		
33	What was the (main) disposition of the SCR packet?	Employee Conduct Appears Reasonable	Employee Conduct Appears Reasonable		
Objective 3(b) - Determine if alleged incidents of misconduct were referred to the IAB or ICIB.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
34	Was the complaint an alleged incident of misconduct that should have been referred to IAB or ICIB?	NO	NO		
35	If so, was the alleged incident of misconduct referred to the IAB, ICIB, or both?	N/A	N/A		
Objective 3(c) - If the case proceeds criminally, determine if the Division Chief reviewed the matter with the unit commander of IAB.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
36	Did the Division Chief review the matter with the unit commander of IAB?	N/A	N/A		

Attachment #8
Testing Instrument Sample

Objective 3(f) - Ensure involved supervisor, or any supervisor who authorized the conduct that led to the personnel complaint, did not conduct the complaint investigation.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
37	Did an involved supervisor, or any supervisor who authorized the conduct that led to the complaint, not conduct the complaint investigation?	N/A	N/A	No supervisor present.	
Objective 3(e) - Ensure all persons at the scene giving rise to a misconduct allegation were identified.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
38	Did the investigation report note the identities of all persons who were at the scene?	YES	YES		
Objective 3(f) - Determine if complainant, involved employee, and all witnesses (including deputies) provided a written statement of the incident or were interviewed.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
39	Was the complainant interviewed?	N/A	N/A	R/P was contacted to come in but he never did and the Station attempted several times after to contact him but they were unable to contact him.	
40	If interviewed, what was the interview method (in-person, telephonically, etc)?	N/A	N/A		
41	Were all involved employees interviewed or did they provide a written statement?	YES	YES		
42	Were all witnesses (not including deputy witnesses) interviewed?	N/A	N/A	No witnesses.	
43	Were all witness deputies interviewed or did they provide a written statement?	N/A	N/A	No witnesses.	
Objective 3(g) - Determine if complainant and non-deputy witness interviews were recorded in their entirety.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
44	Was audio/video recording of the complainant's interview available?	N/A	N/A	He was unable to be contacted for an interview.	Complainant didn't return calls and didn't respond to 10-day letter.
45	If so, indicate if the recording was in audio or video form or both.	N/A	N/A	He was unable to be contacted for an interview.	
46	Was the audio/video recording of the complainant's interview recorded in its entirety?	N/A	N/A	He was unable to be contacted for an interview.	
47	If the interview was not recorded in its entirety, was it documented as to why not?	N/A	N/A	He was unable to be contacted for an interview.	
48	Was audio/video recording of the witnesses' (not deputy witnesses) interview available?	N/A	N/A	No witnesses.	
49	If so, indicate if the recording was in audio or video form or both.	N/A	N/A	No witnesses.	
50	Was the audio/video recording of the witnesses' (not deputy witnesses) interview recorded in its entirety?	N/A	N/A	No witnesses.	
51	If the interview was not recorded in its entirety, was it documented as to why not?	N/A	N/A	No witnesses.	
Objective 3(h) - Determine if complainant, involved employee, and all witness (including deputy) interviews, were conducted separately.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
52	If interviewed, were the interviews conducted separately?	YES	YES	The only person able to be interviewed was the involved party and they were interviewed separately.	
Objective 3(i) - Determine if an interpreter used for LEP complainants or witnesses was not party to the complaint, if applicable.					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
53	Was department personnel used to interpret for a LEP complainant or witness?	N/A	N/A		No LEP needed
54	If so, was the department personnel who was used as an interpreter for the LEP complainant or witness not a party to the complaint?	N/A	N/A		
Additional Information					
Q#	Question	APM Review:	PM Review:	AM Comment:	PM Comment:
55	Initial date complaint was reported?	01/02/19	01/02/19		
56	Unit Commander's Approval Date?	03/13/19	03/13/19		
57	How many calendar days from the Initial Complaint Report Date to the Unit Commander's Approval Date?	70	70		
58	Was the SCR packet completed (approved by Unit Commander) within 30 calendar days?	NO	NO		
59	Was the SCR packet forwarded to Division?	YES	YES		
60	Initial date complaint was reported?	01/02/19	01/02/19		
61	Date the Discovery Unit Received the SCR packet?	04/10/19	04/10/19		
62	How many calendar days from the Initial Complaint Report Date to the date the Discovery Unit received the SCR packet?	98	98		
63	Was the SCR packet forwarded to the Discovery Unit within 60 days?	NO	NO		
64	Did the information on the SCR correspond with the information in PRMD (specifically the PDE)?	YES	YES		
65	Did the WC Log Entry result in a SCR?	YES	YES	The SBAP which includes the WC Log entry info. included this SCR.	
General Additional Information					
Determine if any complaint initiated during the audit period was not completed. (This information is on a separate tab because this is a general/overall question)					

• • Attachment 9 – Quality Assurance Review Notes Sample

Attachment #9
Quality Assurance Notes Sample

AAB
Quality Assurance - Internal Peer Review

Audit: Desk Operations Audit East Patrol Division

Project Number: 2018-13-A

QA Performed By: Sgt

Date: 22-Mar-19

Project Manager: LEA

Staff: [Signature]

Page 1 of 4

Reference, Binder, Section, Page	Question/Comment	Notes Cleared / Comments	Date Notes are Cleared
1 Background, Pg. 1	First paragraph, second sentence "contained an element concerning the actions of Desk Operations personnel." Vague statement that should be elaborated. If this is a basis for the audit, we need to indicate the concerns in order to make sure they are properly addressed in the audit objectives.	Addressed w/ PM 2/21/19	
2 Background, Pg. 1	Third paragraph, first sentence, delete the word "the" before "Desk" and add the word "personnel" after the word "Operators".	Deleted + added 2/21/19	
3 Background, Pg. 1	Third paragraph, third sentence, add the word "personnel" after "Operators".	Added 2/21/19	
4 Background, Pg. 2	Third paragraph, "Watch Deputies, Dispatchers, and Complaint Position personnel". The next three paragraphs need to be in the exact same order explaining the three positions.	Deleted 2/21/19	
5 Methodology, Scope, Pg. 3	The three objectives broken down in bullet points on the top of the page need to be separated with a space between each bullet point.	Deleted 2/21/19	
6 Methodology, Scope, Pg. 3	First paragraph under bullet points. It looks like you need to indicate that your first sentence is related to Objective No. 1. You clearly state what falls under Objectives No. 2 and No. 3.	Deleted 2/21/19	
7 Methodology, Audit Population, Pg. 3	Second paragraph addressing Objective No. 1. States you examined 152 training records. However, it doesn't state what you population was for each objective and if any were excluded and why. Objective No. 1a, 1b, and 1c have a population of 90 that were tested and Objective No. 1d has a population of 61 or 62 (need to address test with PM for correct number).	Clarification added 2/21/19	
8 Methodology, Audit Population, Pg. 4	Second paragraph addressing Objective No. 2c states you identified 72 weekly telephone service audits. According to the test papers, I identified 37 (need to address test with PM for correct numbers).	Addressed w/ QA 2/21/19	

Project Number: 2018-13-A

QA Performed By: Sgt

Date: 22-Mar-19


Staff: [Signature]

Page 2 of 4

9 Methodology, Audit Population, Pg. 4	Footnote No. 4, I think you need to define what a "code three response" is. Someone reading this outside of law enforcement would not know what a code three response is.	Left there but added 2/21/19	
10 Methodology, Summary of Audit Findings, Pg. 5	Table No. 2 percentages might change as a result of percentages not matching up with QA's findings. Need to address test with PM for correct percentages.	Made 2/21/19	
11 Objective No. 1, Criteria, Pg. 6	FOD 04-03 states personnel should attend training as soon as possible. The same FOD states they must take a test and pass within the first 30 days of assignment. So is the "soon as possible" time frame within the 30 days?	Addressed w/ QA 2/21/19	
12 Objective No. 1(a), Results, Pg. 6	I got "63 of the 90 (70%)" met the standard which is different from your "61 of the 90 (68%)". Also, I got "27" did not meet the standard compared to your "29" that did not meet the standard. Did you test how long each individual in your population had been assigned to Desk Operations? Is the "as soon as possible" time frame within the 30 days they have to take and pass the test? Could be something to look at and address in "Other Related Matters and Recommendation".	Addressed w/ QA 2/21/19	
13 Objective No. 1(b), Procedures, Pg. 7	Do you want to indicate that, "Auditors examined the training folders to determine if each employee completed and passed the associated test which was signed off by a supervisor".	Deleted 2/21/19	
14 Objective No. 1(b), Results, Pg. 7	I got "30 of the 90 (33%)" met the standard which is different from your "32 of the 90 (36%)". Also I got "60" did not meet the standard compared to your "58".	Deleted 2/21/19	
15 Objective No. 1(c), Criteria, Pg. 7	According to this criteria, you must measure the Watch Deputies responsibilities. Should find something related to making sure each employee completed a training checklist.	Deleted 2/21/19	
16 Objective No. 1(c), Procedures, Pg. 7	Do you want to indicate that, "Auditors examined each training folder belonging to employees assigned to the Desk Operations to determine if a training checklist was on file, completed, and signed off by a supervisor".	Deleted 2/21/19	
17 Objective No. 1(c), Results, Pg. 7	I got "21 of the 90 (23%)" met the standard which is different from your "20 of the 90 (22%)". Also I got "61" did not meet the standard compared to your "70".	Deleted w/ QA 2/21/19	

Attachment #10

Shooting Analysis Committee Quality Assurance Checklist

 Audit and Accountability Bureau Shooting Analysis Quality Assurance Checklist		Project Number: _____ Due Date: _____	
Sergeant Assigned:			
Project Name:			
Checklist	Sergeant	QA Reviewer	
Report Introduction			
Correct number of shootings in the introduction.	Signature	Signature	
Correct panel members and their unit of assignment in the introduction.			
Parallel Construction Throughout the Report			
Main headings are consistent throughout the report.	Signature	Signature	
Fonts consistent throughout report (size & colors).			
Suspect's full name included.			
Deputy's full name included.			
Ensure the entire Attorney-Client Privilege footnote is on the first page and is referenced on the corresponding pages of the report.			
Consistency in report: Font Style, Size, & Color Grammar Spelling Page numbers Consistent format-spacing & page format Project number			
SAC Report and PowerPoint Presentation			
Synopsis on the report <u>relates</u> to the PowerPoint.	Signature	Signature	
"Points of Discussion" <u>match</u> the PowerPoint and report.			
"EFRC Findings" <u>match</u> the PowerPoint and report.			
"SAC Findings" <u>match</u> the PowerPoint and report.			
"Comparison Chart" <u>match</u> the PowerPoint and report.			
Report and PowerPoint Comparison Chart			
Dates <u>match</u> and are correct.	Signature	Signature	
Categories <u>match</u> the report and the PowerPoint.			
"Initial Contact" category <u>relates</u> to the information on the PowerPoint and report.			
"Suspect's Actions" category <u>relates</u> to the information on the PowerPoint and report.			
"Firing Conditions" category <u>consistent</u> with the PowerPoint and report.			
"Tactics" category <u>brief and consistent</u> with the PowerPoint and report.			
"Number of Rounds Fired" category <u>consistent</u> with the PowerPoint and report.			
"Suspect's Weapon" category <u>consistent</u> with the PowerPoint and report.			
Report Conclusion			
Conclusion begins with the standard wording from the template.	Signature	Signature	
Conclusion on the report encompasses a brief statement of the "SAC Analysis and Considerations".			
SAC returned to Sergeant	Date:	Comments:	

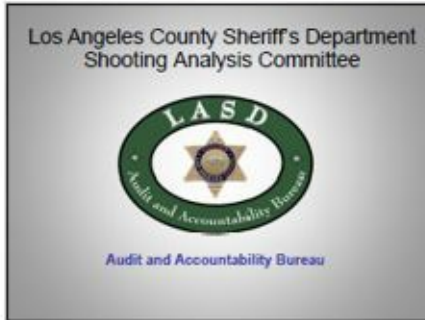
• • Attachment 11 – Shooting Analysis Committee PowerPoint

Attachment #11

Shooting Analysis Committee PowerPoint

Critical Incident Review Panel
Shooting Analysis Committee

DATE



Legend	
LASD patrol vehicles (unit)	
If there are multiple units present, the unit in question	
Deputy personnel	
The deputy in question	
The suspect's vehicle	
The suspect in question	
Other suspects	
Civilian personnel	
Other law enforcement agency vehicles	
Other law enforcement agency personnel	
Civilian vehicles	
Gun shots	
The route the suspect's vehicle travels on a map, photo or slide	
A location of interest on a map, photo or slide	

Shooting Analysis Committee

Deputy-Involved Shooting and Critical Incident Review
Deputy XXXXXXX

First [shooting/incident (hit/non-hit)] occurred on DATE (unit) and
Second [shooting/incident (hit/non-hit)] occurred on DATE

Involved Deputy History

Deputy XXXXXXX # [Employee number]
Department Hire Date: [Month/Year]
Assigned to [Station name]: [Month/Year]
Assigned to [Station name]: [Month/Year]

First Deputy-Involved Shooting

[Station name]
Date, Time
Address
Deputy fired [number] rounds
Deputy fired [number] rounds
(Deputy XXXXXX - Duty Weapon - [type of weapon])
(Deputy YYYYYY - Duty Weapon - [type of weapon])
[type of weapon] Recovered

Deputy XXXXXXX's Partner (if significant)

Deputy XXXXXXX's Partner # [Employee number]
Department Hire Date: [Month/Year]
Assigned to [Station name]: [Month/Year]
(list only up until the year of the shooting)
*Make sure to put their current assignment

Attachment #11

Shooting Analysis Committee PowerPoint

Primary Suspect's Information

- [Gender/Nationality], [age]
- Documented Gang Membership (if applicable)
- Charges Filed: for older shootings Arrest Charges for recent shootings
 - [charge]
 - [charge]
- Prior Arrests: (or Prior Convictions if info is available)
 - [crime]
- Deceased (if how many times)
- (or where sustained injuries if survived)

[pic]



Incident Overview

- [factual overview]

This slide is only used for CRP presentations. It should be added after each "Incident Overview" slide

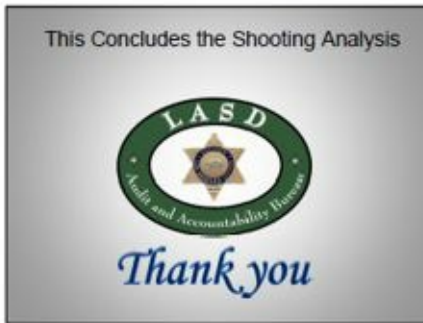
Questions?

COMMITTEE'S ANALYSIS OF TACTICS AND TRAINING		1 st Incident	Date	2 nd Incident	Date
DISCUSSION POINTS	• Discussion points should be limited to specific tactical or training points				
EPIC FINDINGS	Include the EPIC's findings (if applicable)				
FINDINGS AND CONCERNS	Include information here that was determined by the SRC				
		Initial Observations			
		Suspect's Actions			
		Firing Conditions			
		Tactics			
		# of Rounds Fired by Deputy			
		Suspect's Weapon			

Make sure to BOLD suspect's

Attachment #11

Shooting Analysis Committee PowerPoint



-
- • **Attachment 12 – Shooting Analysis Committee Report Template**

Attachment #12

Shooting Analysis Committee Report Template



AUDIT AND ACCOUNTABILITY BUREAU



SHOOTING ANALYSIS COMMITTEE

Involved Employee:	Deputy XXXX, #123456, XXXX Station
Prepared by:	Sergeant XXX, #123456
First Review by:	Lieutenant XXX, #123456
Second Review by:	Lieutenant XXX, #123456
Committee Chairperson:	Captain XXX, #123456

INTRODUCTION

This report is to provide an independent and objective analysis of (how many) separate shooting incidents involving Deputy XXX, currently assigned to XXX Station. In accordance with Department policy, a Shooting Analysis Committee (SAC) was convened with the task of assessing the shooting incidents from a tactical, training, and risk management perspective, and to report those findings to the Critical Incident Review Panel (CIRP).

The SAC was comprised of the following personnel: Lieutenant XXX from Special Enforcement Bureau, Lieutenant XXX from Training Bureau, Lieutenant XXX from Internal Affairs Bureau, Lieutenant XXX from Risk Management Bureau, Lieutenant XXX from Homicide Bureau, Lieutenant XXX from XXX Station, and Captain XXX from the Audit and Accountability Bureau (AAB) as chairperson. Acting in an advisory role to the SAC was XXX as the Constitutional Policing Advisor and XXX as Chief Legal Counsel.

The SAC evaluated each shooting incident, and reviewed available written documentation and audio transmissions. Visual representations for each incident were produced (Attachment A) in order to better assess the circumstances surrounding the shootings. The SAC reviewed these incidents collectively in order to determine if there were any common factors present. The review also included an evaluation of Deputy XXX Departmental training records and their Performance Recording and Monitoring System (PRMS).

ATTORNEY-CLIENT PRIVILEGED DOCUMENT

This review has been conducted for the purposes of (1) identifying violations and review of liability and risk management concerns in violation of (1) existing accreditation of personnel measures and/or changes based on issues identified through the process; (2) identifying employees who may need additional training and/or mentoring, or who may be better served by alternate assignments; and (3) identifying issues of concern in the areas of policy and procedure, training and best practice. This review was made at the request of and in consultation with the Department's legal advisors and is intended to be privileged and confidential to the greatest extent allowed by state and federal law, including, but not limited to, the protection provided by the attorney-client privilege, the attorney work-product privilege, California Evidence Code § 959.3 and § 959.4, Civil Code § 1714, Federal Rule of Evidence 501, the Official Adversarial Privilege, and in reflecting the deliberative process, opinions and conclusions of the investigators, self-critical analysis and subsequent remedial measures.

Attachment #12

Shooting Analysis Committee Report Template

FIRST SHOOTING

If limited information is available for the incident, include the following sentence:

This synopsis is based upon documents and evidence that were available at the time of this review, which may have contained incomplete or fragmentary information.

SYNOPSIS

Include Deputy's full name, shift, unit worked and uniform attire. Make sure to mention the suspect's full name as well. Make sure to spell out everything. Identify city, streets, and locations. Identify the direction of travel (north, south, east, and west).

Concise summary of the shooting:

- Preceding shooting
- Actual shooting
- Following the shooting

POINTS OF DISCUSSION

EXECUTIVE FORCE REVIEW COMMITTEE (EFRC) FINDINGS

Include this section only if the incident was previously reviewed by EFRC. Use the wording taken directly from the EFRC memorandum.

SHOOTING ANALYSIS COMMITTEE FINDINGS AND CONCERNS

Suggested language: "Based on today's best practices, the SAC had concerns regarding..."
Your analysis shall include tactics, training, and risk management issues.

Page 2 of 5
Project Number

SUBJECT TO ATTORNEY-CLIENT PRIVILEGE
SEE PAGE 1

Attachment #12

Shooting Analysis Committee Report Template

SECOND SHOOTING

SYNOPSIS

POINTS OF DISCUSSION

EXECUTIVE FORCE REVIEW COMMITTEE FINDINGS

SHOOTING ANALYSIS COMMITTEE FINDINGS AND CONCERNS

THIRD SHOOTING

SYNOPSIS

POINTS OF DISCUSSION

EXECUTIVE FORCE REVIEW COMMITTEE FINDINGS

Include this section only if the incident was previously reviewed by EFRC. Use the wording taken directly from the EFRC memorandum.

SHOOTING ANALYSIS COMMITTEE FINDINGS AND CONCERNS

FOURTH SHOOTING

SYNOPSIS

POINTS OF DISCUSSION

EXECUTIVE FORCE REVIEW COMMITTEE FINDINGS

Include this section only if the incident was previously reviewed by EFRC. Use the wording taken directly from the EFRC memorandum.

SHOOTING ANALYSIS COMMITTEE FINDINGS AND CONCERNS

Page 3 of 5
Project Number

SUBJECT TO ATTORNEY-CLIENT PRIVILEGE
SEE PAGE 1

Attachment #12

Shooting Analysis Committee Report Template

COMPARISON TABLE

Include a comparison table if there are significant common factors in the shooting incidents. SAC members may use policy guidelines found in MPP 3-10/150.00, Tactical Incidents, to formulate the table. This is an objective assessment and should be used to analyze tactics objectively. Exemplary tactics such as commendable restraint, consideration for shooting backdrops, or fire discipline should also be included.

	1st Shooting October 1, 2013	2nd Shooting October 10, 2015
Initial Observation	Deputies observed vehicle <u>driving</u> erratically.	Deputies observed vehicle running a stop sign and began to drive erratically.
Suspect's Actions	Suspect passenger exited vehicle, fled while pointing a <u>gun</u> at deputies.	Suspect passenger exited vehicle with gun in hand, then turned and pointed a gun at deputies.
Firing Conditions	Nighttime; backdrop was a residential home	Nighttime; backdrop was a major street and a commercial building
Tactics	Split from his partner	Split from his partner
Number of Rounds Fired By Deputy	Three shots (non-hit)	Two shots (non-hit)
Suspect's Weapon	Handgun recovered	Handgun recovered

Attachment #12

Shooting Analysis Committee Report Template

ANALYSIS AND CONSIDERATIONS

ANALYSIS

Based on today's best practices, the SAC reviewed each incident based on the totality of the circumstances and, namely all of the facts, evidence, reports and other pertinent material related to the shooting incidents. In making its recommendations, the SAC also took into consideration Deputy XXX's training records, his tenure, and his experience in a patrol environment. All documentation reviewed in the SAC process will be secured at the AAB's office. **(ANALYZE THE DEFICIENCY) You are analyzing and comparing each shooting.**

CONSIDERATIONS

Usually related to training. Be as specific as possible, and include applicable training that would be relevant to circumstances surrounding the shooting incident.

DRAFT

Page 5 of 5
Project Number

SUBJECT TO ATTORNEY-CLIENT PRIVILEGE
SEE PAGE 1

• • **Attachment 13 – Shooting Analysis Committee Timetable**

Attachment #13

Shooting Analysis Committee Timetable

Shooting Analysis Committee timetable – Deputy Name #123456				Project: 20XX-XX-S		
~ May 2015 ~						
Sun	Mon	Tue	Wed	Thu	Fri	Sat
26	27	28	29 CIRP Meeting – Project Assigned to XXXX (30 days begin)	30 Field work and record gathering	1	2
3	4 Send information and link to secured folder to SAC members	5 Begin creation of charts, photos, and PowerPoint	6	7 AAB Practice Presentation. Finalize PowerPoint (this date is flexible)	8	9
10	11 Confirm SAC members attendance	12 Meeting of SAC members - location AAB offices	13 Begin draft of recommendations and report for CIRP	14	15	16
17	18	19	20 Forward draft to Quality Assurance for review	21 Revise report as needed	22	23
24	25 Round table draft report and PP with operations	26 Submit to captain	27 Forward Report/Portfolio to CIRP	28 DUE DATE (day 30) Schedule CIRP Meeting	29	30

- • Attachment 14 – Shooting Analysis Committee Archiving Binder Checklist

Attachment #14

Shooting Analysis Committee Archiving Binder Checklist



Audit and Accountability Bureau

Archiving Binder Checklist

Project Number:	
Involved Employee:	
Sergeant Assigned:	
Archive Date:	Archived By:

CHECKLIST	COMMENTS
Tab A-Shooting Analysis Committee Report:	
<input type="checkbox"/> Final SAC report	
Tab B-PowerPoint Presentation:	
<input type="checkbox"/> Final PowerPoint	
Tab C-Memos:	
<input type="checkbox"/> Engagement Letter (Initial CIRP Recommendation Memo)	
<input type="checkbox"/> Request for Inclusion Into PPI	
<input type="checkbox"/> Removal from Field	
<input type="checkbox"/> Adoption of Shooting Analysis Committee Findings	

Attachment #14

Shooting Analysis Committee Archiving Binder Checklist

<input type="checkbox"/>	Return to Field Status	
	Tab D-Signed Agreement of Confidentiality:	
<input type="checkbox"/>	Agreement of Confidentiality	
	Tab E-Work Papers:	
<input type="checkbox"/>	Notes	
<input type="checkbox"/>	Routing Slip	
<input type="checkbox"/>	Misc.	
	Reference/MPP Policy (On CD):	
<input type="checkbox"/>	Reference (MPP Policy)	
	Shooting Reports (divided by incident) (On CD):	
<input type="checkbox"/>	PFI Detailed Shooting Reports	
<input type="checkbox"/>	PFI Summary Profile: Lawsuits	
<input type="checkbox"/>	PFI Summary Profile: Civil Claims	
<input type="checkbox"/>	PFI Summary Profile: Administrative Investigations	

Attachment #14

Shooting Analysis Committee Archiving Binder Checklist

<input type="checkbox"/>	PPI Summary Profile: Use of Force	
<input type="checkbox"/>	Sheriff's Memo of Incident	
<input type="checkbox"/>	Homicide Book	
<input type="checkbox"/>	IAB Shooting Book	
<input type="checkbox"/>	IAB Investigation	
<input type="checkbox"/>	SH-AD-49 Incident Report	
<input type="checkbox"/>	Supplemental Report (ex: CHP 180)	
<input type="checkbox"/>	Commander's Synopsis/Commander's Checklist	
<input type="checkbox"/>	EFRC Memos	
<input type="checkbox"/>	CCHRS/GSR Test	
<input type="checkbox"/>	MDD: Incident Details/Incident History/In-Service	

Attachment #14

Shooting Analysis Committee Archiving Binder Checklist

<input type="checkbox"/>	SH-R-438P Supervisor's Report of Use of Force Form/Shooting Evaluation Form	
	Training Records (On CD):	
<input type="checkbox"/>	Learning Management System (LMS) Training Records	
<input type="checkbox"/>	Personnel Performance Index (PPI)	
<input type="checkbox"/>	Weapons Qualification System (WQS)	
	Drafts (On CD):	
<input type="checkbox"/>	Draft Report	
<input type="checkbox"/>	Draft PowerPoint	

Assigned Sergeant Signature: _____ Date: _____

Archived Sergeant Signature: _____ Date: _____

Team Lieutenant Signature: _____ Date: _____