

INTRADEPARTMENTAL CORRESPONDENCE

August 22, 2014
14.2

TO: The Honorable Board of Police Commissioners

FROM: Chief of Police

SUBJECT: FIELD TRAINING OFFICER SELECTION AND TRAINING AUDIT
(IAID No. 13-093)

RECOMMENDED ACTIONS

1. It is recommended that the Board of Police Commissioners REVIEW and APPROVE the attached Field Training Officer Selection and Training 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 Field Training Officer Selection and Training Audit to evaluate compliance with related Department policies and procedures.

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

Respectfully,



CHARLIE BECK
Chief of Police

Attachments

LOS ANGELES POLICE DEPARTMENT
*FIELD TRAINING OFFICER SELECTION
AND TRAINING AUDIT*

(LAID No. 13-093)



CHARLIE BECK
Chief of Police

July 2014

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EXECUTIVE SUMMARY
FIELD TRAINING OFFICER SELECTION AND TRAINING AUDIT
Conducted by
Internal Audits and Inspections Division
Third Quarter, FY 2013/14

PURPOSE

In accordance with the Los Angeles Police Department (Department) Audit and Inspection Plan for Fiscal Year (FY) 2013/2014, Internal Audits and Inspections Division (IAID) conducted the Field Training Officer (FTO) Selection and Training Audit to evaluate compliance with Department policies and procedures.

BACKGROUND

There were no prior audits conducted, however, a Field Training Officer Selection and Training Inspection was conducted during the Second Quarter FY 2011/2012. The population for that inspection consisted of all employees that received paygrade advancements from Police Officer II to Police Officer III positions, and all lateral transfers to Police Officer III positions from Deployment Period (DP) No. 8, 2010 through DP No. 6, 2011 (July 18, 2010 through June 18, 2011).

From the 46 FTOs assessed, the Department had a 100 percent compliance rate for completion of the Department 40-hour FTO School. An additional objective assessed whether FTOs who returned to an FTO position after a separation of two or more years received recertification training.¹ From the ten FTOs assessed, the Department had a 30 percent compliance rate for recertification.

The inspection did not evaluate the FTO Selection/Interview Package due to the vagueness in understanding when a TEAMS Evaluation Report (TER) was needed for an employee selected or transferred into an FTO position. Additionally, there were conflicting directives within applicable sections of the Department Manual as they related to the selection and transfer of FTO positions.

SUMMARY OF FINDINGS

This audit encompassed a total of three objectives, with a total of four areas that were tested. It was evident the Department met the standard with providing the required training to FTOs. Further attention to detail however is needed in a couple of areas. Staff completing selection packages should ensure they are including all the required forms as indicated by Employee Selection Section. In regard to the completion of TERs, there seems to be a misunderstanding of the requirement for TERs (Form 01.78.04) to be completed for FTO positions, rather than the Transfer Action Item (TAI), Form 01.78.20. The Department considers the FTO position to be a sensitive position, akin to those within Gang Enforcement Details, Narcotics Enforcement Details, Professional Standards Bureau, etc. The TER requires additional steps during the selection process that is not required by the TAI, which is utilized for all the other positions. (See Recommendation No. 2).

¹ The current requirement for supplemental training is after a separation from an FTO position of three or more years.

The table below is a summary of findings for the current audit along with the results from the prior inspection.

TABLE – SUMMARY OF FINDINGS

OBJECTIVE No.	DESCRIPTION/OBJECTIVES	RESULTS	
		FY 2011/2012	FY 2013/2014
1	Completeness of FTO Interview/Selection Packages	N/A ²	22/28 (79%)
2	Completion of TEAMS Evaluation Report	N/A ³	3/40 (8%)
3a	Officers' Completion of 40-Hour FTO School	46/46 (100%)	79/79 (100%)
3b	Recertification of Separated FTOs	3/10 (30%)	1/2 (50%)

RECOMMENDATIONS

1. The Field Training Officer Acknowledgement Receipt (Form 01.56.00, dated 07/03), under the Conditional Assignment and Training section, currently reflects separation of the duties as an FTO “for two years or more.” The form should be updated and consistent with Training Division Notice, dated September 21, 2012 – Field Training Officer Training Requirement – Revised, which has changed the requirement to three years.
2. It is recommended that the Sworn/Civilian Selection Checklist that is provided by Employee Selection Section to the hiring entity for a selection package, be amended to include the specific positions that require a TER, i.e., FTO, Gang Enforcement Detail, Professional Standards Bureau, Force Investigation Division, and Narcotics Enforcement Division.

ACTIONS TAKEN/MANAGEMENT’S RESPONSE

1. The audit findings were validated with each of the respective Area and division commanding officers, who expressed general agreement
2. The audit report was presented to the Director, Office of Administrative Services and to the Assistant to the Director, Office of Operations, both of which expressed general agreement with the audit findings and the recommendations.

² This objective was not assessed in FY 2011/2012.

³ This objective was not assessed in FY 2011/2012.

FIELD TRAINING OFFICER SELECTION AND TRAINING AUDIT

**Conducted by
Internal Audits and Inspections Division
Third Quarter, FY 2013/2014**

PURPOSE

In accordance with the Los Angeles Police Department (Department) Audit and Inspection Plan for Fiscal Year (FY) 2013/2014, Internal Audits and Inspections Division (IAID) conducted the Field Training Officer (FTO) Selection and Training Audit to evaluate compliance with Department policies and procedures.

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.

BACKGROUND

There were no prior audits conducted, however, a Field Training Officer Selection and Training Inspection was conducted during the second quarter FY 2011/2012. The population for that inspection consisted of all employees that received paygrade advancements from Police Officer II to Police Officer III positions, and all lateral transfers to Police Officer III positions from Deployment Period (DP) No. 8, 2010 through DP No. 6, 2011 (July 18, 2010, through June 18, 2011).

From the 46 FTOs assessed, the Department had a 100 percent compliance rate for completion of the Department 40-hour FTO School. An additional objective assessed whether FTOs who returned to an FTO position after a separation of two or more years received recertification training.¹ From the ten FTOs assessed, the Department had a 30 percent compliance rate for recertification.

The inspection did not evaluate the FTO Selection/Interview Packages due to the vagueness in understanding when a TEAMS Evaluation Report (TER), Form 01.78.04 was needed for an employee selected or transferred into an FTO position. Additionally, there were conflicting directives within applicable sections of the Department Manual as they related to the selection and transfer of FTO positions.

STATUS ON RECOMMENDATIONS

The following recommendations were made in the last inspection:

1. *"It is recommended that Planning and Research Division evaluate the various Department Manual sections pertaining to the selection and transfer processes of FTOs, and make that process clear as to whether a TER is required during a selection, and/or transfer of a FTO."*

¹ The current requirement for supplemental training is after a separation from an FTO position of three or more years.

Status on Recommendation No. 1: Implemented. The recommendation was implemented with the publication of Special Order No. 23, 2012; Department Manual sections 3/762.80, Commanding Officer's Duties - Transfers - Revised; and 3/763.85, Field Training Officer Selection - Revised and Renamed, December 24, 2012, and included in Department Manual sections 3/763.80 and 3/763.85.

2. *"It is recommended that the FTO Unit revise the FTO Training Manual to reflect the same requirement as POST regarding recertification of FTOs every three years when separated from an FTO assignment; currently the FTO Training Manual stipulates a two-year requirement."*

Status on Recommendation No. 2: Implemented. The recommendation was implemented with the publication of Personnel and Training Bureau, Training Division Notice, Field Training Officer Training Requirement-Revised, September 21, 2012.

3. *"It is recommended that Training Division along with the FTO Unit create a 24-hour block of instruction dedicated to updating FTOs returning from a separation of an FTO assignment, thus ensuring FTOs attend the 24-hour update training prior to engaging in the FTO assignment as required by POST; or, that officers returning to a FTO assignment be required to attend the Basic 40-hour FTO Course."*

Status on Recommendation No. 3: Implemented. The recommendation was implemented with the creation of a 24-hour Peace Officer Standards and Training (POST) -certified FTO Updated Course. As of DP 5, 2013 (April 21, 2013, through May 18, 2013), there have been thirteen 24-hour POST-certified FTO Update Courses scheduled by Training Division.

METHODOLOGY

Internal Audits and Inspections Division obtained a population from Position Control Section, Personnel Division, of all employees that received paygrade advancements from Police Officer II to Police Officer III positions and all lateral transfers to Police Officer III positions from Transfer Order Nos. 1, 2013 through Transfer Order No. 13, 2013. From that population, IAID filtered out all non-FTO personnel by reviewing TEAMS II reports to establish a working population of 79 FTOs.

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SUMMARY OF FINDINGS

This audit encompassed a total of three objectives, with a total of four areas that were tested. It was evident the Department met the standard with providing the required training to FTOs. Further attention to detail however is needed in a couple of areas. Staff completing selection packages should ensure they are including all the required forms as indicated by Employee Selection Section. In regard to the completion of TERs, there seems to be a misunderstanding of the requirement for TERs (Form 01.78.04) to be completed for FTO positions, rather than the Transfer Action Item (TAI), Form 01.78.20. The Department considers the FTO position to be a sensitive position, akin to those within Gang Enforcement Details, Narcotics Enforcement Details, Professional Standards Bureau, etc. The TER requires additional steps during the selection process that is not required by the TAI, which is utilized for all the other positions. (See Recommendation No. 2).

TABLE NO. 1 – SUMMARY OF FINDINGS

OBJECTIVE No.	DESCRIPTION/OBJECTIVES	RESULTS	
		FY 2011/2012	FY 2013/2014
1	Completeness of FTO Interview/Selection Packages	N/A ²	22/28 (79%)
2	Completion of TEAMS Evaluation Report	N/A ³	3/40 (8%)
3a	Officers' Completion of 40-Hour FTO School	46/46 (100%)	79/79 (100%)
3b	Recertification of Separated FTOs	3/10 (30%)	1/2 (50%)

DETAILED FINDINGS

Objective No. 1 - Completeness of FTO Interview/Selection Packages

Criteria

Office of Administrative Services Notice, Sworn Checklist - Paygrade Advancement and Lateral Transfer Opportunity Competitive Selection Process, dated April 11, 2012, states, *"The attached Sworn Selection Checklist (Checklist) will now accompany all selection packages provided to Department entities conducting competitive selection testing for paygrade advancements and lateral transfer opportunities."*

Los Angeles Police Department Employee Selection Manual, Section VIII. Making The Selection, D. Post-Interview Documentation, states, *"The Sworn/Civilian Selection Checklist will be provided by Employee Selection Section to the hiring entity for a selection package. The Sworn/Civilian Selection Checklist lists all of the items that must be retained by the hiring entity as documentation for the selection process."*

²This objective was not assessed in FY 2011/2012.

³This objective was not assessed in FY 2011/2012.

Audit Procedures

Internal Audits and Inspections Division identified a population of 79 FTOs from Transfer Order Nos. 1 through 13, 2013. Of the 79 FTOs, six were administrative transfers and seven were transfers from Personnel Division, Return to Work Section (Per-RW), which were removed, resulting in 66 FTOs.⁴

Of the 66 FTOs, 37 did not involve the competitive selection process as they were lateral transfers through Personnel Division, specifically through the Advanced Paygrade Logbook of Position Control Section.⁵ Furthermore, one FTO selection package (from Pacific Area) was unable to be located, leaving 28 packages available for review. The remaining 28 FTO selection packages were examined to determine the inclusion of the following documents.

- Selection Matrix;
- Rationale;
- Paygrade Advancement/Lateral Advanced Paygrade Transfer (*Form 15.02.00*) to Personnel Division Commanding Officer (C/O);
- Transfer and/or Change in Paygrade, Form 01.40.00 (1.40);
- Transfer Application Data Sheet, Form 15.88.00 (*only accept form dated: 03/09*);
- FTO Acknowledgement Receipt (*for FTO candidates only*);
- Standards Based Assessment Form 70 - 01.87.00 (*dated: 11/08*); and,
- Interview Worksheet or Package Review Worksheet.

The Department met the standard if the aforementioned documents were included. ♦

Findings

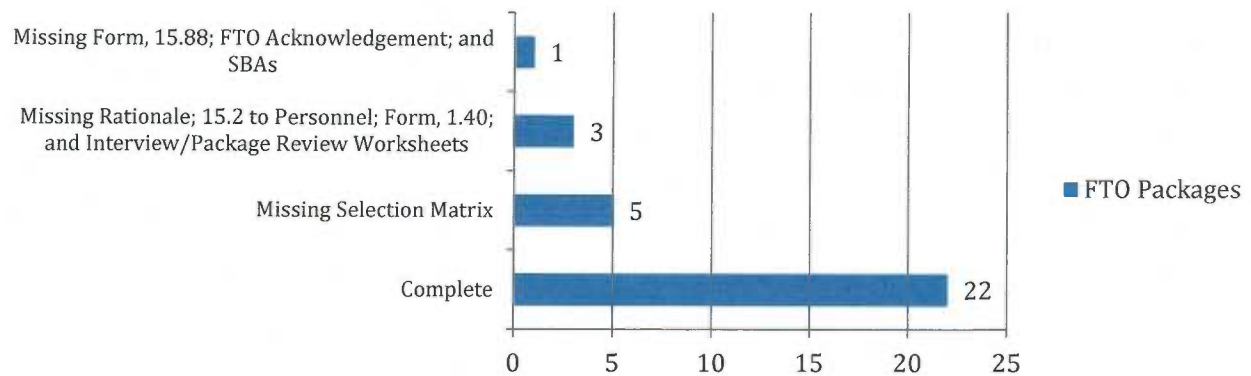
Twenty-two (79%) of the 28 FTO selections packages met the standard for this objective.

Table No. 2 illustrates the items missing from the remaining six FTO selection packages. A selection package may have contained multiple missing documents.

⁴Administrative transfers are initiated with a Form 15.2 and do not undergo the same process as an actual selection. Transfers from Per-RW do not involve a selection process because the officer is returning to the same command due to an extended leave, i.e., long term Injury-on-Duty, medical restrictions, etc.

⁵Memorandum No. 4, dated February 26, 1980, states that once an employee's initiated transfer is approved by the C/O of the division requested, Position Control maintains the approval transfer request in the Advanced Paygrade Logbook. Personnel Division may then use the Advanced Paygrade Logbook to exchange officers between divisions.

TABLE NO. 2 - NUMBER OF MISSING DOCUMENTS FROM FTO SELECTION PACKAGES



The documents within selection packages are archived to memorialize the selection process for Department employees. Not having each of the required documents within the selection packages may call into question the consistency of the selection process at a later time. Supervisors who complete the selection packages should utilize the checklist provided by Employee Selection Section to ensure all required documents are within the package.

Objective No. 2 – Completion of TEAMS Evaluation Report

Criteria

Manual Section 3/762.80, Commanding Officer's Duties – Transfers, states, "A TER is required when selecting sworn personnel for assignments to Field Training Officer (FTO) ..."

Manual Section 1/668.04, Types of TEAMS Reports, states, "TEAMS Evaluation Report, Form 01.78.04, Used for personnel transferring into or loaned to the position of Field Training Officer (FTO). The Department has established specific criteria for selecting sworn personnel to specialized or sensitive assignments. This information is to be used to ensure that all mandated selection criteria for these assignments are appropriately addressed."

Audit Procedures

Internal Audits and Inspections Division identified a population of 79 FTOs from Transfer Order Nos. 1 through 13, 2013. Of the 79 FTOs, six were administrative transfers and seven were transfers from Per-RW, which were removed, resulting in a population of 66 FTOs. Internal Audits and Inspections Division randomly selected a statistically valid sample from the population, resulting in 40 FTOs.⁶

⁶The sample size was obtained by utilizing a one-tail test with a 95 percent confidence level with a plus or minus four percent error rate.

The required TERs were examined for completeness with a focus on:

- Documented review of complaint histories;
- Professional Standards Bureau, Risk Management Division and Use Of Force Review Division checks; and,
- Supervisory and management approvals.

The Department met the standard if the TER was appropriately completed.

Findings

Three (8%) of the 40 FTO selection packages met the standard for this objective. The remaining 37 did not complete a TER. However, of the 37 that did not, 20 completed a TEAMS Action Item (TAI).⁷

Although 20 FTO selection packages indicated a TAI was completed, the requirements of the TAI are not as comprehensive as the TER, which require steps of inquiry that include but are not limited to, whether there is pending litigation with the officer, and specific types of high risk complaints.

The FTO position is one that was identified as a critical position that requires further scrutiny of individuals assigned to the position, and therefore required by policy. Based on communication with the various geographic Areas, it became evident that there continued to be a misunderstanding on the requirement to complete a TER for the FTO position; irrespective of whether the position was a transfer from the Personnel Division list, or a selection by the Area.

Moreover, personnel at geographic Areas also indicated the confusion may be attributed a Sworn/Civilian Selection Checklist that is distributed by Personnel Division, Employee Selection Section, wherein this checklist assists in indicating the various forms needed during the selection process. Currently, the checklist does not indicate that a TER is required for the specialized positions (FTO included); see Recommendation No. 2.

Objective No. 3a – Officers’ Completion of 40-Hour FTO School

Criteria

Manual Section 3/763.85, Field Training Officer Qualification and Selection/Assignment Requirements, states, *“Every employee selected for or assigned to an FTO position must have successfully completed FTO School prior to working with a recruit (i.e., ride-a-long from the police academy) or a probationer in the Structured Field Training Program, and he/she must meet the training requirements detailed in the Field Training Manual.”*

⁷A TAI is generated by TEAMS II when an officer transfers or is loaned to a new command. A TAI or a TER, depending on the position of assignment, must be completed. For lateral transfers, a TAI must be completed, or a TER, if a TAI is not generated.

Audit Procedures

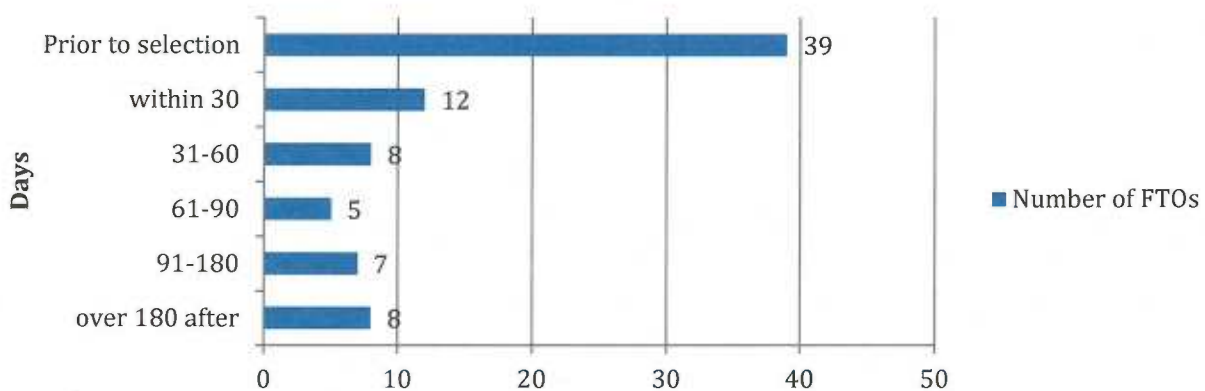
Internal Audits and Inspections Division reviewed the TEAMS II reports of the 79 FTOs that were either promoted or transferred between DP Nos.1 through 13, 2013 to determine if the 40-hour FTO School was completed. The Department met the standard if the FTO completed the course prior to working with a probationer.

Findings

Each (100%) of the 79 FTOs met the standard for this objective.

Table No. 3 illustrates the period of completion of the 40-hour FTO School relative to the period they were selected for that position.

TABLE NO. 3 - COMPLETION OF 40-HOUR FTO SCHOOL RELATIVE TO SELECTION



Objective No. 3b – Recertification of Separated FTOs

Criteria

Training Division Notice, dated September 21, 2012, *Field Training Officer Training Requirement - Revised*, requires FTOs that have not worked as an FTO for over three years to attend and successfully complete either the FTO School or 24-hour POST-certified FTO Update Course prior to working with a Structured Field Training Program Period Probationary Officer or Recruit Academy ride-along. This was established to comply with POST.

Audit Procedures

Internal Audits and Inspections Division reviewed the TEAMS II reports of the 79 FTOs that were transferred between DP Nos.1 through 13, 2013 (December 30, 2012, through December 28, 2013) to determine if the FTO had prior experience and not worked in a FTO capacity for a period of over three years.

It was determined that eight FTOs had not worked in an FTO capacity for over three years. Their TEAMS II training histories were reviewed to determine if they had completed the 40-hour FTO School or 24-hour POST-certified FTO Update Course prior to working in an FTO capacity.

The week of February 9 through 15, 2014, was selected to review the Deployment Planning System histories of the officers to determine if they were assigned to a probationary officer during this period.

Of the eight FTOs, four were not working in an FTO capacity (Community Relations Office, kitroom, and desk) and two were working field assignments, but not with probationary officers, which resulted in a review of only two FTOs for this objective.

The Department met the standard if the FTOs completed either the FTO School or 24-hour POST-certified FTO Update Course prior to working in an FTO capacity.

Findings

One (50%) of the two FTOs met the standard for this objective. One of the officers worked in an FTO capacity during the period reviewed, but had no record of completing the FTO School or the 24-hour POST-certified FTO Update Course.⁸

RECOMMENDATIONS

1. The Field Training Officer Acknowledgement Receipt (Form 01.56.00, dated 07/03), under the Conditional Assignment and Training section, currently reflects separation of the duties as an FTO “for two years or more.” The Form should be updated and consistent with Training Division Notice, September 21, 2012, *Field Training Officer Training Requirement – Revised*, which has changed to three years.
2. It is recommended that the Sworn/Civilian Selection Checklist provided by Employee Selection Section to the hiring entity for a selection package, be amended to include the specific positions that require a TER, i.e., FTO, Gang Enforcement Detail, Professional Standards Bureau, Force Investigation Division, and Narcotics Enforcement Division.

ACTIONS TAKEN/MANAGEMENT’S RESPONSE

1. The audit findings were validated with each of the respective Area and division C/Os, who expressed general agreement
2. The audit report was presented to the Director, Office of Administrative Services and to the Assistant to the Director, Office of Operations, both who expressed general agreement with the audit findings and the recommendations.

⁸ The FTO subsequently completed the 24-hour POST-certified FTO Update Course on April 17, 2014.