

# **AELE Criminal Justice Compliance and Management Auditing Workshop**

Las Vegas, Nevada  
October 30 - November 1, 2006

## **Agenda**

### **Monday, October 30<sup>th</sup>**

- 8:15 AM Coffee and Registration - Convention Center
- 9:00 AM Introduction and Announcements
- 9:05 AM (Wayne W. Schmidt, AELE Staff Representative)
- AELE programs and services, AELE resources, Use of AELE web site and research, The compliance officer/manager concept - an introduction to a new idea, private sector examples, Why have such a program
- 9:30 AM (Judge Emory A. Plitt, Jr., Course Director)
- Current legal issues, The role and authority of the Department of Justice, Critical areas of concern, Pattern and practice cases, Other legal authority, Workshop goals and objectives
- 10:15 AM - 12:15 PM (Professor Samuel Walker, PhD)
- The new world of law enforcement accountability, Limitations of traditional law enforcement reforms, Lessons from the past, The need for new direction, What is law enforcement accountability, The challenge of changing law enforcement organizations, Critical areas (use of force, citizen complaint systems, early intervention models), Auditing and compliance models, Proactive self-assessment, Improving on past reforms, The challenge for the future
- 12:15 PM Lunch - Complimentary for All Attendants
- 1:30 PM - 4:45 PM (Judge Emory A. Plitt, Jr., Course Director)
- Litigation considerations, Role of Monitors/special masters/auditors, National standards and their impact on the profession and litigation, Expert witnesses and consultants, Paper chases, Role of accreditation, Outmoded paradigms
  - Policies, rules and procedures - the weakest link, The SIX “C’s” of policy, Determining compliance, supervisory employees - the second weakest link, Policy drift, training issues, Establishing a system, How compliance auditing can help

- Critical personnel issues - The need for oversight and compliance, Things you never thought of, Notice and posting requirements, Records and the negative inference problem, What are you supposed to have been doing all along - Do you know, Self-analysis requirements, Examples (FLSA, FMLA, etc.)

4:45 PM Conclude for the Day

## **Tuesday, October 31, 2006**

9:00 AM - 12:15 PM (*Elliot Spector, Defense Attorney, Trainer and Consultant*)

- High risk operations - How will a compliance manager help you, Pursuits and responses, Profiling, Failure to protect, Specialized operations, Use of force, Canines, Hostage/barricade, Crowd control, Persons in custody, Mental subjects,
- Internal affairs and discipline - Does your system work, Why worry about discipline - Another weak link, Complaint processing - Thoroughness and timeliness, Investigation protocols and quality assurance, Central index/file, Early warning systems, Disposition and follow-up
- Internal communications, After incident review, Involvement of training in review, Keeping track of and analyzing litigation, Reducing the number of “cooks” - The compliance manager, Actual and implied notice - What did we know and when did we know or should have known it, Who can we turn to - the compliance manager

12:15 AM Lunch - Complimentary for All Attendants

1:30 PM (*Charles Gruber, Police Chief, Past President IACP, DOJ Monitor, Law Enforcement Consultant, AELE Board Member*)

- The compliance experience, Defining roles, Scope of authority, Goals and objectives, Access and cooperation issues, reports and recommendations, follow-up

2:40 PM (*Captain Ronald Sanchez, Los Angeles Police Department Compliance Manager, Compliance Trainer and Consultant*)

- How the compliance process works, Access to files and records, Data collection and sampling techniques, Troublesome areas and employees, Reports and recommendations, Follow-up
- Risk-based auditing fundamentals, The auditor role in assessing risk, Risk activities, Predictable losses - Criminal and civil liabilities, personal and organizational, Community and reputation, Kinds of risk - Control, inherent, detection, residual, audit

3:40 PM Ronald Sanchez Continued

4:45 PM Conclude for the Day

**Wednesday, November 1, 2006**

**(Please note that the workshop begins at 8:00 AM on Wednesday)**

8:00AM - 10:55 AM (*Captain Ronald Sanchez*)

- Law enforcement risk assessment and mitigation, Risk-based auditing,  
Developing and implementing a professional audit and compliance unit,  
Executive level accountability and transparency, Identification and detection,  
Reduction and prevention

10:55 AM                      Program Conclusion