



Auditing and Review Unit
Professional Standards and Accountability
Bureau

Child Abuse Unit Audit – September 2022 (SVS) **PUBLIC VERSION**

Report# CA092022
(Data Sample - 3rd & 4th Quarters 2021)

Submitted by PSAB: October 4, 2022
Response by SVS: October 13, 2022
Final Report: October 14, 2022

Audit Team

This audit was managed and conducted by the Professional Standards and Accountability Bureau

Table of Contents

Introduction.....	3
Purpose.....	2
Scope	2
Methodology	3
Data	3
Initiating and Conducting the Child Abuse Audit	4
Child Abuse Graph – 3 rd & 4 th , Quarters 2021.....	6
Child Abuse Scorecard – 3 rd & 4 th , Quarters 2021	7
Case File Reviews – 3 rd & 4 th , Quarters 2021.....	8
Conclusion	11
Results.....	11
Recommendations	12
Attachments:	13
Appendix A – Report Distribution.....	14

Introduction

The Audit and Review Unit of the Professional Standards and Accountability Bureau conducted a semi-annual audit of Child Abuse Unit investigation case files. The time span to conduct the audit was from September 21st, 2022, to September 26th, 2022.

Purpose

The Child Abuse Unit case file audit was conducted to verify departmental compliance with the Consent Decree and NOPD Operations Manual, Chapter 42.19, “Child Abuse” and 42.2 “Sexual Assault” investigations.

Scope

This audit will determine and document whether there was a proper response by investigators and supervisors of the New Orleans Police Department Child Abuse Unit in conducting follow-up investigations. The auditor is responsible for verifying that each overall response was proactive, victim-centered, and professional. Once the review is completed, the audit manager will submit a report to the Captain of the Child Abuse Unit, and the Captain of the Professional Standards and Accountability Bureau (PSAB) pointing out any deficiencies or confirming a thorough investigation. These audit reports will help to maintain thorough and complete Child Abuse Unit investigations in the future. A “final report” will also be sent to the appropriate monitor from the OCDM.

Methodology

Population size – the Child Abuse Unit only.

Sample size – forty-four (44) case files were selected via EXCEL's "RAND" function; from the 446 cases taken in for the 3rd and 4th Quarters of 2021.

Documentation to be reviewed – All documents and investigative material contained within each individual case file.

Testing Instrument(s) – New Orleans Police Department Operations Manual Chapter 42.19, "Child Abuse Investigations" (Effective: 1/7/2018), and a thirty-one (31) point Child Abuse Audit Checklist.

Each individual case file will be audited in its entirety via "double-blind" auditing process by two (2) members of the Audit and Review Unit (ARU), to give a reliable and thorough review of each case file.

Data

The audit range is usually set for every three months (Quarterly). This audit combined the 3rd and 4th quarters of 2021 (Semi-Annual) to complete the year. The Child Abuse Unit will submit to the Professional Standards and Accountability Bureau (PSAB) all item numbers that were assigned during the period for that audit range. The Audit and Review Unit (ARU) will then take those item numbers and enter them into the EXCEL's randomizer generator for cases to be selected for review. ARU will then review at least 10% of those cases within the audit range.

Initiating and Conducting the Child Abuse Audit

The lieutenant of the Professional Standards and Accountability Bureau (PSAB) contacted the lieutenant, Commander of the SVS Unit, on September 14th, 2022, to notify her of a scheduled Child Abuse Unit case file audit that would be initiated by the Professional Standards and Accountability Bureau (PSAB) Audit and Review Unit (ARU), during the week of September 21st, 2022.

The lieutenant was given this advanced notice so that the Child Abuse Unit supervisor would be on standby to provide the requested case files to ARU upon demand. The lieutenant was also provided with the checklist that would be used, in addition to the audit protocol.

During this audit week, PSAB requested and received a total of forty-four (44) case files to be audited.

Each case file was then systematically reviewed via “double-blind” audit process by the auditors of the Audit and Review Unit, based on each case file’s compliance with the New Orleans Police Department Operations Manual Chapter 42.19, as it relates to “Child Abuse” investigations. To facilitate this process, the Auditors used the thirty-one (31) point Child Abuse audit checklist as a gauge to review and analyze the content of every case file.

The following checklist on the next page was the instrument used by the auditing team to review each case file.

CHILD ABUSE AUDIT REVIEW CHECKLIST

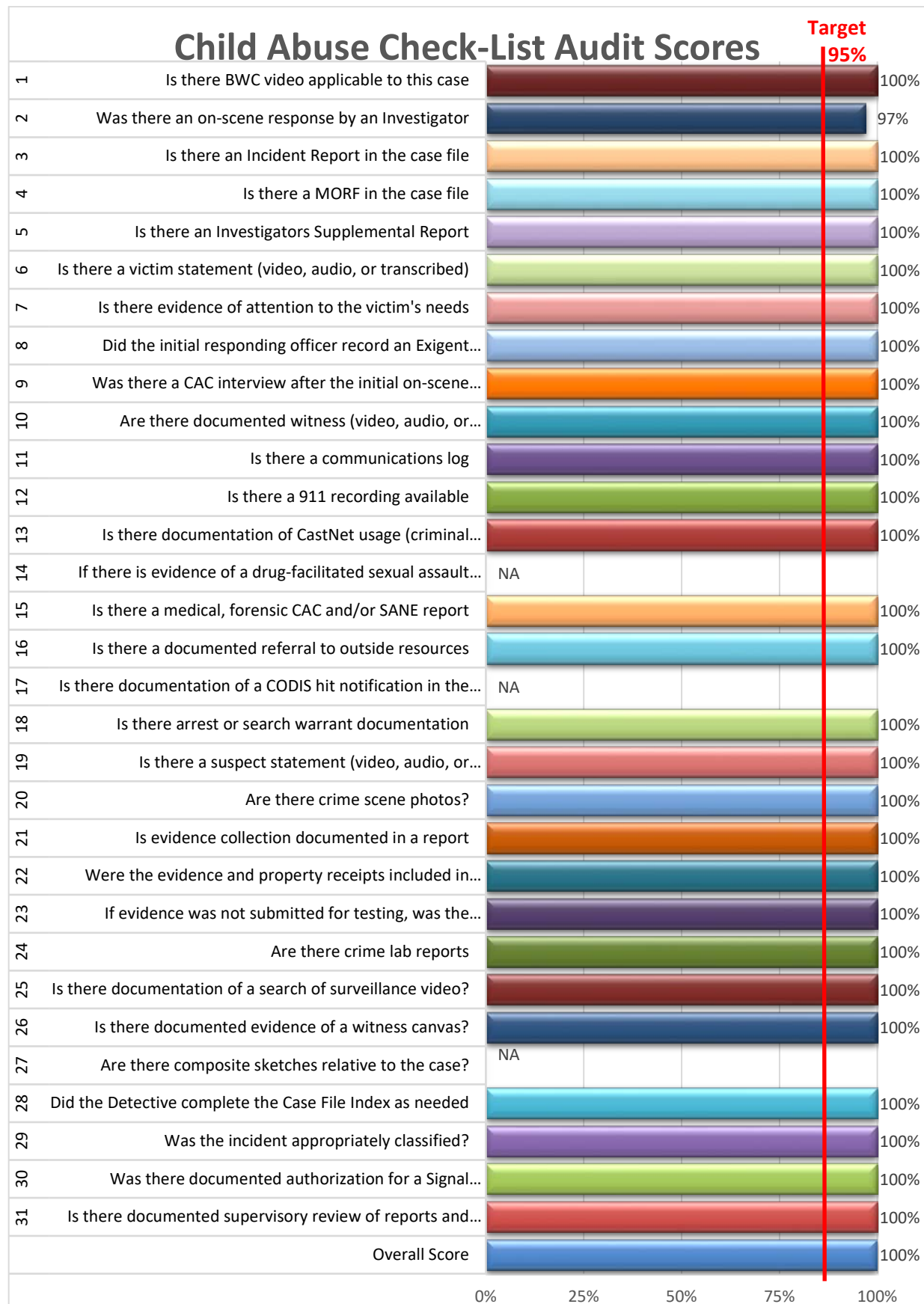
Item Number: _____
 Auditor: _____
 Date: _____
 Case Detective _____

NA = Not Applicable
 Y = Compliant
 N = Not compliant/No
 U = Unknown

1. Is there BWC video applicable to this case?	☐ NA / ☐ Y / ☐ N / ☐ U
2. Was there an on-scene response by an Investigator?	☐ NA / ☐ Y / ☐ N / ☐ U
3. Is there an Incident Report in the case file?	☐ NA / ☐ Y / ☐ N / ☐ U
4. Is there a MORF in the case file?	☐ NA / ☐ Y / ☐ N / ☐ U
5. Is there an Investigator's Supplemental Report?	☐ NA / ☐ Y / ☐ N / ☐ U
6. Is there a victim statement (video, audio, or transcribed)?	☐ NA / ☐ Y / ☐ N / ☐ U
7. Is there evidence of attention to the victim's needs? (i.e., Did the investigator demonstrate empathy, safety & medical needs of the victim, etc.)	☐ NA / ☐ Y / ☐ N / ☐ U
8. Did the initial responding officer record an Exigent Statement to determine that a crime occurred, if necessary? (Mark NA if not appropriate)	☐ NA / ☐ Y / ☐ N / ☐ U
9. Was there a CAC interview after the initial on-scene investigation?	☐ NA / ☐ Y / ☐ N / ☐ U
10. Are there documented witness statements (video, audio, or transcribed)?	☐ NA / ☐ Y / ☐ N / ☐ U
11. Is there a communications log? (incident recall)	☐ NA / ☐ Y / ☐ N / ☐ U
12. Is there a 911 recording available?	☐ NA / ☐ Y / ☐ N / ☐ U
13. Is there documentation of CastNet usage (criminal history check)?	☐ NA / ☐ Y / ☐ N / ☐ U
14. If there is evidence of a drug-facilitated sexual assault with follow up according to policy?	☐ NA / ☐ Y / ☐ N / ☐ U
15. Is there a medical, forensic, CAC and/or SANE report in the case file?	☐ NA / ☐ Y / ☐ N / ☐ U
16. Is there a documented referral to outside resources (i.e., NOFJC, CAC, DCFS, NOPD Social Workers)?	☐ NA / ☐ Y / ☐ N / ☐ U
17. Is there documentation of a CODIS hit notification in the file?	☐ NA / ☐ Y / ☐ N / ☐ U
18. Is there arrest or search warrant documentation?	☐ NA / ☐ Y / ☐ N / ☐ U
19. Is there a suspect statement (video, audio, or transcribed)?	☐ NA / ☐ Y / ☐ N / ☐ U
20. Were there crime scene photos taken when evidence could be captured/recorded, as appropriate? (photos may be in Property & Evidence or case file materials)	☐ NA / ☐ Y / ☐ N / ☐ U
21. Is evidence collection documented in a report?	☐ NA / ☐ Y / ☐ N / ☐ U
22. Were the evidence & property receipts included within the Case File for submitted evidence?	☐ NA / ☐ Y / ☐ N / ☐ U
23. If evidence was not submitted for testing, was the reason documented in a report?	☐ NA / ☐ Y / ☐ N / ☐ U
24. Are there crime lab reports?	☐ NA / ☐ Y / ☐ N / ☐ U
25. Is there documentation of a search of surveillance video?	☐ NA / ☐ Y / ☐ N / ☐ U
26. Is there documented evidence of a witness canvas?	☐ NA / ☐ Y / ☐ N / ☐ U
27. Are there composite sketches relative to the case?	☐ NA / ☐ Y / ☐ N / ☐ U
28. Did the Detective complete (initial and date) the Case File Index as items were entered in the Case File?	☐ NA / ☐ Y / ☐ N / ☐ U
29. Was the incident appropriately classified?	☐ NA / ☐ Y / ☐ N / ☐ U
30. Was there documented authorization for a Signal change if required?	☐ NA / ☐ Y / ☐ N / ☐ U
31. Is there documented supervisory review of reports and dispositions?	☐ NA / ☐ Y / ☐ N / ☐ U
Did Auditor listen to recordings of the victim interview(s)?	☐ NA / ☐ Y / ☐ N
Did Auditor listen to suspect interview(s)?	☐ NA / ☐ Y / ☐ N

Narrative/Comments: _____

Child Abuse Graph – 3rd & 4th, Quarters 2021



Child Abuse Scorecard – 3rd & 4th, Quarters 2021

Child Abuse Check-List Scorecard - (Preliminary Double-blind) Period: Q3-Q4, 2021

ARU percentages for Consent Decree requirements for child abuse check-list audit.

Check-List Questions		Score	ARU General Comments	In Audit			
				CD	Y	N	NA
1	Is there BWC video applicable to this case	100%	ARU audited sampled Child Abuse case file items for a defined period, for completeness and accuracy as required by the Consent Decree. For an explanation of the procedure and scoring system for this review, see the associated "protocol" document. For a list of relevant policies, contact PSAB as needed. For the audit results for each case file, see the accompanying RawData spreadsheets. Scores below 95% are highlighted in red.	212	25.00	-	19.00
2	Was there an on-scene response by an Investigator	97%		213	32.00	1.00	11.00
3	Is there an Incident Report in the case file	100%		213	44.00	-	-
4	Is there a MORF in the case file	100%		212	44.00	-	-
5	Is there an Investigators Supplemental Report	100%		213	43.00	-	1.00
6	Is there a victim statement (video, audio, or transcribed)	100%		213	30.00	-	14.00
7	Is there evidence of attention to the victim's needs	100%		213	35.00	-	9.00
8	Did the initial responding officer record an Exigent Statement	100%		213	12.00	-	32.00
9	Was there a CAC interview after the initial on-scene investigati	100%		213	23.00	-	21.00
10	Are there documented witness (video, audio, or transcribed) stat	100%		213	42.00	-	2.00
11	Is there a communications log	100%		213	44.00	-	-
12	Is there a 911 recording available	100%		213	34.00	-	10.00
13	Is there documentation of CastNet usage (criminal history check)	100%		214	30.00	-	14.00
14	If there is evidence of a drug-facilitated sexual assault with f	-		213	-	-	44.00
15	Is there a medical, forensic CAC and/or SANE report	100%		214	16.00	-	28.00
16	Is there a documented referral to outside resources	100%		213	34.00	-	10.00
17	Is there documentation of a CODIS hit notification in the file	-		213	-	-	44.00
18	Is there arrest or search warrant documentation	100%		216	9.00	-	35.00
19	Is there a suspect statement (video, audio, or transcribed)	100%		216	23.00	-	21.00
20	Are there crime scene photos?	100%		213	12.00	-	32.00
21	Is evidence collection documented in a report	100%		213	37.00	-	7.00
22	Were the evidence and property receipts included in Case file	100%		213	38.00	-	6.00
23	If evidence was not submitted for testing, was the reason docume	100%		213	2.00	-	42.00
24	Are there crime lab reports	100%		213	1.00	-	43.00
25	Is there documentation of a search of surveillance video?	100%		213	3.00	-	41.00
26	Is there documented evidence of a witness canvas?	100%		213	3.00	-	41.00
27	Are there composite sketches relative to the case?	-		213	-	-	44.00
28	Did the Detective complete the Case File Index as needed	100%		213	44.00	-	-
29	Was the incident appropriately classified?	100%		213	44.00	-	-
30	Was there documented authorization for a Signal change if requir	100%		213	10.00	-	34.00
31	Is there documented supervisory review of reports and dispositio	100%		213	44.00	-	-
32	Did Auditor listen to recordings of the victim interview(s)	100%		212	8.00	-	36.00
33	Did Auditor listen to suspect interview(s)	100%			7.00	-	37.00
Overall Score		100%			773.00	1.00	678.00

Case File Reviews – 3rd & 4th, Quarters 2021

The below listed information reveals the outcome of the Audit Team's checklist reviews.

1. **Is there BWC video applicable to this case?** The overall score for this category was **100%**. Of the 44 cases reviewed, 25 were audited as positive, none were negative and 19 were N/A (not applicable).
2. **Was there an on-scene response by Child Abuse?** The overall score for this category was **97%**. Of the 44 cases reviewed, 32 were audited as positive, one (1) was negative and 11 were N/A (not applicable).
3. **Is there an Incident Report in the case file?** The overall score for this category was **100%**. Of the 44 cases reviewed, 44 were audited as positive, none were negative, and none were N/A (not applicable).
4. **Is there a MORF in the case file?** The overall score for this category was **100%**. Of the 44 cases reviewed, 44 were audited as positive, none were negative, and none were N/A (not applicable).
5. **Is there a Supplemental Report?** The overall score for this category was **100%**. Of the 44 cases reviewed, 43 were audited as positive, none were negative, and one (1) was N/A (not applicable).
6. **Is there a victim statement (video, audio, or transcribed)?** The overall score for this category was **100%**. Of the 44 cases reviewed, 30 were audited as positive, none were negative, and 14 were N/A (not applicable).
7. **Is there evidence of attention to the victim's needs (i.e., Did the investigator demonstrate empathy, safety & medical needs of the victim, etc.)?** The overall score for this category was **100%**. Of the 44 cases reviewed, 35 were audited as positive, none were negative, and 9 were N/A (not applicable).
8. **Did the initial responding officer record an Exigent Statement to determine that a crime occurred, if necessary?** The overall score for this category was **100%**. Of the 44 cases reviewed, 12 were audited as positive, none were negative, and 32 were N/A (not applicable).
9. **Was there a CAC Interview after the initial on-scene investigation?** The overall score for this category was **100%**. Of the 44 cases reviewed, 23 was audited as positive, none were negative, and 21 were N/A (not applicable).

10. **Are there documented witness statements (video, audio, or transcribed)?** The overall score for this category was **100%**. Of the 44 cases reviewed, 42 were audited as positive, none were negative, and 2 were N/A (not applicable).
11. **Is there a communications log?** The overall score for this category was **100%**. Of the 44 cases reviewed, 44 were audited as positive, none were negative, and none were N/A (not applicable).
12. **Is there a 911 recording available?** The overall score for this category was **100% (prelim was 97%)**. Of the 44 cases reviewed, 34 were audited as positive, none were negative, and 10 were N/A (not applicable) and 1 was unknown.
13. **Is there documentation of CastNet usage (criminal history check)?** The overall score for this category was **100% (prelim was 97%)**. Of the 44 cases reviewed, 30 were audited as positive, none were negative, and 14 were N/A (not applicable).
14. **If there is evidence of a drug-facilitated sexual assault with follow up according to policy?** The overall score for this category was **NA**. Of the 44 cases reviewed, none were audited as positive, none were negative, and 44 were N/A (not applicable).
15. **Is there a medical, forensic, CAC and/or SANE report in the Case File?** The overall score for this category was **100% (prelim was 94%)**. Of the 44 cases reviewed, 16 were audited as positive, none were negative and 28 were N/A (not applicable).
16. **Is there a documented referral to outside resources (i.e., NOFJC, CAC, DCFS, NOPD Social Workers)?** The overall score for this category was **100%**. Of the 44 cases reviewed, 34 were audited as positive, none were negative, and 10 was N/A (not applicable).
17. **Is there documentation of a CODIS hit notification in the file?** The overall score for this category was **NA**. Of the 44 cases reviewed, none were audited as positive, none were negative, and 44 were N/A (not applicable).
18. **Is there arrest or search warrant documentation?** The overall score for this category was **100%**. Of the 44 cases reviewed, 9 were audited as positive, none were negative, and 35 were N/A (not applicable).
19. **Is there a suspect statement (video, audio, or transcribed)?** The overall score for this category was **100% (prelim was 92%)**. Of the 44 cases reviewed, 23 were audited as positive, none were negative, and 21 were N/A (not applicable).
20. **Were there crime scene photos taken when evidence could be captured/recorded, as appropriate?** The overall score for this category was **100%**. Of the 44 cases reviewed, 12 were audited as positive, none were negative, and 32 were N/A (not applicable).

21. **Is evidence collection documented in a report?** The overall score for this category was **100%**. Of the 44 cases reviewed, 37 were audited as positive, none were negative, and 7 were N/A (not applicable).
22. **Were the evidence & property receipts included within the Case File for submitted evidence?** The overall score for this category was **100%**. Of the 44 cases reviewed, 38 were audited as positive, none were negative, and 6 was N/A (not applicable).
23. **If evidence was not submitted for testing, was the reason documented in a report?** The overall score for this category was **100%**. Of the 44 cases reviewed, two (2) were audited as positive, none were negative, and 42 were N/A (not applicable).
24. **Are there crime lab reports?** The overall score for this category was **100%**. Of the 44 cases reviewed, one (1) were audited as positive, none were negative, and 43 were N/A (not applicable).
25. **Is there documentation of a search of surveillance video?** The overall score for this category was **100%**. Of the 44 cases reviewed, 3 were audited as positive, none were negative, and 41 were N/A (not applicable).
26. **Is there documented evidence of a witness canvas?** The overall score for this category was **100%**. Of the 44 cases reviewed, 3 were audited as positive, none were negative, and 41 were N/A (not applicable).
27. **Are there composite sketches relative to the case?** The overall score for this category was **NA**. Of the 44 cases reviewed, none were audited as positive, none were negative, and 44 were N/A (not applicable).
28. **Did the Detective complete (initial and date) the Case File Index as items were entered in the Case File?** The overall score for this category was **100%**. Of the 44 cases reviewed, 44 were audited as positive, none were negative, and none were N/A (not applicable).
29. **Was the incident appropriately classified?** The overall score for this category was **100%**. Of the 44 cases reviewed, 44 were audited as positive, none were negative, and none were N/A (not applicable).
30. **Was there documented authorization for a signal change if required?** The overall score for this category was **100%**. Of the 44 cases reviewed, 10 were audited as positive, none were negative, and 34 were N/A (not applicable).
31. **Is there documented supervisory review of reports and dispositions?** The overall score for this category was **100%**. Of the 44 cases reviewed, 44 were audited as positive, none were negative, and none were N/A (not applicable).

Conclusion

Based on the combined total of one-thousand four-hundred and fifty-two (**1,452**) checklist items rated, from the sample size of forty-four (**44**) case files audited, the “Final Overall Score” of this 3rd & 4th Quarters Child Abuse Unit case file audit conducted by the Auditing and Review Unit **was 100% (prelim was 99%)**.

Final Results

The overall results of the 3rd & 4th Quarters 2021 Child Abuse audit initially revealed compliance threshold scores of **above 95%** in most areas; therefore, there were no areas of concern identified. The following two questions scored below the 95% threshold.

Re-Evaluation Results

Q15. **100% (prelim was 94%)** - Is there a medical, forensic CAC and/or SANE report

SVS Review: - A Forensic Interview (FI) was conducted at the Child Advocacy Center (CAC). In the supplemental report, page 2, paragraph 6, the author of the police report documented a synopsis of the FI and stated that based on the results of the FI, the doctor from Children’s Hospital/CAC will be consulted; therefore, any medical documentation and/or forensic report is forthcoming. This is an on-going investigation that was reassigned due to transfer. In the case file, there is a Form 105 ordering the additional supplemental reports with the investigator’s findings and that would include any medical or forensic CAC reports.

PSAB Response: Based on SVS review, PSAB has determined to revise the score from No to NA.

Q19. **100% (prelim was 92%)** - Is there a suspect statement (video, audio, or transcribed)

SVS Review: There are no statements as it applies to the accused in this matter. The detective has been unable to contact the accused. Based on the reporting person, the accused subject may be residing in another state or in the country of Honduras as the accused has ties to those locations. This is an Open and Active investigation and additional information will follow in a supplemental report.

PSAB Response: Based on SVS review, PSAB has determined to revise the score from No to NA.

SVS Review: There are no statements as it applies to the accused in this matter. The detective has made several attempts to contact the subject but has been unsuccessful in locating him. The victim relocated to the State of California and is not in harm’s way at the present time. The detective has notes indicating the dates she attempted to contact the accused and that information will be submitted when she completes a second supplemental report indicating her current findings. This is an Open and Active investigation.

PSAB Response: Based on SVS review, PSAB has determined to revise the score from No to NA

SVS Review: Q12. 97% - Is There a 911 recording available? - No 911 audio was associated with this case. The fact that no 911 audio is associated with this case is supported by a copy of an email, which is located inside the case file, addressed to Communications. The said email indicated a response from Communications that stated, "No 911 audio due to it being field initiated."

Actions Taken By SVS: Submitted a re-evaluation request to update score as no 911 audio would be available in this instance.

PSAB Response: ARU agrees with SVS assessment that the item entry would not have a 911 audio due to the incident being field initiated. ARU has updated this item from No to Not Applicable (NA).

SVS Review: Q13. Is there documentation of CastNet Usage? CastNet was not used in this case yet. The reporter and victim were unable to provide any identifying markers other than what may be the accused subject's name. The accused is believed to be residing at an unknown city in the State of Ohio. The fact that the perpetrator was unable to be identified is listed in #20, CastNet section of the Index Form as, "Unknown Perp." This case is Open and Active

Actions Taken By SVS: Submitted a re-evaluation request to update score as CastNet not able to be run due to an unknown perpetrator at this point.

PSAB Response: ARU agrees with SVS assessment that the item entry could not run CastNet without knowing the perpetrator. ARU has updated this item from No to Not Applicable (NA).

The overall score of **100%** compliance is a result of the re-evaluation reviews.

Recommendations

Please commend the detectives and supervisors for their role in the results of this audit. Please utilize the Supervisor Feedback Log to commend the NOPD members as each involved member's hard work should not go unnoticed.

Please update and ensure all case files have complete records as needed.

Attachments:

Excel Raw Data Spreadsheet for the 3rd & 4th Quarters audit

Timothy A. Lindsey

Innovation Manager, Auditing

Professional Standards and Accountability Bureau

Appendix A – Report Distribution

Deputy Supt. PSAB Bureau

Captain PSAB Bureau

Deputy Supt. ISB Bureau

Captain ISB Bureau

Lieutenant SVS Unit