



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#### Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):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D. Rescinded Special Order(s)

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.

#### N/A 3-53-3 Definitions

A. Auditor

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

B. Project Lead

A Department employee assigned as the leader of a specific project and the main point of contact for a self-assessment. The Project Lead identifies team members to assist in the project or self-assessment; however, they are primarily responsible for the project(s) and self-assessment(s).



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Effective: 12/29/2022 Review: 06/29/2023 Replaces: N/A

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 authorized 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 recommendations or observations that have been identified during a self-assessment.
2. In order to maintain independence and objectivity, PMU personnel shall not:
  - a. Have direct responsibility or any 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.
    - 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 not remedied.



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2. A PMU Auditor 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).

C. PMU Manager

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

**N/A** D. Sworn Personnel Supervisors

Sworn personnel supervisors shall conduct monthly line inspections as outlined in SOP Line Inspection Process (refer to SOP Line Inspection Process for sanction classifications and additional duties).

**6** 3-53-5 **Initiating a Self-Assessment**

**N/A** A. 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. Other external requirements, such as state rules and regulations.

B. 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.

C. The PMU Manager shall identify a Project Lead for each self-assessment and shall notify the Project Lead in advance regarding the duration of the self-assessment.

D. 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 Implementation Unit personnel; and
- 3. Respond to self-assessment findings that require a response no later than fifteen (15) calendar days.

**N/A** E. Department personnel who fail to cooperate with PMU personnel may be subject to discipline pursuant to Department SOPs, including, but not limited to SOP Personnel



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SOP 3-53

Effective: 12/29/2022 Review: 06/29/2023 Replaces: N/A

Code of Conduct, and SOP Complaints Involving Department Personnel (refer to SOP Personnel Code of Conduct and SOP Complaints Involving Department personnel for sanction classifications and additional duties).

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

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

- A. PMU personnel 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.



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- 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 self-assessment report.
  - d. The Project Lead may document the managerial response within the draft self-assessment report.
  - 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 immediately notify the PMU Manager in writing.
  2. The PMU Manager shall notify the chain of command in writing within twenty-four (24) hours of the potential policy violation and/or criminal misconduct, including any supporting evidence.
  3. The chain of command shall review the potential policy violation and/or criminal misconduct and submit an Internal Affairs Request (IAR) as outlined in SOP Complaints Involving Department Personnel (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties).

N/A