



CITY OF RICHMOND
CITY AUDITOR

DATE: November 22, 2021

TO: Lincoln Saunders
Chief Administrative Officer

FROM: Louis Lassiter *LL*
City Auditor

SUBJECT: Richmond Police Department (RPD):
Recruiting and Training Division: Training Records Audit

The City Auditor's Office has completed the RPD's Recruiting and Training Division: Training Records audit and the final report is attached.

We would like to thank the RPD staff for their cooperation and assistance during this audit.

Attachment

cc: The Richmond Audit Committee
The Richmond City Council
Gerald Smith, Chief of Police, RPD

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City of
RICHMOND
Office of the City Auditor

Audit Report# 2022-04

**Richmond Police Department's
Recruiting and Training Division: Training Records**

November 22, 2021



Audit Report Staff

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Highlights

Audit Report to the Audit Committee, City Council, and the Administration

Why We Did This Audit

The Office of the City Auditor conducted this audit as part of the FY2022 audit plan approved by the Audit Committee. The objective for this audit was to evaluate the documentation and compliance of Police training records to department policies and procedures and City/State standards.

What We Recommend:

The Richmond Police Training Academy Officer-In-Charge:

- *Ensure documents are maintained in compliance with GS-29 of the Library of Virginia.*
- *Establish and implement a process to document the hours related to Legal and Cultural Diversity in-service hours and what material is covered to meet that criteria.*



Richmond Police Department's Recruiting and Training Division: Training Records

Background - The Richmond Police Department (RPD) is accredited by the Commission of Accreditation of Law Enforcement Agencies (CALEA), a credentialing authority. RPD Recruitment and Training Division is responsible for ensuring all officers stay up-to-date on all of their required trainings. Trainings include compulsory training for cadets, In-service Training for Officers, Use of Force Training, Firearms Training, and Conducted Electronic Weapons Training.

What Works Well

Firearms Qualifications

The auditors tested 67 Police Officers (10%) to ensure they passed the State mandated firearms qualifications for CY2019 and CY2020. All officers required to have qualifications passed.

Conducted Electronic (CEW) Training

The auditors tested 67 Police Officers (10%) to ensure Officers that carried a CEW received required training. The listing of Officers within the sample that did not receive training was compared to those that had a CEW assigned and noted no exceptions.

Needs Improvement

Finding #1 – Document Retention

The State of Virginia requires Police Officers to receive 40 hours of in-service training every two years and upon completion of the 40 hours a Form 41 is generated. The auditors reviewed training records to confirm they were complete and adequately documented. In testing the 32 Police Officers' training logs and supporting documentation,

- 30 Officers received the required 40 hours per their training logs and had a Form 41 generated.
 - Twelve officers (six forms) did not have the signed Form 41 maintained.
 - Three training forms were missing the Department of Criminal Justice Services approval signature.
- 2 Officers left employment prior to being required to re-certify.

RPD requires its officers to take two Use of Force training annually. The auditors noted all 32 officers received the Use of Force training in both 2018 and 2019 per their training logs. However, RPD staff were not able to locate two signed Use of Force rosters.

Finding #2 – Training Hours Breakdown

The Auditors reviewed the lesson plans for all In-Service Training courses provided to Police Officers within the sample (30) during their most recent two-year renewal term from 2018 to 2021. The Auditors noted that the number of training hours applied to legal and cultural diversity were noted in the officer training logs, however, it was not noted in the lesson plans.

Management concurred with 2 of 2 recommendations. We appreciate the cooperation received from management and staff while conducting this audit.

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BACKGROUND, OBJECTIVES, SCOPE, METHODOLOGY, MANAGEMENT RESPONSIBILITY and INTERNAL CONTROLS

This audit was conducted in accordance with the Generally Accepted Government Auditing Standards promulgated by the Comptroller General of the United States. Those Standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on the audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on the audit objective.

BACKGROUND

The Richmond Police Department (RPD) is accredited by the Commission of Accreditation of Law Enforcement Agencies (CALEA) every three years. RPD obtained their first accreditation on July 31, 2010 and their most recent accreditation on July 31, 2020.

The City of Richmond Police Training Academy is certified by DCJS. DCJS is responsible for oversight and management of training standards and regulations for the criminal justice community. RPD follows the regulations of DCJS as they pertain to the academy. DCJS representatives assess the training academy for compliance with DCJS standards every three years. The last assessment was conducted on July 29, 2020.

In FY2019 and FY2020, RPD spent \$7,356,925 and \$7,534,999, respectively, on the training and development of its officers.

RPD's officers are responsible for the following:

- Preservation of the public peace;
- Prevention of crime;

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- Apprehension of criminals;
- Protection of the rights of persons and property; and
- Enforcement of the laws of the Commonwealth, the Ordinances of the City and all rules and regulations made in accordance therewith.

RPD is comprised of five divisions:

- Chief's Office
- Business Services
- Community, Youth, and Intervention Services (CYIS).
- Patrol Services
- Support Services

For this audit, we focused on the training of cadets and in-service officers within the Recruitment and Training Division, which is within the Business Services Division.

Training Academy

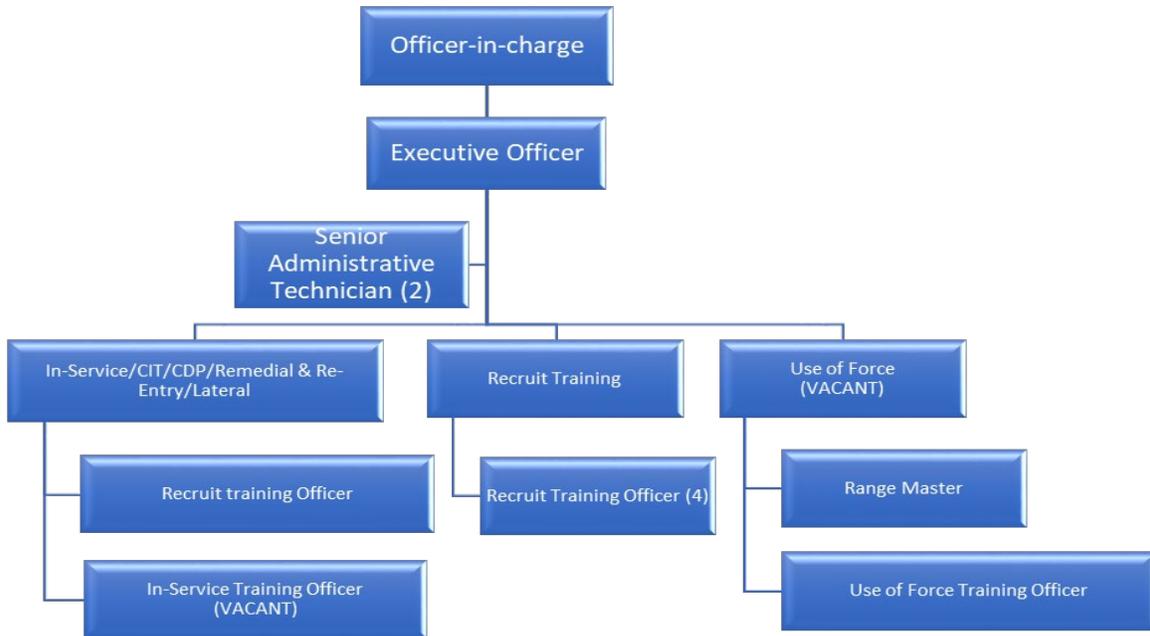
The Training Academy's Mission is:

"To support the Richmond Police Department in providing the highest quality law enforcement for the citizens of the City of Richmond. The Academy does this by delivering high quality training opportunities that enhance officers' personal development and assist the Department in reaching its goals."

The Academy is responsible for training all new cadets that are hired by the City of Richmond. In addition to new recruit training, staff are responsible for ensuring all officers are staying up to date on all of their required trainings. The Training Academy is led by an Officer-In-Charge and consists of officers responsible for all areas of training as seen below in the organizational chart:

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Prepared by auditor

In-Service and City Training Requirements

Once an officer is officially certified through DCJS, they have training requirements that are mandated by the City as well as those mandated by DCJS. During CY2019 and CY2020 RPD had a staff composition of 1,035 employees. After removing those employees not requiring in-service training (civilians, recruits, and those that left employment in 2019), only 669 of those officers were potentially required to meet in-Service requirements. The chart below is a breakdown of trainings required by sworn officers:

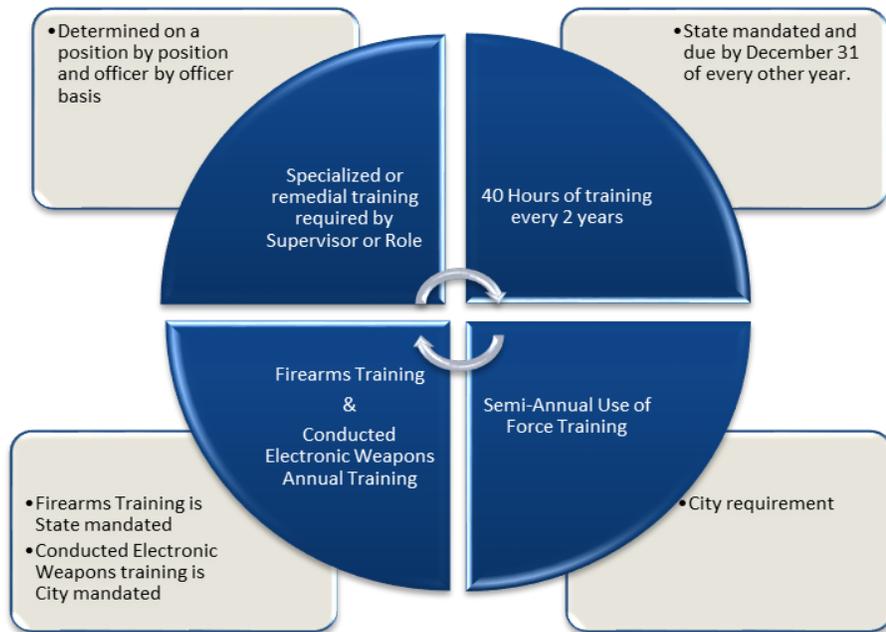
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Prepared by auditor

In-Service Training

The State of Virginia requires law-enforcement officers to receive 40 hours of in-service training every two years starting after the completion of compulsory training. The 40 hours consist of:

- Two hours of cultural diversity training,
- Four hours of legal training, and
- Thirty-four hours of career development training.

The In-Service training hours are tracked using ACE – a database created by DCJS. The ACE system has a roster for each officer that keeps track of how many training hours each officer has received and those they still need. Once the officer meets his/her 40 hours requirement, ACE automatically creates a Form 41 to submit to DCJS. A Form 41 is documentation of all recruits who have successfully completed their Academy training within that training course. In order for an officer to attend a training course, it must be approved by the Officer-In-Charge. Per General Order 05-02, the following documentation must be maintained for each training class taken:

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- Type, title, and lesson plan of training,
- Dates and number of credit hours of attendance,
- Identification of trainers or agencies presenting the course,
- Names of all agency personnel receiving the training, and
- Performance of individual attendees as measured by tests, whenever applicable.

Use of Force Training

RPD's General Order (G.O.) 05-02 states it is mandatory that all sworn officers receive Use of Force training at least twice a year. The course is eight hours and is developed by the Use of Force trainer based on local and national trends as well as some DCJS mandates. These hours count towards each officer's in-service requirements of 40 hours. Officer attendance is tracked through the ACE database and any officers missing the classes are contacted to schedule the training. If an officer fails to obtain the training, their police powers are withdrawn until they can complete the training.

Firearms Training

Per State Administrative Code 6VAC20-30-80, every criminal justice officer required to carry a firearm is required to annually qualify on that weapon and receive a score of 70% or higher. Per RPD's G.O. 05-02, officers are required to qualify annually on their firearms. If the standards are not met, the officer's police powers are withdrawn until they are in compliance. All officers' attendance and scores are tracked in their record management system (SOMA) and maintained by the Firearms Instructor. A report is ran in order to determine officers that have not yet tested.

Conducted Electronic Weapons (CEW) Training

RPD's G.O. 01-21 requires all officers that carry a CEW receive training annually to be certified on the equipment. The CEW Coordinator tracks who has taken the training through the ACE system and generates a report from ACE noting any officers who have not taken the training.

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Additional Trainings

In addition to the required 40 hours of in-service, CEW, Use of Force, and Firearms trainings, sworn officers are also required by RPD to be trained on devices used by officers to help enforce the law as well as additional specialized trainings for special units within the Department. Below is a listing of some other training requirements:

- Unmanned Aerial Vehicle
- High Risk Operations
- Speed Measuring Device
- License Plate Readers

For the purpose of this audit, these trainings were not reviewed.

Extensions, Exemptions, Waivers, & Decertification

As stated by State Code 6VA20-30-40 all sworn law enforcement officers must complete all required in-service training by December 31st of the second calendar year. However, if an officer is unable to complete the required training within that timeframe due to a medical condition, an injury, military service or if he/she is placed on administrative leave, they have the ability to be granted an extension. The extension form must be completed in writing and is valid for 90 days. All extensions must be reviewed by DCJS.

Additionally, per State Code, exemptions and waivers can be granted to officers based on the officer's background and experience. Support documentation for these requests must be submitted to and approved by DCJS. Officers can be decertified if they do not receive all required training. Decertification consists of the removal of an officer's badge and firearm. In order to be reinstated, the Police Officer must meet all required training hours.

Document retention

The Academy follows the Virginia Records Retention and Disposition Schedule which requires that all official training records and classroom records be maintained and/or archived for 50

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years after the student begins training. The RPD Academy's ACE database is updated with all sworn personnel information who have graduated from RPD's training academy. If sworn personnel receive training outside of the Academy, it is the trainee's responsibility to provide the Academy with all appropriate documentation.

OBJECTIVE

The objective for this audit was to evaluate the documentation and compliance of Police training records to department policies and procedures and City/State standards.

SCOPE

The scope of the audit covers all officer training records for both compulsory and in-service compulsory training as well as department required trainings for the 24 months ending December 31, 2020.

METHODOLOGY

The Auditors performed the following procedures to complete this audit:

- Interviewed staff and performed walkthroughs to understand the training requirements and processes;
- Evaluated and documented how RPD tracks training and maintains documentation;
- Reviewed State and City Codes in addition to department policies and procedures;
- Reviewed training documentation maintained by RPD;
- Verified certifications for instructors; and
- Conducted other tests, as deemed necessary.
- In determining the sample for Firearms and CEW testing, the auditors randomly selected 10% of the population of 669 sworn officers employed during CY2019 or CY2020. Auditor analyzed training records to ensure compliance with State Code and RPD's General Orders.

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- In determining the Sample for Use of Force and In-Service training testing, the auditors randomly selected 5% of the population of 669 sworn officers employed during CY2019 and CY2020. Auditor analyzed training records to ensure compliance with State Code and RPD's General Orders.

MANAGEMENT RESPONSIBILITY

City of Richmond management is responsible for ensuring resources are managed properly and used in compliance with laws and regulations; programs are achieving their objectives; and services are being provided efficiently, effectively, and economically.

INTERNAL CONTROLS

According to the Government Auditing Standards, internal control, in the broadest sense, encompasses the agency's plan, policies, procedures, methods, and processes adopted by management to meet its mission, goals, and objectives. Internal control includes the processes for planning, organizing, directing, and controlling program operations. It also includes systems for measuring, reporting, and monitoring program performance. An effective control structure is one that provides reasonable assurance regarding:

- Efficiency and effectiveness of operations;
- Accurate financial reporting; and
- Compliance with laws and regulations.

Based on the audit test work, the Auditors concluded the Training Academy had controls in place to ensure officers met their Firearms and CEW training/testing requirements. However, internal controls need improvement for the following areas:

- Document Retention
- Document the material used to meet Legal and Cultural Diversity training requirements.

These deficiencies are discussed throughout the report.

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FINDINGS and RECOMMENDATIONS

What Works Well

Firearms Qualifications

Sworn officers that carry a firearm are required to qualify annually and pass to continue carrying their weapons. The auditors tested 67 officers (10%) to ensure they passed the State mandated firearms qualifications for CY2019 and CY2020. As noted in the following table, all officers required to have qualifications passed.

Description	2019	2020
Passed Qualification	62	58
N/A (hired in CY2020)	1	0
N/A (on light duty)	4	3
N/A (Retired in 2020)	0	6
Total	67	67

**Note: Officers on Light duty do not test and must re-certify upon re-entry to regular duty.*

CEW Training

RPD requires officers that carry a CEW receive training and re-certify annually on the device. If they do not have the required training, they are not allowed to carry a CEW. The auditors tested 67 officers (10%) to ensure that CEW training was received if they carried a CEW. The listing of officers that did not receive training was compared to those that have a CEW assigned and noted no exceptions as noted in the following table:

Description	2019	2020
Received CEW Training	31	32
N/A (Rank, Light Duty, leave/illness)	13	12
N/A (Retired in 2020)	0	6
N/A (Hired in 2020)	1	0
N/A (Officer Choice)	22	17
Total	67	67

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What Needs Improvement

Finding #1 – Document Retention

Condition:

The State of Virginia requires Police Officers to receive 40 hours of in-service training every two years. Upon completion of the training, a Form 41 is created noting the officer has met the training requirements. The Officer-in-Charge signs on the Form 41 to attest the Police Officers met their requirements. The auditors reviewed training records, lesson plans, signed rosters, and Form 41's for a sample of officers to confirm their trainings were completed and adequately documented. In testing the 32 officers training logs and supporting documentation,

- 30 officers received the required 40 hours per their training logs and had a form 41 generated.
 - Twelve officers (six forms) did not have the signed Form 41 maintained.
 - Three training forms were missing the DCJS approval signature.
- 2 officers left employment prior to being required to re-certify.

RPD requires its officers to take two Use of Force training annually. After reviewing the training records of 32 officers, the auditors noted all 32 officers received the Use of Force training in both 2018 and 2019 per their training logs. However,

- RPD staff could not locate two Use of Force signed rosters.

Use of Force Training Rosters	Signed Rosters Provided	Signed Rosters Not Provided
2018 Session 1	31	1
2018 Session 2	31	1
2019 Session 1	32	0
2019 Session 2	32	0

Use of Force trainings in 2020 were cancelled due to the pandemic and have since resumed in 2021.

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Criteria:

According to the General Schedule (GS) 29 of the Library of Virginia Records Retention and Disposition Schedule, all training records should be maintained and/or archived for 50 years after the end of the calendar year. These include attendance records, lesson plans, and curriculum syllabus documentation.

Cause:

The Police Training Academy maintains the hardcopy documents in a filing room, as well as some digitally, and were not able to locate the documents in their files.

Effect:

The lack of documentation could lead to management's inability to retrieve needed information for career development purposes, in case of an audit, or if an officer requests their training record support documentation. In addition, they are not in compliance with document retention standards set by GS-29 of the Library of VA.

Recommendation:

- 1. We recommend the Richmond Police Training Academy Officer-In-Charge ensure documents are maintained in compliance with GS-29 of the Library of Virginia.*

Finding #2 – Training Hours Breakdown

Condition:

The Auditors reviewed the lesson plans for all In-Service Training courses provided to officers within the sample (30) during their most recent two year renewal term from 2018 to 2021. Each training was reviewed to determine if the required information was included within the lesson plan. The Auditors noted that the number of training hours applied to legal and cultural diversity were noted in the officer training logs, however, it was not noted in the lesson plans.

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Criteria:

State Administrative Code 6VAC20-30-30 states law enforcement officers are to receive a total of 40 hours of in-service training of which includes four hours of legal training and two hours of cultural diversity training. Per the Police Training Academy manual, all lesson plans should include a detailed outline of the course content.

Cause:

Academy Management noted that the lesson plans are created by the instructors and it is not their responsibility to break down the categories. Upon instructors submitting the lesson plans, Academy Management reviews the lesson plans and makes the decision on what applies to legal and cultural diversity and enters it into their tracking system. Management stated there is no documentation noting the decision or what is considered applicable to each.

Effect:

It is difficult to determine what materials/topics were counted towards meeting the states standards for legal and cultural diversity.

Recommendation:

- 2. We recommend the Richmond Police Training Academy Officer-In-Charge establish and implement a process to document the hours related to Legal and Cultural Diversity in service hours and what material is covered to meet that criteria.*

APPENDIX A: MANAGEMENT RESPONSE FORM

2022-04 RPD's Recruiting & Training Division: Training Records Audit

#	RECOMMENDATION	CONCUR Y/N	ACTION STEPS
1	We recommend the Richmond Police Training Academy Officer-In-Charge ensure documents are maintained in compliance with GS-29 of the Library of Virginia.	Y	The academy was unable to locate 2 forms from one officer who completed 2 make up training dates. The training was completed, however the roster could not be located. The roster was recreated and signed and filed accordingly. In the future, the academy will ensure that all classes include rosters and that the documents are maintained in compliance with the law.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Captain of the Training Academy		Completed November 19, 2021
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
			A new roster was completed and filed.
#	RECOMMENDATION	CONCUR Y/N	ACTION STEPS
2	We recommend the Richmond Police Training Academy Officer-In-Charge establish and implement a process to document the hours related to Legal and Cultural Diversity in service hours and what material is covered to meet that criteria.	Y	The academy created a new form that will accompany the lesson plan. The form will contain the type of training (legal, career or cultural), the number of hours, and where the information can be located. Academy staff will review and sign this form to ensure compliance. This form will be used in all future lesson plans used for in-service training.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	Captain of the Training Academy		Completed November 19, 2021
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
			This form will be used on all future lesson plans that are used for in-service.