

Department of the Interior Departmental Manual

Effective Date: 10/4/00

Series: Law Enforcement and Security

Part 446: Law Enforcement

Chapter 3: Policy Compliance Evaluation

Originating Office: Office of Managing Risk and Public Safety

446 DM 3

3.1 **Purpose.** This chapter prescribes the policy and procedures for staff inspection and evaluation of Departmental law enforcement programs. The guidelines set forth in this chapter will be used to maintain a continuing review and evaluation of all law enforcement programs. The program is designed to promote the effectiveness and efficiency of all Departmental law enforcement elements.

3.2 **Policy.** The Department is authorized to establish a standardized Policy Compliance Evaluation (PCE) program and maintain a continuing review and evaluation of existing law enforcement programs and operations.

3.3 **Objectives.** Evaluation is a prime component of the overall system of management control. The effectiveness of this program depends upon the objectivity and thoroughness of the evaluation and resulting recommendations. This program is effective only when prompt and decisive corrective actions are taken. The objectives of the program are to:

- A. Determine compliance with Departmental directives and policies.
- B. Provide reasonable assurance that assets are safeguarded against waste, loss, unauthorized use and misappropriation.
- C. Examine an activity in detail to determine its effectiveness and efficiency.
- D. Promote more efficient use of personnel and equipment.
- E. Ascertain causative factors for deficiencies and make realistic recommendations substantiated by facts.

3.4 **Scope.** The scope of the evaluation will be mission oriented to include a review of the entire system of management control of operations, administration, and resources. The evaluation will include examination of the organization, staffing, policies, programs, operations, procedures, facilities, and equipment. Emphasis will be placed on the economical operation and efficiency of those elements.

3.5 Responsibilities. The Office of Managing Risk and Public Safety, Office of the Assistant Secretary - Policy, Management and Budget (AS/PMB), is responsible for the processes of planning, organizing, developing, coordinating, and evaluating law enforcement programs within the Department. Bureau/office Law Enforcement Administrators assume the same responsibilities within their organization.

A. The Director, Office of Managing Risk and Public Safety (MRPS) will direct and exercise supervision over the policy compliance evaluation function and will:

- (1) Provide technical assistance to bureau/office law enforcement programs.
- (2) Develop procedures and guidelines for proper implementation of Law Enforcement policy (446 DM).
- (3) Make periodic inspections and evaluations of bureau/office law enforcement programs.
 - (a) Confirm the date of the scheduled evaluation with appropriate bureau/office personnel;
 - (b) Insure that pertinent areas are reviewed and that all evaluations have a common base;
 - (c) Conduct an exit interview on findings and recommendations with the appropriate official;
 - (d) Submit a written report to the AS/PMB and bureau/office heads for required action; and
 - (e) Perform a follow-up evaluation, if necessary, to ascertain if recommendations are being implemented.

B. Bureau/offices will establish an inspection and evaluation capability. Bureau/office heads are responsible for establishing and maintaining the system of management control within their bureau/office. A written report of each law enforcement evaluation will be submitted to the bureau/office Law Enforcement Administrator, with a copy to the Director, MRPS.

C. In order to comply with the requirements of 340 DM, Office of Management and Budget Circular A-123, Internal Control Systems, and the Federal Managers' Financial Integrity Act, Departmental Management Control Review Guidelines for Law Enforcement are to be utilized in complying with this chapter. They may be supplemented to satisfy any unique bureau or office programs.

LAW ENFORCEMENT PROGRAM EVALUATION GUIDELINE

This guideline was developed to assist the Policy Compliance Evaluation team in forming a common base of understanding and to assist in further reviews. It is not all inclusive and should be used only as a guide.

HEADQUARTERS OPERATIONS

1. What is the total number of commissioned employees on the law enforcement staff?

Authorized: Permanent _____
 Seasonal _____
Assigned: Permanent _____
 Seasonal _____

2. List the various job classifications utilized by your bureau/office which are assigned law enforcement duties and responsibilities. Please provide a copy of a sample position description for each separate classification.

3. How many administrative support employees are on the law enforcement staff?
Examples: clerks, secretaries, dispatchers, etc.

4. By functional chart, show the relationship, with grade levels, between the Law Enforcement Administrator, any intermediate supervisors, and the bureau Director or Commissioner.

5. Please provide a copy of the organizational chart or functional breakdown of the staff, and indicate the number of law enforcement employees, with grade levels, assigned to each organizational unit.

6. Has a law enforcement inspection or management control evaluation of the law enforcement program been conducted?

Yes _____

No _____

If yes, please provide the date: _____

7. Does the Law Enforcement Administrator conduct internal management control reviews specific to law enforcement and drug interdiction/eradication activities?

Yes _____

No _____

8. Has the Law Enforcement Administrator implemented all chapters of the Law Enforcement Manual (446 DM)?

Yes _____

No _____

9. Have specific directives been published for subjects specific to the enforcement operation that are not covered in the Law Enforcement Manual (446 DM)?

Yes _____

No _____

If yes, please provide a copy of any directives and any supplemental enforcement manuals and/or guidelines.

If yes, are the directives, manuals and/or guidelines current and reviewed periodically?

Yes _____

No _____

If yes, how often? _____

10. Is each field inspection trip covered by a written report?

Yes _____

No _____

11. Do field inspection reports contain findings and recommendations regarding implementation of the Law Enforcement Manual (446 DM 3.5B), and other related directives?

Yes _____

No _____

12. Are these reports forwarded to the Director, Office of Managing Risk and Public Safety, in accordance with the Law Enforcement Manual (446 DM 3.5B)?

Yes _____

No _____

13. Has the Law Enforcement Administrator disseminated policy statements regarding the Freedom of Information and Privacy Acts?

Yes _____

No _____

14. Please provide a comparison of the law enforcement budget for last year, this year, and projections for next year.

15. Does the Law Enforcement Administrator monitor and/or consolidate the field budget request on law enforcement programs?

Yes _____

No _____

16. Is the law enforcement budget adequate for your program needs?
Yes _____
No _____ If no, please explain what deficiencies exist.

17. Has the Law Enforcement Administrator implemented:

a. Law Enforcement Case Management tracking system?

Yes _____

No _____

b. Incident reporting system?

Yes _____

No _____

c. Emergency Reporting System?

Yes _____

No _____

d. National Incident-Based Reporting System? (NIBERS)

Yes _____

No _____

e. Quarterly Drug Statistics Report?

Yes _____

No _____

18. Has your unit implemented a Victim/Witness program?

Yes _____

No _____

Who is the coordinator? _____

19. Are field personnel records available for inspection for:

a. appropriate level of background investigation

Yes _____

No _____

b. commissioning

Yes _____

No _____

c. training

Yes _____

No _____

d. firearms certification

Yes _____

No _____

e. Medical and physical training

Yes _____

No _____

20. Is there an after-hours notification system and command structure in place?

Yes _____

No _____

21. Are interagency law enforcement agreements and memoranda of understanding written, approved and current/up-to-date?

Yes _____

No _____

Please list all existing agreements and memoranda of agreement/understanding.

22. Do you have a physical fitness program?

Yes _____

No _____

a. Provide a copy of the plan.

23. Do you have an Emergency Response or Pursuit Driving policy?

Yes _____

No _____

a. Provide a copy of the policy.

24. Does the unit have a Use of Force policy?

Yes _____

No _____

a. Provide a copy of the policy.

25. Does your unit conduct undercover operations?

Yes _____

No _____

a. Provide a copy of the policy or guidelines used to guide your undercover operations.

26. Does your unit conduct polygraph or voice stress analyzer examinations?

Yes _____

No _____

a. Provide a copy of the approved policy statement governing the use of lie detection equipment.

27. Does your unit have a workplace violence policy?

Yes _____

No _____

a. Provide a copy of the policy.

28. Have you determined the appropriate security level for your facilities?
 Yes _____
 No _____
29. Have you developed occupant emergency plans for each of your facilities?
 Yes _____
 No _____
 a. Provide a copy of the plans.
30. Have emergency plans been developed for disasters such as: fires, floods, etc.
 Yes _____
 No _____
 a. Provide a copy of the plan.
31. For each of the past 3 years, provide:
 a. Number of law enforcement officers:
 b. Number of acres of land assigned:
 c. Population and visitation figures:
 d. Total number of incidents reported:
 e. Total number of offenses reported:
 f. Total number of non-law enforcement services rendered.
32. How many law enforcement contracts, cooperative agreements and grants are administered? _____

LAW ENFORCEMENT PROGRAM EVALUATION GUIDELINE

This guideline was developed to assist the Policy Compliance Evaluation team in forming a common base of understanding and to assist in further reviews. It is not all inclusive and should be used only as a guide.

OPERATIONAL FIELD UNIT

A. ADMINISTRATION

1. How is the law enforcement function organized?
2. What type of jurisdictions exist for the facility or area?
3. What was the date of the last law enforcement visit to this facility from a higher echelon?

4. From what level did the law enforcement visitor(s) come? (i.e., region, area, bureau, etc.)

5. Is law enforcement a full-time or part-time duty? _____
6. How many employees are assigned to the administrative support function of the law enforcement activity? _____
7. Has your unit implemented the guidelines and procedures contained in the Law Enforcement Manual Part 446 DM?
Yes _____
No _____
8. Has the appropriate level background investigation been conducted on all law enforcement personnel?
Yes _____
No _____
9. Are all new law enforcement applicants investigated prior to coming on board as Federal employees?
Yes _____
No _____
10. Have instructions been distributed concerning the Freedom of Information and Privacy Acts?
Yes _____
No _____
11. Are you familiar with your bureau and unit policies, plans and procedures?
Yes _____
No _____

B. ORGANIZATION

1. Please provide a copy of your organizational chart.
2. Describe the chain of command (include grade levels).
3. To whom do you report? _____

C. PERSONNEL

1. How many law enforcement positions are authorized in your unit? _____
2. How many law enforcement personnel are presently assigned? _____

3. How many vacancies presently exist? _____

4. Does your unit utilize seasonal or temporary employees?

Yes _____

No _____

If yes, how many seasonal employees are/will be utilized?

Summer _____

Winter _____

5. Is the "Code of Conduct" as contained in the Law Enforcement Manual (446 DM 2, Appendix 1) a matter of record and policy at this location?

Yes _____

No _____

6. Are you familiar with the Code?

Yes _____

No _____

7. If your stay is long enough for you to be in contact with law enforcement employees at every level and a sufficient number at the operating level, then summarize the esprit de corps of the unit. This evaluation can only be made if the evaluator has had sufficient exposure.

8. Does your unit have physical fitness standards?

Yes _____

No _____

If yes, please provide a copy of the standards.

a. Do you have an approved physical fitness plan?

Yes _____

No _____

D. TRAINING

1. Have all commissioned law enforcement employees successfully completed the police or criminal investigator schools at Federal Law Enforcement Training Center (FLETC)?

Yes _____

No _____

If no, did those employees who have not attended FLETC receive a waiver from the Director, Office of Managing Risk and Public Safety, as required by the Law Enforcement Manual (446 DM 2)?

Yes _____

No _____

a. If no, how many have not? _____

- b. What other training has been completed to justify the commission?
2. Have all commissioned law enforcement personnel completed an annual 40-hour in-service training each year?
Yes ___
No ___
a. If no, how many commissioned personnel have not?

b. Please provide all records for the past 2 years.
3. Is there a schedule for firearms proficiency testing and proper record keeping?
Yes ___
No ___
4. Have all commissioned employees qualified with all assigned and authorized weapons in accordance with the requirements of the Law Enforcement Manual (446 DM 10)?
Yes ___
No ___
a. If no, how many commissioned personnel have not?

b. If yes, please provide all records for the past 2 years.
5. Please provide a copy of your guidelines/procedures concerning commissioned personnel who failed to qualify.
6. Has your unit provided training concerning the carrying of firearms on aircraft as required by the Law Enforcement Manual (446 DM 11), and FAA regulations?
Yes _____
No _____
7. Is there a training program for law enforcement supervisors?
Yes ___
No ___
What is the training?
8. Have you received emergency response and pursuit driver training in the type of vehicle you normally operate?
Yes ___
No ___

E. RECORDS

1. Is it a requirement that all incidents be recorded, regardless of type and magnitude?
Yes ___
No ___

2. Is there a record to reflect the time the unit(s) was dispatched to an incident, time of arrival, and time the unit(s) cleared the incident and other action taken in relation to the time that a notice of incident is received?

Yes ____

No ____

3. When it is necessary for a male law enforcement officer to detain and transport an arrested female person, is there a requirement for a recorded entry of this action?

Yes ____

No ____

4. Is there a record to reflect the tag number and description of the vehicles stopped by law enforcement officers?

Yes ____

No ____

5. Is a report prepared and forwarded on all incidents?

Yes ____

No ____

If no, please provide a copy of written reporting instructions and/or explain how decisions are made as to when to report the following: criminal incidents, dispatched incidents, search and rescue incidents, assist to other agencies, assist to citizen, etc.

6. Is an incident log maintained by dispatchers?

Yes ____

No ____

7. Are incidents reported on preprinted forms?

Yes ____

No ____

8. Are all incidents including the National Incident Based Reporting System (NIBRS/UCR Items) computerized?

Yes ____

No ____

F. OPERATIONS

1. How many tours of duty are utilized during a 24-hour period?

2. Describe the size of the total area for patrol, the average length of a patrol zone, and any unusual problems.

3. What is your estimate of the efficiency of law enforcement service(s) rendered to the public (lapsed time between receipt of notification and arrival on the scene)?

4. Comment on the appearance of all on-duty law enforcement personnel, their uniforms, equipment, personal appearance, including cleanliness and neatness. Comment on the general attitude of law enforcement employees in relation to their public contact.
5. How are dispatch services provided?
6. Are present communication systems adequate?
Yes ____
No ____
7. Do you have a dedicated radio frequency?
Yes ____
No ____
8. Comment on your observation of radio discipline.
9. Are standard radio codes utilized?
Yes ____
No ____
10. Is there an adequate statistical reporting system for all activities which will permit easy compilation and analysis for patrol planning?
Yes ____
No ____
11. Are familiar with emergency plans to deal with situations such as fires, floods, storms, explosions, etc.?
Yes ____
No ____
If yes, please explain the plans.
12. Does the emergency plan(s) include provision for calling on State and local authorities for emergency response and assistance in case of an incident beyond the capability of the local unit?
Yes ____
No ____
13. Have guidelines consistent with the Law Enforcement Manual (446 DM 5), the Victim and Witness Protection Act and the victims' provisions contained in the Crime Control Act of 1990 been issued?
Yes ____
No ____
14. Do these guidelines cover:
 - a. Training for all current and new personnel concerning their responsibilities in carrying out the provisions of the Victim and Witness Protection Act and the victims' provisions of the

Crime Control Act of 1990?

Yes ___

No ___

b. Written instructions to ensure that mandated victim and witness services are provided?

Yes ___

No ___

c. Written instructions concerning the payment of costs for physical exams in sexual assault cases?

Yes ___

No ___

d. Written instructions to ensure child protection in child abuse cases?

Yes ___

No ___

15. Do you have informational brochures/booklets to assist victim/witnesses?

Yes ___

No ___

16. Has the unit designated by name and title the person(s) who will be responsible for identifying victims of crime and performing victim/witness services? (42 U.S.C. 10607)

Yes ___

No ___

17. Does the unit comply with the Law Enforcement Manual (446 DM 7) concerning Evidence Handling and Storage?

Yes ___

No ___

If no, how many individuals have access to collected evidence?

Please provide an explanation of how evidence is handled and secured and/or provide a copy of any and all written guidelines concerning the handling, storage and disposal of contraband and evidence.

18. Does the unit comply with the Law Enforcement Manual (446 DM 8) concerning the interception of verbal communications?

Yes ___

No ___

If no, please provide an explanation of the procedures taken to gain approval prior to using interception devices and the reporting of information gained.

19. Does the unit comply with the Law Enforcement Manual (446 DM 9) concerning Case

Management Standards?

Yes _____

No _____

If no, please provide an explanation of what guidelines exist as to the management and tracking of criminal cases.

G. Equipment

1. Are uniforms worn by law enforcement personnel standardized?

Yes _____

No _____

2. Does your unit have a written policy concerning the Use of Force?

Yes _____

No _____

If yes, are you familiar with that policy?.

3. Are personnel performing law enforcement duties armed and properly equipped?

Yes _____

No _____

4. Are they equipped with:

a. handcuffs _____

b. baton _____

c. body vests _____

d. chemical weapons _____

e. helmets _____

f. portable radio _____

g. other _____

5. How many motor vehicles are assigned to the operational function?

a. sedans _____

b. sports utility 4x4 _____

c. pickup trucks 4x4 _____

d. motorcycles _____

e. scooters _____

f. Atv' s/ snowmobiles _____

g. other _____

6. Are vehicles used for routine patrol readily identified as law enforcement vehicles?

Yes _____

No _____

7. Are all law enforcement units equipped with a siren, communications, emergency lights, and first aid kits?

Yes ___

No ___

8. Do the marked and unmarked emergency vehicles comply with the minimum standards of the State they operate in?

Yes ___

No ___

If no, please state the specifics.

9. Inspect several vehicles by random sampling. Check the condition of the vehicle. Check all service records.

10. Are there proper maintenance schedules and records?

Yes ___

No ___

11. Identify the number and types of weapons available for law enforcement personnel.

12. What caliber firearms are assigned? i.e. .22, ___ .38, ___ .380, ___ .357, ___ .40, ___ .45, ___ 9mm, ___ 10mm, ___ 12 gauge, ___ .223, ___ 308, ___ other ___

13. Comment on the condition of the firearms.

14. What is the policy regarding the use and display of weapons while on duty?

15. Do written guidelines exist concerning the security and handling of firearms?

Yes ___

No ___

16. What written guidelines exist concerning the disposal of confiscated weapons?

17. Have you been issued child safety locks for all issued firearms?

Yes ___

No ___

18. What written guidelines exist concerning reporting the loss or theft of a weapon or other accountable law enforcement property?

19. What written guidelines exist concerning the written approval of the use of personally owned weapons and off-duty weapons?

Please provide a copy of any and all guidelines and/or directives concerning firearms.

H. INTRA/INTER-AGENCY RELATIONSHIPS

1. Do you have good relations with with nearby law enforcement officers and agencies?

Yes___

No___

2. Are you deputized?

Yes___

No___

If yes, by agency, county, State, etc.?

3. Are there MOU=s or MOA=s written, approved and signed with other agencies?

All inspections should be concluded with an exit interview with appropriate personnel of the unit inspected.

If a response needs further clarification and/or additional relevant information is available, please explain in your own words.

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