

Color

Internal Audit Report



2021 Approved Internal Audit Police Auditor Annual Audit Plan



2021 APPROVED POLICE AUDITOR ENGAGEMENTS

Considering recent events both in the community and across the nation, as part of the 2021 budget process the City Manager proposed, and City Council approved, the establishment of an auditor position within Internal Audit dedicated to police-related engagements. This new auditor will work directly with the City Manager in developing an annual audit plan. The position will report administratively to the Internal Audit Manager (Chief Audit Executive, CAE) who will be responsible for reviewing their work papers and draft reports to ensure compliance with internal audit standards.

Initial audit engagements will focus on policies and practices in areas of police operations that more directly affect the community, that are potentially high liability activities, and that are of significant public concern. The engagements will be aimed at increasing department transparency and regaining and maintaining public trust. Engagements may include, where applicable, business process redesign; they may also touch on performance management where appropriate.

The Police Auditor audit plan will be included in the Internal Audit Annual Audit Plan. Reports generated by the Police Auditor will be included in the quarterly progress reports to the Audit Committee and will be verbally presented to the Public Safety, Courts, and Civil Service Policy Committee.

2021 APPROVED POLICE AUDITOR ENGAGEMENTS BY QUARTER

This audit plan was developed in conjunction with City Management and the APD Police Chief. It was approved by the City Manager on Friday, October 9, 2020.



First Quarter

Internal Audit Carryforward Engagement	<p>This engagement may be carried forward into 2021 if not completed in 2020.</p> <ul style="list-style-type: none">❖ K-9 Unit Review (Part 1, <i>commenced in 2020</i>)
Colorado Open Records Act (CORA) / Colorado Criminal Justice Records Act (CCJRA) Efficiency and Effectiveness Review	<p>It is the general policy of the Aurora Police Department that information can and will be released, unless it is contrary to statute, a court order, or to the public interest. The potential disclosure of any record, in full or in part, requires examination and consideration of regulatory requirements and department and City policies and procedures.</p> <p>Objectives:</p> <ul style="list-style-type: none">❖ Determine the degree to which policies and procedures ensure consistent compliance with state and local laws and best practices.❖ Determine the extent to which APD tracks records requests and fulfillments and complies with state and local laws.❖ Determine the degree to which the process is accessible and transparent.

Second Quarter

K-9 Unit Review (Part 2)

Operational and Compliance Review

The Aurora Police Department K-9 Unit consists of six canines, their handlers, and a sergeant. The Unit serves as a compliment to Patrol resources. The canines perform a variety of tasks including searching buildings for suspects, narcotics, and explosives. While the presence of police canines may prevent potential violence and injury of officers and suspects, K-9 Unit deployment must be in accordance with policies, procedures, and best practices.

Part 1, started in 2020, assessed the current policies and procedures. Part 2 will assess how canines are deployed, supervised, and trained under current policies and operations.

Objectives:

- ❖ Assess past deployments for compliance with Unit policies and procedures.
- ❖ Determine if best practices are followed in: training, deployment, and reporting.

Third Quarter

Crisis Response Team (CRT)

Program Review

The Crisis Response Team (CRT) is a collaborative effort between APD and the Aurora Mental Health Center with a mission to provide trauma-informed, compassionate care to individuals experiencing a mental health crisis. This co-responder model helps to prevent unnecessary incarceration/hospitalization and helps to reduce the amount of Patrol officer resources spent on mental health situations.

When calls for service involve a person experiencing a mental health crisis, it is critical that the police interaction remain positive and in accordance with department policies and procedures.

Objective:

- ❖ To determine if CRT is effectively receiving and responding to incidents involving people with mental health or other specialized needs.
- ❖ Evaluate if resources staffing CRT are adequate to respond to mental health calls.

Fourth Quarter

Continue Active Engagements

Continue work on active engagements.

Possible Additional Engagements

There are several other engagements the auditor may address, time and resources permitting.

Complaint Process Process Review

Reported complaints against APD personnel are reviewed and investigated from the department supervisors through the chain of command (inclusive of the Internal Affairs Bureau). Internal and external complaints against APD personnel can be made electronically, in writing, or verbally. All complaints are entered into the complaint management system. The chain of command administers discipline based upon the results of the investigation which may include reprimands to dismissal from the department.

Objectives:

- ❖ Determine how APD's complaint policies compare to other law enforcement agencies and national best practices.
- ❖ Determine whether APD's policies are consistently applied.
- ❖ Evaluate whether appropriate and consistent corrective actions are taken for complaints.
- ❖ Determine if the complaint process is readily accessible to users.

Use of Force
Operational and
Compliance Review

APD policy states that members will only use reasonable and appropriate force; and only when legally justified. When practicable, officers will attempt to de-escalate the situation so that lesser force, or possibly no force, is required. Use of force is an area that is highly subjective and requires a heightened level of officer situational awareness and judgement.

Objectives:

- ❖ Determine how APD’s use of force policies, procedures, and practices compare to other law enforcement agencies and national best practices.
- ❖ Determine if best practices are followed in training, application, and reporting.
- ❖ Assess past applications for compliance with policies and procedures, inclusive of de-escalation methods.
- ❖ Assess use of force utilization for fair and consistent application.

Recurring Engagements

Senate Bill 217
Compliance Review

Senate Bill 217, calls for measures to enhance law enforcement integrity. The bill stipulates changes to existing procedures and new requirements for: body-worn cameras, use of force, qualified immunity, police prosecutions, protester protections, data tracking and reporting, etc. Beginning July 1, 2023, local law enforcement agencies must comply with the bill requirements. Internal Audit will perform an annual review to ensure APD compliance.

Objectives:

- ❖ Assess the sufficiency of APD Senate Bill 217 compliance efforts.