LAW ENFORCEMENT INTEGRITY

SELF-ASSESSMENT CHECKLIST
INTRODUCTION

Police departments and other law enforcement agencies are high-risk environments for misconduct and corruption (Annex 1).

Law enforcement officers often encounter people who are willing to pay large bribes to avoid disruption to a lucrative criminal enterprise.

Criminals often seek to forge trusting relationships with law enforcement insiders to prevent or subvert detection, investigation and prosecution.

Grand corruption may include senior officers abusing their power for private gain or to serve improper political interests, such as targeting opposition groups.

Community policing may regularly involve petty corruption such as bribery to issue licenses or permits or to avoid penalties for traffic violations, or theft from crime scenes.

Corruption may also be facilitated by bureaucratic failures to act, such as routinely ignoring complaints against police officers - either willfully, or due to the absence of trustworthy and effective complaint handling policies and systems.

There are various international sources of detailed, comprehensive information on how to build law enforcement agencies that resist corruption and promote integrity (Annex 2).

The purpose of this checklist is to summarize core strategies and good practices that can be considered in designing or reviewing law enforcement integrity systems.

The brief format is designed to be an easy-to-read resource for training delivery or capacity-building workshops, and as a simple way for law enforcement officials to discuss and identify priorities to strengthen integrity systems as part of good corporate governance.

Annex 3 is an optional self-assessment template. It can be used to rate the current level of achievement against each section of this checklist, and to note key priorities to strengthen integrity.

The self-assessed ratings of achievement could then be used to establish integrity performance benchmarks, specify priorities for action, and to demonstrate integrity gains and remedial priorities in future reviews.

Annex 4 is an example of a self-assessment summary record.
LEADERSHIP

1 In their daily behavior, do senior executives, middle managers, and supervisors set an example that is consistent with both the letter, and spirit, of the organization’s values and the code of conduct?

2 Do leaders actively communicate the organization’s values?

3 Does the senior leadership team ensure that there is an active integrity or professional standards compliance program supported by effective staff, policies, systems, and enough resources?

4 Do leaders devote enough time to consider reviews of the organization’s integrity and corruption risks? Is this documented?

5 Do leaders ensure that there are secure, trusted methods for employees and the public to report misconduct and corruption without fear of retaliation?

6 Can leaders demonstrate that alleged misconduct or corruption is investigated and, if substantiated, results in disciplinary action, termination, or criminal charges?

7 Are instances of corruption used to improve internal risk controls?

8 While accepting proper governmental oversight, do leaders avoid political interference that may threaten impartial law enforcement in the public interest?

VALUES AND STANDARDS

1 Does the organization have a code of conduct (Annex 2) which describes the behavior expected of all staff? Is the code of conduct promoted and credibly enforced?

2 Are there policies and procedures for:
   • Integrity advice and guidance: can staff obtain trusted advice on concerns about integrity, misconduct and corruption?
   • Human rights: do law enforcement officers know, and uphold, human rights policies and procedures for arrest, detention, use of force, civil disorder, protection of juveniles, the rights of women, avoidance of sexual exploitation, and the treatment of refugees and non-nationals?
   • Gifts and benefits: are employees generally prohibited from accepting gifts or benefits related to their official role (except for approved official hospitality or ceremonial purposes). Do employees always report any gift or benefit offered, or accepted, in their official role?
   • Declarable associations: are employees obliged to report any association with family, friends, other persons, clubs, or organizations that may create a conflict of interest with their official duties?
      • Secondary work: are employees required to gain approval for any external paid work?
      • Change of circumstances: are employees required to report any change in circumstances which may adversely affect their official duties?
      • Political activity: are employees required to avoid any political activity that may harm public confidence in the impartial performance of their official duties?
      • Social media: are limits on employee use of social media clearly explained?
      • Income and asset disclosures: are financial disclosures used to prevent and manage potential conflicts of interest, and to assist in the prevention, detection, and prosecution of illicit enrichment?
      • Financial intelligence links: are high ranking officers subject to risk-based, national anti-money laundering controls (e.g. people defined as “politically exposed persons” by the Financial Action Task Force)?
      • Performance management: do performance appraisal systems foster integrity? Do supervisors consider and manage any integrity risks arising from staff performance or behavioral problems? Are there rewards or positive recognition for reducing corruption risks, good conduct, or high performance?
**ORGANISATIONAL STRUCTURE**

1. In addition to the ethical responsibility of all staff, is responsibility for promoting integrity and anti-corruption identified in the organizational structure?
2. Are one or more senior officers responsible for promoting integrity and combating corruption?
3. Is there an integrity or professional standards compliance adviser, and adequate staff, responsible for maintaining professional standards compliance throughout the organization?
4. Do these staff oversee and investigate complaints about staff conduct? Are they authorized or obliged to report corruption to independent bodies?
5. Is it possible or mandatory to refer serious or complex corruption allegations to an independent agency or investigator?
6. Do integrity and professional standards staff integrate their work with other specialists such as audit, fraud control, or human resource staff?

**HIRING, DEPLOYMENT AND PROMOTION**

1. Are positions advertised publicly and are they open to all?
2. Are applicants screened for past involvement in misconduct, corruption, or crime?
3. Are hiring, promotion decisions, and access to other benefits (such as housing and vehicles) based on clear criteria — without political influence, favoritism, nepotism, or bribery?
4. Are recruitment and promotion decisions free of discrimination based on race, colour, sex, sexual orientation, gender, age, marital status, political beliefs, or religion?
5. Is gender equality actively promoted? Are obstacles to the employment, retention and promotion of women systematically removed?
6. Is there a system to review hiring and promotion decisions?
7. Is there a probation period for new employees, followed by regular performance reviews? Are these reviews effective in correcting performance problems, including removing unsuitable staff?
8. Are salaries adequate to prevent reliance on illicit income?
9. Is there a system to periodically move staff so they do not stay too long in positions vulnerable to bribery?
10. Do promotion systems require a demonstrated history of personal and professional integrity?

**EDUCATION**

1. Is there mandatory ethics and integrity training for all staff, commencing with new recruits and continuing throughout careers?
2. Are law enforcement officers obliged to know, and to apply, international standards for human rights?
3. Does integrity education include realistic examples of misconduct and corruption?
4. Is there extra training for managers and staff in high-risk positions?
5. Does integrity education go beyond the classroom so that consideration of integrity is the norm in the workplace?
RISK ASSESSMENT

1. Is there a documented systematic process to identify threats, vulnerabilities, and risks of corruption?
2. Is risk assessment done in collaboration with other law enforcement and criminal intelligence agencies?
3. Is the public perception of corruption in law enforcement measured and monitored, such as through surveys, research and community consultation?
4. Does the integrity or professional standards compliance program evolve to tackle emerging corruption risks?
5. Is there greater supervision of staff in positions with higher corruption threats (e.g., regular dealing with sophisticated organized crime)?
6. Are major operations assessed for corruption risks?
7. Is there attentive management of corruption-vulnerable activities?
8. Are employees encouraged, recognized, and rewarded for identifying corruption risks, and for suggesting improved control mechanisms?

AUDIT AND INTEGRITY TESTING

1. Is there an annual audit and testing plan?
2. Is there a robust system of integrity testing that simulate genuine corruption opportunities, ideally including the following elements:
   • Realistic scenarios: such as the offering of cash from what appears to be an arrested drug dealer?
   • Audio-visual recording: are integrity tests recorded using audio-visual electronic surveillance, and by placing witnesses at the scene?
   • Targeted tests: are tests aimed at specific officers suspected of corruption based upon allegations by citizens or colleagues?
   • Random tests: are officers aware that random testing exists, without being told about the frequency or occurrence of such tests?
   • Effective deterrence: is there enough testing for employees to believe they really could be tested?
3. Is there mandatory random testing for illicit drugs and alcohol?
4. Is access to sensitive information and databases controlled, using methods that are supported by data security standards and audits?
5. Are there integrity reviews of high corruption-risk investigations?

WHISTLEBLOWING

1. Is there a trusted, dependable way for staff and the public to confidentially report misconduct, corruption, or other integrity breaches?
2. Are all employees encouraged, and obliged, to identify and report wrongdoing?
3. Do managers and supervisors know how to receive, record, and manage integrity concerns?
4. Is there a process for assessing, investigating, and reporting on integrity concerns?
5. Can employees report their concerns externally to an independent authority?
6. Do reporting persons receive information on how the organisation will respond or advice about progress and outcomes, including any action taken and benefits or changes made?
7. Is the risk of harm, unfair treatment, or retaliation to reporting persons, assessed when a report is made?
8. Is there a strategy to support and protect individuals who raise concerns?
9. If reporting persons suffer retaliation, are there methods to resolve or lessen the problem (e.g., compensation, other employment management or disciplinary action against offenders)?
10. Is there a system to identify patterns or trends in reporting of misconduct and corruption, and remedial priorities?
11. Is there a system to thank, honor, or reward people who report corruption?
INVESTIGATION AND PROSECUTION

AGENCY INTEGRITY MATTERS

1. Is there a complaints body that is independent of both police and prosecution services?
2. Is every reported complaint recorded with an independent body?
3. Where corruption is suspected or alleged, are independent investigative or anti-corruption authorities consulted on appropriate action?
4. Does an independently body have the authority to investigate?
5. Where an internal investigation is conducted, is it subject to independent monitoring or review?
6. Is there an enforceable timetable for an investigation?

GENERAL INVESTIGATION PRACTICE

1. Is there a system in place for witness protection?
2. Are there strict record-keeping policies and practices, including relating to official notebooks?
3. Are internal controls effective for the management of informants?
4. Is there video and audio taping of searches, seizures, arrests, and interviews?
5. Is there a system of accountability regarding:
   - Handling and management of evidence?
   - Drug-handling policies and drug registry practices?
   - Property and cash handling controls?
   - Reporting the use of force?
   - Negotiation of incentives for cooperation with investigations or prosecutions?

ENFORCEMENT

1. Do leaders respond promptly to allegations of corruption?
2. Are there clear disciplinary procedures that are applied fairly, consistently, and promptly?
3. Is there an array of proportionate responses to ethical failures ranging from warnings and minor sanctions to more severe punishment, such as demotion, termination of employment, or criminal investigation?
4. Have sanctions been applied to ethical failures in the last three years?
5. Is the response to ethical failures enough to deter future violations?
6. Does the Commissioner or CEO have authority to authorize dismissal for serious misconduct or corruption?

TRANSPARENCY, ACCOUNTABILITY AND PUBLIC TRUST

1. Do one or more external, independent organizations oversee the agency?
2. Are all serious corruption investigations conducted or overseen by an external body?
3. Is an independent anti-corruption agency consulted on large, complex corruption investigations?
4. Are outcomes of corruption investigations publicized wherever possible?
5. Are employees recognized and rewarded for performance that demonstrates the highest level of integrity?
6. Is there regular consultation with members of the public, and their representatives, to identify and address concerns about law enforcement corruption and integrity?
7. Is public consultation informed by research, and analysis of reports of misconduct and corruption?
Annexes

Annex 1: Law Enforcement Integrity Risks

Annex 2: International Law Enforcement Integrity Development Resources
International Association of Chiefs of Police, Ethics Toolkit.
World Customs Organization, Revised Integrity Development Guide (2012).

Codes of Conduct

Annex 3: Optional Self-Assessment Rating Template

Self-Assessment Rating Template
Complete for each checklist topic

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<th>Level</th>
<th>Evidence of Effective Implementation</th>
<th>Score</th>
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<td>Limited</td>
<td>Growing knowledge of topic, but no implementation.</td>
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<tr>
<td>Developing</td>
<td>Evidence of action being taken to implement.</td>
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<tr>
<td>Good</td>
<td>Some implementation, but more work to be done.</td>
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<tr>
<td>Very Good</td>
<td>Strong implementation, but some refinements needed.</td>
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<td>Excellent</td>
<td>Effectively implemented at the highest standard.</td>
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Priorities to Strengthen Integrity

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<tr>
<th>Timing</th>
<th>Description of integrity strengthening task</th>
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Annex 4: Optional Self-Assessment Summary Record

Self-Assessment Summary Record

1 Leadership

Implementation Score (0-5)

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2 Values and Standards

Implementation Score (0-5)

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