

INTRADEPARTMENTAL CORRESPONDENCE

September 6, 2013
14.2

TO: The Honorable Board of Police Commissioners

FROM: Chief of Police

SUBJECT: PREVENTABLE AND NON-PREVENTABLE TRAFFIC COLLISION AUDIT
(IAID No. 13-005)

RECOMMENDED ACTIONS

1. It is recommended that the Board of Police Commissioners REVIEW and APPROVE the attached Preventable and Non-Preventable Traffic Collision Audit.
2. It is recommended that the Board of Police Commissioners REVIEW and APPROVE the attached Executive Summary thereto.

DISCUSSION

Internal Audits and Inspections Division conducted the Preventable and Non-Preventable Traffic Collision Audit to evaluate compliance with related Department directives. The audit included a review of the traffic collision processes pertaining to the TEAMS II system, while adhering to Department policies and procedures.

If additional information regarding this audit is required, please contact Gerald L. Chaleff, Special Assistant for Constitutional Policing, at (213) 486-8730.

Respectfully,



CHARLIE BECK
Chief of Police

Attachments

LOS ANGELES POLICE DEPARTMENT
PREVENTABLE AND NON-PREVENTABLE
TRAFFIC COLLISION AUDIT

(IAID No. 13-005)



CHARLIE BECK
Chief of Police

Fiscal Year 2012/2013

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EXECUTIVE SUMMARY
PREVENTABLE AND NON-PREVENTABLE TRAFFIC COLLISION AUDIT
Conducted by Internal Audits and Inspections Division
Fiscal Year 2012/2013

PURPOSE

In accordance with the Los Angeles Police Department (Department) Audit and Inspection Plan for Fiscal Year 2012/2013, Internal Audits and Inspections Division (IAID) conducted the Preventable and Non-Preventable Traffic Collision Audit to evaluate adherence with Department policies and procedures.¹

Internal Audits and Inspections Division conducted this audit under the guidance of generally accepted government auditing standards, specifically pertaining to performing the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for the findings and conclusions based on the audit objectives. Internal Audits and Inspections Division has determined that the evidence obtained provides a reasonable basis for the findings and conclusions based on our audit objectives.

PRIOR AUDITS

Internal Audits and Inspections Division has conducted the Preventable and Non-Preventable Traffic Collision Audit annually for the past two years. As with the prior audit, the Department standards were met in the areas of appropriate classifications of traffic collisions and accurate recordation in the TEAMS II. However, areas for improvement were identified regarding the accrual of three points within 24 months that required documented training and the forwarding of traffic collision reports in a timely manner. In regards to reports forwarded in a timely manner, the Department is in the process of approving a revised policy that will address timeliness as well as implementation of a tracking system to track the timeliness of the approval process. The Department has used the information produced in these audits in conjunction with the Office of the Inspector General's (OIG) review of the audit as an internal management tool.

The following recommendations were made in the last audit:

1. *It is recommended that the Department explore whether stricter tracking of timeliness for Traffic Collision Reports (TCR) adjudications should be implemented, and included within policy and procedure.*
2. *It is recommended that Planning and Research Division determine whether the language pertaining to the criteria utilized in classifying traffic collisions should be utilized as a guideline, or strict adherence; and, wherein such determination is made, it be clearly articulated within the respective policy.*

Status on Recommendation Nos. 1 and 2: *In Progress.* Planning and Research Division reported that as of April 15, 2013, the review of recommended revisions has been completed. Approval of the recommendations is pending the meet and confer process between the Department and the Los Angeles Police Protective League.

¹ Preventable Traffic Collision (PTC) and Non-Preventable Traffic Collision (Non-PTC).

3. *It is recommended that Risk Management Division (RMD) and TCS collaborate with each other by providing a list to RMD on the traffic collisions that have occurred within the Department; and, that such list be provided on an agreed upon basis, as established by both entities.*

Status on Recommendation No. 3: *Implemented.* Traffic Coordination Section provides RMD with a list of employee involved traffic collisions on a monthly basis.

SUMMARY OF FINDINGS

The following table illustrates the Department's standards by objective and provides a comparison to last year's audit.

SUMMARY OF AUDIT FINDINGS AND COMPARISON TO THE PRIOR YEAR'S AUDIT

Objective No.	Description of Audit Objectives	Comparison	
		2014	2015
1	Appropriate Traffic Collision Classification	71/72 (99%)	73/74 (99%)
2	Timely Review of Traffic Collision Reports	46/66 (70%)	38/69 (55%)
3	Traffic Collision Accurately Reflected in Officers' TEAMS II	72/72 (100%)	74/74 (100%)
4	Accrual of Three Points in 24 Months and Documented Required Training	1/1 (100%)	2/4 (50%)

RECOMMENDATION

It is recommended that TCS include the final adjudication of the PTC into TEAMS II, along with the determination (Level I, II, or III) and associated point(s) in the "Collision Information Section", "Collision Disposition" field.

MANAGEMENT'S RESPONSE

Internal Audits and Inspections Division presented the audit and findings to the Traffic Coordination Section, and the Assistant to the Director, Office of Special Operations; all expressed general agreement with the findings.

PREVENTABLE AND NON-PREVENTABLE TRAFFIC COLLISION AUDIT

Conducted by
Internal Audits and Inspections Division
Fiscal Year 2012/2013

PURPOSE

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PRIOR AUDITS

Internal Audits and Inspections Division has conducted the Preventable and Non-Preventable Traffic Collision Audit annually for the past two years. As with the prior audit, the Department standards were met in the areas of appropriate classifications of traffic collisions and accurate recordation in the (TEAMS II). However, areas for improvement were identified regarding the accrual of three points within 24 months that required documented training, and the forwarding of traffic collision reports in a timely manner. In regard to reports forwarded in a timely manner, the Department is in the process of approving a revised policy that will address timeliness as well as implementation of a tracking system to track the timeliness of the approval process. The Department has used the information produced in these audits in conjunction with the Office of the Inspector General's (OIG) review of the audit as an internal management tool.

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3. *It is recommended that Risk Management Division (RMD) and Traffic Coordination Section (TCS) collaborate with each other by providing a list to RMD on the traffic*

collisions that have occurred within the Department; and, that such list be provided on an agreed upon basis, as established by both entities.

Status on Recommendation No. 3: Implemented. Traffic Coordination Section provides RMD with a list of employee-involved traffic collisions on a monthly basis.

METHODOLOGY

Internal Audits and Inspections Division obtained a data run from the TCS of Emergency Operations Division (EOD) of all closed employee-involved traffic collisions from July 1, 2012 through December 31, 2012. This list identified 324 traffic collisions for the selected time period. Internal Audits and Inspections Division randomly selected a statistically valid sample from the population, yielding 74 traffic collisions.¹ Additionally, TCRs (CHP Form 555-03) and TEAMS II reports were also reviewed for this audit.

SUMMARY OF FINDINGS

Table No. 1 illustrates the findings for each objective.

Table No. 1 – Summary of Findings

Objective No.	Description of Audit Objectives	Results	
		FY 2012/2013	FY 2011/2012
1	Appropriate Traffic Collision Classification	71/72 (99%)	73/74 (99%)
2	Timely Review of Traffic Collision Reports	46/66 (70%)	38/69 (55%)
3	Traffic Collision Accurately Reflected in Officers' TEAMS II	72/72 (100%)	74/74 (100%)
4	Accrual of Three Points in 24 Months and Documented Required Training	1/1 (100%)	2/4 (50%)

DETAILED FINDINGS

Of the 74 traffic collisions, 41 were preventable traffic collisions (PTCs) and 33 were Non-PTCs. Of the 41 PTCs, 31 were categorized as Level I Accidents, ten as Level II Accidents and zero were Level III Accidents.

Objective No. 1 – Appropriate Traffic Collision Classification

Criteria

Department Manual Section 3/207.95, Point System Criteria - states, *“The criteria for the point system lie in three levels of preventable traffic accidents:*

¹ The sample size was obtained by utilizing a one-tail test with a 95% confidence level and a four percent error rate.

Level One Accident.

- *Maneuvering speed ten miles per hour (MPH) or less prior to braking;*
- *No disregard for safety; and,*
- *No visible injuries.*

Level Two Accident.

- *Operating speed above ten MPH prior to any braking, in essential compliance with Vehicle Code;*
- *No disregard for safety;*
- *No life threatening injury; and,*
- *City vehicle is repairable.*

Level Three Accident.

- *City vehicle is not repairable;*
- *Life threatening injury occurs; or,*
- *Employee was not in essential compliance with Vehicle Code.”*

Audit Procedures

Internal Audits and Inspections Division examined TCRs to determine if the classification was appropriate for the circumstances of the particular incident.

The Department met the standards if the PTCs were appropriately classified.

Findings

Seventy-three (99%) of the 74 TC reports met the standards for this objective. The one PTC that did not meet the standards, is as follows:

- One PTC (DR No. 1201-17974) was classified as a Level I PTC, which accrues one point, however, the officer was assigned two points for the incident.²

Objective No. 2 – Timely Review of Traffic Collision Reports

Criteria

Department Manual Section 3/207.70, Traffic Division’s Responsibility – states, “*the Collision Investigation Follow-up Unit (CIFU) of the traffic division investigating an employee-involved traffic collision shall forward the original employee-involved Traffic Collision Report, which has been audited and approved for distribution, to the employee’s CO within five working days of the incident.*”

² Department Manual Section 3/207.95 states that a Level I Accident is valued at one point.

Department Manual Section 3/207.75, Commanding Officer's Responsibility – states, "*Cause the Traffic Collision Report and all related documents to be forwarded to TCS within 30 calendar days of receipt.*"

Audit Procedures

It was determined from the prior inspection that the Department does not have a system in place to record and track the receipt or forwarding dates of the TCR, as it is forwarded to different entities in the review, approval, and adjudication process. Without these dates, the inspection is unable to test for timely reviews. That said, TCS, EOD, maintains a database that captures the date the TCR is received from the Collision Investigation Follow-Up unit and the date the adjudication is received from the involved officer's CO. The database reflected that TCS received all (100%) adjudicated TCRs from the involved employee's COs.

The only dates available to assess the timeliness of this cycle are the date of the incident and the date TCS received the TCR. The results only indicate the timeliness of the administrative process for PTCs and Non-PTCs, but do not identify where in the process the TCR was not forwarded in a timely manner. It was determined that a 40-day review, approval, and adjudication cycle would be used for this objective. The 40-day cycle consists of five working days for the TCR to be forwarded to the employee's CO, 30 calendar days for the CO to forward the TCR to TCS and five calendar days to allow for holiday weekends (for the first five working days) and transit of the TCR.

Department Manual Sections 3/207.70 and 3/207.75, do not consider the involvement of outside police agencies when factoring in the timeline for review and approval. As a result, occurrences outside of LAPD's jurisdiction that were investigated by outside police agencies were not assessed for this objective.

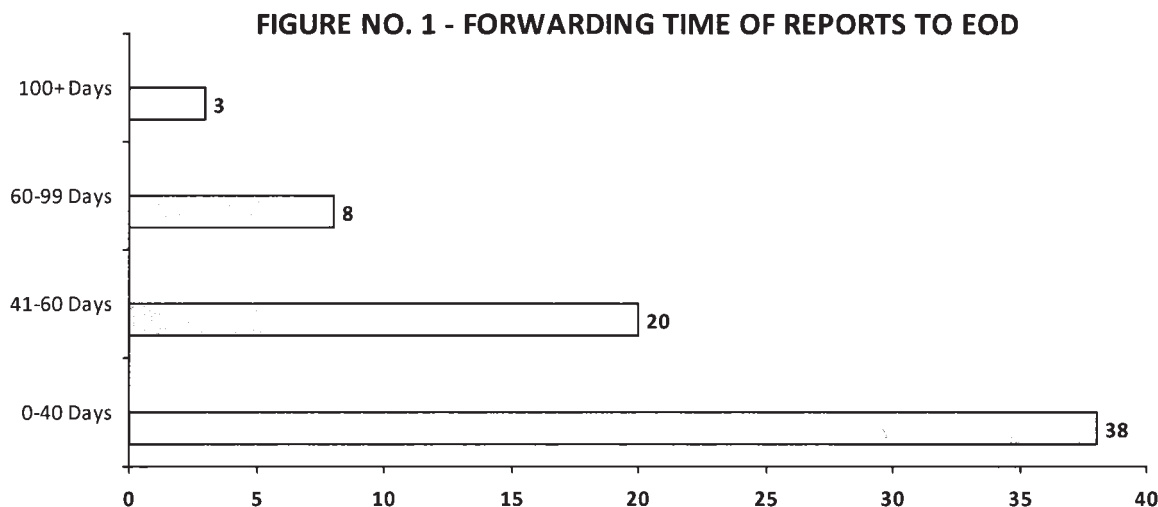
Internal Audits and Inspections Division examined the TCR and all related reports to determine when they were forwarded. Of the 74 TCRs, five were investigated by outside police agencies and were not assessed, resulting in 69 TCRs that were evaluated for this objective.

The Department met the standards if the TCR and all related reports were forwarded within the 40-day cycle.

Findings

Thirty-eight (55%) of the 69 TCRs were forwarded within the 40-day cycle.

Figure No. 1 – Forwarding Time of Reports to EOD presents a breakdown of the remainder of the TC reports.



Objective No. 3 – Traffic Collision Accurately Reflected in Officers' TEAMS II

Criteria

Department Manual Section 3/207.65, Emergency Operations Division Responsibility – states, *“The Commanding Officer, Emergency Operations Division, shall upon receipt of a Traffic Collision Report and related documents, update the points on the involved employee’s TEAMS Report.”*

Audit Procedures

Internal Audits and Inspections Division reviewed all involved employees’ TEAMS II reports to determine if the information regarding the traffic collisions were accurate.

The Department met the standards if the involved employee’s TEAMS II report accurately reflected the incident and its adjudication (PTC or Non-PTC).

Findings

Each (100%) of the 74 traffic collisions met the standards for this objective.

Objective No. 4 – Accrual of Three Points in 24 Months and Documented Required Training

Criteria

Department Manual Section 3/207.95, Point Count Criteria and Guidance and Remediation Thresholds – states, *“When three points accrue in 24 months, the employee shall be directed to a formal standardized driver improvement training course conducted by Training Division.”* The same section also states, *“The employee’s CO will count the points as listed on the TEAMS report and determine*

whether any of the remediation thresholds have been met. If one has been met, the CO shall immediately take the actions required to fulfill the remediation and create a TEAMS II Action Item to document the actions taken."

Audit Procedures

Internal Audits and Inspections Division reviewed all involved employees' TEAMS II records to determine if any had accrued three points in 24 months. If so, the employee's TEAMS II Action Items were then reviewed to determine if he/she was directed to a formal standardized driver improvement training course conducted by the Department's Training Division and subsequently documented the training in the TEAMS II report.

Of the 74 TCRs assessed, four (5%) officers reached the threshold of accruing three points within a 24 month period.

The Department met the standards if the qualifying employee's TEAMS II report indicated the required training was completed.

Findings

Two (50%) of the four officers had TEAMS II Action Items directing the employee to directed training and the completed training was documented in TEAMS II, and therefore, met the standards.

- One PTC (DR No. 1214-20336) directed the employee to a formal standardized driver improvement training course on an Intradepartmental Correspondence, Form 15.2.00 and the completed training was documented in TEAMS II, however, there was no documentation of the required Action Item on the TEAMS II report.
- One PTC (DR No. 1202-20871) did not have an Action Item on the TEAMS II report that documented the actions taken regarding the directed and completion of the formal standardized driver improvement training course. Additionally, the Training Section of the TEAMS II report did not indicate that the directed training was given or completed. The Intradepartmental Correspondence, Form 15.2.00 did not document directed training.

INFORMATION ONLY

Documentation of Primary Collision Factor

A review was also conducted to determine if a vehicle code was documented on the TCR to identify the Primary Cause Factor (PCF) when the officer was determined to be at fault. An appropriate entry can consist of a specific vehicle code violation, "other than driver," or "other improper driving."

- Seventy-three (99%) of the 74 TCRs identified a PCF.
- Fifty-seven (78%) of the 73 TCRs identified the PCF with a specific vehicle code violation.
- Thirty-nine (95%) of the 41 PTCs identified the employee as Party No. 1 in the TCR.

Documentation of Party Number for Preventable Traffic Collisions

Thirty-nine (95%) of the 41 PTCs listed the involved employee as Party No. 1 in the TC report.

Traffic Collisions Related to Pursuits

- One (1%) of the 74 TCRs were involved in a pursuit.
- Two (3%) of the 74 TCRs involved the units in a Code-3 response.

Review of Level III Traffic Accidents

A review was conducted of all Level III Accidents for 2012, to determine if they were properly classified. The circumstances of each Level III Accident was reviewed to determine if the actions of the officer/employee rose to the level of misconduct, thus requiring a personnel complaint investigation.

Traffic Coordination Section's database indicated there were nine Level III Accidents. Each of the nine Level III Accidents were properly classified.

During the review of one Level III Accident (DR No. 1213-21335), the involved employee's TEAMS II report indicated the employee was involved in another PTC (DR No. 1213-11438 – Level I) that caused the point count to reach the threshold of five or more points within a 36-month period.³ The Deployment Planning System (DPS) indicated the employee was on driving restrictions for 13 days (the 13 days consisted of regular days off, sick days and desk duty). Documentation indicated that during the employee's period of restricted driving, the employee attended a formal driver improvement training of at least four hours in length, conducted by a bona fide traffic school, and attended on a voluntary and off-duty basis without compensation.⁴ The employee's action enabled his point count to be reduced by one, according to Department policy. An additional review confirmed that TCS reduced the point count total of the employee to four, thereby, removing the driving restriction.

RECOMMENDATION

None.

MANAGEMENT'S RESPONSE

Internal Audits and Inspections Division presented the audit and findings to the Traffic Coordination Section, and the Assistant to the Director, Office of Special Operations; all expressed general agreement with the findings.

³ See Objective No. 5 for the "Criteria."

⁴ Department Manual Section 3/207.95 states that if an employee attends formal driver improvement training of at least four hours in length conducted by a bona fide traffic school and attended on a voluntary and off-duty basis without compensation, the Department will remove one point from the employee's point count.