

INTRADEPARTMENTAL CORRESPONDENCE

September 14, 2022
14.2

TO: The Honorable Board of Police Commissioners

FROM: Chief of Police

SUBJECT: WORK PERMIT ISSUANCE AUDIT (AD NO. 21-009)

RECOMMENDED ACTION

It is recommended that the Board of Police Commissioners REVIEW and APPROVE the attached Work Permit Issuance Audit.

DISCUSSION

Audit Division (AD) conducted a Work Permit Issuance Audit to determine the Department's compliance to its policy pertaining to work permit approval and record keeping during the audit period of March 1, 2021, through August 31, 2021.

If additional information regarding this audit is required, please contact Senior Management Analyst II Sharon Sargent, Acting Commanding Officer, Audit Division, at (213) 486-8129.

Respectfully,

A handwritten signature in blue ink, appearing to read 'MICHEL R. MOORE', is written over the typed name and title.

MICHEL R. MOORE
Chief of Police

Attachment

LOS ANGELES POLICE DEPARTMENT

Work Permit Issuance Audit of 2021
(AD No. 21-009)



Conducted by
AUDIT DIVISION

MICHEL R. MOORE
Chief of Police

August 2022

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AD No. 21-009

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WORK PERMIT ISSUANCE AUDIT
Conducted by Audit Division
2021

OVERVIEW

Audit Division (AD) conducted the Work Permit Issuance Audit in accordance with the Los Angeles Police Department (Department) 2021 Annual Audit Plan. The purpose of the audit was to evaluate conformance with Department policies and procedures relative to secondary employment for sworn and civilian employees. The audit also identified potential risks regarding disallowed secondary employment and work schedules that could potentially create a conflict of interest. The audit included a review of the approval and record keeping processes for the Motion Picture/Television (MPT) Filming Work Permit Application/Renewal, Form 01.47.01, and the Permit for Secondary Employment (PSE), Form 01.47.00.

Department compliance rates for the MPT Application/Renewal ranged from 75 to 96 percent as follows:

- The MPT Application/Renewal was completed as required 75 percent of the time [Objective No. 1(a)];
- Division Commanding Officers (CO) reviewed and signed the MPT Application/Renewal 96 percent of the time [Objective No. 1(b)]; and,
- Required approval or denial of the MPT Application/Renewal was completed 96 percent of the time [Objective No. 1(c)].

Department compliance rates for the PSE Applications ranged from 96 to 100 percent as follows:

- The PSEs were completed as required 96 percent of the time [Objective No. 2(a)];
- Division COs reviewed and signed the PSE 100 percent of the time [Objective No. 2(b)];
- All required documents were submitted with the PSE 99 percent of the time [Objective No. 2(c)]; and,
- Approval/Denial of the PSE by the CO, Administrative Services Bureau (ASB), or designee, was completed 100 percent of the time [Objective No. 2(d)].

Department compliance rates for the requirement that work permits were accurately recorded in the employees Training Evaluation and Management System (TEAMS) II, through the Comprehensive Automated Permit System (CAPERS) ranged from 92 to 98 percent as follows:

- The MPTs were accurately entered in CAPERS 92 percent of the time [Objective No. 3(a)]; and,
- The PSEs were accurately entered in CAPERS 98 percent of the time [Objective No. 3(b)].

BACKGROUND

The Department recognizes that some employees, both sworn and civilian, may need to augment their income by seeking employment outside of the Department. However, Department Manual Volume 1, Section 1/270.30, Secondary Employment Policy – General, states:

The nature of the law enforcement task requires Department employees to have the ability to work irregular schedules which are subject to change in meeting deployment needs. Additionally, it is necessary that employees have adequate rest to be alert during their tours of duty. For these reasons, and because certain activities are inherently incompatible with an employee's primary responsibility to the Department, the Department may impose conditions on secondary employment or may prohibit it altogether. Determination of the degree of limitation will be based upon the interest of the Department and ensuring that the Department receives full and faithful services in return for its expenditure of resources.

Therefore, the Department requires all employees seeking secondary employment to submit a work permit application and PSE, to their CO through their immediate supervisor. The supervisor investigates by reviewing the application for completeness, ensuring that the secondary employment does not conflict with any duty restrictions, documenting information discovered that may result in a denial of the application, and ensuring that the requesting employee provide copies of permits and licenses required to perform the secondary employment. For employment in the film industry, MPT Application/Renewal, Form 01.47.01, requires documentation including driver license, current motorcycle registration, and proof of insurance if the officer is requesting to use a motorcycle. The review process also determines whether the secondary employment does not involve work as a Private Investigator, which is prohibited.¹

Audit Division issued a prior work permit audit regarding secondary employment in April 2017.

SCOPE AND METHODOLOGY

This audit included a review of the internal control systems implemented by the Department to ensure compliance with applicable regulations, policies, and procedures. Auditors selected a random stratified sample of all Department work permits issued during the period of March 1, 2021, through August 31, 2021. The Department's Application Development and Support Division (ADSD) generated a listing of all work permits processed during the audit period. The Department processed 592 Permits for Secondary Employment and 118 MPT Application/Renewals.

Auditors stratified the total population of 710 permits by Areas and divisions to arrive at a statistical sample of 243 Permits for Secondary Employment and 96 MPT Application/Renewals

¹ See Department Manual, 3rd Quarter 2021, Volume 1, "Policy," Section 270.35, "Secondary Employment as a Private Investigator-Prohibited."

for review and testing.² Auditors gathered evidence of compliance with the Department's policies and procedures using the following methods:

- Conducted a walk-through and interviewed the Department's Work Permit Coordinator;
- Conducted a walk-through of the MPT process with the Office of Operations (OO) Film Unit;
- Reviewed work permits for completeness; and,
- Reviewed details in CAPERS to verify that all work permit information was entered correctly.

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² Auditors applied a one-tail test with 95 percent confidence level, error rate of 5 percent for the sample selection, and a 50 percent proportion of success.

The Table below summarizes the compliance rates for three objectives and nine sub-objectives for the current and prior audit.

SUMMARY OF FINDINGS

Table No. 1 – Summary of Findings

Objective No.	Audit Objectives	Year 2017		Year 2021	
		Number Meeting Standards Evaluated	Percent Meeting Standards	Number Meeting Standards Evaluated	Percent Meeting Standards
1	Completeness of the MPT Application/Renewal				
1(a)	The MPT Application/Renewal was Completed as Required	22/39	56%	72/96	75%
1(b)	Division Commanding Officer Reviewed and Signed the MPT Application/Renewal	39/39	100%	92/96	96%
1(c)	Required Approval/Denial of the MPT Application/Renewal	39/39	100%	92/96	96%
2	Completeness of PSEs				
2(a)	PSE was Completed as Required	77/87	89%	234/243	96%
2(b)	Division Commanding Officer Reviewed and Signed the PSE	86/86	100%	243/243	100%
2(c)	All Required Documents were Submitted with the PSE	50/51	98%	242/243	99%
2(d)	Approval/Denial of PSE by CO, ASB	86/86	100%	243/243	100%
3	Work Permits Were Recorded in Teams II through CAPERS				
3(a)	MPT Application/Renewals were Accurately Entered in CAPERS	N/A ³	N/A	88/96	92%
3(b)	PSEs were Accurately Entered in CAPERS	98/125	78%	238/243	98%

DETAILED FINDINGS

Objective No. 1 – Completeness of the MPT Application/Renewal

The overall objective assessed the completeness and approval of the MPT application.

³ In the prior audit, the MPT and PSE results were not separated for this objective.

Objective No. 1(a) – The MPT Application/Renewal was Completed as Required

Criteria

Department Manual, 4th Quarter 2020, Volume 4, “Line Procedures,” Section 292.05, “Employee/Retired Officer’s Responsibilities,” states:

Active officers or retired officers seeking employment at motion picture/television filming locations shall:

- Complete the Motion Picture/Television Filming Work Permit Application/Renewal Form 01.47.01; and,

Active Officers. Active officers shall submit the completed application to his/her immediate supervisor for processing;

Retired Officers. Retired officers shall submit the completed application directly to the Film Unit, Contract Services Section (CSS), Emergency Operation Division (EOD), for review...⁴

Supervisor’s Responsibilities. A supervisor receiving a Motion Picture/Television Filming Work Permit Application/Renewal Form shall:

- Review the application for completeness;
- Acknowledge receipt of the application by completing the “SUPERVISOR REVIEWING APPLICATION” line...;
- Forward the original application along with all associated documents to the requesting active officer’s commanding officer;
- If the active or retired officer is requesting to use a two-wheeled motorcycle, ensure the requirements of Rule 4 on the application are verified;⁵ and,
- If the active or retired officer is requesting to use a two-wheeled motorcycle, ensure that the requesting employee has included copies of his/her current driver’s license endorsed for motorcycle operation, current motorcycle registration, and proof of insurance.

This MPT Application/Renewal process is administered by the OO Film Unit. Prior to submitting the work permit application to the Area CO, the supervisor is required to perform an investigation to ensure that the secondary employment does not conflict with any duty restrictions the officer may have. Therefore, the supervisor’s responsibilities should be completed, including supervisor signature and date on the application, prior to the CO’s signature which affirms that the work permit application is completed as required.

⁴ The Department’s Film Permit Coordinator informed AD that retired employees submit their application for MPT directly to the Film Unit, OO, rather than the EOD as indicated by policy.

⁵ Rule No. 4 applies to motorcycle equipment, registration, and insurance requirements for MPT Application/Renewal.

Audit Procedures

Auditors reviewed each MPT Application/Renewal to determine if the application was completed with the required information and that the supervisor signed the form indicating that he or she performed the required investigation.

The Department met the standard for this objective if the application was complete when the employee and supervisor both signed and dated the form and the reviewing supervisor conducted an investigation which was signified by checking off form verification boxes.

Findings

Seventy-two of the 96 (75 percent) work permits met the standard for this objective. The 24 work permits that did not meet the standard are detailed in Table No. 2.

Table No. 2 – The MPT Application/Renewal was Completed as Required

Division/Area	Control Number ⁶	Description of Findings
Central	8	The employee signed the work permit and signed as the reviewing supervisor (same person). Division CO signed the work permit before the reviewing supervisor.
Commission Investigation Division	10	Employee checked the renewal box but did not indicate the date of the original work permit.
	11	Employee checked the renewal box but did not indicate the date of the original work permit.
Command Post	12	Division CO signed the work permit before the reviewing supervisor.
Central Traffic Division	16	Motorcycle registration/driver's license verification boxes left blank by reviewing supervisor.
	19	Original work permit date not entered correctly (entered as 11/2018), Motorcycle registration not verified, driver's license not verified.
Devonshire	21	Division CO signed the work permit before the reviewing supervisor.
Evidence and Property Management Division	23	Division CO signed the work permit before the reviewing supervisor.
	24	Division CO signed the work permit before the employee and reviewing supervisor.
Gang and Narcotics Division	27	Employee checked the renewal box but did not indicate the date of the original work permit. Division CO signed the work permit before the reviewing supervisor.
	31	Division CO signed the work permit before the reviewing supervisor.
Juvenile	37	Employee checked the renewal box but did not indicate the date of the original work permit.
Major Crimes Division	39	Permit application dates and approval dates are not within two years of previous work permit expiration date.

⁶ Auditors assigned a control number to findings to maintain the confidentiality of each employee.

Metropolitan Division	40	Employee checked the renewal box but did not indicate the date of the original work permit.
Northeast	44	Page 1 of the permit is missing information on prior work permit (details left blank); top of page 3 indicates an “R” corresponding to application being a renewal rather than a new work permit; and CO signed before the employee's supervisor.
Rampart	53	Date on renewal work permit is after the two-year expiration of previous work permit.
Southeast	59	Supervisor signed the work permit one day before the employee signed it.
Topanga	70	Division CO signed the work permit before the reviewing supervisor.
	71	Division CO signed the work permit before the reviewing supervisor.
Traffic Group	73	Expiration date of the original work permit was not provided; motorcycle registration not verified; not verified whether license endorsed for motorcycle; CO certified work permit before all verifications were completed per the form; Assistant to the Director, Office of Operations (ADOO), certified the work permit before all verifications were completed per the form.
Valley Traffic Division	76	The ADOO certified the work permit without the expiration date.
West Traffic Division	90	CO's approval is dated prior to the reviewing supervisor's approval date.
	92	The work permit was not within the prescribed expiration period. It was not indicated if motorcycle school was completed as required.
West Valley	95	The work permit was not within the prescribed expiration period; the Driver's License verification was missing.

Auditors noted that applicants wrote the word “various” on their application because their actual working days and hours may not be known. Absent this information, the Department does not have sufficient information to monitor the actual number of days and hours its employees are engaging in secondary employment activities (see Recommendation Nos. 1 and 3).

Objective No. 1(b) – Division Commanding Officer Reviewed and Signed the MPT Application/Renewal

Criteria

Department Manual, 4th Quarter 2020, Volume 4, “Line Procedures,” Section 292.05, “Employee/Retired Officer’s Responsibilities,” states:

Commanding Officer’s Responsibilities. A Commanding officer receiving a request for secondary employment at a motion picture/television filming location shall:

- Review the application for appropriateness; ...
- Review the documents to ensure the reviewing supervisor has conducted the appropriate investigation and it does not conflict with any duty restrictions the active officer may have; and,
- Recommend approval or denial of the application by completing the “CO, Division of Assignment” line...

Note: The commanding officer’s signature **does not** constitute approval of the request for motion picture/television filming employment.

Audit Procedures

Auditors reviewed each MPT Application/Renewal to determine whether the Division CO reviewed the application for appropriateness and recommended an approval or denial by signing the application.

The Department met the standard for this objective if the Division’s CO signature, serial number, approval or denial box was checked, and the date signed was written on the application.

Findings

Ninety-two of the 96 (96 percent) permits met the standard for this objective. The four permits that did not meet the standard are detailed in Table No.3.

Table No. 3 – Division Commanding Officer Reviewed and Signed the MPT Application/Renewal

Area	Control Number	Description of Findings
Hollywood	34	Date field left blank.
Metropolitan Division	41	Missing Division CO’s serial number.
Office of Operations	50	Approval box left blank.
Risk Management Legal Affairs Division	56	Date signed by Division CO was blank; bureau did not indicate approval.

Objective No. 1(c) – Required Approval/Denial of the MPT Application/Renewal

Criteria

Department Manual, 4th Quarter 2020, Volume 4, “Line Procedures,” Section 292.05, “Employee/Retired Officer’s Responsibilities,” states:

Commanding Officer, Emergency Services Division’s Responsibility. The CO, EOD, shall: ...

- Make final approval or denial of each active and/or retired officer’s application.⁷

⁷ The ASB indicated that the EOD was disbanded and the ADOO now approves the MPT applications.

Audit Procedures

Auditors reviewed each MPT Application/Renewal to determine if the CO, EOD and the ADOO, indicated approval or denial by signing the application.

The Department met the standard for this objective if the CO, EOD signature, serial number, approval or denial box was checked, and the date was written on the application.

Findings

Ninety-two of the 96 (96 percent) permits met the standard for this objective. The four permits that did not meet the standard are detailed in Table No. 4.

Table No. 4 – Required Approval/Denial of the MPT Application/Renewal

Area	Control Number	Description of Findings
Northeast	45	Date of original permit was blank; CO signed before the employee's supervisor; Approval/Denial box not checked off by ADOO.
Risk Management Legal Affairs Division	56	The date signed by Division CO was blank; bureau did not indicate approval.
Security Services Division	61	Approval/Denial box not checked off by ADOO.
West Valley	96	Permit was not within the prescribed expiration period - unsure if the employee worked prior to the expiration date; ADOO approval missing.

Objective No. 2 – Completeness of PSEs

This objective assessed the completeness of the Department's Permits for Secondary Employment.

Objective No. 2(a) – PSE was Completed as Required

Criteria

Department Manual, 4th Quarter 2020, Volume 3, "Management Rules and Procedures," Section 744.20, "Application for Permission for Secondary Employment," states:

Any employee wishing to engage in secondary employment shall submit to their commanding officer four signed copies of a Permit for Secondary Employment, Form 01.47.00.

Audit Procedures

Auditors reviewed each PSE to determine if the application was completed with all required information. The Department met the standard for this objective if the PSEs were completed as required.

Findings

Two hundred thirty-four of the 243 (96 percent) permits met the standard for this objective. The nine permits that did not meet the standard are detailed in Table No. 5.

Table No. 5 – Permit for Secondary Employment Was Completed as Required.

Area	Control Number	Description of Findings
Custody Services Division	43	Reviewing supervisor’s signature and serial number was missing.
Hollywood	107	No firearm permit submitted; only online application for a permit provided.
Media Relations Division	138	Application completion date of 5/1/21 was later than the reviewing supervisor's approval date of 4/29/21; permit expired on 5/03/21 and the CO's approval date was 5/4/21.
Northeast	141	The CO of ASB signed the permit before the Division CO.
Pacific	160	Permit was not signed by the reviewing supervisor.
	161	Permit was not signed by the reviewing supervisor.
Personnel Division	165	A security job is not to be performed in Department uniform and the firearm permit appeared to be cancelled.
Training Division	203	Unable to determine if the job position requires security guard duties. The work type is listed as “security representative.”
Topanga	208	The "No" box is checked off for secondary employment in Department uniform; however, the description of duties indicates "uniformed presence," which requires a firearm/security guard permit.

Auditors noted that applicants wrote the word “various” on the application because they may not have prior knowledge of their actual days and hours. Without this information, the Department does not have the required information to monitor the number of days and hours its employees are engaging in secondary employment activities (see Recommendation Nos. 1 and 3).

Objective No. 2(b) – Division Commanding Officer Reviewed and Signed the PSE

Criteria

Department Manual, 4th Quarter 2020, Volume 3, “Management Rules and Procedures,” Section 744.24, “Investigations of Secondary Employment Permits,” states:

A commanding officer, prior to recommending approval of a request for a Permit for Secondary Employment, Form 01.47.00, shall ascertain whether:

- The employment is of a prohibited type (Manual Section 1/270) ...; and,
- The commanding officer of the uniformed division in which the place of employment is located (if in the City of Los Angeles) has been contacted and approves of the place of employment.

Department Manual, 4th Quarter 2020, Volume 3, “Management Rules and Procedures,” Section 744.32, “Approval of Permit for Secondary Employment,” states:

Following the investigation of a request for a Permit for Secondary Employment, Form 01.47.00 (Manual Section 3/744.24), the commanding officer shall:

- Recommend approval or disapproval...; and,
- If disapproval is recommended, write in the reason.

Audit Procedures

Auditors reviewed each PSE to determine whether the approved work permit applications were not for prohibited employment were signed by the CO, and the CO provided the reason if the application was not approved.

The Department met the standard for this objective if the approved work permits did not include prohibited employment were signed by the CO, and a reason was indicated if an application was denied.

Findings

Each of the 243 (100 percent) permits met the standard for this objective.

Objective No. 2(c) – All Required Documents Were Submitted with the PSE

Criteria

Department Local Area Network, Organization, Office of Support Services, Administrative Services Bureau, section titled “Permits for Secondary Employment,” states:

Guard/Firearm Permits

- All security-related work permit requests must be submitted with a copy of the firearm permit (if working in an armed capacity) and security guard registration. If your renewal or new application(s) is processing, submit a copy of the application(s) to Administrative Services Bureau with your work permit application...

Audit Procedures

Auditors reviewed applications for PSEs involving security work that required a firearm. The Department met the standard for this objective if current copies of the firearm permit and security guard registration (card) were included with the application when applicable.

Findings

Two hundred forty-two of the 243 permits (99 percent) met the standard for this objective. The permit that did not meet the standard is detailed in Table No. 6:

Table No. 6 – All Required Documents Were Submitted with the PSE Findings

Area	Control Number	Description of Findings
Central	165	Status of firearm permit indicates it is canceled.

Objective No. 2(d) – Approval/Denial of PSE by the CO, ASB

Criteria

Department Manual, 4th Quarter 2020, Volume 3, “Management Rules and Procedures,” Section 744.32, “Approval of Permit for Secondary Employment,” states:

Following the investigation of a request for a Permit for Secondary Employment, Form 01.47.00 (Manual Section 3/744.24), the commanding officer shall:

- Forward all copies to the Director, Office of Support Services, for approval or disapproval.⁸

Audit Procedures

Auditors examined the PSEs to determine whether the CO, ASB completed and signed the form as required.

The Department met the standard for this this objective if the CO, ASB checked the approval/denial box, signed, and completed corresponding sections of the application including the serial number and date fields.

Findings

Each of the 243 (100 percent) permits met the standard for this objective.

Objective No. 3 – Work Permits Were Recorded in TEAMS II Through CAPERS

This objective determined whether work permits were posted in the employee’s TEAMS II Report through an entry in CAPERS.

⁸ Approval is now provided by the CO of Administrative Services Bureau and no longer at the Office of Support Services.

Objective No. 3(a) - MPT Application/Renewals Were Accurately Entered in CAPERS

Criteria

Department Manual, 4th Quarter 2020, Volume 4, “Line Procedures,” Section 292.05, “Employee/Retired Officer’s Responsibilities,” states:

The Commanding Officer, Information Technology Bureau, upon electronic notification from Emergency Operations Division, must ensure that the approved Motion Picture/Television Filming Work Permit is posted in the active officer's TEAMS II report.

This procedure is currently performed by ASB and not Information Technology Bureau as is indicated in the Department Manual.⁹ According to Department practice, upon approval by ASB of the PSEs or approval by OO for the MPT application, the information is entered into CAPERS.¹⁰

Audit Procedures

Auditors compared the CAPERS data and work permit applications to determine whether the information entered in CAPERS was consistent with the information completed on the MPT Application/Renewal.

The Department met the standard for this objective if the application was in CAPERS and all the information entered matched the information contained in the application.

Findings

Eighty-eight of the 96 (92 percent) MPT Application/Renewals met the standard for this objective. The eight applications that did not meet the standard are detailed in Table No. 7.

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⁹ The Department’s work permit coordinator advised auditors that the work permit unit enters all PSEs, both approved and denied, in the employee’s TEAMS II.

¹⁰ While there is no Department policy requiring the use of CAPERS, auditors believe that its use serves as a process that memorializes this practice. Note: The criteria for Objective No. 3(a) is also applicable for Objective No. 3(b). Objective No. 3(a) was not tested in the prior audit. For consistency purposes, auditors reviewed the process for all applications.

Table No. 7 – MPT Application/Renewals Were Accurately Entered in CAPERS

Area	Control Number	Description of Findings
Commercial Crimes Division	7	The reviewing supervisor/Division CO serial number and dates were entered incorrectly.
Harbor	32	Bureau approval was on 7/15/21; CAPERS shows expiration date of 9/30/23 and it should be 7/31/23; expiration should be two years from date of approval.
Hollywood	34	Area CO date in CAPERS is 8/18/21; however, the actual permit does not have an Area CO date as it was left blank.
Security Services Division	61	Missing CO information and signature date in CAPERS.
Traffic Group	72	Expiration date on permit is 8/31/2021 and CAPERS is 6/30/23.
Traffic Group	73	The permit shows that the supervisor signed the permit on 05/10/12 (typo); CAPERS shows the signature date is 5/10/21.
West Los Angeles	87	Division CO and serial number in CAPERS does not match the information on the application.
	88	CAPERS expiration date is 8/30/23; Permit Application expiration date is 8/31/23.

Objective No. 3(b) – PSEs were Accurately Entered in CAPERS¹¹

Audit Procedures

Auditors compared the CAPERS data and work permit applications to determine whether the information entered in CAPERS was consistent with the information completed on the PSE forms.

The Department met the standard for this objective if the permit data was in CAPERS and all the information entered matched the information contained in the PSE form.

Findings

Two hundred thirty-eight of the 243 (98 percent) PSEs met the standard for this objective. The five permits that did not meet the standard are detailed in Table No. 8.

¹¹ The criteria for Objective No. 3(b) is the same as Objective No. 3(a). This objective was also tested in the prior audit.

Table No. 8 – Permits for Secondary Employment were Accurately Entered in CAPERS

Area	Control Number	Description of Findings
Hollywood	97	Signature date in CAPERS is 6/8/21; signature date on application is 6/9/21.
Northeast	141	Area CO date indicates 8/4/21; permit is not as clear but appears to be dated 8/24/21.
Pacific-Los Angeles International Airport	163	Signature date in CAPERS is 8/8/21; signature date on permit is 8/9/21.
	164	Signature date in CAPERS is 8/8/21; signature date on permit is 8/9/22.
Professional Standards Bureau	169	Permit is not in CAPERS; only permit located is for a different permit with later dates 11/4/22-11/30/22; permit in audit sample is for 5/19/21-5/31/22.

OTHER RELATED MATTER

The *Department Manual* requires each CO to:

...examine permit records each month and check to ensure that secondary employment of employees is not impairing their performance of duty and that the efficiency of the Department is not being reduced by such employment. Impairment of the effectiveness or efficiency of an employee by reason of their secondary employment shall be cause for immediate recommendation by their commanding officer to the Director, Office of Support Services, that the permit be revoked.¹²

Auditors reviewed 243 permits and noted there were permits where employees did not indicate “specific days and hours of employment” as required on the PSE Form. One hundred eighty-six of the 243 (77 percent) permits reviewed were documented with the word “various.” In these cases, auditors could not determine specific days and hours of employment for secondary employment activities.

RECOMMENDATIONS

It is recommended that:

1. Commanding Officers take steps to ensure employees and supervisors review the *Department Manual*, 4th Quarter 2020, Volume 4, “Line Procedures,” Section 292.05, “Employee/Retired Officer’s Responsibilities, and Volume 3, “Management Rules and Procedures,” Section 744.20, “Application for Permission for Secondary Employment” to accurately complete the application [Objective Nos.1(a) and 2(a)].

¹² See *Department Manual*, 4th Quarter 2020, Volume 3, “Management Rules and Procedures,” Section 744.48, “Commanding Officer to Review Secondary Employment Permits.”

2. The Office of Operations update the Department Manual to indicate that the Assistant to the Director, Office of Operations, now approves the Motion Picture/Television Filming Work Permit applications [Objective No. 1(c)].
3. Administrative Services Bureau update the Department's Permit For Secondary Employment Application Form, 01.47.00 (07/16), so it provides flexibility for employees to list their work days/hours, if known [Objective Nos. 1(a) and 2(a)], and update the Department Manual to indicate that the CO, Administrative Services Bureau, now approves the "Approval of Permit for Secondary Employment" [Objective No. 2(d)].

ACTIONS TAKEN/MANAGEMENT RESPONSE

The Office of Operations Inspections Unit (OOIU) stated that they are in general agreement with the audit findings. Their Intradepartmental Correspondence, Form 15.2, is attached to this report. The OOIU provided the following response for Objectives 1(a) and 3(a):

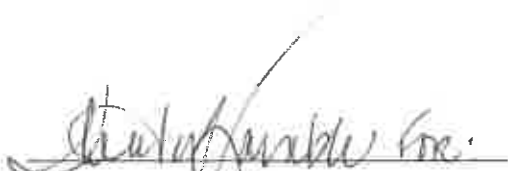
The OOIU is in general agreement with the findings related to MPT Applications/Renewal and will address the deficiencies as follows:

- Follow the application updates closely by consulting with the OO Evaluation and Administration Unit;
- Develop clarification for the Department's policy regarding signature and date requirements; and,
- Ensure the Department Operations Center disseminates a Department-wide email containing an updated application form, including clarification pertaining to signatures and dates.

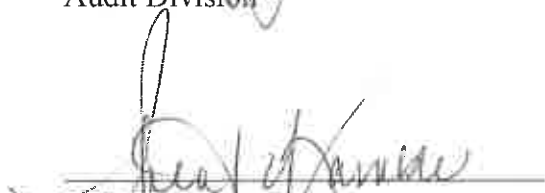
The ASB indicated that they were in general agreement with the report and their 15.2 response is attached.

APPENDIX I


Audit Division Contact: Wendy Gamble, Police Performance Auditor IV, (213) 486-8373
or N3366@lapd.online



TRIVIA THOMAS
Project Manager, Section A
Audit Division



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KAREN LEONG, Lieutenant II
Acting Commanding Officer
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INTRADEPARTMENTAL CORRESPONDENCE

January 19, 2022
11.2

TO: Commanding Officer, Audit Division

FROM: Assistant to the Director, Office of Operations

SUBJECT: 2021 WORK PERMIT ISSUANCE AUDIT RESPONSE

Audit Division (AD) conducted the Work Permit Issuance Audit in accordance with the Department's 2021 Annual Audit Plan. The purpose of the audit was to evaluate conformance with Department policies and procedures relative to secondary employment. The Office of Operations, Inspections Unit (OOIU) reviewed the *Motion Picture/Television Filming Work Permit (MPTFWP)*, Form 01.47.01 Applications/Renewal, which included a review of the approval and record keeping processes for the MPTFWP Applications/Renewal and Permits for Secondary Employment.

After reviewing the draft audit report, it was determined that the OOIU was only required to validate Objectives 1(a) and 3(a). The remaining objectives will be validated by Administrative Services Bureau.

Table No. 1 – Work Permit Issuance Summary of Findings by Objective

Objective No.	Description of Objectives	Number Meeting Standards / Evaluated	Percent Meeting Standards
1	Completeness of the MPTFWP Application/Renewal		
1(a)	The MPTFWP Application/Renewal was Completed as Required	72 / 96	75%
3	Work Permits Were Recorded in Teams II – through the Comprehensive Automated Permit System (CAPERS)		
3(a)	MPTFWP Application/Renewals were Accurately Entered in CAPERS	88 / 96	92%

To validate the objectives, the OOIU collaborated with the Office of Operations Film Unit (OOFU) to verify that the findings met Department standards. The Office of Operations Film Unit, which has access to the Comprehensive Automated Permit System (CAPERS), advised the OOIU of proper input of permit application information into the system. The Office of Operations Film Unit also provided additional supporting documentation for two of the findings, one for Objective 1(a) and one for Objective 3(a).

The following tables summarize the findings reviewed by the OOIU by objective; Table No. 2 addresses Objective No. 1(a) and Table No. 3 addresses Objective No. 3(a).

Table No. 2 – Objective No. 1(a) Detailed Findings

Control Numbers	Description of Findings
12, 21, 23, 31, 70, 71	Division CO signed the work permit before the reviewing supervisor.
10, 11, 37, 40	Employee checked the renewal box but did not indicate the date of the original work permit.
8	The employee signed the work permit and signed as the reviewing supervisor (same person). Division CO signed the work permit before the reviewing supervisor.
16	Motorcycle registration/driver's license verification boxes left blank by reviewing supervisor.
19	Original work permit date not entered correctly (entered as 11/2018), Motorcycle registration not verified, driver's license not verified.
24	Division CO signed the work permit before the employee and reviewing supervisor.
27	Employee checked the renewal box but did not indicate the date of the original work permit. Division CO signed the work permit before the reviewing supervisor.
39	Permit application dates and approval dates are not within two years of previous work permit expiration date.
44	Page 1 of the permit is missing information on prior work permit (details left blank); top of page 3 indicates an "R" corresponding to application being a renewal rather than a new work permit; and CO signed before the employee's supervisor.
53	Date on renewal work permit is after the two-year expiration of previous work permit.
59	Supervisor signed the work permit one day before the employee signed it.
73	Expiration date of the original work permit was not provided; Motorcycle registration not verified; not verified whether license endorsed for motorcycle; CO certified work permit before all verifications were completed per the form; Assistant to the Director, Office of Operations (ADOO) certified the work permit before all verifications were completed per the form.
76	The Assistant to the Director of the Office of Operations certified the work permit without the expiration date.
90	CO's approval is dated prior to the reviewing supervisor's approval date.
92	The work permit was not within the prescribed expiration period. It was not indicated if motorcycle school was completed as required.
95	The work permit was not within the prescribed expiration period. The Driver's License verification was missing.
24	Total Findings for Objective 1(a)

• **Objective No. 1(a) – The MPTFWP Application was Completed as Required:**

Audit Division noted that 24 of the 96 applications were considered findings. The two most prominent findings consisted of the Commanding Officer (CO) signing before the reviewing supervisor and the exclusion of the date of the "original permit" for renewal applications. This brought the overall number of findings for Objective 1(a) to 24 out of 96 (or a compliance rate of 72 out of 96, 75%).

Based on the criteria used by AD under their report heading "Overview" and what is stated in the Department Manual Section 4/292.05, *Supervisor's Responsibilities*, the supervisor

shall “Acknowledge receipt of the application by completing the ‘SUPERVISOR REVIEWING APPLICATION’ line.” Under “Audit Procedures” for Objective No. 1(a), AD states that “The Department met the standard for this objective if the application was complete when **the employee and supervisor both signed, dated, included their serial numbers, and the reviewing supervisor conducted an investigation...**”

Audit Division notes that the 11 findings did not meet the standards for the objective because the CO’s signature was dated prior to the reviewing supervisor’s signature. However, this does not negate the requirements of “completing the ‘SUPERVISOR REVIEWING APPLICATION’ line” and completing an appropriate investigation as required. Based on the testing standard used by AD, this should be on par with the standard of completing the supervisor review line regardless of the date of the signature. On the MPTFWP application and the AD report, there is no requirement as it pertains to the order of signatures, specifically regarding the order of the signature dates.

Per the MPTFWP application, there are two Department Manual Sections that list the requirements for supervisors and COs, Section 4/292.05, *Employee/Retired Officer’s Responsibilities* and Section 3/774.20, *Application for Permission for Secondary Employment*; neither section specifies the order in which the application is to be signed and dated. The OOIU notes that a supervisor shall “Forward the original application along with all associated documents to the requesting active officer’s commanding officer.” This means that the review and investigation were completed by the supervisor as they were unable to turn it in to the CO without “associated documents.”

The CO is then required to “Review the documents to ensure the reviewing supervisor has conducted the appropriate investigation and that it does not conflict with any duty restrictions the active officer may have.” This second review by the CO of the documents submitted by the supervisor, further solidifies the notion that an appropriate investigation was conducted.

Table No. 3 – Objective No. 3(a) Detailed Findings

Control Numbers	Description of Findings
7	The reviewing supervisor/division CO serial number and dates were entered incorrectly.
32	Bureau approval was on 7/15/21; CAPERS shows expiration date of 9/30/23; expiration is 2 years from date of approval.
34	Area CO date in CAPERS is 8/18/21; however, the actual permit does not have an area CO date as it was left blank.
61	Missing CO information and signature date in CAPERS.
72	Expiration date on permit is 8/31/2021 and CAPERS is 6/30/23.
73	Per the permit, the supervisor signed the permit on 05/10/12; per CAPERS, the signature date is 5/10/21.
87	Division CO and serial number in CAPERS does not match the information on the application.
88	CAPERS expiration date is 8/30/23; permit application expiration date is 8/31/23.
8	Total Findings for Objective 3(a)

- **Objective No. 3(a) – MPTFWP Application/Renewals were accurately entered in CAPERS:**

Audit Division noted that a total of eight findings were discovered when comparing the information on the MPTFWP applications to the information that was input into CAPERS. Most of the findings consisted of the hardcopy forms not retaining the same expiration date as what was reflected in CAPERS. Other findings appeared to be generated from incorrectly transposed numbers.

The Office of Operations Inspection Unit presented supporting documentation for one finding, which showed the correct expiration date of “6/30/23.” Initially, the OOFU provided AD a form which was incorrectly dated “8/30/2021.” Audit Division did not accept the supporting documentation because the date was not located in the proper space provided.

Audit Division conducted an audit of the work permits in 2017, and there was a notable improvement for Objective 1(a) and Objective 3(a) when comparing the compliance rates to the current audit. The previous compliance rate for Objective 1(a) was 56% compared to the current compliance rate of 75%. The previous compliance rate for Objective 3(a) was 36%, and the current compliance rate is 92%. Although both objectives in the current audit were below the 95% compliance rate, both objectives did show a vast improvement from the previous 2017 audit. In addition, OOFU processed a total of 39 MPTFWP from January 1 through June 30, 2015, and 118 MPTFWP in the current testing period (March 1, 2021 through August 31, 2021) resulting in an increase of 203%.

The Office of Operations Inspection Unit is in general agreement with the findings related to MPTFWP Applications/Renewal and will address the deficiencies as follows:

- Follow the application updates closely by consulting with the Office of Operations Evaluation and Administration Unit;
- Develop clarifications for the Department’s policy regarding signature and date requirements; and,
- Ensure the Department Operations Center (DOC) disseminates a Department wide e-mail containing an updated application form, including clarification pertaining to signatures and dates.

If you have any questions, please contact Police Performance Auditor IV Yadira Huerta, Office of Operations, at (213) 486-6960.



T. SCOTT HARRELSON, Commander
Assistant to the Director, Office of Operations

INTRADEPARTMENTAL CORRESPONDENCE

March 9, 2022
1.10

TO: Commanding Officer, Audit Division

FROM: Commanding Officer, Administrative Services Bureau

SUBJECT: WORK PERMIT ISSUANCE AUDIT

Administrative Services Bureau (ASB) reviewed Audit Division's "Work Permit Issuance Audit," and is in substantial agreement with the findings and recommendations related to requests submitted on the Department's Secondary Employment Form 01.47.00. The recommendations related to the Motion Picture/Television Filming Permit Application/Renewal, Form 01.47.01 are not administered by ASB and are not addressed in this correspondence.

Recommendations:

- 3. Administrative Services Bureau update the Department's Permit for Secondary Employment Application Form, 01.47.00 (07/16), so it provides flexibility for employees to list their work days/hours, if known [Objective Nos. 1(a) and 2 (a)].*
- 4. Administrative Services Bureau update the Secondary Work Permit policy to be consistent with the Cash Overtime Allotment and Timekeeping System (COAST) policy relative to ensuring that employees have the proper rest between shifts [Objective Nots. 1(c) and 2(d)].*

Administrative Services Bureau concurs with these recommendations, and ASB is in the process of revising the Department Manual sections regarding Secondary Employment and the Secondary Employment Form, 01.47.00. The recommendations will be included in the proposed Manual revision.

If you have any question regarding this matter please have a member of your staff contact Lieutenant John A. Russo, Administrative Services Bureau, at (213) 486-7060.



ANNEMARIE SAUER, Police Administrator III
Commanding Officer
Administrative Services Bureau