



ALBUQUERQUE POLICE DEPARTMENT
GENERAL ORDERS

SOP 1-9 (Formerly 8-2)

Effective: 02/01/2023 Review: 02/01/2024 Replaces: 08/29/2018

1-9 COMPLIANCE AND OVERSIGHT DIVISION

Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):

A. Related SOP(s)

[3-33 Performance Evaluation and Management System \(PEMS\) \(Formerly 3-20 and 3-49 Early Intervention and Recognition System\)](#)

[3-50 Forms Control \(Formerly 3-22 and 3-27\)](#)

[3-52 Policy Development Process \(Formerly 3-29 and 3-65\)](#)

B. Form(s)

Policy and Procedure Unit Manual

C. Other Resource(s)

United States of America v. City of Albuquerque, No. 1:14-cv-01025 – Document 465 (D.N.M. 2019)

D. Rescinded Special Order(s)

None

1-9-1 Purpose

The purpose of this policy is to outline the roles and responsibilities of Compliance and Oversight Division personnel who are tasked with compliance oversight and ensuring that the Albuquerque Police Department (Department) continues to progress as an organization.

1-9-2 Policy

It is the policy of the Department to track, assess, and implement process improvements to ensure ongoing compliance with Standard Operating Procedures (SOP) that memorialize the provisions of the Department's consent decree. It is also the policy of the Department to ensure that supervisors are provided with the resources that they need to promote the efficient and effective utilization of time and Department personnel.

N/A

1-9-3 Definitions

A. Audit

Internal inspections by Performance Metrics Unit (PMU) personnel, or management of Department processes and Department programs that further the Department's mission.

B. Performance Evaluation and Management System (PEMS)



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A process that analyzes employee data that are derived from City of Albuquerque and Department systems that enable the Department to define performance ranges and thresholds.

D. Policy Development Process

A rigorous process that enables stakeholders to provide recommendations for improvement and enhancement of the Department's SOPs. This process serves as one of the Department's mechanisms to promote ongoing community participation, including participation by members of the CPOAB, MHRAC, and the Community Policing Councils, and facilitates compliance with CASA provisions governing policy development, review, and implementation.

6 1-9-4 **Performance Evaluation and Management System (PEMS) Section**

A. PEMS Section Personnel

1. PEMS Section personnel shall:

- a. Be responsible for managing the Department's Performance Evaluation and Management System;
- b. Track performance assessments and monitoring plans to ensure that they are consistent with SOP Performance Evaluation and Management System (PEMS) (refer to SOP Performance Evaluation and Management System for sanction classifications and additional duties);
- c. Assist Department supervisors in completing a PEMS Assessment as required; and
- d. Assist Department supervisors in the development of PEMS monitoring plans as required.

N/A

B. PEMS Section Lieutenant

1. The PEMS Section Lieutenant shall:

- a. Be responsible for the effective supervision and management of PEMS Unit personnel;
- b. Submit the annual PEMS report by the 25th day of January; and
 - i. If the 25th falls on a non-work day, the PEMS Section Lieutenant shall submit the annual report by the next business day.
- c. Submit a quarterly status report by the 15th day of April, July, and October.
 - i. If the 15th day falls on a non-work day, the PEMS Section Lieutenant shall submit the quarterly status report by the next business day.

6 1-9-5 **Compliance Section**

A. Performance Metrics Unit (PMU)



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1. PMU personnel shall:

- a. Implement inspections in accordance with the inspection schedule or as directed by the PMU Manager;
- b. Submit inspection reports to the PMU Manager for review and approval; and
- c. Retain and archive all documentation of audits for five (5) years.

2. The PMU Manager shall:

- a. Be responsible for the effective supervision and management of PMU personnel;
- b. Track and develop monthly and/or annual inspection schedules;
- c. Distribute inspection reports to Department personnel; and
- d. Prepare monthly reports for the Compliance Division as required.

B. Implementation Unit

1. Implementation Unit personnel shall:

- a. Facilitate process improvement initiatives with input from internal and external stakeholders;
- b. Assist in identifying and designing new processes and/or addressing process-related issues to improve efficiency and effectiveness within a specified area;
- c. Establish a Department-wide approach for business processes to ensure successful delivery of project outcomes aligned with organizational strategic priorities;
- d. Track progress for assigned project or process improvement initiatives through the use of a task management tool;
- e. Work with Department personnel to define the current state of business operations and processes, identify opportunities for improvement, and make recommendations in support of the Department's mission, vision, and strategic goals;
- f. Consult with PMU personnel to provide feedback on internal controls proposed as new processes and/or procedures are developed; and
- g. Receive final inspection reports from PMU personnel to review and determine whether business processes need to be re-evaluated.

2. The Implementation Unit Manager shall:

- a. Supervise Implementation Unit personnel;
- b. Lead process improvement and/or problem-solving efforts with internal and external stakeholders;
- c. Be responsible for maintaining data systems used by Implementation Unit personnel; and
- d. Be responsible for reporting Implementation Unit activity to the chain of command as needed.



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C. Policy and Procedure Unit

1. Policy and Procedure Unit personnel shall:

N/A

- a. Serve as the City and the Department's central point of contact for the policy development process;
- b. Adhere to the requirements outlined in SOP Policy Development Process (refer to SOP Policy Development Process for sanction classifications and additional duties);
- c. Adhere to the requirements outlined in the Policy and Procedure Unit Manual; and
- d. Assist in the development of Special Orders as outlined in SOP Department Orders (refer to SOP Department Orders for sanction classifications and additional duties).

N/A

2. The Policy Manager shall:

- a. Manage Policy and Procedure Unit personnel;
- b. Function as an advisor to Policy and Procedure Unit personnel when applicable;
- c. Assign a specific list of SOPs to the Policy Coordinator, SOP Liaison, or themselves to act as a lead who oversees the SOP as it goes through the policy development process;
- d. For each SOP, track and analyze policy development process start and end dates to assess the effectiveness and efficiency of the process; and
 - i. If the data suggest there are areas for improvement, such as steps in the process that go beyond the average time for completion, the Policy Manager continually shall collaborate with Policy and Procedure Unit personnel to identify, then implement potential changes.
 - ii. The Policy Manager shall manage and track process improvement activities.
- e. Function as the Policy and Procedure Unit representative and liaison between internal and external stakeholders and the Policy and Procedure Unit during:
 - i. CPOAB meetings and its subcommittee meetings;
 - ii. Force Review Board (FRB) meetings;
 - iii. MHRAC meetings; and
 - iv. Meetings between the U.S. Department of Justice, Independent Monitoring Team, and the Department.

N/A

3. The Policy Coordinator shall facilitate the Policy Owner or their designee, Department personnel, and external stakeholders' review and development of an SOP while it goes through the policy development process, consistent with SOP Policy Development Process (refer to SOP Policy Development Process for sanction classifications and additional duties).

N/A

4. The SOP Liaison shall:



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- a. Perform Unit operations that facilitate the review, development, and implementation of an SOP while it goes through the policy development process, consistent with SOP Policy Development Process (refer to SOP Policy Development Process for sanction classifications and additional duties);
- b. Maintain policy drafts and SOPs that have been implemented in the Department's document management system, consistent with SOP Policy Development Process (refer to SOP Policy Development Process for sanction classifications and additional duties); and
- c. Be responsible for the control of Department forms, consistent with SOP Forms Control (refer to SOP Forms Control for sanction classifications and additional duties).