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Office of the Independent Monitor
of the Los Angeles Police Department

APPENDIX E: **Review of Progress on Audit-Related Recommendations Proposed by the Monitor For Quarters Ending March 31, 2002 & June 30, 2002**

Overview of Monitor's Recommendations	*Progress to September 30, 2002*	*Implemented?*
1. Audit Resources in Audit Division *(Q/E March 31, 2002)*		
a) Audit Division should hire additional personnel to fill its outstanding staffing needs; most of these hires should be filled with personnel with auditing, accounting and statistical experience.	Some new hires made with non-police experience, not yet to full complement of 48 personnel; actual deployment was 31 on Sept. 30, 2002.	✗
b) Computer equipment should be obtained for all persons involved in conducting audit fieldwork and analysis.	Computers obtained for some, not all.	✗
c) Multi-disciplinary teams should be used for each audit – comprising persons with police and non-police backgrounds.	This concept has been introduced into each audit conducted by Audit Division; will continue as hiring proceeds as per (a) above.	✓
d) Training should continue for all Audit Division personnel – in auditing and statistical methods.	In 2001-02, AD personnel received 4 days' auditing training offered by the Institute of Internal Auditors; OIG and DSD personnel attended also. Senior AD personnel also attending some advanced training.	✓
2. Sample Selection by Audit Division *(Q/E March 31, 2002)*		
a) Audit Division should take additional measures to reduce the risk that their future samples may be drawn from an incomplete population of reports.	Monitor has observed this is occurring– with the Audit Division's Search Warrants audit, and also in the planning stages for various other Audit Division audits.	✓
b) Where (a) will be difficult to achieve, the Montior recommends that Audit Division take proactive steps to improve the processes associated with the collection of such reports.	Monitor has observed this is occurring– with the Audit Division's Search Warrants audit, and also in the planning stages for various other Audit Division audits.	✓
c) Audit Division should use statistical methods to determine its sample sizes, and select a stratified random sample from each division.	Audit Division has adopted this for all audits since this recommendation was first made.	✓
d) Audit Division should select samples in a way to facilitate pattern assessment.	Audit Division is aware of this objective, and is implementing this where practical to do so.	✓

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Overview of Monitor's Recommendations	Progress to September 30, 2002	Implemented?
3. *Improving the Auditability of Certain Aspects of LAPD's Operations (Q/E March 31, 2002)*		
a) The LAPD should develop standardized definitions re: what is a reportable use of force.	To be addressed when Monitor reviews next UOF Audit.	**NYE**
b) The UOF face sheet should be improved to enable identification of all types of force used, including lesser types of force that do not result in injuries. Consideration should also be given to designing the form to identify how the force escalated.	To be addressed when Monitor reviews next UOF Audit.	**NYE**
c) The UOF facect sheet should be improved to enable identification of "miscellaneous uses of force".	To be addressed when Monitor reviews next UOF Audit.	**NYE**
d) The use of the hobble restraint should be reported on the UOF face sheet.	To be addressed when Monitor reviews next UOF Audit.	**NYE**
e) UOF Reports should identify the date of each UOF incident and the date when the UOF report was completed.	To be addressed when Monitor reviews next UOF Audit. The new form addressed this.	**NYE**
4. *Improving the Reliability of Future Audits Conducted by Audit Division (Q/E March 31, 2002)*		
a) Audit matrix questions should be carefully considered for each audit. The Monitor is willing to provide feedback on future audits before such audits commence.	Monitor has observed this is occurring– with the Audit Division's Search Warrants audit, and also in the planning stages for various other audits; the Monitor has been consulted on all audits planned since this recommendation was first made.	✔
b) Reference materials should be developed/assembled for use on future audits.	Monitor has observed this is occurring– with the Search Warrants audit, and also in the planning stages for all other audits commenced since this recommendation was first made.	✔
c) Audit team meetings should be held in the early stages of fieldwork on an audit, and periodically during the completion of the audit fieldwork, to identify any necessary refinements to the audit matrix and to resolve any issues requiring interpretation.	Monitor has observed this is occurring– with the Search Warrants audit, and also in all other audits conducted since this recommendation was first made.	✔

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Overview of Monitor's Recommendations	Progress to September 30, 2002	Implemented?
d) The Audit Division should consider using a spreadsheet or database to track and document the responses for each incident being audited.	Manual processes still being used; Audit Division is exploring other options currently.	✗
e) Audit working papers should match the audit report issued.	Not yet implemented; see Appendix C recommendations.	✗
5. *Improving the Effectiveness of the Audit Division in Its Dealings with the LAPD (Q/E March 31, 2002)*		
a) Consider reconstituting Audit Division so there is a dual reporting relationship directly to the Chief of Police and to an internal audit committee of the Board of Police Commissioners, rather than reporting through the LAPD's chain of command to the Chief of Police.	This is under consideration.	✗
b) Audit Division should communicate with the divisions regarding recommendations emanating from the AD's and Monitor's review.	To be checked when Monitor reviews 'subsequent audits'. AD sent correspondence to the divisions after each audit and requires that they respond in writing.	**NYE**
c) The Audit Division should check 'printed' signatures, and test a sample of signatures.	Not done in the recent Search Warrants & Supporting Affidavits Audit.	✗
6. *DSD Audit Resources (Q/E June 30, 2002)*		
a) Additional budget resources should be allocated to the DSD in order for them to fill the necessary auditor positions to meet their needs and provide sufficient resources to assist in clearing the backlog of audit work.	No additional resources obtained.	✗
b) Additional positions should include staff with both audit and statistical expertise.	No action taken yet.	✗
7. *Oversight of the DSD Audit Section (Q/E June 30, 2002)*		
a) Steps should be taken to improve the working relationship between the Audit Division and DSD Audit Section.	The relationship appears to have deteriorated.	✗

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APPENDIX E TO REPORT OF THE INDEPENDENT MONITOR
FOR THE QUARTER ENDING SEPTEMBER 30, 2002
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Overview of Monitor's Recommendations	*Progress to September 30, 2002*	*Implemented?*
b) Responsibility for all gang-related audits should be consolidated in the Audit Division	AD cannot take responsibility until DOJ, City, LAPD and Monitor agree to this and formal process followed for amendment of Consent Decree.	✗
c) Audit Division should call upon the specialized expertise of the DSD as required when performing DSD audits.	DSD's Audit Section continues to function independently.	✗
8. *Improving the Reliability of Future DSD Audits (Q/E June 30, 2002)*		
a) DSD should liaise with ITD and/or the SEU units to set up a process to ensure the population of reports being audited is complete.	To be addressed when Monitor reviews next DSD Audit.	**NYE**
b) The DSD should set up a process to ensure that all documents pertaining to each incident are obtained prior to commencement of the audit.	To be addressed when Monitor reviews next DSD Audit.	**NYE**
c) "Release from Custody" reports should be included in future DSD SEU ABC Audits.	To be addressed when Monitor reviews next DSD SEU ABC Audit.	**NYE**
d) DSD Audit Section should select a random sample of reports from a minimum period of 3 months, rather than reviewing all reports over a shorter period.	To be addressed when Monitor reviews next DSD Audit.	**NYE**
e) DSD Audit Section should follow-up with relevant SEU sections when anomalous issues are identified.	To be addressed when Monitor reviews 'subsequent audits'.	**NYE**
f) DSD Audit Division should consider using electronic tools such as spreadsheets, to document the results of future audits.	To be addressed when Monitor reviews next DSD Audit.	**NYE**