

**TITLE: STAFF INSPECTIONS/
ACCREDITATION UNIT**

CODIFIED: 85.2
EFFECTIVE: 07/23/04
RESCINDS/AMENDS: SOP
PAGES: 6

PURPOSE

The purpose of this directive is to establish and provide guidelines for Staff Inspections and Accreditation Units.

DISCUSSION

The Staff Inspections Unit of the Santa Fe Police Department has been created to ensure objective review of agency policy and procedure, facilities, property, equipment, personnel and administrative/operational activities outside the normal chain of command. Staff Inspections are an essential mechanism for evaluating the quality of Department operations, ensuring that set goals and objectives are being pursued, performing the Planning and Research function, and ensuring that control is maintained throughout the Department.

In addition to these duties, Staff Inspection personnel are charged with the task of administering Law Enforcement Accreditation as directed by the Office of the Chief of Police. This is due to the direct correlation between inspection activities and the Santa Fe Police Department's commitment to compliance with applicable standards, as set forth by the Accreditation Program.

In keeping with this commitment, periodic inspections shall be conducted to assess the Department's progress and status in regards to standard compliance. An essential part of this function will be constant review, revision, composition, and implementation of all Santa Fe Police Department Directives.

Staff inspections are not intended to be authoritative in nature, but shall be directed toward improvement rather than fault finding, with a focus on procedures, effects, and issues, not personalities or individuals. Additionally, said inspections will be conducted to support ongoing training of all personnel on revised or newly adopted policies and procedures.

PROCEDURE**STAFFING AND CHAIN OF COMMAAND**

85.2.01 The Staff Inspections/Accreditation Unit is presently staffed with one Sergeant who is supervised by a commander holding the rank of Lieutenant. The Lieutenant answers to the Support Services Deputy Chief in all matters relating to Accreditation or Staff Inspections.

AUTHORITY OF UNIT PERSONNEL

85.2.02 Personnel of the Staff Inspections Unit operate through the authority of the Chief of Police with guidance and supervision from the Professional Standards Lieutenant. The Unit is a separate component from both the Operations and Administrative Services Divisions.

STAFF INSPECTIONS FUNCTION

85.2.03 The objective of a staff inspection is to assist all employees of the management team through independent and objective analysis, review and evaluation of existing programs, procedures, and activities. In conducting inspections, the Unit will function under the policies and direction of the Chief of Police as outlined in this Directive. Further, Unit personnel shall act on behalf of the Chief of Police as a staff investigative body with the authority to review and appraise any policy, order, plan, procedure, or record within the Department.

85.2.04 Staff Inspections personnel shall be responsible for conducting staff inspections of all organizational components within the Department at least every two years, and on an as needed basis, to be determined by the Chief of Police. Unit

personnel may solicit the expertise of additional personnel, with approval from the Chief of Police.

TYPES OF INSPECTIONS AND PROCEDURES FOR CONDUCTING

85.2.05 Program Review

- A. Will be conducted to assess whether results are consistent with pre-established goals and objectives.
- B. An assessment will be made to determine whether programs are being carried out as planned.
- C. An evaluation will be conducted to assure compliance with established plans and programs standards.
- D. A written report will be completed within ten working days of the program assessment and submitted to the Office of the Chief of Police for his/her review.
 - 1. Included in the written report will be compliance documentation, documentation of non-compliance, and proposed solutions (to include input from the Operations, Support Services, or Internal Affairs Lieutenant).
 - 2. A follow-up inspection shall be conducted in 30 days, should deficiencies be noted to assure corrective measures are underway, as directed by the Office of the Chief.

85.2.06 Operational Review

- A. A general inspection examines a cross-section of operational functions and procedures of a particular unit or command.
- B. A specific inspection is an examination and evaluation of a single function or operational procedure performed either by a single unit or as a process by several units.

- C. Inspections will include evaluation for compliance of rules, regulations, policies and procedures.
- D. There will be an appraisal of the quality of performance in regards to assigned responsibilities.
- E. A written report will be completed within ten working days of the operational review, and submitted to the Office of the Chief of Police for his/her review.
 - 1. Included in the written report will be compliance documentation, documentation of non-compliance, and proposed solutions (to include input from the Support Services Captain, Operations Services Captains, or Professional Standards Lieutenant).
 - 2. A follow-up inspection shall be conducted within 30 days should deficiencies be noted. This will assure that corrective measures are underway as ordered by the Office of the Chief.

85.2.07 Review of Written Policy and Procedure

- A. This will include an assessment of present policy and procedures, the need for revision, modification, or draft of new material.
- B. Continuous inspection will be conducted in this area to assure that all written material is in compliance with NMLEA standards, and to assure that the needs of this Department are met.
 - 1. If, Unit personnel encounter written material that does not comply with NMLEA standards or department needs, he/she shall immediately prepare a written report to indicate the conflict, deficiency, or need to be met and submit this with any/all written documentation to support his/her position, and proposed solutions to rectify the situation.
 - 2. The Unit Commander shall review all documents for clarity, correctness, and

completeness prior to submission to the Office of the Chief with his/her recommendations noted.

3. If, in the opinion of the Chief of Police, no action will be taken at that time, all information will be retained and stored in the Unit files for purposes of documentation and possible action in the future.
4. Should the Chief direct modification, revision, or creation of new policy/procedure, the Unit Commander will take steps to assure the work is completed in an expedient manner. Deadlines will be set on a case-by-case basis dependant upon the urgency, amount of research, available resources for completion, and direction from the Chief.

NOTE: Any reports of deficiencies, required revision, modification or need for policy development shall be handled in accordance with procedures set in the portion of these Directive entitled, "Procedures for Policy Development and Implementation."

85.2.08 Financial and Inventory Inspections

- A. This type of inspection will encompass the review and appraisal of financial and other operational controls.
- B. Steps will be taken to ascertain the extent that agency resources are accounted for and evaluate safeguards in place to limit losses of all kinds.
- C. These inspections will be conducted in conjunction with the scheduled inspections/inventories by the responsible area Captain or Professional Standards Commander.
- D. A written report will be completed within ten days of the Financial/Inventory Inspection and submitted to the Office of the Chief of Police for review.

- E. Included in the written report will be compliance documentation, documentation of non-compliance, and proposed solutions (to supplement the report that is submitted by the Operations, Support Services, or Professional Standards Lieutenant).
- F. If directed by the Chief of Police, this unit shall further assist the assigned Captain or Lieutenant in a follow up inspection, in the event deficiencies are identified, within 30 days of the initial review.
- G. The assigned Captain shall be charged with the responsibility of conducting a follow-up inspection, 30 days from the time of the initial review to assure that corrective measures are underway as directed by the Chief of Police.
- H. A copy of his/her assessment shall be forwarded to this Unit for purposes of compliance documentation.

DOCUMENTATION, FILE MAINTENANCE, RETENTION, AND PURGING

85.2.09 Documentation

- A. All original written inspections/follow-up reports shall be forwarded to the Office of the Chief.
- B. A copy of each shall be maintained in the Staff Inspections/Accreditation Office in the appropriate research, inspection, and/or compliance file(s).

85.2.10 Filing/Storage

- A. The contents of all inspections files stored in the Unit (except for research information) are to be considered confidential/restricted.
- B. The files are to be secured in a locked filing cabinet in the Accreditation Unit and no one, other than unit personnel and the Chief shall be allowed to review the contents, unless directed by the Chief of Police.

C. Unit personnel are strictly prohibited from divulging or discussing the information contained in these files with others than those authorized in the above paragraph.

1. Failure to adhere to this section shall be deemed just cause for disciplinary action, up to and including termination.

ACCREDITATION FUNCTION

85.2.11 Accredited status requires that the Santa Fe Police Department consistently and continually monitor all written policy and procedure, on-going operations, personnel matters, manpower allocation, plans and programs, liaison with other entities and agencies, specialized assignments, financial and contractual matters to assure maximum service to the citizens, while minimizing all related costs.

85.2.12 The Personnel of this unit are charged with the efficient and effective management of this project with a focus on compliance with standard requirements while assuring that the needs of the public and the Department are met as well. To this end, the following procedures shall apply to Unit Personnel in the performance of their required duties.

85.2.13 Unit personnel are charged with the responsibility of composition, revision, modification, and review of all manuals on an on-going basis to assure that Department personnel have the necessary reference materials for guidance in the proper performance of their assigned duties.

NOTE: Training material shall be put forth in Training Bulletins, which are issued through the Planning and Research/Training Lieutenant.

85.2.14 The Chief of Police and (in his/her absence) the appropriate designee shall retain final authority to issue, revise or modify all Santa Fe Police Department Directives. This is to assure unity of command, purpose, and direction of all Department personnel.

ATTAINING AND MAINTAINING COMPLIANCE WITH ACCREDITATION STANDARDS

85.2.15 Self-Assessment Phase

- A. Directives manuals shall be drafted, revised, referenced and indexed as outlined in Directive 83.1.
- B. Plans and programs shall be developed with the aid and input of personnel who are assigned to the affected areas. Additional personnel who have expertise in the specific area may be assigned with the approval of the Chief of Police.
- C. Inspections to assure compliance with standards shall be conducted in accordance with the procedures outlined in the Staff Inspections portion of this Directive.
- D. Files shall be developed to address each standard listed by the accrediting body and shall contain the following documentation:
 1. Standard statement - A copy of the standard and the commentary will be attached to the file.
 2. **ISSR** - A completed Individual Standard Status Report for will be the second page. The **ISSR** will reflect the status of the standard (compliance, non-compliance, or other than mandatory).
 3. Multiple forms of compliance will be inserted to prove requirements of the standards have been met. On pages, which include additional information, the specific area addressed by the standard will be highlighted. Compliance documentation that addresses several points (bullets) will be highlighted with separate colors. The corresponding color will be used to highlight the bullet on the standard page to allow ease in reference.

4. Accreditation Unit personnel and/or Training Unit personnel will conduct mandatory training during the self-assessment phase, prior to on-site, during all subsequent self-assessments, and prior to any on-site inspections preceding re-accreditation. This training will focus on the process and all required steps to attain and maintain Accredited status.

MOCK AND ON-SITE INSPECTIONS

85.2.16 Mock-Inspection

A. Mock-inspection will be held utilizing the number of accreditation approved assessors as designated by the accrediting body. The Accreditation Unit personnel will handle the following areas of responsibilities.

1. Contact will be made with all proposed assessors by telephone and mail to coordinate travel/room arrangements and dates for the mock-inspection.
 - a. The amount of per diem allotted for each assessor shall be set by the Chief of Police and agreed upon by the assessors prior to the mock-inspection.
2. The Unit Commander or supervisor shall coordinate all travel/room arrangements through the agency Budget Office to assure adequate funding is made available.
3. The Unit Commander shall draft schedules for the inspection, to include appointments for agency and City personnel to be interviewed by the assessors.
4. Static displays and the media session shall be set no later than two weeks prior to the mock-inspection and all personnel shall be notified at least one week before these events of the time, date, place, and appropriate dress required.

5. Travel and room accommodations shall be set no later than two weeks prior to the inspection.

6. Unit personnel shall be responsible for scheduling use of a room within the Police Department to accommodate the assessors during their review of files and interviews of personnel. All agency manuals, compliance files, and materials needing review will be displayed in the designated room.

- a. Unit personnel shall be responsible for stocking the room with appropriate supplies to include office supplies, copiers, and any items required for the comfort of the assessors as approved by the Chief of Police.

7. Unit personnel shall be responsible for arranging transportation for the assessors to and from the airport and during their stay in the City. One agency vehicle shall be made available for this purpose.

8. Unit personnel shall be available during all times that assessors are reviewing the Department and shall assure that all areas noted by the assessors are corrected to comply with standard requirements.

85.2.17 On-Site Inspection

A. On-Site Inspections shall be held in accordance with all accrediting body guidelines for this activity. For further details, refer to the accrediting body manuals which are on file in the Accreditation office.

1. Additional procedures for scheduling and assisting with the on-site inspection that are not covered in the accrediting body manual are listed in this directive under the heading of Mock-Inspections.

TRACKING COMPLIANCE

85.2.18 Reports

- A. Computerized files will be kept to track all areas of compliance as listed below. Access to the Accreditation files is limited to unit personnel, the Chief of Police, Deputy Chiefs and all department Captains. Only the Chief of Police and Unit personnel have change or delete capabilities. Additional persons may be granted access to the files on a case-by-case basis and only with the approval of the Unit Commander and the Chief of Police.
- B. Reports requirements and due dates will be entered into Microsoft Word. Unit personnel shall be notified by memo as to what reports are due and due dates.

85.2.19 FILING


- A. The following files shall be maintained by Unit personnel and shall be updated at a minimum of once per month:
 - 1. Standard Compliance Files shall contain all items listed in section 85.2.15 in this directive.
 - 2. Research files - These files shall contain all pertinent research material for those directives that are presently approved and in effect. Out of date material shall be archived for a period of five (5) years in the Property Section of the Police Department and then destroyed or microfilmed at the direction of the Chief of Police and in accordance with the Records Retention Act.
 - 3. The Planning and Training Unit shall maintain training files.
 - 4. Communications files shall contain all letters, memorandums, and other communications regarding Accreditation and shall be maintained for a period of five years.

- 5. Miscellaneous files include information in regards to accrediting body conferences and activities of this Unit. These files shall be maintained for a period of five (5) years.

85.2.20 Access to Files

- A. Access to any computerized or manual files shall be limited to the Chief of Police, Deputy Chiefs of Police, Unit personnel, and those authorized by the Chief of Police. Review of these files must take place in the Accreditation Office, during the regular working hours of the Unit.
 - 1. This does not include Department Directives or any material listed in the Records Retention Act as public information.

Drafted (awm) 10/03

APPROVED: 
 BEVERLY K. LENNEN
 Chief of Police

DATE: 07-23-04