



ALBUQUERQUE POLICE DEPARTMENT
ADMINISTRATIVE ORDERS

SOP 3-53

Effective: 10/03/2023 Review: 10/03/2024 Replaces: 12/29/2022

3-53 SELF-ASSESSMENTS

Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):

A. Related SOP(s)

[1-1 Personnel Code of Conduct \(Formerly 1-04 and 1-4\)](#)

[3-30 Line of Inspection Process \(Formerly 3-42\)](#)

[3-41 Complaints Involving Department Personnel \(Formerly 3-22 and 3-43\)](#)

B. Form(s)

None

C. Other Resource(s)

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

D. SO 22-121 Implementation of Self-Assessments by the Performance Metrics Unit (PMU)

None

3-53-1 Purpose

The purpose of this policy is to outline the rules and responsibilities for Albuquerque Police Department (Department) and Performance Metrics Unit (PMU) personnel when conducting self-assessments.

3-53-2 Policy

It is the policy of the Department to assess compliance, manage projects, and perform self-assessments to ensure that the Department continues to sustain reform efforts. The Performance Metrics Unit (PMU), along with identified internal subject matter experts, will conduct all self-assessments. PMU will report compliance outcomes and track all recommendations to facilitate continuous improvement of business practices.

N/A 3-53-3 Definitions

A. Auditor

A Department employee authorized to review and verify the accuracy of records and ensures that Department personnel comply with Standard Operating Procedures (SOP).



ALBUQUERQUE POLICE DEPARTMENT
ADMINISTRATIVE ORDERS

SOP 3-53

Effective: 10/03/2023 Review: 10/03/2024 Replaces: 12/29/2022

B. Project Lead

A Department employee assigned as the leader of a specific deliverable and the main point of contact during a self-assessment. The Project Lead identifies team members to assist in deliverables or self-assessment; however, they are primarily responsible for the coordination of gathering the necessary data sources in order for the PMU to conduct a self-assessment.

C. Self-Assessment

An internal inspection by PMU personnel, or the management of Department processes, or the management of unit or division programs that further the mission of the Department.

4 3-53-4 **Authority to Conduct a Self-Assessment**

A. PMU Personnel

1. By the authority of the Chief of Police, PMU personnel shall:
 - a. Have full and unrestricted access to all Department functions, data, records (manual or electronic), physical property, and personnel who may be relevant to the self-assessment unless specifically limited in writing by the Chief of Police;
 - b. Be responsible for ensuring independent and objective review of procedures and practices to proactively identify risk for the Department; and
 - c. Report observations or recommendations that have been identified during a self-assessment.
2. PMU personnel shall maintain independence and objectivity and shall not:
 - a. Have direct responsibility or any kind of authority over the activities or operations that are subject to review; or
 - b. Develop or install procedures, prepare records, or engage in activities that would normally be subject to review.
 - i. Implementation Unit personnel may consult with PMU personnel when new systems or procedures are designed to ensure they adequately address internal controls.

B. PMU Auditor

1. A PMU Auditor who encounters internal or external efforts to interfere with or limit the scope of audit work while conducting a self-assessment shall immediately notify the PMU Manager.
 - a. The PMU Manager shall attempt to resolve the issues.



ALBUQUERQUE POLICE DEPARTMENT
ADMINISTRATIVE ORDERS

SOP 3-53

Effective: 10/03/2023 Review: 10/03/2024 Replaces: 12/29/2022

- i. If the PMU Manager cannot resolve the issues, they shall evaluate the severity of the threat, and disclose the interference in writing to the Compliance and Oversight Division (COD) Deputy Director.
 - b. The COD Deputy Director shall attempt to mediate any interference in the work performed by PMU and notify executive leadership if unable to remedy.
2. All PMU personnel shall maintain the confidentiality of all documentation and information that is given to them during a self-assessment in accordance with Department Standard Operating Procedures (SOP).

6 3-53-5 Initiating a Self-Assessment

A. The PMU Manager shall have the authority to initiate and schedule self-assessments.

N/A B. Executive command staff, including the Chief of Police, may initiate a self-assessment of any area within the Department:

- N/A** 1. Requests to initiate a self-assessment may come from other sources, including, but not limited to:
- a. As required by an SOP; and
 - b. As required by state laws and regulations or other external sources who have authority to oversee or direct the operations of the Department.

C. The PMU Manager shall submit to the COD Deputy Director an annual list of self-assessments that are planned for the following year for review and approval.

1. The list of planned self-assessments is subject to change based on the needs and priorities of the Department throughout the year.

D. The PMU Manager shall identify a Project Lead, as a main point of contact for data requests, for each self-assessment and shall notify the Project Lead in advance regarding the duration of the self-assessment.

7 3-53-6 Data Collection and Responses for Self-Assessments

N/A A. The types of data that are collected for self-assessments, include, but are not limited to:

1. Physical data obtained through observation and inquiry;
2. Testimonial data based on interviews and statements from involved Department personnel;
3. Documentary data that consists of legislation, ledgers, reports, handbooks, policies, minutes, memoranda, contracts, extracts from accounting records, formal



ALBUQUERQUE POLICE DEPARTMENT
ADMINISTRATIVE ORDERS

SOP 3-53

Effective: 10/03/2023 Review: 10/03/2024 Replaces: 12/29/2022

charts, and specifications of process maps, systems design, or operational structure; and

4. Analytical data collected by a PMU Auditor.

B. Department personnel shall have fifteen (15) calendar days to respond to any data request from PMU or Implementation Unit (IU) personnel.

C. Department personnel shall fully cooperate with PMU personnel that conduct internal self-assessments.

D. The Project Lead shall provide clarification on any data or documents submitted to PMU personnel for the self-assessment.

5 E. The Project Lead and all Department personnel who are involved in the self-assessment shall:

1. Cooperate with PMU personnel who are conducting the self-assessment;

2. Collect and submit data and/or records (hardcopy or electronic) as requested by PMU or IU personnel; and

3. Respond to self-assessment findings that require a response no later than fifteen (15) calendar days.

6 3-53-7 Reporting on Self-Assessment Findings

A. The COD Deputy Director shall provide the results of a self-assessment to executive command staff.

1. PMU personnel may detail the results from the self-assessment through a report, compliance scorecards, or an Interoffice Memorandum.

2. When PMU personnel provide the results of the self-assessment through a self-assessment report, they may include recommendations for corrective action as needed.

a. If corrective action is needed, PMU personnel shall provide the draft self-assessment report to the Project Lead to develop a corrective action plan to address non-compliant findings.

b. The Project Lead shall provide a formal managerial response, including target dates for implementation in response to the corrective action.

i. The Project Lead shall submit the managerial response to the PMU Manager within fifteen (15) calendar days.

c. The PMU Manager may request from the Project Lead clarification or more details regarding the corrective action the Project Lead has outlined in the draft managerial response.



ALBUQUERQUE POLICE DEPARTMENT
ADMINISTRATIVE ORDERS

SOP 3-53

Effective: 10/03/2023 Review: 10/03/2024 Replaces: 12/29/2022

- d. The Project Lead shall document the managerial response using a memorandum.
 - e. Prior to finalizing a draft self-assessment report that requires a managerial response, PMU personnel shall forward the draft report to the Project Lead for review.
- D. The PMU Manager shall finalize and forward the self-assessment report to the Project Lead, the Implementation Unit Manager, and the COD Deputy Director.
- E. The COD Deputy Director shall review the report and distribute it to executive command staff.
- F. Implementation Unit personnel shall track all corrective action plans, including the target start and finish dates, within the Department's project management tool.
- G. Duty to Report
- 1. During a self-assessment, when a PMU Auditor identifies a potential policy violation and/or criminal misconduct by a Department employee, they shall notify the PMU Manager.
 - 2. The PMU Manager shall notify the chain of command as outlined in SOP Complaints Involving Department Personnel (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties).

N/A