



# SAN ANTONIO POLICE DEPARTMENT GENERAL MANUAL



## *Procedure 329 – Proactive Reviews and Assessments*

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| Office with Primary Responsibility:        | COP   | Effective Date:      | February 19, 2014  |
| Office(s) with Secondary Responsibilities: | COB, CSB, SSB, PSC, PNC, SAS, TSC, FTC, IDC | Prior Revision Date: | September 23, 2013 |
| Forms Referenced in Procedure:             | None  | Number of Pages:     | 3                  |
|  |   | Related Procedures:  | None               |

### **.01 INTRODUCTION**

- A. This procedure establishes guidelines for conducting Proactive Reviews of the various organizational components throughout the Department.
- B. This procedure also establishes guidelines for Proactive Assessments of organizational components to ensure all administrative and operational activities, facilities, property, equipment, and personnel are in compliance with established standards.

### **.02 DISCUSSION**

- A. Proactive Reviews and Proactive Assessments allow for evaluating the quality of the Department's operations, ensuring that departmental goals are being pursued, identifying the needs for additional resources, and ensuring that control is maintained throughout the Department.
- B. The Command Staff will, on a yearly basis, identify which areas of the Department will be reviewed annually. This listing will be announced by November 30th of each year.
- C. The Chief of Police or his designee, when necessary (in special cases) will assign Proactive Reviews and Proactive Assessments to personnel who are best able to perform the given tasks.
- D. The Quality Assurance Unit will be tasked with conducting periodic Audits, Operational Assessments, Compliance Reviews, Risk Assessments, and Efficiency Reviews based upon appropriate requests and in conformance with General Manual Procedure 326, *Administrative Reporting Program*.

### **.03 TERMINOLOGY** *(For specific use within this procedure, see Glossary)*

Audit: The audit process is an essential mechanism for evaluating the quality of the Department's operations, ensuring that the department's goals are being pursued. It is a systematic and independent examination of data, statements, records, documentation, operations and performances of bureaus, divisions, sections, units, shifts, details and offices in order to ensure that control and integrity are maintained throughout the department.

Efficiency Review: means an examination, generally unscheduled, conducted regarding an organizational component's compliance with the General Manual, Standard Operating Procedures (SOP), goals and objectives, and budgetary accounts.

Compliance Review: means a follow-up examination to evaluate the progress an organizational component has made toward correcting the deficiencies found in an Efficiency Review.

Operational Assessment: means a comprehensive examination conducted on an organizational component of the Department to evaluate the quality of their overall performance, in meeting its goals and objectives.

Risk Assessment: means an unscheduled examination conducted regarding specific critical issues within an organizational component of the Department.

### **.04 PROACTIVE REVIEWS**



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- A. Proactive Reviews will be conducted by supervisory officers assigned to the Quality Assurance Unit or, in special cases, by personnel specifically assigned by the Chief of Police or his designee.
1. Supervisory officers and/or personnel conducting Proactive Reviews do so under the authority and responsibility granted by the Chief of Police.
  2. All Proactive Reviews will be conducted in accordance with the Quality Assurance Unit Standard Operating Procedures (SOP) and General Manual Procedure 326, *Administrative Reporting Program*.
- B. Efficiency Review
1. Efficiency Reviews to be conducted are identified by the Chief of Police, his designee, or the Quality Assurance Unit Director.
  2. Efficiency Reviews are conducted in the same manner as Operational Assessments, except that they are generally unscheduled and narrower in scope than an Operational Assessment.
  3. If an Efficiency Review reveals the need for a more comprehensive analysis, a Risk Assessment or Operational Assessment may be conducted at the direction of the Chief of Police or his designee.
  4. At the close of an Efficiency Review, reviewing personnel will complete an Efficiency Review Report within fifteen (15) working days. Copies of the report are routed to the following personnel:
    - a. The Office of the Chief;
    - b. The appropriate Bureau and Division Commanders; and
    - c. The Commander, Director, Manager, or Supervisor of the organizational component being reviewed.
- C. Compliance Reviews
1. Compliance Reviews are follow-up reviews to document the progress made toward implementation of any recommendations made at the close of an Operational Assessment or an Efficiency Review.
  2. Compliance Reviews will generally be required at intervals of thirty (30), ninety (90), and one hundred twenty (120) days.
  3. At the close of Compliance Reviews, reviewing personnel complete a Compliance Review Report within fifteen (15) working days. Copies of the report are routed to the following:
    - a. The Office of the Chief;
    - b. The appropriate Bureau and Division Commanders; and
    - c. The Commander, Director, Manager, or Supervisor of the organizational component being reviewed.

#### **.05 PROACTIVE ASSESSMENTS**

- A. Proactive Assessments will be conducted by supervisory officers assigned to the Quality Assurance Unit or, in special cases, by personnel specifically assigned by the Chief of Police or his designee.
1. Supervisory officers and/or personnel conducting Proactive Assessments do so under the authority and responsibility granted by the Chief of Police.



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2. All Proactive Assessments will be conducted in accordance with the Quality Assurance Unit Standard Operating Procedures (SOP).

#### B. Risk Assessments

1. Critical issues to be assessed are identified by the Chief of Police or his designee.
2. Most Risk Assessments are conducted in the same manner as Operational Assessments, except that they are unscheduled and no advance notice is given to the organizational components to be assessed.
3. Due to the sensitive nature of some Risk Assessments, the standard process can be altered at anytime, at the direction of the Chief of Police or his designee.
4. At the close of Risk Assessments, reviewing personnel complete a Risk Assessment Report within thirty (30) working days. The sealed report is routed to the Office of the Chief.

#### C. Operational Assessment

1. Organizational components are selected for Operational Assessment using the following criteria:
  - a. Organizational components which have not been reviewed within the past three years;
  - b. Requests from a Bureau/Division Commander or the Office of the Chief; or
  - c. Organizational components with problems achieving established performance standards.
2. Selected organizational components will receive advance notice of an Operational Assessment.
3. During Operational Assessments, if minor deficiencies are identified, the Unit Directors will be given an opportunity to correct the deficiencies prior to the close of the assessment.
4. Reviewing personnel will complete an Operational Assessment Report within thirty (30) working days. The report is routed to the following personnel and functions:
  - a. The Office of the Chief;
  - b. The appropriate Bureau and Division Commanders;
  - c. Other Commanders, as appropriate.