

 <p style="text-align: center;"><b>YALE UNIVERSITY POLICE DEPARTMENT GENERAL ORDERS</b> <i>Serving with Integrity, Trust, Commitment and Courage since 1894</i></p>	ORDER TYPE: NEED TO REFER	
	<b>202 INSPECTIONS AND AUDITS</b>	
	EFFECTIVE DATE: <p style="text-align: center;">05 MAR 2019</p>	REVIEW DATE: <p style="text-align: center;">ANNUAL</p>

**PURPOSE**

The purpose of internal inspections and audits is to ensure department members and entities comply with department policies and pursue department goals and objectives with administrative efficiency and operational effectiveness. Inspections and audits help the department administration evaluate the operations of units and create an atmosphere of continuous improvement through self-analysis. Formal inspections and audits are done at the direction of the Chief of Police, and reports are forwarded to him.

**POLICY**

The Chief of Police will appoint a **Professional Standards Officer** who is responsible to perform staff inspections and audits. **CTLEA 3.3.30a** Line inspections are the responsibility of first line and mid-level supervisors. The Professional Standards Officer reports directly to the Chief of Police and conducts examinations of particular functions or components of the department. These examinations are conducted both on a routine and as needed basis, generating reports for consideration by the Chief of Police, and providing valuable information with regard to departmental planning efforts and content of training programs. Input from all members of the department is welcome during the inspection and audit process.

**LINE INSPECTIONS CTLEA 3.3.29**

Line inspections are supervisory and management reviews of tasks and the personnel performing them. These inspections are to ensure the accountability of the chain of command. Line inspections are conducted to determine:

- If subordinates understand and execute assigned duties
- If equipment and facilities are adequately maintained
- If personal appearance is acceptable

**Formal Line Inspections**

**Officers in Charge or Department Units** will conduct a formal line inspection annually. A written report of the results of each formal inspection will be prepared and forwarded to the Captain of Community Patrol & Emergency Services or Captain of Support services. **CTLEA 3.3.29a** The report will include an anticipated correction date for all deficiencies noted. Coordinators shall ensure corrective action is completed and note when the deficiency was corrected. Reviewed reports will then be forwarded to the Assistant Chief of Police **CTLEA 3.3.29e**

**Informal Line Inspections CTLEA 3.3.29b**

Informal inspections of personnel, vehicles and equipment will be conducted daily by each level of supervision. A written report is not necessary unless a major breach of discipline is discovered. **CTLEA 3.3.29d** Supervisors will:

- Be attentive to the condition of vehicles and equipment of their subordinates.
- Require immediate repairs or correction when necessary.

If supervisors or coordinators discover deficiencies outside their scope of authority, they will notify the responsible person or entity for correction. **CTLEA 3.3.29c**

### **STAFF INSPECTIONS/AUDITS**

The Professional Standards Officer may conduct spot inspections of operations or equipment at any time. The purpose of these unannounced inspections is to ensure compliance with operational directives and standards of conduct and appearance. This does not relieve supervisors of the duty of performing their own inspections. Documentation of these inspections will be forwarded through the chain of command. Inspections generally will be limited to uniform, vehicle, and facilities inspections.

### **AUDITS**

Audits are periodic scheduled reviews of particular department units or functions to assess their efficiency, effectiveness and compliance with department policies and procedures.

#### **Regular Audits**

Regular audits are division/section audits occurring on an annual basis. These audits follow a prescribed routine and checklist. The annual schedule for these audits shall be adhered to if at all possible. Officers in charge of units and unit supervisors will have ample notice of pending audits and will be a part of the audit process and review. **CTLEA 3.3.30e**

#### **Financial Audits**

Financial audits are audits occurring on an "as needed" basis of discretionary Department funds. Financial audits occur whenever commanders responsible for such funds are reassigned.

#### **Operational Audits**

Operational audits are audits of the aggregate performance of department entities, units, policies, procedures or tactics.

Audit findings will be documented in an audit report and forwarded to the Chief of Police for review. Remedial action, if any, will be accomplished and verified through follow-up by the Professional Standards Officer. **CTLEA 3.3.30d**

### **PROCEDURES CTLEA 3.3.30b**

With the approval of the Chief of Police, a schedule will be prepared annually listing the units to be inspected or audited. At the direction of the Chief of Police, the Professional Standards Officer will conduct a comprehensive inspection of an organizational unit, function, or system. The Chief of Police will brief the Professional Standards Officer on areas of concern or specific objectives desired.

All departmental units must provide the Professional Standards Officer access to all facilities, administrative records, personnel, and equipment. In the event a conflict arises concerning access that cannot be resolved, the Chief of Police will make the final determination.

The focus of inspections is equipment, directives, procedures, and materials – not individuals. Training, direction, and discipline are the responsibility of the appropriate supervisory and command personnel.

The following depicts the inspection/audit process:

- The unit to be inspected will be given notice prior to the inspection.
- The initial step in the inspection process is a briefing meeting between the Professional Standards Officer and key members of the unit.

- Following the meeting, the unit supervisor will, when requested, provide copies of all standard operating procedures and written directives governing its operation.
- Procedures will be evaluated to assist in preparing a detailed checklist to guide the inspection process.
- On-site observation and analysis will be conducted.
- Employees, clients, and supervisory / command personnel will be interviewed.
- Records analysis will be conducted.
- On conclusion of the inspection, a written report will be forwarded to the Chief of Police and the Officer in Charge of the unit. **CTLEA 3.3.30c**

PER ORDER OF

A handwritten signature in black ink, appearing to read "Ronnell A. Higgins", is enclosed in a thin black rectangular border.

RONNELL A. HIGGINS  
DIRECTOR OF PUBLIC SAFETY AND CHIEF OF POLICE

**THIS ORDER SUPERSEDES GENERAL ORDER 202, SERVICE EVALUATION, ISSUED ON 06/01/2000 AND GENERAL ORDER 202 INSPECTIONS AND AUDITS, ISSUED ON 12/26/2011.**