

1.428 INSPECTIONS (53.1.1, 53.2.1)

1.428.02 Inspections – Generally {Revised:1/8/2019}

- A. The agency's inspections programs:
 - 1. Assess the quality of compliance with its mission, values, goals, objectives, directives, and professional accreditation standards; and
 - 2. Provide information for planning the future of the agency.
- B. Inspections will be conducted:
 - 1. By designated supervisors, managers, and commanders;
 - 2. Positively and professionally; and
 - 3. Using independent thinking, objective based decision-making, and not overlooking matters that may be controversial.
- C. Employees will fully cooperate with inspections, to include making other employees, property, files, records, and equipment available upon request, unless deemed confidential or not relevant by the CHIEF.
- D. Employees may request to be interviewed during inspections by sending requests:
 - 1. Through their chain of command;
 - 2. Directly to the commander responsible for the inspections function, hereafter "inspections commander," if their concerns are related to those in their immediate chain of command; or
 - 3. Directly to their immediate commander or the Chief if their concerns are related to the inspections commander; and
- F. Inspecting employees will hold in confidence information they obtain during inspections and release it only to the designated recipient or as otherwise directed by the CHIEF.
- G. The accreditation manager:
 - 1. Coordinates and manages the agency's inspections programs;
 - 2. Updates inspection criteria as needed to assess compliance with current controlling standards and directives;
 - 3. Ensures electronic inspectional criteria and resources are available in **O:\Manuals**;
 - 4. Provides inspection related consultation and technical assistance to inspecting commanders and supervisors on request;
 - 5. Conducts or assists and documents assigned inspections;
 - 6. Maintains final, reviewed inspection reports consistent with the agency's records retention and destruction program;
 - 7. Tracks and documents for the CHIEF or any inspection related corrective actions that are in-progress or not underway; and
 - 8. Compiles, writes, and distributes other inspection related reports and information as required by the CHIEF.
- H. Commanders may send written responses through the chain of command to the Chief about inspection findings on units or functions under their command.
- I. See also **USM VIII-7.10 Policy on Reporting Suspected or Known Fiscal Irregularities** and **USM VIII-7.11 Communication of Suspected Fraud, Unethical and Illegal Business Activity**.

1.428.04 Line Inspections {Revised: 1/8/2019}

- A. The supervisors and commanders who usually conduct line inspections:
 - 1. Are in the respective chain of command for that organizational component;
 - 2. Have control of the persons, facilities, procedures, or other elements that are being inspected;
 - 3. Will take, initiate, or recommend applicable corrective actions for elements that do not comply with standards; and
 - 4. Require written reports for all inspections described in **PS 02.01.00 Line Inspections** or as otherwise ordered by a supervisor or commander.

- B. The types of line inspections are:
1. **Periodic Inspections:** Regularly scheduled inspections of narrowly defined activities to ensure compliance with specified personnel performance criteria and the care, cleaning, preventative maintenance, repair, etc. of critical equipment, facilities, and supplies;
 2. **Spot Inspections:** Limited or narrowly focused reviews of targeted activities or conditions that may be announced or unannounced; and
 3. **Follow-Up Inspections:** Announced or unannounced reinspections of known, uncorrected deficiencies, such as deficiencies discovered during **Periodic** or **Spot Inspections**.
- C. The CHIEF may designate staff employees, such as the accreditation manager or the professional standards officer, the authority to conduct spot or follow-up line inspections instead of, or in addition to, regularly designated inspecting employees.
- D. Employees will conduct line inspections as assigned and described in **SOP: Professional Standards (PS) 02 Line Inspections**. Information in this SOP includes, but is not limited to inspection:
1. Applicability to, and responsibility of, various commands;
 2. Frequency; and
 3. Worksheets with inspection and reporting procedures.
- D. Commanders will:
1. Conduct or assign subordinates to conduct, and report on assigned inspections;
 2. Ensure inspecting employees:
 - a. Take, initiate, or recommend and document applicable corrective actions when elements do not comply with standards; and
 - b. Promptly report to respective commanders any liability problems or serious deficiencies before written reports are completed;
 3. Ensure quarterly reports are completed and submitted through the chain of command to the Chief no later than the 15th of the month after the reporting quarter specified for each inspection; and
 4. Ensure that required follow-up reports are documented and submitted.
- E. Employees who conduct line inspections will:
1. Mark inspections as **Compliance** when:
 - a. No or very few minor errors or deficiencies were present such that, if calculated as a percentage, there would be less than a 5% error or deficiency rate;
 - b. No liability problems, serious errors, or deficiencies were present; or
 - c. Corrective actions are reasonably underway for previously identified errors, deficiencies, or liability problems and the current error or deficiency rate is less than 5%.
 2. Mark inspections as **Non-Compliance** and document in the corresponding worksheets the actual or proposed corrective actions when:
 - a. Minor errors or deficiencies were present such that, if calculated as a percentage, there would be an error rate of 5% or higher;
 - b. Any liability problems, serious problems, or deficiencies were present;
 - c. Corrective actions are underway without improvement to warrant compliance findings; or
 - d. Correctives actions are not underway or completed for previously identified errors, deficiencies, or liability problems.

1.428.06 Staff Inspections {Revised: 1/8/2019}

- A. The agency conducts staff inspections:
1. As quality control processes that objectively assess, analyze, or evaluate elements including, but are not limited to:
 - a. Compliance with CALEA standards;
 - b. If agency resources are adequate and being used efficiently and effectively;
 - c. Accuracy and reliability of collected or produced data;
 - d. Level, quality, or necessity of services provided by the agency to the community;

- e. Training, equipment, directives, supervision, or administration;
 - f. Performance across various units or functions; and
 - g. Exemplary programs or performance;
2. That are:
 - a. **General Inspections:** Announced, complete and comprehensive, reviews of a selected unit, function, or command;
 - b. **Spot Inspections:** Limited or narrowly focused reviews of targeted activities or conditions that may be announced or unannounced.
 - c. **Follow-Up Inspections:** Announced or unannounced reinspections of known, uncorrected deficiencies;
 - d. **Periodic Inspections:** Regularly scheduled inspections of narrowly defined activities to assess compliance, progress, or status.
 3. Using employees who do not have any direct responsibility for the employees, facilities, procedures, or functions being inspected, but who are acting as staff employees and reporting under orders and authority of the authorizing commanders;
 4. Within all organizational components at least once every three years starting in 2013 on a schedule authorized by the CHIEF;
- B. Employees will conduct staff inspections as assigned and described in **SOP: PS 03 Staff Inspections**. Information in this SOP includes, but is not limited to inspection:
1. Procedures and processes; and
 2. Requirements for inspecting employees to:
 - a. Be readily identified to commanders and supervisors of the unit or activities under assessment;
 - b. Conduct inspections quickly, efficiently, and with as little disruptions as possible to regular, on-going activities;
 - c. On the discovery of serious or illegal activities, directly notify the:
 - (1) Inspections commander; or
 - (2) Inspecting employee's commander or the Chief if the activities involve the inspections commander; and
 - d. Document and submit inspection processes, finding, recommendations; and follow-up assignments.