

INTRADEPARTMENTAL CORRESPONDENCE

September 28, 2016
14.2

TO: The Honorable Board of Police Commissioners

FROM: Chief of Police

SUBJECT: AIR SUPPORT DIVISION AUDIT (AD No. 15-091)

RECOMMENDED ACTIONS

1. That the Board of Police Commissioners REVIEW and APPROVE the attached Air Support Division Audit.
2. That the Board of Police Commissioners REVIEW and APPROVE the attached Executive Summary thereto.

DISCUSSION

Audit Division conducted the Air Support Division Audit to evaluate compliance with Department policies and procedures.

If additional information regarding this audit is required, please contact Arif Alikhan, Director, Office of Constitutional Policing and Policy, is available at (213) 486-8730.

Respectfully,



CHARLIE BECK
Chief of Police

Attachment

LOS ANGELES POLICE DEPARTMENT

*AIR SUPPORT DIVISION
AUDIT*

(AD No. 15-091)



Conducted by
AUDIT DIVISION

CHARLIE BECK
Chief of Police

October 2016

TABLE OF CONTENTS

Air Support Division Audit

	Page No.
Executive Summary	i
Purpose	1
Background	1
Prior Audits	1
Methodology	1
Summary of Findings	2
Detailed Findings	3
Objective No. 1 – Selection of ASD Personnel	3
Objective No. 1(a) – Completeness of Selection Packages for Selected Candidates	3
Objective No. 1(b) – Commanding Officer’s Rational Contained Justification of Selection	4
Objective No. 1(c) – Review of Selected Candidate’s Disciplinary History	5
Objective No. 1(d) – Sufficient Justification in Interview Worksheets	5
Objective No. 1(e) – Completion of the Interview Worksheets or Package Review Worksheets	6
Objective No. 1(f) – Completeness of Selection Packages for Non-Selected Candidates	7
Objective No. 1(g) – Diversity Among the Selected and Non-Selected Candidates	7
Objective No. 1(h) – Diversity Among the Selection Board Members	8
Objective No. 2 – Evaluation of Employee Performance	9
Objective No. 2(a) – Current SBA Present in the Division Employee Folder	9
Objective No. 2(b) – The SBA was Prepared with the Correct Rating Period	10
Objective No. 2(c) – Part 1: Specific Performance Area of the SBA was Properly Completed	10
Objective No. 2(d) – The Supporting Documents for Needs Improvement were Attached	11
Objective No. 3 – Safety of Personnel and Equipment	11
Objective No. 3(a) – Aircrew Assignment	11

EXECUTIVE SUMMARY
AIR SUPPORT DIVISION AUDIT
Conducted by
Audit Division
Fiscal Year 2015/16

PURPOSE

In accordance with the Los Angeles Police Department Annual Audit Plan for fiscal year 2015/16, Audit Division conducted the Air Support Division Audit to evaluate adherence with Department policies and procedures. The audit included a review of the Selection of Air Support Division (ASD) Personnel, the Evaluation of Employee Performance, Safety of Personnel, and Equipment and Training.

PRIOR AUDITS

This is the first audit of ASD operations conducted by Audit Division.

RECOMMENDATIONS

None.

ACTIONS TAKEN/MANAGEMENT'S RESPONSE

Audit Division provided the audit report to the Commanding Officer, ASD, who was in general agreement with the audit findings and provided a response.

This Section Intentionally Left Blank

SUMMARY OF FINDINGS

Table – Summary of Findings

Objective No.	Objective	Total Meeting Standard/Total Reviewed	Percentage Meeting Standard
Objective No. 1 – Selection of ASD Personnel			
1(a)	Completeness of Selection Packages Selected Candidates	2/2	100%
1(b)	Commanding Officer's Rationale Contained Justification of Selection	1/2	50%
1(c)	Review of Selected Candidate's Disciplinary History	1/2	50%
1(d)	Sufficient Justification in Interview Worksheets	85/85	100%
1(e)	Completion of the Interview Worksheets or Package Review Worksheets	83/85	98%
1(f)	Completeness of Selection Packages for Non-Selected Candidates	34/34	100%
1(g)	Diversity Among the Selected and Non-Selected Candidates	Yes	
1(h)	Diversity Among the Selection Board Members	Yes	
Objective No. 2 – Evaluation of Employee Performance			
2(a)	Current SBA Present in the Division Employee Folder	32/32	100%
2(b)	The SBA was Prepared with the Correct Rating Period	32/32	100%
2(c)	Part I: Specific Performance Area of the SBA was Properly Completed	32/32	100%
2(d)	The Supporting Documents for Needs Improvement were Attached	N/A	
Objective No. 3 – Safety of Personnel and Equipment			
3(a)	Aircrew Assignment	236/236	100%
3(b)	Helicopter Squawk Books	2/2	100%
3(c)	Airworthiness Certificate	11/11	100%
3(d)	Reading Folder	Yes	
Objective No. 4 – Training			
4(a)	Command Pilot Proficiency Checks	18/18	100%
4(b)	Tactical Flight Officer Check Ride	23/23	100%
4(c)	Emergency Flight Training	17/23	74%

AIR SUPPORT DIVISION AUDIT
Conducted by
Audit Division
Second Quarter, Fiscal Year 2015/16

PURPOSE

In accordance with the Los Angeles Police Department (Department) Annual Audit Plan for fiscal year 2015/16, Audit Division conducted the Air Support Division (ASD) Audit. The purpose of the audit was to assess conformance with Department policies and procedures pertaining to ASD operations.

Audit Division conducted this audit under the guidance of Generally Accepted Government Auditing Standards,¹ 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. Audit Division has determined that the evidence obtained provides a reasonable basis for the findings and conclusions based on the audit objectives.

BACKGROUND

The primary objective of ASD is to provide safe and efficient aviation support to Department operations. The patrol function of ASD is Air Support to Regular Operations (ASTRO), which includes aviation support to ground officers engaged in crime prevention and criminal apprehension operations. Another function of ASD is the Special Flights Section (SFS), which is responsible for the adequate deployment of aviation support to specialized units engaged in surveillance operations, motorcade protection, transportation missions, photographic flights, or other specialized missions.

In order to effectively support the Department's ground operations, it is imperative that only the most qualified employees are selected to ASD, and that employees assigned to ASD are evaluated objectively and thoroughly on a regular basis. Additionally, it is critical that policies and procedures pertaining to safety are strictly adhered to and that training requirements are met.

PRIOR AUDITS

This is the first audit of ASD operations conducted by Audit Division.

METHODOLOGY

In order to evaluate a broad range of ASD operations, the following four areas were identified:

- Selection of ASD Personnel;
- Evaluation of Employee Performance;
- Safety of Personnel and Equipment; and,
- Training.

¹U.S. Government Accountability Office, Generally Accepted Government Auditing Standards, December 2011 Revision.

Methodologies, populations, and audit periods were specific to each objective and are explained in Detailed Findings.

SUMMARY OF FINDINGS

Table No. 1 – Summary of Findings

Objective No.	Objective	Total Meeting Standard/Total Reviewed	Percentage Meeting Standard
Objective No. 1 – Selection of ASD Personnel			
1(a)	Completeness of Selection Packages for Selected Candidates	2/2	100%
1(b)	Commanding Officer's Rationale Contained Justification of Selection	1/2	50%
1(c)	Review of Selected Candidate's Disciplinary History	1/2	50%
1(d)	Sufficient Justification in Interview Worksheets	85/85	100%
1(e)	Completion of the Interview Worksheets or Package Review Worksheets	83/85	98%
1(f)	Completeness of Selection Packages for Non-Selected Candidates	34/34	100%
1(g)	Diversity Among the Selected and Non-Selected Candidates	See Detailed Findings	
1(h)	Diversity Among the Selection Board Members	See Detailed Findings	
Objective No. 2 – Evaluation of Employee Performance			
2(a)	Current SBA Present in the Division Employee Folder	32/32	100%
2(b)	The SBA was Prepared with the Correct Rating Period	32/32	100%
2(c)	Part I: Specific Performance Area of the SBA was Properly Completed	32/32	100%
2(d)	The Supporting Documents for Needs Improvement were Attached	N/A	
Objective No. 3 – Safety of Personnel and Equipment			
3(a)	Aircrew Assignment	236/236	100%
3(b)	Helicopter Squawk Books	2/2	100%
3(c)	Airworthiness Certificate	11/11	100%
3(d)	Reading Folder	Yes	
Objective No. 4 – Training			
4(a)	Command Pilot Proficiency Checks	18/18	100%
4(b)	Tactical Flight Officer Check Ride	23/23	100%
4(c)	Emergency Flight Training	17/23	74%

DETAILED FINDINGS

Objective No. 1 – Selection of ASD Personnel

The selection process for an assignment to ASD is very competitive and positions are highly coveted. Usually, there are numerous candidates for one position. Because of the unique skill set, experience, and knowledge required, it is imperative that only the most qualified candidates are selected. Additionally, it is critical that the selection process conform to the procedures established by the Hunter-La Ley (HLL) Consent Decree of 1992 and the post-HLL Consent Decree Transition Plan to ensure the process is fair, open, based on merit, and does not discriminate against any Department employee.

Audit Division evaluated the selection for one Tactical Flight Officer (TFO) and one Command Pilot (CP) position in the third quarter, 2015. The selection packages for both selected and non-selected candidates were examined. Because the candidate pool for the TFO position was very large, 26 non-selected packages along with the selected package were examined.² Altogether, two selection packages and 34 non-selected (26 TFO, eight CP) packages were examined.

Objective No. 1(a) - Completeness of Selection Packages for Selected Candidates

Criteria

Office of Administrative Services Notice, Sworn Checklist - Paygrade Advancement and Lateral Transfer Opportunity Competitive Selection Process, 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."*

Audit Procedure

Audit Division examined the selection packages of the two selected candidates to determine the inclusion of the following required Sworn Selection Checklist documents:

- Selection Matrix;
- Rationale;
- An Intradepartmental Correspondence, Form 15.02.00, titled "Paygrade Advancement/Lateral Advanced Paygrade Transfer" to the Commanding Officer (CO), Personnel Division (Transfer);
- Transfer and/or Change in Paygrade, Form 01.40.00;
- Transfer Application Data Sheet, Form 15.88.00 (03/09);
- TEAMS Report (Promotion/Paygrade Advancement);
TEAMS Evaluation Report (TER), Form 01.78.04, or Transfer Action Item (TAI),
Form 01.78.20;

²A statistically valid random sample of 26 non-selected candidates was determined based on a one-tail test and five percent error rate from a total population of 43.

- Standards Based Assessment (SBA) Lieutenant and Below, Form 01.87.00 (09/11);
- Interview Worksheet or Package Review Worksheet; and,
- Task and Competency List.

Findings

Both (100%) of the selection packages contained all the required documents and met the standard for this objective.

Objective No. 1(b) - Commanding Officer's Rationale Contained Justification of Selection

Criteria

Department Employee Selection Guidelines, Section VIII. Making the Selection, B., Selection, states, *"For all selections, the commanding officer or officer-in-charge must ensure that a written rationale for selecting the candidate(s) above all others is prepared. Detailed comments as to the specific job-related factors setting this candidate apart shall be included. Depending on individual Office, Bureau, or Group policy, this document is often in the form of a 15.2, Intradepartmental Correspondence, from the commanding officer to the bureau head or other manager responsible for final approval of the selection. In the absence of an Office, Bureau, or Group policy, the minimum requirement is that a memorandum 'to file' be prepared and signed by the commanding officer. In any case, the document should be retained with the final selection package (see Section VIII D)."*

Audit Procedure

Audit Division examined the CO's rationale to determine if it contained ample insight and justification to support the final selection.

Findings

One (50%) of the two CO's rationales articulated sufficient insight and justification to support the final selection. The CO's rationale for one selected candidate did not meet the standard for this objective because it did not contain sufficient insight and justification to support the selection. The rationale did not contain any documentation of job related factors that would set this candidate apart from any other. The rationale simply stated "I have reviewed Officer**** TEAMS report and believe he is qualified for the paygrade advancement at this time."

Objective No. 1(c) - Review of Selected Candidate's Disciplinary History

Criteria

Human Resources Bureau Notice, Paygrade Advancement and Lateral Advanced Paygrade Transfer Procedures, March 29, 2001,³ states, *"The Intradepartmental Correspondence shall indicate that the commanding officer has reviewed and completed an analysis of the selected employee's TEAMS report, with particular emphasis on the employee's disciplinary history. This information is provided in the new TEAMS classification screen entitled, "Final Selection by C/O; Transfer." Commanding officers shall indicate that they have contacted Internal Affairs Group regarding pending personnel complaints that may not have been included on the TEAMS report and shall indicate that they have addressed all issues regarding personnel complaints. Commanding officers shall also explain the reason(s) why the employee was selected should there be issues, such as discipline, on the TEAMS report."*

Audit Procedure

The Transfers were examined to determine if a review of the selected employee's disciplinary history was appropriately completed and if there was sufficient explanation for selection if the employee had disciplinary issues.

Findings

One (50%) of the two Transfers met the standard for this objective. The candidate selected for the TFO position had a lengthy and recent disciplinary history. This was reviewed by the CO and documented in the Transfer but documentation justifying the selection despite the disciplinary history was not present.

Objective No. 1(d) - Sufficient Justification in Interview Worksheets

Criteria

Office of Operations Notice No. 9, Deficiencies Identified during Recent Sworn Paygrade Selection Processes, November 10, 2006, states, *"Note: All Interview Worksheets shall contain sufficient justification (comments) to support the final interview rating and category placement."*

Audit Procedure

The Interview Worksheets were examined to determine whether the Tentative Numeric Score (rater's score before discussion) and Numeric Score (rater's score after discussion) of each interview board member were justified by the checked boxes and comments. The checked boxes and comments were also reviewed to determine if they were consistent with each other. Each TFO interview board consisted of two or three members and each CP interview board consisted of three members. Each interview board member completed an Interview Worksheet

³This Notice is an attachment to Office of Operations Notice No. 9, September 10, 2006.

documenting their assessment of the candidates' responses to the interview questions. Eighty-five Interview Worksheets were examined.

Interview Worksheets that contained sufficient justification to support the final interview rating and category placement met the standard for this objective.

Findings

Eighty-five (100%) of 85 Interview Worksheets contained sufficient justification to support the final interview rating and category placement and met the standard for this objective.

Objective No. 1(e) - Completion of the Interview Worksheets or Package Review Worksheets

Criteria

Office of Administrative Services Notice, April 11, 2012, Sworn Checklist - Paygrade Advancement and Lateral Transfer Opportunity Competitive Selection Process, 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."*

Audit Procedure

The Interview Worksheets/Package Review Worksheets were reviewed for completeness, consistency, accuracy of the tentative/final ratings, and the following:

- For each candidate there is one Interview or Package Review Worksheet per rater;
- All Worksheets have candidate name, serial number, and consistent interview date;
- All Worksheets have rater name, serial number, signature and rank;
- All Worksheets have a tentative and final rating;
- All final ratings are computed correctly;
- There are checks in the boxes/markings to indicate rating in each category;
- The checks in the boxes/markings, comments written, and tentative/final ratings all correspond to each other;
- There are comments in each category to justify the rating; and,
- There are comments in the "Additional Comments" section to justify any change in rating if the tentative and final ratings are different.

Interview worksheets/Package Review Worksheets that were appropriately completed met the standard for this objective.

Findings

Eighty-three (98%) of 85 Interview Worksheets/Package Review Worksheets were completed properly and met the standard for this objective. Two Interview Worksheets did not meet the standard for the following reasons:

- One candidate was missing a tentative rating, a final rating, and check marks in the rating categories; and,
- One candidate had all rating categories checked Satisfactory, but the candidate was given a tentative rating of 2/Excellent (Satisfactory is equivalent to a score of 1). The rating given after discussion was again 2/Excellent and the final average score was also 2/Excellent. However, the final rating indicated on top of the worksheet was Satisfactory.

Objective No. 1(f) - Completeness of Selection Packages for Non-Selected Candidates

Criteria

Office of Administrative Services Notice, Sworn Checklist - Paygrade Advancement and Lateral Transfer Opportunity Competitive Selection Process, 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.*"

Audit Procedure

Audit Division examined 34 non-selected candidate packages to determine the inclusion of all of the following required documents:

- Transfer Application Data Sheet;
- TEAMS Report;
- Standards Based Assessment, Lieutenant and Below; and,
- Interview Worksheet or Package Review Worksheet.

Packages containing all the required documents met the standard for this objective.

Findings

Each (100%) of the 34 non-selected candidate packages contained all the required documents and met the standard for this objective.

Objective No. 1(g) - Diversity Among the Selected and Non-Selected Candidates

Criteria

Department Hunter-La Ley Transition Plan - Auditing, states, "*This audit will also include an assessment of diversity.*"

Audit Procedures

An assessment was conducted of the selected and non-selected candidates to provide information pertaining to the diversity of the selected and non-selected candidates.

Findings

Table No. 2 – Gender and Race Summary of Candidates

Position	Selected Gender/Race	Non-Selected Gender	Non-Selected Race
TFO	Male/Hispanic	62 Males 6 Females	4 Black 22 Hispanic 4 Asian/Filipino 38 Caucasian
CP	Male/Hispanic	8 Males	2 Hispanic 2 Asian/Filipino 4 Caucasian

Objective No. 1(h) — Diversity Among the Selection Board Members

Criteria

Fiscal Year 2009/2010 - Hunter-La Ley Consent Decree Annual Report - Board of Police Commissioners #10-0453 (Background) - Fiscal Year 2009/2010 Goals, states, *"Evaluate and further develop the audit/inspection process to examine diversity on the selection board for employee selection interviews. This goal was met by LAID on the last two quarterly HLL Coveted Position Inspections. The purpose of the inspection is to ensure that selections made for "coveted positions" adhere to federal employee selection guidelines and Department selection standards. To achieve this goal, the gender and ethnicity of the selection board was added to the objective of the actual inspection which is then reported for each coveted position filled competitively. In addition, the format of the report was enhanced to follow the same format as the audits conducted by IAID for uniformity. An executive summary has been added to each report as well."*

Audit Procedures

A review was conducted of the Interview Worksheets to identify the selection board members' gender and ethnicity. The Department's Deployment Roster; Alpha Sworn/Civilian Personnel with Sex and Descent Roster, was utilized to determine this. Although the criteria referred to "coveted positions," it should be considered a best practice to ensure the Department is holding itself accountable to standards for all positions, not only for coveted positions. Therefore, this objective focused on both TFO and CP positions, which involved a competitive selection process, to provide information on the gender and ethnic diversity of the selection boards.

Findings

Table No. 3 – Gender and Race Summary of Selection Board

Position	Board Member Gender	Board Member Race
TFO	3 Males	2 Hispanic 1 Caucasian
CP	3 Males	1 Black 2 Caucasian

Objective No. 2 – Evaluation of Employee Performance

The SBA is the personnel report used to evaluate the performance of officers of lieutenant rank and below. This report measures: Skills Required to Perform Current Assignment, Initiative and Productivity, Communication, Personal Interactions, Integrity, and Acceptance of Responsibility. Standards Based Assessments for 32 officers; lieutenants and below, assigned to ASD were evaluated.

Objective No. 2(a) – Current SBA Present in the Division Employee Folder

Criteria

Department Manual Section 3/760.20, Standards Based Assessment – Lieutenants and Below, states, “SBAs shall be completed on an annual basis.”

Department Manual Section 3/760.90, Division Personnel Records, states, “*Commanding officers shall establish and maintain a Division Employee Folder, Form 01.01.00, for each employee under their command. The contents shall be limited to that information regarding the employee's:*

- *Conduct.*
- *Performance.*
- *Attitude.*
- *Capabilities.”*

Audit Procedure

Audit Division examined the Division Employee Folders to determine if a current SBA was present. If the SBA was not present, notifications were promptly made to the employee’s CO.

Division Employee Folders containing current SBAs met the standard for this objective.

Findings

Each (100%) of the 32 Division Employee Folders contained current SBAs and met the standard for this objective.

Objective 2(b) – The SBA was Prepared with the Correct Rating Period

Criteria

Department Manual Section 3/760.20, states, “*All sworn employees at the rank of lieutenant and below will be rated during the month that they were appointed to their current rank, regardless of their pay grade. For example, the month of a police officer’s date of hire remains his/her rating month until he/she is promoted to detective or sergeant, then the month of promotion becomes the new rating month for the employee.*”

Audit Procedures

The employees’ TEAMS reports were examined to determine the date they were appointed to their current rank. This date was compared to the date of their SBA rating period. An SBA with a rating period beginning date that was the same as the date the employee was appointed to his/her current rank met the standard for this objective.

Findings

Each (100%) of the 32 SBAs were completed using the correct rating period and met the standard for this objective.

Objective No. 2(c) – Part I – Specific Performance Area of the SBA was Properly Completed

Criteria

The “Part I – Specific Performance” area of the SBA contains six categories of performance that should be properly completed. Per SBA guidelines, the Not Applicable Instructions, states, “*Indicate items not applicable by striking through (example) the text of the check box(es). Explain the reason why the item is not applicable in the space below. All not applicable items must be explained.*”

Audit Procedure

The SBAs were evaluated to determine if all applicable boxes were checked and, in cases where a “Not Applicable” box was checked, the reason was documented in the comment box on page three.

All SBAs in which applicable boxes were checked and justification for Not Applicable boxes was documented in the comment box on page three met the standards for this objective.

Findings

Each (100%) of the 32 SBAs met the standard for this objective.

Objective No. 2(d) – The Supporting Documents for Needs Improvement were Attached

Criteria

Standards Based Assessment, Lieutenant and Below, Guidelines for Completing the Report, Form 01.87.02 (9/11), states, “*Documentation (Comment Cards or NTCDs) shall be attached to the SBA for all boxes checked as Needs Improvement.*”

Audit Procedure

Any SBA indicating an area of Needs Improvement was evaluated for supporting documentation; Employee Comment Sheet, Form 01.77.00 (Comment Cards), or Notices to Correct Deficiencies (NTCD).

All SBAs indicating Needs Improvement with supporting documentation met the standard for this objective.

Findings

None of the 32 SBAs indicated an area of Needs Improvement.

Objective No. 3 – Safety of Personnel and Equipment

Safety is of paramount importance in ASD operations. The Air Support Division Manual, December 4, 2014, establishes guidelines and systems to ensure the safe operation of aircraft.

Objective No. 3(a) – Aircrew Assignment

Criteria

Air Support Division Manual Section 3/206.02, states, “*New Command Pilots and new Tactical Flight Officers should not be assigned together as a crew for ASTRO or SFS. A ‘new’ pilot is defined as having less than six months experience after having achieved Command Pilot status, and is still on a thirty day check ride schedule. A ‘new’ Tactical Flight Officer is defined as an Officer that has not received his/hers TFO wings.*”

“This policy is not intended to prohibit assigning ‘new’ inexperienced crewmembers together in any circumstance. However, it would be imprudent to assign two inexperienced crewmembers together, while another crew is comprised of veteran officers.”

Audit Procedure

Audit Division evaluated CP and TFO deployment as indicated on actualized Deployment Planning System worksheets for Deployment Period 12, 2015; November 1, 2015, to November 28, 2015. New CPs and TFOs were identified through the ASD Training Unit. If inexperienced crew members were assigned together, the deployment for that shift was evaluated for availability of veteran officers that could have been assigned instead.

Shifts in which inexperienced crewmembers were not assigned together or inexperienced crewmembers were assigned together due to no available veteran officers met the standards for this objective. A total of 236 units were identified among three watches in the evaluation period.

Findings

Each (100%) of the 236 units consisted of at least one veteran officer and met the standard for this objective.

Objective No. 3(b) – Helicopter Squawk Books

Criteria

Air Support Division Manual Section 3/543.02, states, *“Each Department helicopter shall have two squawk books associated with it, an aircraft squawk book and a radio squawk book. The books shall be identified by the last three digits of the aircraft registration number. An aircraft squawk book shall be used to record discrepancies, repairs and other condition/maintenance information associated with a particular helicopter; an avionics squawk book shall be used to record discrepancies, repairs and other condition/maintenance information associated with radios and avionics installed in a particular helicopter.”*

Audit Procedure

Audit Division conducted an unannounced inspection at ASD on February 24, 2016, for the presence of squawk books in each aircraft on the tarmac at the time of the inspection. The presence of both required squawk books per aircraft met the standard for this objective.

Findings

Two aircraft were on the tarmac at the time of the inspection and both (100%) had corresponding squawk books that were active and had recent entries.

Objective No. 3(c) – Airworthiness Certificate

Criteria

Air Support Division Manual Section 3/508, states, *“Except as authorized by the Commanding Officer, Air Support Division, each Department aircraft shall have a valid FAA Airworthiness Certificate as a Normal Category Aircraft.”⁴*

Audit Procedure

Audit Division conducted an unannounced inspection at ASD on February 24, 2016, and checked Federal Aviation Administration (FAA) Airworthiness Certificates for 11 grounded

⁴An Airworthiness Certificate is a Federal Aviation Administration document which grants authorization to operate an aircraft in flight.

aircraft at the time of the inspection. The FAA Airworthiness Certificate for each aircraft was checked for validity. Aircraft with a valid FAA Airworthiness certificate met the standard for this objective.

Findings

Each (100%) of the 11 aircrafts had valid FAA Airworthiness Certificates and met the standard for this objective.

Objective No. 3(d) – Reading Folder

Criteria

Air Support Division Manual Section 0/096, states, *“The ASD Reading Folder is designed to ensure all ASD air crew members are informed of all pertinent information relating to their assignments. The folder may contain aircraft accident prevention information, local flight regulations and procedures, command directives, new policies, and any other documents pertaining to ASD operations.”*

Audit Procedure

Audit Division conducted an unannounced inspection at ASD on February 24, 2016, for the presence of the ASD Reading Folder. The presence of a Reading Folder met the standard for this objective.

Findings

Audit Division located the “Rotator” which serves as the Reading Folder for ASD. The Rotator is used to disseminate and communicate pertinent information to employees at each Roll Call. The Rotator is read at each Roll Call and initialed by the watch supervisor. This met the standard for this objective.⁵

Objective No. 4 – Training

Training of ASD personnel in the safe operation of aircraft is tantamount to maintaining the safety of the aircraft and personnel. The ASD Manual establishes training requirements for CPs and TFOs to ensure flight skills are kept current.

Objective No. 4(a) – Command Pilot Proficiency Checks

Criteria

Air Support Division Manual Section 3/1216, states, *“Command Pilot Proficiency Checks should be scheduled so that each pilot completes a check ride every 90 days. No pilot may act as P.I.C. of an Air Support aircraft unless he/she has completed a proficiency check ride with the*

⁵ Department Manual Section 3/222.45

Chief Pilot or designated check pilot within the past 180 days.⁶ Extensions beyond the 180-day limit shall only be granted by the Chief Pilot, with concurrence of the Commanding Officer, ASD.

Note: New Command Pilots shall receive check rides every 30 days for the first 90 days from the date of receiving their Command Pilot Wings. This check ride shall be modified in subject matter as deemed appropriate by the Chief Pilot."

Audit Procedure

Audit Division met with the Chief Pilot and obtained a roster/log of active CPs (18). The log was evaluated for evidence of a check ride completed by each veteran CP within the last 90 days and by each new CP within the last 30 days. A CP receiving his/her wings within the last 90 days was considered new.

Evidence of a check ride performed for each CP within the required period met the standard for this objective.

Findings

Each (100%) of the 18 CPs had documentation of a check ride performed within their respective required period, and met the standard for this objective.

Objective No. 4(b) – Tactical Flight Officer Check Ride

Criteria

Air Support Division Manual Section 3/1228.25, states, *"No officer may serve as a Tactical Flight Officer of a Department Aircraft, unless that officer has successfully completed a Tactical Flight Officer Check ride ('Wings Ride')."*

Note: Command Pilots may serve as ASTRO/SFS Tactical Flight Officers without receiving a TFO check ride."

Audit Procedure

Audit Division obtained a roster of active TFOs (23) and evaluated it for documentation of successful completion of a Wings Ride. Each TFO with documentation of successful completion of a Wing Ride, met the standard for this objective.

Findings

Each (100%) of the 23 TFOs had documentation of a successful Wings Ride and met the standard for this objective.

⁶ Pilot in Command (P.I.C.)

Objective No. 4(c) – Emergency Flight Training

Criteria

Air Support Division Manual Section 3/1232, states, “*Emergency Flight Training is a program that provides TFO's with limited flight skills to maintain positive control of the aircraft should the P.I.C. become unable to perform his/her piloting tasks.*”

“EFT shall be provided to TFO's every 180 days, Divisional deployment permitting.”

“The Chief Tactical Flight Officer is responsible for maintaining all files and scheduling of Emergency Flight Training.”

Audit Procedure

Audit Division examined the Emergency Flight Training (EFT) files maintained by the Chief TFO for documentation of completion of EFT for each TFO within the last 180 days. The TFO files that did not have documentation of EFT within the last 180 days required documentation of justification for not receiving training by the Chief TFO or CO, ASD. The TFO file with documentation of EFT within the last 180 days or documentation of justification for not receiving training met the standard for this objective.

Findings

Seventeen (74%) of the 23 TFO files had documentation of EFT within the last 180 days. There was no documentation of training within the last 180 days or justification for not receiving training for the six remaining files.

RECOMMENDATIONS

None.

ACTIONS TAKEN/MANAGEMENT'S RESPONSE

Audit Division provided the audit report to CO, ASD, who was in general agreement with the audit findings and provided a response.

INTRADEPARTMENTAL CORRESPONDENCE

May 17, 2016
16.1

RECEIVED

MAY 19 2016

#360

TO: Commanding Officer, Audit Division

Internal Audits & Inspections Division

FROM: Commanding Officer, Air Support Division

SUBJECT: RESULTS – AIR SUPPORT DIVISION AUDIT – SECOND QUARTER,
FISCAL YEAR 2015/2016 (AD No. 15-091)

In accordance with the Los Angeles Police Department Annual Audit Plan for Fiscal Year 2015/16, Audit Division (AD) conducted an audit on Air Support Division (ASD)'s operations. The specific purpose of the audit was to assess compliance with Department policies and procedures pertaining to ASD operations.

According to the audit findings, ASD was out of compliance in one or more of the following objectives:

- Objective No. 1 - Selection of ASD Personnel
- Objective No. 4 - Training

In response to the AD audit findings, ASD developed a comprehensive action plan that would address all audit identified issues and ensure future total compliance.

ASD Action Plan

- 1 (b) Commanding Officer's Rational Contained Justification of Selection
- 1 (c) Review of Selected Candidate's Disciplinary History

It was determined that in both of the above sub-categories identified, the Intradepartmental Correspondence (Form 15.2), justifying the Commanding Officer rational for the candidate selected to the position of Tactical Flight Officer (TFO) did not meet the established Department standard. The documented content was insufficient, lacked Commanding Officers insight, and did not support the selection.

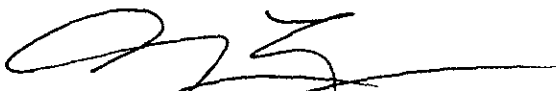
To ensure absolute compliance, the ASD Commanding Officer will, in all future selections, abide by policy established in Operations Notice No. 9, 2006, specifically the Commanding Officer will review and confirm that a comprehensive analysis of the selected candidates TEAMS report, with ample and sufficient justification for the selected candidate, and a sufficient analysis and justification of the selected candidates discipline history, be conducted prior to submit the rational correspondence.

- 4 (c) Emergency Flight Training (lack of participation)

The audit revealed that 17 of the 23 assigned ASD TFO's had participated in Emergency Flight Training (EFT) during their tenure as a TFO. This resulted in a 74% compliance rate, which is unacceptable in the area of aviation safety. Air Support has since then implemented a structured EFT training platform that will include both, classroom and practical application, focusing on landing the aircraft by the TFO from the TFO seat of the aircraft.

The ASD Action Plan was initiated in April 18, 2016, with an emphasis on EFT training of all assigned ASD TFO's. To achieve this, two TFO's per Deployment Period will participate in EFT training during the next twelve months. As a result, at the end of the 12-month period, a formal ASD inspection will be conducted to ensure 100% compliance. Additionally, quarterly EFT training will continue for every assigned TFO to ASD for the remainder of their individual tenure at ASD.

Should you have questions, please contact me at (213) 473-8180.



ALFONSO LOPEZ, Captain
Commanding Officer
Air Support Division