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# Understanding the Benefits of Compliance Checks and Audits

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# Meeting Logistics

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- Meeting is recorded
- Muting
- Chat questions
- Polls
- Resources

# Introductions

Scot Haug

Chief of Police (retired)

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Dan Zehnder

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# Session Objectives

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- **Understanding the difference between a "compliance" program and an "audit" program**
- **Compliance Program**
  - Why is it important?
  - Key components
  - Who should do the checking?
  - What should they be looking for?
  - What should be done with what is found?
- **Audits**
  - Why is it important?
  - Who should do them?
  - What are they looking for?
  - What should be done with what is found?
- **Positive outcomes of an effective compliance and auditing program**

# What's in a Name? "Compliance" vs. "Audit"

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- No universally accepted process definition for law enforcement and BWCs
- It's what you do, not what you call it, that's important
- Define whatever terminology you use
- However, there are two separate processes

# What's in a Name? "Compliance" vs. "Audit"

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- **Compliance**
  - May be referred to as a monitoring, reviews, compliance checks, etc.
  - Completed by a supervisor, agency level or both
  - Ensuring policies and procedures are being followed
  - Are we doing what we said we would do?

# Poll Question

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Does your agency conduct “compliance” checks?

Yes

No

# What's in a Name? "Compliance" vs. "Audit"

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- **Audit**
  - Looking at the "compliance" program processes and documentation
  - Verification that the agency goals and objectives are met
  - Is our program working like we think it is?
  - Written documentation is important!

# Poll Question

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Does your agency conduct “audits?

Yes

No

# Poll Question

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Are you confident and satisfied with your current compliance and auditing processes?

Yes

No

# “Compliance”

REGULATIONS
STANDARDS
POLICIES
COMPLIANCE
RULES
LAWS
REQUIREMENTS

# Why a “Compliance” Program is Important

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# Why a Compliance Program is Important

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- BWCs document everything your officers do or fail to do. There's now a visual record.
- Ensures evidence is being captured
- Protects your officers
- Protects the agency
- Validates your commitment to your community and agency values
- Enhances transparency and accountability
- Helps manage performance
- Validates and supports training

# Why a "Compliance" Program is Important

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# Your organizational culture

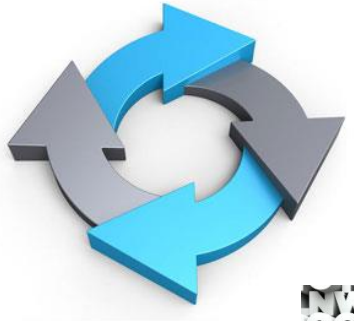
# Program Scope
# What are you attempting to learn?

- Is your agency operating as desired?
- Are you following all polices but especially your BWC policy?
- Are organizational culture and core values reflected in what you see?
- Have all officers been properly trained or are their training gaps?
- Are you complying with the law?
- Can you identify risks to the agency?

# Program Components

- Policy: It's the foundation

- Process:
  - Who is looking?
  - At what level?
  - What is being looked at?



- Process documentation

- Feedback and follow-up action

# Poll Question

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At what level(s) does your “compliance” program operate?

Supervisory level only

Agency level only

Both levels

None

# Levels of “Compliance” Review

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**Consider two levels:**

- Supervisory

- Agency

# Supervisory Review

- Policy compliance
- General performance
- Behavior
- Knowledge
- Tactics
- Application of law
- Officer safety
- Communications skills
- And the list goes on…. Essentially, what supervisors always look at

# Supervisory Review

- “X” number of videos
- “X” amount of length
- “X” number of times a month
- Looking for “X” (directed from the agency)
- Documented and forwarded

***This level of review should be considered a first-line supervisory tool and not regarded as an agency level compliance process***

***And it doesn’t guarantee policy compliance!***

# Agency Review Process

- BWC activation and deactivation policy compliance
- All other policy compliance
- Video content for review and analysis
- Organizational culture
- Operational effectiveness
- Risk avoidance, mitigation, or elimination

# Agency Review

- Designated agency level person or section
- Looks at “compliance” from the viewpoint of the agency; risk management
- Uniform compliance across the agency
- Size of agency is immaterial
- Expectations are that it is being done, so have a process
- Directing supervisory review criteria

# Agency Review

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- Integrating agency sections such as detectives and professional standards in the process. Most importantly… the chain of command
- Managing the reporting and feedback mechanisms
- Documentation of process

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- Don’t confuse the process of compliance with a process for discipline
- Some of what is found may lead to discipline based on severity
- The compliance process is about making the agency better
- However… policy, without policy enforcement, isn’t really a policy
- It’s a balancing act for the agency

# What is an Audit?

- Examination or inspection of documentation and processes
- Verification
- Report

# Why is it important?

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## Avoid these…

## Validate these…

# Why is it important?

- Ensures effective operation of the “compliance” process
- Validates compliance with policy, procedures, and laws
- Instills confidence in functions
- Aids in maintaining and enhancing community trust
- Due diligence

# Who does them?

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## Internal

**Acceptable**

## External

**Best Practice**

Recommend audits be done once a year at a minimum

# Poll Question

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Are your “audits” done internally or externally?

Internally

Externally

Both

# What Are They Looking For?

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- Depends on the “compliance” program
- Must look at all processes, parties, and documents
- SWOT
- Recommendations
- Are we doing what we say we are!

# What To Do With What Is Found

- Review the findings
- Determine how to correct deficiencies
- Determine how to maintain or enhance strengths
- Act
- Document
- Integrate into existing risk management processes
- Provide feedback to the organization
- Provide feedback to the community

# Poll Question

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How often are your “audits” done?

More than annually

Yearly

Longer than yearly

# Positive Outcomes of an Effective "Compliance" and "Audit" Program

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- Finding the "landmine" before it explodes
- Finding the "Hidden Gems"
  - What gets recognized gets repeated.
- Validation of agency policy, operations, and organizational culture
- Validation for the officers, the agency, and the community

# Questions?

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# Resources

- BJA Body-Worn Camera Toolkit (https://www.bja.gov/bwc)
- Getting started guide (https://www.bja.gov/bwc/topics-gettingstarted.html)
- TTA website (www.bwctta.com)
- BWC subject matter experts (https://bwctta.com/Ask%20a%20BWC%20Expert)
- TTA email address (BWCTTA@cna.org)

# Contact Information

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