



Police Internal Audit Report

2023 Police Internal Audit Plan



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POLICE AUDITOR OVERVIEW

The Police Auditor works directly with the City Manager and reports administratively to the Internal Audit Manager (Chief Audit Executive, CAE.) The Internal Audit Manager is responsible for reviewing their work papers and draft reports to ensure compliance with internal audit standards.

The Police Auditor engagements focus on policies and practices in police operations that more directly affect the community, potentially high liability activities, and areas of significant public concern. The engagements aim to increase department transparency and regain and maintain public trust. Engagements may include, where applicable, business process redesign; they may also touch on performance management where appropriate.

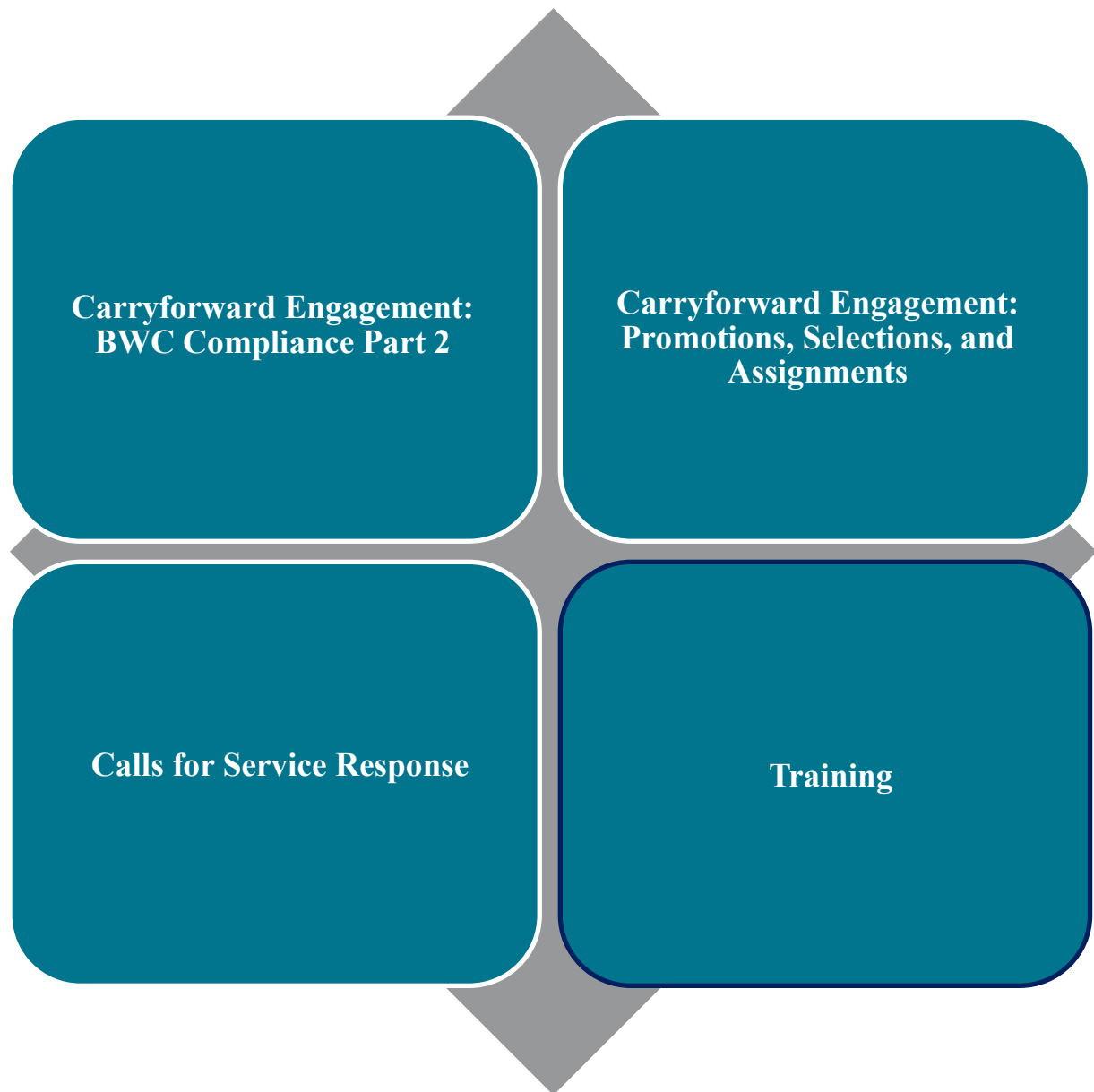
Reports generated by the Police Auditor are included in the quarterly progress reports to the Management and Finance Committee (Audit committee) and presented verbally to the Public Safety, Courts, and Civil Service Policy Committee. In addition, Internal Audit publishes all final reports on the City's website.¹

¹ https://www.auroragov.org/city_hall/departments/city_manager/internal_audit_department

2023 APPROVED POLICE AUDITOR ENGAGEMENTS

The Police Auditor developed this audit plan from the results of the annual risk assessment and meetings with City Management and the APD Police Chief. The City Manager approved the Police Auditor Plan on October 6, 2022. The Police Auditor will also present this plan to the Public Safety, Courts, and Civil Service Policy Committee as an information item.

We propose this plan with the understanding that we may not start all engagements in 2023. Three of the audits will involve areas not previously reviewed; therefore, we cannot provide an estimate of how long they will take to complete. We will consider resources and the input of the new Police Chief in determining the timing of each engagement.



Carry forward: Body-Worn Cameras Follow Up Part 2

Operational and Compliance Review

This engagement is a second follow-up audit focusing on compliance, including complying with supervisor reviews and prior audit recommendations.

Objectives:

- ❖ Determine if Aurora Police complies with policies and regulations regarding body-worn camera use.
- ❖ Determine the extent to which Aurora Police is utilizing the body-worn camera system for monitoring.

Carry forward: Promotions, Selections, and Assignments

Process Review

The Civil Service Commission manages the promotional process for all ranks, except for the ranks of Commander, Division Chief, and Deputy Chief. These ranks serve at the Chief’s discretion. Selections and assignments processes may vary by unit/assignment.

Objectives:

- ❖ Determine if policies exist for selections, assignments, and time in position, and if policies follow leading practices.
- ❖ Determine the effectiveness, efficiency, and equity of the processes for promotions, selections, and assignments.
- ❖ Determine if practices exist to evaluate performance for personnel selected or assigned to their positions.

Calls for Service Response

The Aurora Police Department responds to calls for service as received by Aurora911. The current police staffing levels are impacting response times. This engagement will focus on the process for calls for service deployment and assess its efficiency and effectiveness.

Objectives:

- ❖ Determine the level of efficiency and effectiveness of APD response to certain calls for service, including alternate responses.

Training

Officers again expressed concerns during our risk assessment with training. Training sets the baseline for everything the department does. If the department does not adequately train and prepare its officers, it sets up the officers and the department for failure.

Objectives:

- ❖ Ascertain the level to which APD complies with training requirements and the degree of quality therein.

Possible Additional Projects

Time will be reserved to allow a new Chief of Police to identify an additional engagement not included within the audit plan

Removed Engagements from 2022

Impound Lot

The City is currently evaluating moving from using a third-party contractor to managing the Impound Lot internally. We will reconsider this engagement when developing the 2024 audit plan.

K9 Part Two

The K9 unit has implemented all recommendations from the first K9 engagement. The proposed audit objectives for K9 Part Two were to review compliance with policies and procedures, adherence to leading practices, and the new K9 software system. We are removing this engagement due to higher priority audits and a lack of staff resources to address additional audit engagements.

2022 Risk Observations

Our observations from our risk assessment process identified several areas that management should address and monitor. During the risk assessment process, staff provided us information regarding risks outside of APD. We communicated those risks to the appropriate parties.

Staffing

The organization continues to operate at staffing levels lower than established baselines. Employees identified this as the most significant risk facing the organization. Decreased staffing levels increase the use of overtime, resulting in employee burnout and reduced service levels. Therefore, management should continue to explore initiatives to retain and attract new employees across the organization and evaluate service levels.

Policy Governance

“Policies and procedures are an essential part of any organization. Together, policies and procedures provide a roadmap for day-to-day operations. They ensure compliance with laws and regulations, give guidance for decision-making, and streamline internal processes.”² The department is working with Criminal Justice Institute (CJI) and the consent decree monitor to improve policy governance.

Use of Force

For the second year, officers expressed uncertainty about when to use force, use of force training, and policy requirements. Related to officers’ using force is the review of specific uses of force by the Force Review Board and Force Investigation Unit. This review process is essential to ensuring a transparent and accountable process.

² <https://www.powerdms.com/policy-learning-center/following-policies-and-procedures-and-why-its-important#:~:text=Policies%20and%20procedures%20are%20an,making%2C%20and%20streamline%20internal%20processes>

We recommend management continues to evaluate changes to use of force policy, increases Use of Force training, and continues to work with partners to improve policy and processes.

Disciplinary Process

Employees perceive the current discipline process as unfair and not equitable. A transparent, fair, and equitable process ensures that all employees are held equally accountable. We recommend the new Police Chief closely monitors this area and makes any necessary changes.

Leadership

Employee trust in leadership is broken and needs to be rebuilt across the organization. The selection of a new leader will be critical to addressing this issue. Therefore, we are not recommending an audit for this area, but we will continue to monitor it.

Technology

Management and deployment of technology need improvement. Our audits of the Department continue to identify data issues, including missing or inefficient software systems, poor data quality, or inefficient use of data. The inability to capture the correct data in a usable format creates a risk of non-compliance with state laws and the consent decree. It also results in inefficient operations.

While we are not recommending a specific engagement, we will continue to evaluate data in our engagements as appropriate. We strongly recommend that APD Management continues to works with IT and closely monitors the Department's IT initiatives and progress for improving its systems and data collection.

Records Unit Operations

Prior audits and a consultant identified multiple risks in the Records Unit. Risks included poor unit culture, non-compliance with CCJRA, backlogs across various areas, inefficient processes, and organizational structure. In 2023, we will continue to meet monthly with the Lieutenant overseeing the Records Unit to monitor progress. In addition, APD Management should continue to monitor this area and make changes as needed to improve operations.

PLAN DEVELOPMENT PROCESS

The City of Aurora Office of the Internal Auditor applies Institute of Internal Auditors (IIA) standards (Standards). The IIA is the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator. The Standards require developing an annual audit plan using a risk-based approach. The city-wide audit plan includes details on the Standards and Internal Audit's processes.

Management is responsible for identifying and managing the risks facing the City. Internal Audit provides an independent review of the policies, processes, and controls to manage and mitigate risk to acceptable levels.

The development of the audit plan included issuing a risk assessment survey to all police employees, as well as interviews with the Police Chief, City Management, the consent decree monitor, Police legal advisors, Public Safety Chair, and a community leader involved with various police-related advisory groups.

RISK ASSESSMENT SURVEY SUMMARY

The Police Auditor assessed risk for Aurora Police Department (APD) utilizing risk assessment surveys, separately from the city-wide risk assessment. All police employees, civilians, and sworn officers received a survey link on July 1st; the survey closed on July 25th.

The Police Auditor sent surveys anonymously to solicit honest feedback and increase participation; however, this resulted in the inability to follow up with individuals directly. Staff, Supervisors, and Command all received complementary versions of the surveys. Below is a breakout of who received each survey type (survey questions were customized to the intended audience.)

Staff: Officers, Detectives, and civilian staff across all units
Supervisor: Sergeants and above, civilian supervisors
Command: Commanders and above, civilian leadership

The table below shows the percentage of partially and fully completed surveys across each group.

Survey Group	Partially Completed	Survey Completed
Command	-	100%
Supervisors	51%	43%
Staff	29%	25%
Average Completed		29%

Training

At the time of the survey, employees perceived that not enough time was spent on training related to legal updates. Employees also perceived that training regarding the use of force is insufficient to allow them to understand how to comply with requirements.

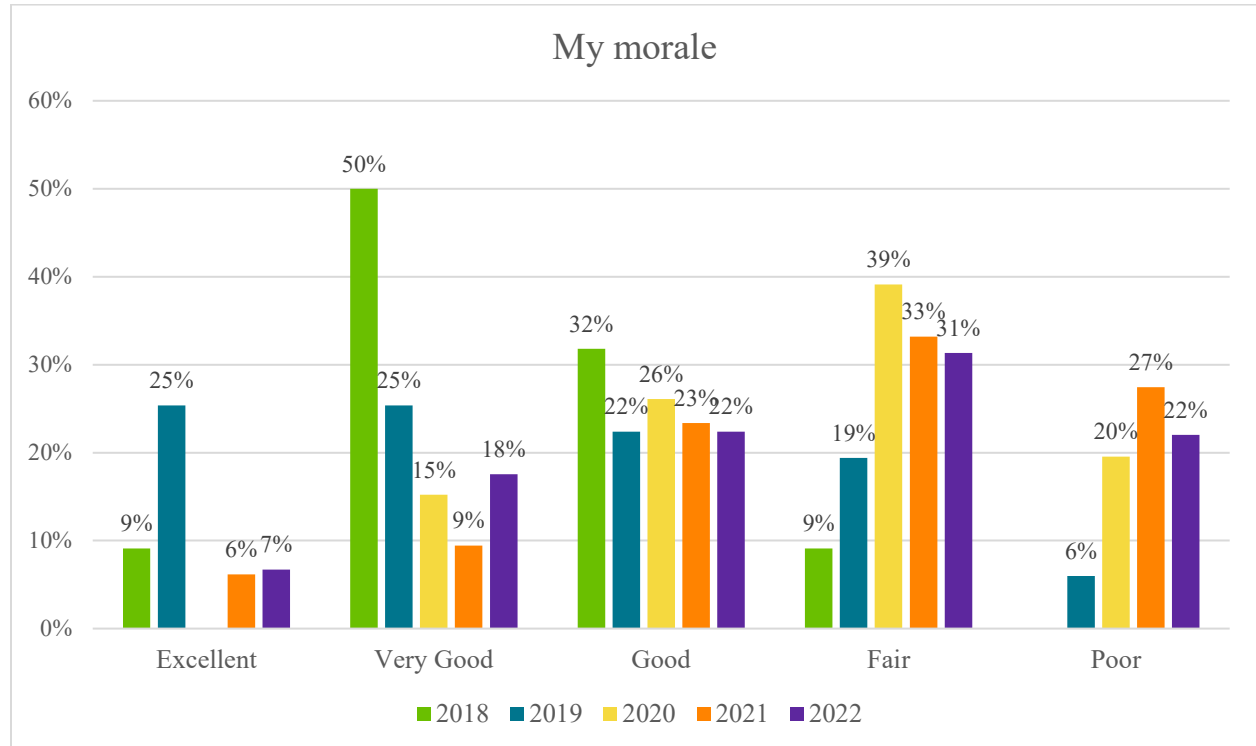
Employee comments on training included a need for:

- Additional avenues of training such as in-person and real-life scenarios,
- A central training hub to reduce the overwhelming nature of training across multiple platforms,
- More experienced trainers,
- Consistency in training,
- Driving training with proper vehicles for the assignment,
- Training for assignments, such as investigators, Sergeants, Lieutenants, and
- Training on legal updates and use of force.

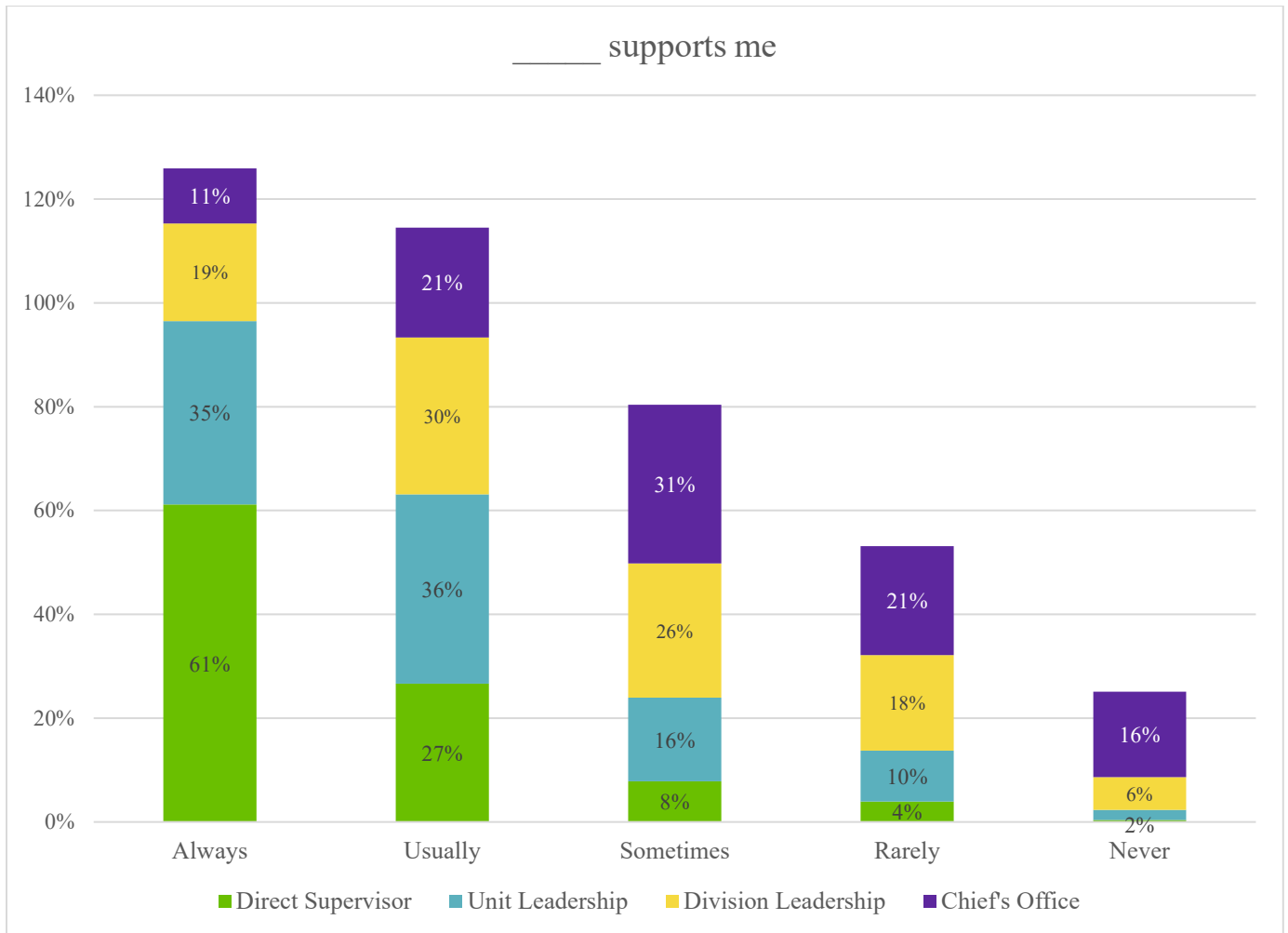
Tone at the Top

This section focused on assessing management and the department’s ethical stance and morale at the time of the survey.

During our risk assessment survey, we assessed morale in APD over the prior years. Below is a graphic showing the average morale at the time of the survey annually. In 2022, employee morale shows signs of slight improvements.



We asked employees, to the best of their knowledge, if different groups supported them. Results show that employees perceive their direct supervisor as most supportive. The higher the leadership level, the less the employees view them as supportive.



The Command level is more optimistic about the frequency with which leadership supports and demonstrates transparency and accountability.

Transparency	Always/Usually	Sometimes	Rarely/Never
Command	54%	23%	23%
Supervisors	21%	34%	45%
Staff	32%	27%	41%

Accountability	Always/Usually	Sometimes	Rarely/Never
Command	54%	31%	15%
Supervisors	21%	31%	48%
Staff	29%	28%	43%

Employee comments related to tone at the top included:

- Command lacks leadership, transparency, and accountability,
- Leadership is removed from patrol,
- Lack of trust,
- Leadership is starting to change,
- Morale is improving,
- Direct supervisors are present and available,
- Supervisors don't hold employees accountable, and
- Department is averse to change.

Operations

The Department continues to see high levels of staff turnover. We asked Supervisors and above to identify potential reasons for turnover. Below are the top results for 2022 and 2021:

Reason	2022	2021
Burnout	86%	74%
Overall leadership	76%	74%
Lack of support from City Management	72%	88%
Lack of support from elected officials	70%	87%
Working conditions	70%	74%
Lack of support from APD Management	67%	81%
Resignations	64%	74%

Employees across all levels believe the Department can do more to educate the public to allow them to understand police processes and procedures.

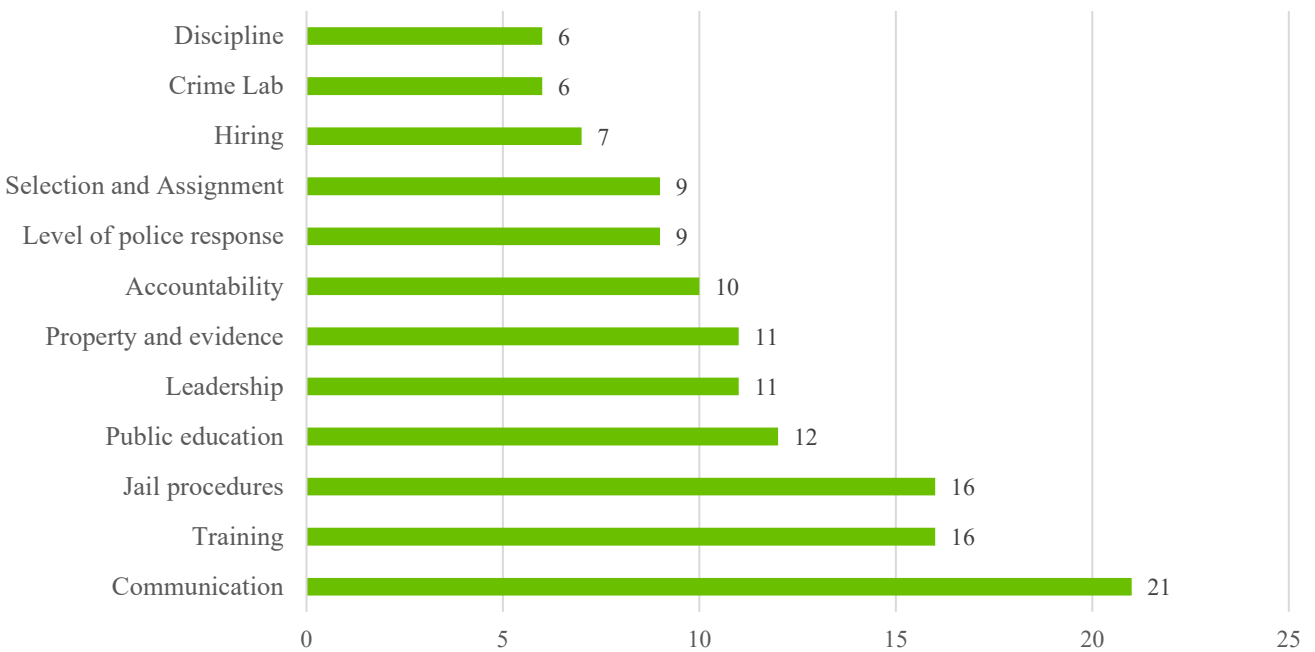
While Command perceives Department leadership communicates changes timely, most other employees believe communications are less than timely.

	Always/ Usually	Sometimes	Rarely /Never
Command	69%	31%	0%
Supervisors	37%	37%	27%
Staff	39%	34%	27%

Most employees perceive the consent decree as having a positive (35%) or neutral impact (41%).

Employees provided a variety of suggestions when asked what process they could improve. We summarized the common themes from survey responses below.

Process improvement themes



We asked what improvements needed to be made to feel more confident in doing their job or supporting others in doing their jobs. The graphic below summarizes the common themes from responses.³

Improvements to feel more confident in doing my job or supporting others in doing theirs



³ We recommend management explores what type of support is needed in their units and chain of command. The type of support noted varied across employees and is individual to their needs.

Resources

Most employees (78%) believe they have the right equipment to carry out their primary duties.

Equipment missing included:

- Cell phones,
- breaching tools,
- radar in all cars,
- emergency aid kits,
- shirts for under external carriers,
- medical supplies,
- vehicles including updated vehicles with less mileage,
- phones at hoteling stations,
- secure storage in all vehicles, including unmarked,
- updated tasers, and
- gym equipment.

More than half of employees (66%) responded that they believed they had the right IT hardware; however, the comments reflected inadequate or poorly performing tech resources to perform duties, including:

- monitors,
- computers/laptops/tablets, and docking stations;
- a need for better MDC mounts,
- slow processing with current hardware, not enough storage capacity, no sound on devices, not the correct type of hardware for duties, and a need for better connectivity including Wi-Fi hot spots.

More than half of employees (71%) believed they had the right IT software. The list below includes software needs identified by employees.

Software

- Accident program
- Adobe PRO
- Background software
- Contact data system
- Investigations technology
- Electronic qualification cards
- Facial recognition software
- Transcription software
- CAD maps
- Crash reporting
- Help desk software

Processes

- Compatible systems
- Additional licenses for systems
- Right permissions for systems

- Systems on all district computers
- Ability to print on all district computers
- Better software acquisition process
- Easier to use systems
- Timely upgrades

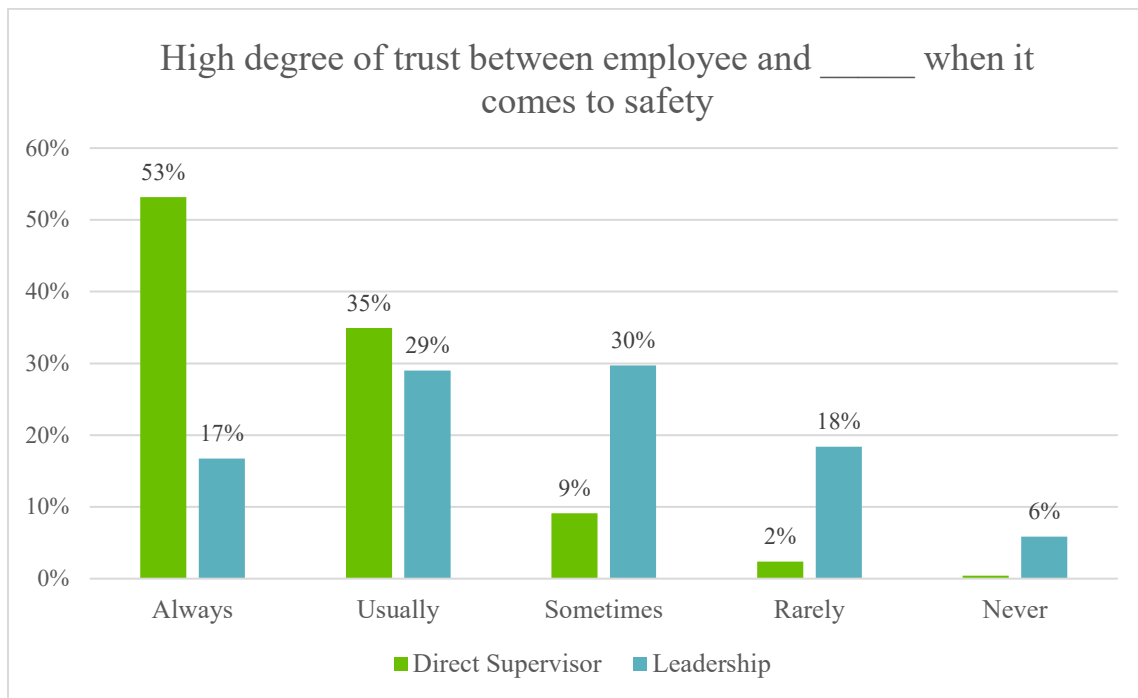
When asked about training on IT systems, Supervisors and Staff responded that the level of training was:

Sufficient	47%
Neutral	26%
Not sufficient	28%

Multiple employees commented that they had taught themselves how to use systems as the department did not provide them with any training. Others commented that systems and their capabilities had not been fully utilized.

Safety

Direct supervisors maintain a high degree of trust with employees related to safety; however, levels of trust with leadership are significantly lower.



Employees are not in agreement on whether individuals who act in an unsafe manner are held accountable.

Always	15%
Usually	33%
Sometimes	33%
Rarely	31%
Never	31%

Responses varied on whether the department helps with coaching and counseling over punishment for minor mistakes.

	Always/Usually	Sometimes	Rarely/Never
Command	54%	31%	15%
Supervisor	29%	29%	38%
Staff	33%	30%	38%

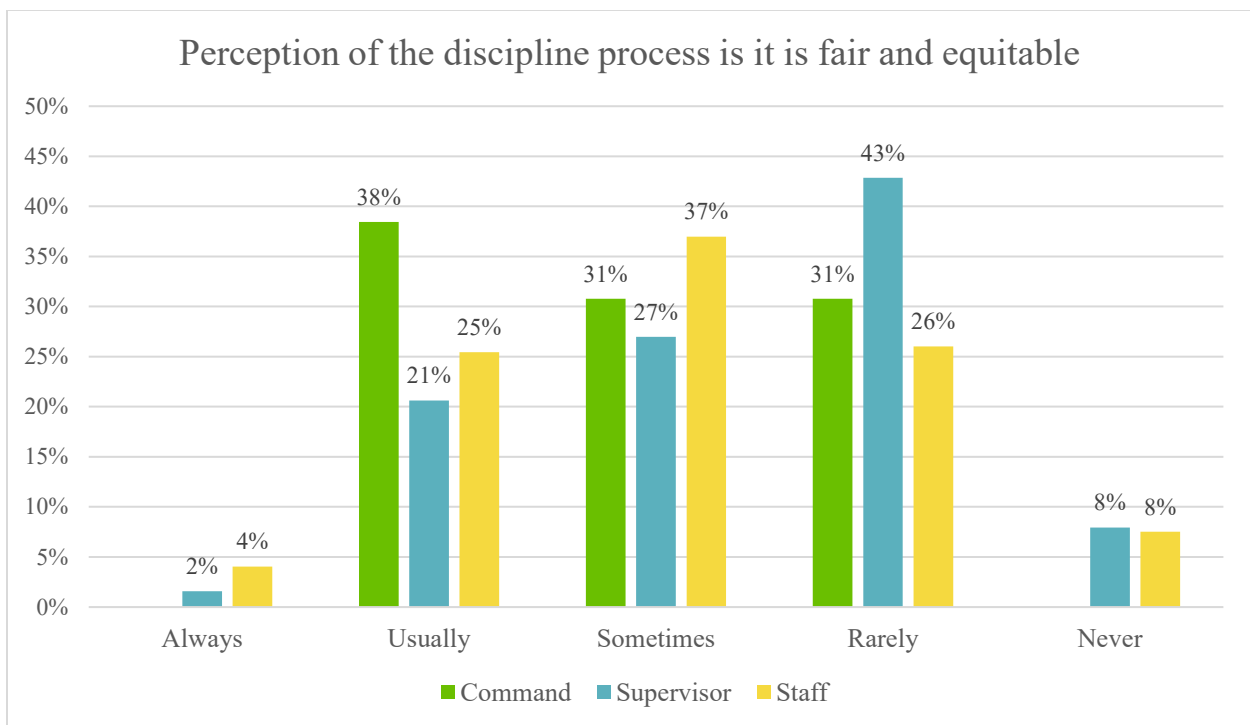
Supervisors (38%) and staff (49%) were concerned about their work safety. The level of staffing, having less experienced officers, prior security incidents at buildings, increases in crime, and Covid are all areas about which they are concerned regarding their safety. Most employees believe they have the necessary safety equipment to perform their duties. Equipment missing included:

- Ballistic protection
- Exterior carrier vest
- Gas masks
- Video surveillance
- Entry tools
- Eye and ear protection
- Respirator
- Shower at range
- Less-lethal options
- Vests and helmets for negotiators
- Fire extinguishers in patrol cars

Diversity, Equity, and Inclusion

This section assessed attitudes towards DEI within the culture and specific processes.

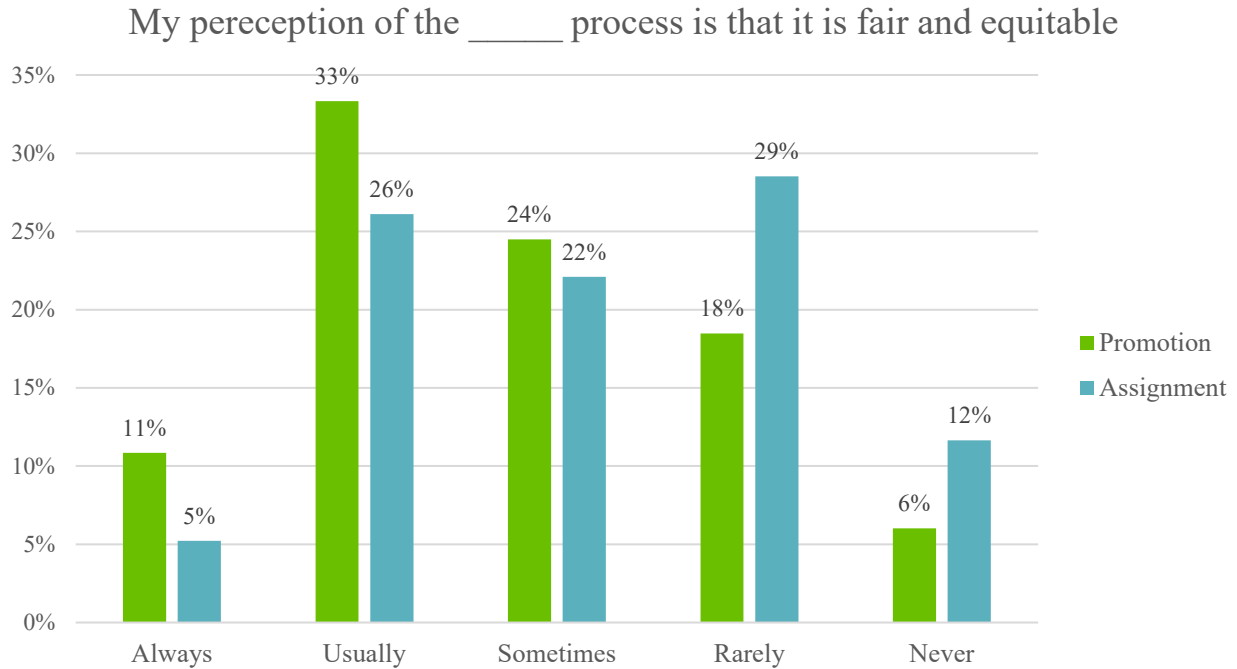
Employees perceive that the discipline process is not always fair and equitable.



Employees vary on whether their identity impacts opportunities for promotions and assignments.

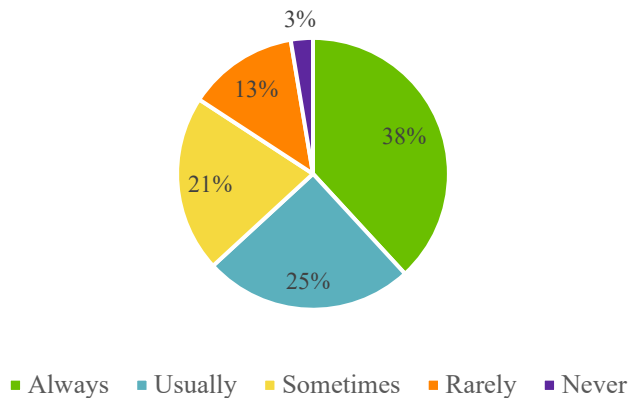
	Always/Usually	Sometimes	Rarely/Never
Promotions	20%	25%	55%
Assignments	27%	27%	46%

Employees perceive the promotion process as fairer and more equitable than the assignment process.



Most employees perceive that staff of all cultures and backgrounds are encouraged to apply for higher positions.

Staff of all cultures and backgrounds are encouraged to apply for higher positions



Most employees perceive their culture and background are respected and valued within APD.

	Always/Usually	Sometimes	Rarely/Never
Command	77%	15%	8%
Supervisors	49%	35%	16%
Staff	67%	17%	16%

Employee comments related to DEI:

- Need additional training on cultural practices and languages spoken in Aurora.
- DEI training that incorporates a variety of ethnicities and abilities.
- All-inclusive training approach.
- Numerous comments noted concerns with the promotions and assignments processes, perceived favoritism, and lack of transparency.
- Advancement opportunities for all.
- Time for more training and engagement with the community.
- Consider putting people through language school.
- Use diverse employees from within the department for DEI training.

Employees identified the organization's highest risk as the department's staffing levels. Supervisors and above were asked to expand on impacts from potential risks.

Examples of responses to the worst outcome from current staffing levels included:

- continued attrition,
- service level declines,
- officer injury or death,
- inability to investigate timely,
- burnout,
- increases in mistakes, and
- increased crime.

Examples of responses to the best outcomes from improved staffing levels included:

- More qualified people,
- reduced workload on current employees,
- staffing and efficiency improvements allowing for improved service levels,
- retention,
- crime rate minimized,
- victim satisfaction,
- proactive policing,
- improving customer service, and
- improving community safety.

INTERNAL AUDIT TEAM

Wayne Sommer | Internal Audit Manager (CAE)

Wayne is a Certified Public Accountant (CPA) and a Chartered Global Management Accountant (CGMA) with 42 years of diverse work experience. He began his career as an auditor for KPMG in Washington, DC (then known as Peat Marwick Mitchell and Co), advancing to the Audit Senior level (In-charge) with specialization in not-for-profit entities and financial institutions. He spent the next seven years in various financial and management capacities at Trustbank Savings, FSB in Virginia (also known as Dominion Federal Savings and Loan.) Before coming to the City of Aurora, Wayne spent 23 years at the International City/County Management Association (ICMA) in Washington, DC with 14 of those as Director, Administration and Finance, and the last nine working in executive management roles performing strategic planning, business development, and organizational change and development including managing ICMA's U.S. Programs, which offered research and consulting products and services to local governments, the private sector, and the Federal government. Wayne has been with the City of Aurora since May 2014.

Wayne will be retiring from the City in December 2022. It will be incumbent upon the City Manager to install his replacement.

Professional Associations: American Institute of Certified Public Accountants; Institute for Internal Auditors; Association of Local Government Auditors

Michelle Crawford | Police Auditor

Michelle is a Certified Internal Auditor (CIA), a Certified Fraud Examiner (CFE), Certified in Risk Management Assurance (CRMA) and has 15 years of experience in governmental auditing. She received her Bachelor's in business administration at the University of Montana and her Master's in accountancy from Missouri State University. Upon graduation from Missouri State University, she started her career at the Missouri State Auditor's office as a Staff Auditor I and progressed over the next seven years to a Senior Auditor. As an auditor with the State Auditor's office, she conducted performance audits of local governments and worked on the statewide Single Audit. Michelle has been with the City of Aurora since October 2014.

Professional Associations: Association of Certified Fraud Examiners; Institute for Internal Auditors; Association of Local Government Auditors; National Association for Civilian Oversight of Law Enforcement