

## STAFF INSPECTIONS

1. **PURPOSE:** To establish guidelines for conducting staff inspections. Staff inspections will encompass areas including agency administrative and operational activities, facilities, property, equipment and personnel.
2. **POLICY:** The Department will maintain a staff inspections function to ensure compliance and uniformity in the conduct of Departmental operations.
3. **SCOPE:** This directive applies to all personnel.
4. **RESPONSIBILITY:** All personnel will comply with this directive.
5. **AUTHORITY:** The staff inspections function serves as an information-gathering mechanism for the Chief of Police. The Staff Inspector, as the designee of the Chief of Police, shall have the same access to information as would be afforded to the Chief of Police, when acting within the context of the staff inspections function.
6. **GUIDING PRINCIPLES:** The following principles will guide the conduct of all staff inspections. The staff inspection is a service to the unit being inspected. The process will focus on operations, systems and procedures, NOT individuals. The process will be accomplished with a positive approach. The process will be conducted fairly, impartially and objectively.
7. **DEFINITIONS**
  - A. **STAFF INSPECTION, GENERALLY:** A detailed observation and analysis of Department elements, procedures and practices, designed to inform the Chief of Police about their performance and effectiveness. Staff Inspections are conducted by personnel outside the normal line of authority and responsibility.
  - B. **TRIENNIAL STAFF INSPECTION:** This is a full, formal staff inspection, usually encompassing all phases, areas and procedures described in this directive. All Departmental components will be formally inspected at least once every three years.
  - C. **STAFF STUDY:** An inspection, limited in scope, intended to address a specific problem or problem area.
8. **PROCEDURES**
  - A. **STAFF INSPECTIONS COORDINATOR:** The Chief of Police will appoint a Staff Inspections Coordinator to manage the Staff Inspections function. The Staff Inspections Coordinator will be organizationally located to ensure accessibility to the Chief and of sufficient rank to function effectively. Duties and responsibilities of the Staff Inspections Coordinator include:

1. Scheduling Staff Inspections for each Departmental component consistent with accreditation standards;
2. Planning or assisting with planning the scope and direction of each inspection;
3. Conducting or assisting in conducting staff inspections of agency components, processes and functions;
4. Training, facilitating and monitoring operational activity of personnel assigned to perform staff inspections;
5. Assisting in the preparation of, or preparing, reports on the results of inspections;
6. Keeping the Chief of Police informed on matters involving the Staff Inspections function; and
7. Maintaining the Staff Inspections files.

#### B. APPOINTMENT OF STAFF INSPECTORS

1. **INSPECTIONS COMMISSIONED BY CHIEF OF POLICE:** For any triennial inspection or staff study commissioned by the Chief of Police, the Chief will appoint the staff inspector or inspection team.
  - a. Staff inspection teams may be comprised of personnel regularly assigned staff inspections responsibilities or temporarily assigned personnel, or a combination of both.
  - b. Staff inspectors or inspection team leaders will generally be of one higher rank than the commander of the component being inspected, subject to availability.
  - c. The Chief of Police may appoint any employee to perform staff inspections duties.
2. **STAFF STUDIES COMMISSIONED BY A BUREAU COMMANDER:** The Bureau Commander may select inspectors at his or her discretion, provided that the inspector is an employee outside the component or function's normal chain of command.

#### C. SCHEDULING

1. **TRIENNIAL INSPECTIONS:** Each organizational component will be inspected at least once every three years. The Staff Inspections Coordinator will maintain a tentative schedule for triennial inspections and initiate them as appropriate.
2. **UNANNOUNCED INSPECTIONS AND STAFF STUDIES:** Unannounced ("spot") inspections and staff studies may be scheduled at the discretion of the Chief of Police to address specific areas of concern. Bureau Commanders may also initiate staff studies. The Chief of Police will be notified of any staff study

commissioned by a Bureau Commander.

3. **ACCREDITATION COMPLIANCE VERIFICATIONS:** Inspections mandated by accreditation standards do not require specific prior approval by the Chief of Police. The Staff Inspections Coordinator or Accreditation Manager may examine compliance with accreditation standards, or request proof of compliance on any accreditation standard requirement, at any time.
  4. **NOTIFICATIONS:** For anticipated triennial inspections, the Inspector or Inspection Team Leader will notify the commander of the unit to be inspected at least one week prior to the inspection. The component commander will be briefed on the areas to be inspected and the general procedures for the inspection, and may assign a liaison to work with the inspection team.
- D. **INSPECTED AREAS:** Formal staff inspections generally concentrate on four major areas of concern, facilities and equipment, files and records, supervision and management, and policies and procedures. Other areas may be examined at the discretion of the commissioning authority or the inspection team.
- E. **PHASES:** Triennial inspections will generally be conducted according to the following phases. Other inspections may vary these steps, as appropriate to the nature and type of inspection:
1. Authorization;
  2. Determining scope;
  3. Planning;
  4. Notification to component commander;
  5. Pre-inspection conference;
  6. On-site inspection;
  7. Debriefing commander;
  8. Data analysis and findings;
  9. Determination of findings;
  10. Reporting;
  11. Response by component commander;
  12. Post-inspection conference (optional); and
  13. Follow-up inspections, if required.
- F. **INSPECTIONS OPEN:** Staff inspections will be conducted openly, in a spirit of

cooperation, with full knowledge and awareness of all concerned. The focus for the inspection will be on operations, not personalities, with the emphasis on confirming efficiency and serving as a mechanism to detect processes that should be improved or eliminated. The inspection process will be conducted in a non-adversarial atmosphere.

G. **METHODS:** Inspection methods will vary depending upon the functions of the unit being inspected, as well as the scope and nature of the inspection. Inspections may involve the use of checklists, interviews, surveys, facilities inspections, and any other method needed to ensure the inspectors receive a balanced view of areas being examined.

#### H. VIOLATIONS OF POLICIES & PROCEDURES

1. **SERIOUS VIOLATIONS:** If an inspector discovers evidence of serious violations of policies and procedures requiring investigation by supervision or Internal Affairs, Chief of Police will be briefed immediately.

2. **HAZARDS AND SAFETY CONSIDERATIONS:** Serious safety hazards will be brought to the attention of the component commander and corrected immediately.

3. **MINOR VIOLATIONS/PROBLEMS:** Component commanders should be given the option to correct minor problems during the on-site inspection.

I. **INSPECTION REPORTS:** A written report will be completed for all Staff Inspections. This report will cover both positive and negative aspects of the inspection.

1. **EXECUTIVE SUMMARY:** The report will begin with an executive summary. The summary will provide the Chief with an overview of the inspection report and any other information needed to interpret the results of the inspection.

2. **FORMAT:** The report will be brief, concise, readable, and oriented toward observations, rather than opinions. Findings will be supported by relevant facts and statistics. The report will identify deficiencies and any recommendations the inspector believes may prove helpful. The report will identify positive aspects of the area being inspected.

3. **SUBMISSION:** The Staff Inspections Team Leader or Staff Inspector will submit the final report directly to the Chief of Police. A copy of the report will be forwarded to the inspected component's commander, via chain of command, and to the Staff Inspections Coordinator. Staff studies commissioned by a Bureau Commander will be similar in format, except that the executive summary is optional and the report can be on chain of command memo, with appropriate attachments. Copies of the report will be forwarded to the Chief of Police and the Staff Inspections Coordinator.

J. **COMMANDER'S RESPONSE:** Within 30 calendar days after the date of the final report, the commander of the inspected component will forward a written response to

the Chief of Police. The response format will follow that of the inspection report, and address any deficiencies noted, along with efforts or plans to correct them. Responses to staff studies will be as determined by the commissioning Bureau Commander. Written responses will be required for any staff study commissioned by the Chief of Police.

#### K. FOLLOW-UP INSPECTIONS

1. **INSPECTIONS COMMISSIONED BY THE CHIEF:** The Chief of Police may initiate follow-up inspections as needed to ensure deficiencies have been corrected in a timely manner. A written report will be required on any follow-up inspection. The report will follow the guidelines and procedures for the final inspection report. The follow-up report will be included in the Staff Inspections file.
2. **INSPECTIONS COMMISSIONED BY BUREAU COMMANDERS:** Bureau Commanders may initiate follow-up inspections as needed to ensure deficiencies have been corrected. A written report will be required for any follow-up inspection. The report will be directed to the Bureau Commander, with a copy to the Chief of Police and the Staff Inspections Coordinator.

#### L. REPORT CONTROL

1. **WORKING PAPERS:** Inspectors' notes, survey forms, inspection forms and other materials used to formulate a final report are called working papers. These materials provide a valuable reference for findings in the inspection report.
  - a. All working papers of potential value to the inspection file will be forwarded to the Staff Inspections Coordinator with the copy of the final report.
  - b. Access to working papers is limited to the Staff Inspections Coordinator, the inspector and the Chief of Police. The Staff Inspections Coordinator will purge the working papers from the file when they are no longer needed.
2. **INSPECTION REPORTS**
  - a. **RETENTION:** Original inspection reports will be filed in the Staff Inspections files and will be retained at least five years.
  - b. **DISTRIBUTION:** Inspection reports will be distributed only to those personnel with a "need to know." Inspection reports will NOT be disseminated outside the Department without the direct authorization of the Chief of Police. As a general rule, such reports and all related documentation are internal management documents and will not be released outside the Department.
  - c. **DISSEMINATION OF RESULTS:** Information about results of the inspection and problems resolved through the inspections process should be released to personnel in the inspected component. Information released should include positive as well as negative findings.

