

**INTRADEPARTMENTAL CORRESPONDENCE**

August 27, 2021  
14.2

**TO:** The Honorable Board of Police Commissioners

**FROM:** Chief of Police

**SUBJECT:** ADMINISTRATIVE TRANSFERS, DOWNGRADES, AND DESELECTIONS  
AUDIT (AD NO. 20-006)

**RECOMMENDED ACTION**

It is recommended that the Board of Police Commissioners REVIEW and APPROVE the attached Administrative Transfers, Downgrades, and Deselections Audit.

**DISCUSSION**

Audit Division conducted the Administrative Transfers, Downgrades, and Deselections Audit to evaluate compliance with Department policies and procedures.

If additional information regarding this audit is required, please contact Trina Unzicker, Commanding Officer, Audit Division, at (213) 486-8480.

Respectfully,



MICHEL R. MOORE  
Chief of Police

Attachment

**LOS ANGELES POLICE DEPARTMENT**

***ADMINISTRATIVE TRANSFERS,  
DOWNGRADES, AND DESELECTIONS  
AUDIT***

***(AD No. 20-006)***



**Conducted by  
AUDIT DIVISION**

**MICHEL R. MOORE  
Chief of Police**

***August 2021***

## TABLE OF CONTENTS

Administrative Transfers, Downgrades, and Deselections Audit  
AD No. 20-006

Page  
No.

<b>OVERVIEW</b>	<b>1</b>
<b>BACKGROUND</b>	<b>1</b>
<b>SCOPE AND METHODOLOGY</b>	<b>2</b>
<b>SUMMARY OF FINDINGS</b>	<b>3</b>
<b>DETAILED FINDINGS</b>	<b>3</b>
<b>Objective No. 1 - Commanding Officer's Responsibilities</b>	<b>3</b>
<b>Objective No. 1(a) - Intradepartmental Correspondence Completed by Commanding Officer</b>	<b>3</b>
<b>Objective No. 1(b) - Documentation Included Within Form 15.02.00 – <i>Performance Assessment</i></b>	<b>4</b>
<b>Objective No. 1(c) - Intradepartmental Correspondence Addressed to the Appropriate Entity</b>	<b>5</b>
<b>Objective No. 1(d) - Appropriate Approval Signature Blocks</b>	<b>6</b>
<b>Objective No. 1(e) - Standards Based Assessments Attached to Form 15.02s</b>	<b>6</b>
<b>Objective No. 2 - Employee Relations Group Responsibilities</b>	<b>7</b>
<b>Objective No. 2(a) - Administrative Transfer Request Review – <i>Performance Assessment</i></b>	<b>7</b>
<b>Objective No. 2(b) - Record Retention</b>	<b>8</b>
<b>Objective No. 2(c) - Service of Notice of Downgrade/Deselection, Form 1.73.05</b>	<b>9</b>
<b>Objective No. 3 - Personnel Division - Record Retention</b>	<b>9</b>
<b>RECOMMENDATIONS</b>	<b>10</b>
<b>ACTIONS TAKEN/MANAGEMENT'S RESPONSE</b>	<b>10</b>
<b>APPENDIX I - Signatures</b>	
<b>ADDENDUM - Employee Relations Group's Response to Audit Findings Personnel Division's Response to Audit Findings</b>	

**Administrative Transfers, Downgrades and Deselections Audit  
Conducted by  
Audit Division  
2020**

**OVERVIEW**

Audit Division (AD) evaluated the Los Angeles Police Department's (Department) adherence to policies and procedures surrounding administrative transfers, deselections, and downgrades.<sup>1</sup> The topics evaluated include; Commanding Officer (CO) responsibilities; Employee Relations Group (ERG) review, retention, and service to the affected employee; and Personnel Division's (PER) records retention.

Auditors assessed all administrative transfers, downgrades, and deselections between August 1, 2019, and July 31, 2020, and determined the following:

- The completion of the Intradepartmental Correspondence, Form 15.02.00 (Form 15.02) included all the required information 100 percent of the time (*Objective No. 1a-d*);
- The two most recent Standards Based Assessments (SBA) were attached to the respective Form 15.02s zero percent of the time (*Objective No. 1e*);
- Employee Relations Group reviewed all requests for administrative transfers, downgrades, and deselections, maintained appropriate files, and served affected employees with the Notice of Downgrade/Deselection, Form 01.73.00 (Form 1.73), 100 percent of the time (*Objective No 2a-c*); and,
- The PER retained the employee's Transfer and/or Change in Paygrade, Form 01.40.00 (Form 1.40) 80 percent of the time (*Objective No. 3*).

**BACKGROUND**

Administrative transfers, downgrades, and deselections are often paired together but are separate processes as follows:

- An administrative transfer is the transfer of an employee from one command to another. It can be initiated by the employee or by their command. It can be a tool for the CO to resolve a dispute within the command, to refresh the employee's career, or in conjunction with a downgrade or deselection.
- A downgrade is when an officer is moved from an advanced paygrade position (i.e. Police Officer III to Police Officer II), to a lower paygrade position.
- A deselection is when an officer is moved from a bonus position (i.e. Police Officer II+2 to Police Officer II) to the base paygrade position.

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<sup>1</sup> This audit was conducted as part of the Annual Audit Plan for 2020. This audit was conducted in accordance with the U.S. Government Accounting Office, *Generally Accepted Government Auditing Standards*, July 2018 Revision.

It should be noted that both a “deselection” and “downgrade” (i.e. Police Officer III+1 to Police Officer II) are different terms but functionally follow the same process. Like an administrative transfer, these actions can be either employee initiated or initiated by the employee’s command.

While administrative transfers, downgrades and deselections are typically associated with personnel complaints, they operate independent of the complaint system and can be executed in the absence of a complaint. Employee Relations Group is the main Department entity responsible for coordinating administrative transfers and downgrades.

There have been no prior audits conducted that involved administrative transfers, downgrades, and deselections. The risks of an employee being transferred, downgraded, or deselected from an earned position without the appropriate notifications, documentation, and justification are significant and process errors could result in liability to the City. As such, AD believed this topic warranted review.

## **SCOPE AND METHODOLOGY**

### **Population and Sample**

The period used to assess administrative transfers, downgrades, and deselections (collectively referred to as “cases”) was August 1, 2019 through July 31, 2020. Transfer orders for this timeframe were used to determine the population. The ERG provided AD with the cases to review for this timeframe. Auditors requested the same list of employees from PER. A reconciliation of the three sources were completed and no discrepancies were found.

A review of these sources yielded 40 cases to be assessed for this audit;

- 15 administrative transfers only;
- 20 downgrades; and,
- 5 deselections.

It should be noted that of the 25 downgrades and deselections, 24 involved an administrative transfer. This affected the sample size for Objective 1(e) by reducing the sample size from 40 to 39. The following table summarizes the findings for the three objectives and sub-objectives:

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**SUMMARY OF FINDINGS**

**Table No. 1 – Summary of Findings**

Obj. No.	Description of Audit Objectives	Number Meeting Standards/Evaluated	Percent Meeting Standards
<b>1</b>	<b>Commanding Officer's Responsibilities</b>		
1(a)	Intradepartmental Correspondence Completed by Commanding Officer	40/40	100%
1(b)	Documentation Included Within Form 15.02.00 – <i>Performance Assessment</i>	40/40	100%
1(c)	Intradepartmental Correspondence Addressed to the Appropriate Entity	40/40	100%
1(d)	Appropriate Approval Signature Blocks	40/40	100%
1(e)	Standards Based Assessments Attached to Form 15.02.00s	0/39	0%
<b>2</b>	<b>Employee Relations Group Responsibilities</b>		
2(a)	Administrative Transfer Request Review – <i>Performance Assessment</i>	40/40	100%
2(b)	Record Retention	40/40	100%
2(c)	Service of Notice of Downgrade/Deselection, Form 1.73.05	25/25	100%
<b>3</b>	<b>Personnel Division Record Retention</b>	<b>32/40</b>	<b>80%</b>

**DETAILED FINDINGS**

**Objective No. 1 – Commanding Officer's Responsibilities**

The administrative transfer process requires the CO to complete and submit a Form 15.02 and the necessary documentation to the PER. For the sub-objectives that follow, auditors reviewed both the Form 15.02 and documentation, if any, attached.

**Objective No. 1(a) - Intradepartmental Correspondence Completed by Commanding Officer**

**Criteria**

The *Department Manual* states:

When a commanding officer determines that an administrative transfer is appropriate, the commanding officer must complete an Intradepartmental Correspondence, Form 15.02.00, to the Commanding Officer, Personnel Division, requesting the transfer.<sup>2</sup>

<sup>2</sup> *Department Manual*, 2<sup>nd</sup> Quarter 2019 Vol. 3 §762.35, "Administrative Transfers", Commanding Officer Requesting a Transfer of an Employee; *Department Manual* 2<sup>nd</sup> Quarter 2019, Vol. 3, §763.55, "Deselection from Advanced Paygrade or Bonus Position", Commanding Officer's Responsibilities.

## Audit Procedures

Auditors reviewed the 40 cases at ERG to locate the Form 15.02s. The Department met the standard if the Form 15.02s were completed and signed by the COs.

## Findings

Each of the 40 Form 15.02s (100%) met the standard for this Objective.

## Objective No. 1(b) – Documentation Included Within Form 15.02.00 – Performance Assessment

### Criteria

The *Department Manual* states:

After a CO has consulted with ERG, he/she *should* meet with the employee, discuss the reason(s) for the transfer request, determine if the employee agrees or disagrees with the transfer, and obtain the employee's choice of assignments in order of preference. The choice of assignments should include the names of three Areas in at least two different bureaus that the employee would like the COP to consider.<sup>3</sup> Whether the employee agrees or disagrees with the transfer, his/her choice of assignment, in order of preference, needs to be included in the Form 15.02. Additionally, downgrades and deselections require the inclusion of a statement that the officer was advised of the right to provide a written response to the proposed personnel action within 30 calendar days of the date of notice.<sup>4</sup>

## Audit Procedures

Auditors reviewed all 40 Form 15.02s completed by area COs requesting an administrative transfer, reduction in paygrade, or deselection from a bonus position for the following information:

- Met with the employee;
- Discussed the reason/s for the transfer request;
- Determined if the employee agrees or disagrees with the transfer;
- Stated that the officer was advised of the right to provide a written response to the proposed personnel action within 30 calendar days of the date of notice; and,
- Obtained the employee's choice of assignments in order of preference.

A review of the policy indicated that some of the information above *should be included* in the Form 15.02, while other information *needs to be included*. Given the ambiguity of the policy

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<sup>3</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019, Vol. 3, §762.35, "Administrative Transfers", "All Other Requests."

<sup>4</sup> See *Department Manual* 2<sup>nd</sup> Quarter 2019, Vol. 3, §763.55, "Deselection from Advanced Paygrade or Bonus Position", "Commanding Officer's Responsibilities."

and the importance of all the above information, AD elected to review for each, when applicable, to determine if all information was documented within the Form 15.02.<sup>5</sup> Therefore, this Objective was assessed as a Performance Assessment because some of the information was not specifically identified as a requirement. (See Recommendation No. 1).

The Department met the criteria or conditions if the Form 15.02s included all the above identified points of information when applicable.

### **Conclusion**

Each of the 40 Form 15.02s (100%) met the standard for this Objective.

### **Objective No. 1(c) - Intradepartmental Correspondence Addressed to the Appropriate Entity**

#### **Criteria**

The *Department Manual* states:

When a commanding officer determines that an administrative transfer is appropriate, the commanding officer must complete an Intradepartmental Correspondence, Form 15.02.00, to the Commanding Officer, Personnel Division, requesting the transfer.<sup>6</sup>

Department policy however, does not specify to whom the downgrade and deselection Form 15.02s are to be addressed to.

The *Department Manual* states:

The Director, Office of Support Services (OSS), shall be the independent authority to grant or deny the request for paygrade reduction and/or bonus deselection and to execute the decision through a Transfer Order and is responsible for notifying the involved employee of the final decision.<sup>7</sup>

Given the above, ERG's internal policy is that all downgrade or deselection Form 15.02s be addressed to the Director, OSS.

#### **Audit Procedures**

Auditors reviewed the 40 Form 15.02s to determine if they were addressed to the appropriate entity. Fifteen Form 15.02s were administrative transfers only and 25 Form 15.02s were either downgrades or deselections. The Department met the standards if the administrative transfer

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<sup>5</sup> One downgrade did not involve an administrative transfer and therefore the employee's choice of three assignments was not required. This form was assessed for all other information.

<sup>6</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019 Vol. 3, §762.35, "Administrative Transfers", "Commanding Officer Requesting a Transfer of an Employee."

<sup>7</sup> See *Department Manual* 2<sup>nd</sup> Quarter 2019, Vol. 3, §763.55, "Deselection from Advanced Paygrade or Bonus Position", "Director, Office of Support Services Responsibilities."



Form 15.02s were addressed to the CO, PER, and the downgrades and deselection Form 15.02s were addressed to the Director, OSS.

### Findings

Each of the 40 Form 15.02s (100%) met the standard for this Objective.

### **Objective No. 1(d) - Appropriate Approval Signature Blocks**

#### Criteria

The *Department Manual* states:

The request must include approval signature blocks for the employee's chain of command up to the bureau commanding officer or equivalent.<sup>8</sup>

#### Audit Procedures

Auditors reviewed the 40 Form 15.02s to determine if the 15 administrative transfers included approval signature blocks for the employee's chain of command up to the bureau commanding officer, and the 25 downgrades and deselections contained the approval signature block for the Director, OSS. The Department met the standard if the 40 Form 15.02s included the required approval signature blocks.

### Findings

Each of the 40 Form 15.02s (100%) met the standard for this Objective.

### **Objective No. 1(e) – Standards Based Assessments Attached to Form 15.02s**

#### Criteria

The *Department Manual* states:

All requests for administrative transfers for the purpose of refreshing or enhancing employee performance, resolving a conflict within a command, reduction in paygrade, or deselection from a bonus position, must have copies attached of the most recent Performance Evaluation Reports covering a two-year period.<sup>9,10</sup> (See Recommendation No. 2)

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<sup>8</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019, Vol. 3, §762.35, "Administrative Transfers", "Commanding Officer Requesting a Transfer of an Employee."

<sup>9</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019, Vol. 3, §762.35, "Administrative Transfers", "Commanding Officer Requesting a Transfer of an Employee."

<sup>10</sup> Special Order No. 44, dated November 25, 2008, deactivated the Performance Evaluation Report and replaced it with the Standards Based Assessment (SBA). The *Department Manual*, Vol. 3, §762.35, "Administrative Transfers" was not amended and still refers to the employee annual assessment as the Performance Evaluation Report. For clarity, this report will use SBA throughout.

### **Audit Procedures**

Auditors reviewed the 40 case packages maintained at ERG and PER to determine if the employee's SBAs were attached to their respective Form 15.02. Of the 40 case packages reviewed, one downgrade did not involve an administrative transfer (the employee remained in the division of assignment after the downgrade). This case was removed, resulting in 39 cases reviewed for this Objective. Of the 39 case packages reviewed, 24 were downgrades and deselections, and 15 were administrative transfers only.

The Department met the standard if the case packages at either location contained the required SBAs.

### **Findings**

None of 39 case packages (0%) reviewed met the standard for this Objective. A follow up with ERG indicated that ERG is ensuring that SBAs are forwarded with all necessary documentation or returned to the requestor.

### **Objective No. 2 – Employee Relations Group Responsibilities**

As the entity responsible for oversight of all administrative transfers, downgrades, and deselections, the ERG is required to review every administrative action, retain records, and serve the involved employees with the final decision.

### **Objective No. 2(a) – Administrative Transfer Request Review – Performance Assessment**

#### **Criteria**

The *Department Manual* states:

The Employee Relations Administrator, will review all requests for administrative transfers after approval by the chain of command and before being forwarded to Personnel Division or the Director, Office of Support Services. The Employee Relations Administrator will ensure there is sufficient justification and that all criteria required for the transfer are met. After review and a recommendation by ERG, the request must be forwarded to Personnel Division or to OSS if the request involves reassignment to a lower paygrade or deselection from a bonus position.<sup>11</sup>

### **Audit Procedures**

A review of Department policies found that the Department Manual does not prescribe a method for ERG to document their review for each administrative transfer request meeting these criteria. However, a note within the Department manual section requires ERG to attach a Form 15.02 stating the reasons for a disapproval recommendation only. It does not require documentation for an approval recommendation. Currently, ERG goes beyond the manual notation and

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<sup>11</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019, Vol. 3, §762.35, "Administrative Transfers", "Reviewing Requests."

documents their review of administrative transfers using a Form 15.02 that is addressed to either PER or OSS. The Form 15.02 indicates if there was sufficient justification, that all criteria required for the transfer were met, and a recommendation to approve or disapprove the CO's request. (See Recommendation No. 3).

Of the 40 Form 15.02 requests reviewed for this audit, one downgrade did not involve an administrative transfer. A review of Department policies found that the policies do not reference/include review protocol for downgrades and deselections that do not involve an administrative transfer, however, ERG's best practice is to review these cases in the same manner. (See Recommendation No. 4).

Given ERG's current protocol, AD assessed ERG's review of all administrative transfers, downgrades, and deselections based on Department policy and ERG's best practice described above. All 40 Form 15.02s were reviewed to ensure that ERG performed a review and included all pertinent information.

The Department met the criteria or condition if ERG performed a review of the administrative transfer, downgrade and deselection requests and included all pertinent information within the Form 15.02.

### **Conclusion**

Each of the 40 Form 15.02s (100%) met the standard for this Objective.

### **Objective No. 2(b) – Record Retention**

#### **Criteria**

The *Department Manual* states:

In all cases, the original Forms 15.07.00 and 15.02.00 requesting the administrative transfer must be returned to ERG for the purpose of notifications and record retention.<sup>12</sup>

#### **Audit Procedures**

Downgrades and deselections often involve administrative transfers however, there are cases where it is determined that an administrative transfer would not serve its purpose. The related Department policies do not include record retention protocol for downgrades and deselections, however ERG's best practice is to maintain these case packages in the same manner as administrative transfer case packages. (See Recommendation No. 4).

Given ERG's current protocol, AD assessed ERG's record retention for all administrative transfers, downgrades and deselections based on Department policy and ERG's best practice. Auditors reviewed all 40 Form 15.02s to ensure that ERG retained the forms.

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<sup>12</sup> *Department Manual*, 3<sup>rd</sup> Quarter 2019 Vol. 3, §762.35, "Administrative Transfers", Personnel Division's Responsibilities.

The Department met the standard if ERG retained the Form 15.02s.

### **Findings**

Each of the 40 Form 15.02s (100%) met the standard for this Objective.

### **Objective No. 2(c) - Service of Notice of Downgrade/Deselection, Form 1.73.05**

#### **Criteria**

The *Department Manual* states:

The Director, Office of Support Services (OSS), shall be the independent authority to grant or deny the request for paygrade reduction and/or bonus deselection and to execute the decision through a Transfer Order and is responsible for notifying the involved employee of the final decision. The Director, OSS, or his/her designee must serve the involved employee with Notice of Downgrade/Deselection, Form 01.73.05, within 30 days of the final decision, with the anticipated effective date, unless the employee is unavailable.<sup>13</sup>

#### **Audit Procedures**

Auditors reviewed the 25 Notice of Downgrade/Deselection forms for the final decision date and service date to determine if the employee was served within 30 days of the final decision.

The Department met the standard if the Notice of Downgrade/Deselection was served within 30 days of the final decision.

### **Findings**

Each of the 25 incidents (100%) met the standard for this Objective.

### **Objective No. 3 – Personnel Division - Record Retention**

#### **Criteria**

The *Department Manual* states:

In all cases, the original Forms 15.07.00 and 15.02.00 requesting the administrative transfer must be returned to ERG for the purpose of notifications and record retention. Additional copies will be attached to the Form 01.40.00 and retained by Personnel Division.<sup>14</sup>

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<sup>13</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019, Vol. 3, §763.55, “Deselection from Advanced Paygrade or Bonus Position”, “Director, Office of Support Services Responsibilities.”

<sup>14</sup> See *Department Manual*, 2<sup>nd</sup> Quarter 2019, Vol. 3, §762.35, “Administrative Transfers”, “Personnel Division’s Responsibilities.”

### **Audit Procedures**

Among the PER's responsibilities is to assign employee appointments, paygrade advancements, promotions, and assignments to sworn personnel. The Form 1.40 is the primary document that PER uses to initiate and manage the movement of Department personnel. The PER maintains files of data regarding sworn personnel transfers. Auditors reviewed the 40 cases to determine if the PER retained the Form 1.40s for each case.

The Department met the standard if the Form 1.40s were retained by the PER.

### **Findings**

Thirty-two of the 40 Form 1.40s (80%) met the standard. Eight Form 1.40s were not located at the PER. (See Recommendation No. 5).

### **RECOMMENDATIONS**

1. Employee Relations Group (ERG) should memorialize the Department protocol involving information on the Form 15.02 submitted by the employee's commanding officer. Currently, there is no such requirement to capture all points of information. (See Objective No. 1(b)).
2. It is recommended that Risk Management and Legal Affairs Group, Policies and Procedures Section, update the Department Manual to reflect the title change of the obsolete Performance Evaluation Report to the newly titled Standards Based Assessment. (See Objective No. 1(e)).
3. The ERG should amend the policy to include their current protocol when documenting their review of administrative transfer requests on an Intradepartmental Correspondence, Form 15.02.00. The policy should ensure that there is sufficient justification, that all criteria required for the transfer are met, and a recommendation is included regarding the CO's request. Department policy does not currently indicate how to document the ERG's review. (See Objective No. 2(a)).
4. The ERG should revisit Department policy that addresses the review of administrative transfers to include downgrades and deselections that do not involve an administrative transfer. Under current policy, downgrades and deselections that do not involve an administrative transfer would not be reviewed and would not require record retention. (See Objective Nos. 2(a-b)).
5. The Personnel Division should revisit their record retention protocols to determine if the existing procedures need to be revised to ensure that all documents are retained. (See Objective No. 3).

### **ACTIONS TAKEN/MANAGEMENT RESPONSE**

Auditors provided a draft report to the Commanding Officers of ERG and the PER who were in general agreement with the audit findings and each provided a response (see attached). The PER

Position Control Section staff discussed the findings with ERG to ensure that required documents are completed and submitted. A checklist will be created to track the required paperwork for future requests, and the PER's staff will transfer paperwork into its new system to submit, review, and process Form 1.40s and related documentation.

**APPENDIX I**

**Audit Division Contact:** Police Officer III Jason Khzouz, Serial No. 34112, (213) 486-8480  
or 34112@LAPD.online, made key contributions to this report.



CARL LURVEY

Project Manager, Audit Division  
Detective II



CYNTHIA CHOW

Acting Officer in Charge, Audit Division  
Sergeant II



TRINA UNZICKER

Commanding Officer, Audit Division  
Police Administrator I

**INTRADPARTMENTAL CORRESPONDENCE**

May 4, 2021  
2.2.3

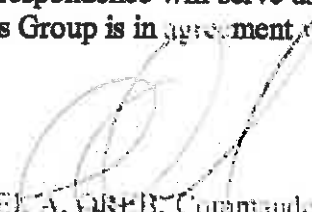
**Addendum**

**TO:** Commanding Officer, Audit Division

**FROM:** Commanding Officer, Employee Relations Group

**SUBJECT:** ADMINISTRATIVE TRANSFERS, DOWNGRADES,  
AND DESELECTIONS AUDIT

This correspondence will serve as the acknowledgement of the recent audit findings. Employee Relations Group is in agreement with the audit findings.



**MICHAEL A. GRIEB, Commander**  
Employee Relations Administrator

**RECEIVED**  
**MAY 10 2021**  
Audit Division



## INTRADEPARTMENTAL CORRESPONDENCE

August 12, 2021  
12.3.1

**TO:** Commander Officer, Audit Division

**FROM:** Commanding Officer, Personnel Division


**SUBJECT:** RESPONSE TO ADMINISTRATIVE TRANSFERS, DOWNGRADES, AND DESELECTION AUDIT FINDINGS

- As requested, Personnel Division staff has reviewed the audit findings and recommendations re: Personnel Division's Record Retention protocols. The audit determined that 32 of the 40 Form 1.40s (80%) met the standard. Eight Form 1.40s were not located in Personnel Division's Transfer Order documentation. As a result, it was recommended "Personnel Division should revisit their record retention protocols to determine if the existing procedures need to be revised to ensure that all documents are retained."

Personnel Division's Position Control Section (PCS) staff maintained all of the paperwork submitted for each of the 40 administrative transfers. In those eight cases in which a 1.40 was not located, there was not a 1.40 submitted along with the other documentation received.

Additionally, PCS staff has discussed these findings with Employee Relations Group to ensure the required documents as currently referenced in the manual sections are completed and submitted along with the other documentation prepared. Furthermore, Personnel Division staff is also working with the Office of Constitutional Policing and Policy to update related manual sections with respect to transfer paperwork required as the Department is planning to introduce a new system to submit, review and process Form 1.40s and related documentation.

If additional information is needed, please contact Senior Personnel Analyst II Kelly Kadomatsu, Officer in Charge, Position Control Section, Personnel Division, at (213) 486-4690.



ELENA NIHOA-ASUCAN, Police Administrator  
Commanding Officer  
Personnel Division