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# CHAPTER 1

## INTRODUCTION

### 1. PURPOSE.

a. Departmental Inspections Program. The purpose of the Departmental Inspections Program (DIP) is to establish a credible and comprehensive process allowing commanders to identify and solve problems before they become critical issues. The DIP is based primarily on self-assessments and self-inspections. The DIP ensures all levels of departmental operations comply with all legal statutes, as well as departmental policies and procedures. The DIP accomplishes the following:

- (1) Identifies deficiencies and provides accountability for corrective actions.
- (2) Identifies training needs and serves as a catalyst to initiate training when required.
- (3) Obtains feedback on improving policies and procedures.
- (4) Identifies innovative ideas and best practices developed by a command.

b. Effectiveness. To provide effective leadership, direction, guidance, and control, commands must stay apprised of operations at subordinate levels. This is accomplished in part through internal and external interaction, documentation review, and in-depth inspection of operations, to ensure compliance with all legal statutes, policies, and procedures.

c. Review. It is important management take an active role in the ongoing review of all operations to ensure commands are operating within all departmental policies and state/federal statutory and regulatory law. The DIP serves as a tool to facilitate this review by providing a consistent, systematic, and logical process to conduct inspections of all departmental operations.

d. Format. Each topic is formatted with general information at the beginning of each checklist(s), which is intended to familiarize the inspector(s) with the corresponding inspection process specific to that topic. Each topic contains one or more checklists, which provides a systematic process for inspecting all material covered within the topic. Upon completion of the checklist(s), the Exceptions Section shall be completed. These documents are available through the Audits and Inspections Section (AIS) SharePoint site and the electronic Forms library on the CHP Intranet site, under Inspections.

## 2. DEFINITIONS.

- a. Audit. An in-depth evaluation which provides an assessment of a person, organization, system, process, project, or product, performed to ascertain the validity and reliability of information, internal controls, and contributes to the improvement of risk management. Internal auditing is an independent, objective assurance, and consulting activity designed to add value and improve the Department's operations in accordance with the Global Internal Audit Standards issued by The Institute of Internal Auditors.
- b. Inspection. A process for analyzing a command through examination of departmental and local procedures, personnel, records, equipment, and facilities, to determine the quality, system controls, and assurances of the inspected program.
- c. Audit vs. Inspection. An audit is an in-depth evaluation, which is conducted by a trained auditor; however, an inspection is a cursory review of departmental systems to ensure compliance with departmental policy and legal statutes. An inspection can be conducted by any member of the Department in accordance with this manual.
- d. Performance Review. An inspection conducted by AIS pursuant to the current Audits and Inspections Plan.
- e. Topic Inspection. An inspection conducted utilizing the corresponding inspection checklist(s).
- f. Inspection Checklist. A document utilized during each topic inspection to ensure compliance with applicable policies and legal statutes.
- g. Mandatory Inspection Checklist. A document utilized primarily for either the second or fourth quarter mandatory departmental inspection to ensure compliance with applicable policies and legal statutes. Not all topics will have a corresponding mandatory inspection checklist. When used for the second or fourth quarter mandatory departmental inspection, only the completed and signed mandatory inspection checklist is required to be returned to AIS, as described in paragraph 7.d.(4) of this chapter. A mandatory inspection checklist shall not otherwise be utilized in lieu of a full topic inspection checklist, unless approved by Executive Management or the Departmental Affairs Division (DAD).
- h. Follow-Up. A follow-up is conducted to determine if a command has implemented corrective action and/or resolved a deficiency that was identified during an inspection, audit, and/or performance review. A follow-up can be conducted either in-person or virtually and the results should be submitted to the command's Division and AIS.

- i. Exceptions Section. The Exceptions Section (Annex A) is completed at the conclusion of each inspection to articulate any significant findings, accomplishments, corrective actions, unresolved matters, problems, progress, appeals, and the overall impressions of the inspector(s).
- j. Threshold. An acceptable number of discrepancies identified during an inspection. Refer to paragraph 7.c.(3) for more information regarding thresholds.
- k. Finding. A discovery during an audit or inspection addressing one or more discrepancies pertaining to actions or documentation not in compliance with departmental policy. Refer to paragraph 7.c.(3)(a) for more information on thresholds related to findings.
- l. Observation Only. The notation of a discovery during an inspection addressing one or more discrepancies pertaining to actions or documentation not in compliance with departmental policy, but not rising to the level of a finding. Refer to paragraph 7.c.(3)(b) for more information on thresholds related to Observation Only.
- m. Information Only. A checklist question utilized to identify best practices or obtain statistical data. Information Only questions are not necessarily sustained by a directive of departmental policy and deficiencies are not considered findings.
- n. Questions Specific to a Particular Command or Office.
  - (1) Division Only. A checklist question utilized for Division commands only. These questions are not applicable to non-Division commands (e.g., field commands, Communications Centers, offices, and sections).
  - (2) Headquarters Only. A checklist question utilized for headquarter commands only. These questions are not applicable to non-headquarter commands (e.g., field commands, Communications Centers, Divisions, offices, and sections).

### 3. RESPONSIBILITIES.

- a. Commissioner. The Commissioner is committed to, and responsible for, the implementation of an effective and ethical DIP.
- b. Departmental Affairs Division. The DAD is responsible for Division-level oversight of DIP.

- c. Inspector General. The Inspector General (IG) is responsible for the overall success of DIP.
- d. Audits and Inspections Section. The AIS is responsible for verifying the integrity and success of the audits, inspections, and performance review process conducted at all levels. The AIS will assist the Department by conducting, tracking, and providing trend analysis for audits, inspections, and performance reviews. Additionally, AIS will provide recommendations to IG in DAD.
- e. Division Commander. Division commanders are responsible and accountable for the integrity and success of the inspection process. They are to ensure inspections are conducted in an ethical, fair, and timely manner. It is their responsibility to follow up with commands on identified deficiencies and to ensure corrective action(s) are accomplished.
- f. Commander. Commanders are responsible and accountable to the appropriate Division commander and are to ensure inspections conducted at their level are completed in an ethical, fair, and timely manner. Commanders are to ensure all required documentation is complete and accurate. Commanders are responsible for creating corrective action plans as necessary for identified deficiencies.
- g. Inspector(s). The inspector(s) are responsible for conducting thorough and ethical inspections. The inspector(s) are accountable for documenting all identified deficiencies and innovative practices.

#### 4. GENERAL INSPECTION POLICY.

- h. Office of Primary Interest. The AIS is the Office of Primary Interest (OPI) for the administration and facilitation of DIP. Under the direction of DAD, AIS may conduct audits and/or inspections of Executive Offices and all field and headquarters Divisions/commands. The AIS is also responsible for the review of Executive Office-level inspection results.
- i. Actionable Items. If an inspector discovers actionable items warranting an internal investigation as articulated in Highway Patrol Manual (HPM) 10.2, Internal Investigations Manual, immediate notifications shall be made to the inspector's commander. The commander shall make the appropriate notifications to initiate an investigation/inquiry in accordance with HPM 10.2. Depending on the nature of the actionable item, the decision to continue with or suspend the inspection will be determined on a case-by-case basis.

## 5. TYPES OF INSPECTIONS.

### a. Executive Office-Level Inspection.

(1) An Executive Office-level inspection is an inspection assigned by the Commissioner; Deputy Commissioner; Assistant Commissioner, Field; or Assistant Commissioner, Staff, to examine all or part of a subordinate command's operation. All command levels up to and including the Executive Offices can be subject to inspection.

(2) Executive Office-level topic inspections normally take place during the second and fourth quarters, but can be assigned anytime. Refer to paragraph 5.d. for more information related to the second and fourth quarter mandatory departmental inspections.

### b. Division-Level Inspection.

(1) A topic inspection specified by Division commanders to examine all or part of a subordinate command's operation. Division-level inspections normally take place annually during the first and third quarters, but can be assigned anytime.

(2) To differentiate from the second and fourth quarter mandatory departmental inspections, the first and third quarter topic inspections are referred to as "Division Directed" topic inspections. The data will not be collected or analyzed by AIS unless requested by the Division. Nothing in this policy prohibits Division commanders from conducting additional topic inspections, including self-inspections, for the purpose of improving the operation of their Division or subordinate commands. Refer to paragraph 5.e. for more information on self-inspections.

### c. Command-Level Inspection.

(1) A topic inspection conducted by command personnel to examine all or part of their command's operation.

(2) Commanders are strongly encouraged to conduct voluntary command level inspections, as necessary, to ensure the command's compliance with policy and all legal statutes. Refer to paragraph 5.e. for more information on self-inspections.

### d. Second and Fourth Quarter Mandatory Departmental Inspections.

(1) Topic inspections conducted by Executive Offices, headquarters, field, and Division commands, annually. These inspections are designated by Executive

Management and are conducted during the second and fourth quarters of the calendar year. At the direction of DAD, some mandatory inspections will be streamlined by reducing the number of questions on the checklist to increase efficiency. Mandatory inspections are completed utilizing a mandatory inspection checklist located on the CHP Intranet site under Inspection Forms.

(2) It is recommended Divisions establish a Division Inspection Team composed of personnel from multiple, if not all, commands represented, to conduct second and fourth quarter mandatory inspections. A Division may utilize personnel from anywhere within their Division to perform these inspections. For more information regarding Division Inspection Teams, refer to paragraph 6.e.

e. Self-Inspections.

(1) Self-inspections can be initiated and completed by Executive Offices, headquarters, Division, and field commands. These inspections can cover any topic(s). Self-inspections initiated by the command shall be retained within the command and not routed to AIS. Refer to paragraph 7.d. for more information on routing inspection documentation.

(2) Executive Offices, Headquarters, Division, and field commands can contact AIS through their respective chain of command to request a topic inspection to be conducted by AIS personnel on the command's behalf. Results of this voluntary inspection shall be retained by the Division and shall not be utilized for analysis by AIS.

6. INSPECTION PROCESS.

a. Executive Office and Division-Level Inspections.

(1) These inspections may cover any topic.

(2) Prior to any inspection, the command should receive an advance notice; however, a notice for follow-up and reinspection is not required if a command has failed to correct identified deficiencies.

b. Second and Fourth Quarter Mandatory Departmental Inspections.

(1) These inspections may cover any topic.

- (2) A Communications Network (Comm-Net) message will be delivered to all commands detailing what topic(s) are assigned for the topic inspections, annually.
- c. Voluntary Inspections.
- (1) These inspections may cover any topic.
- (2) Advance notice or Comm-Net message is not required for commands prior to an inspection.
- d. Right of Inspection.
- (1) The Commissioner or Deputy Commissioner may, at any time, direct DAD and/or AIS to conduct an unannounced inspection of any command covering any topic.
- (2) The appropriate Assistant Commissioner may, at any time, initiate an inspection of a subordinate command covering any topic.
- (3) A Division commander may, at any time, initiate an inspection of a subordinate command covering any topic.
- (4) A commander may, at any time, initiate an inspection of their command covering any topic.
- e. Division/Command Inspection Teams.
- (1) Commanders, managers, and supervisors shall be actively involved in all facets of the inspection process. They are responsible for ensuring compliance with policy and all legal statutes
- (2) A team should be utilized to complete a comprehensive inspection; however, the decision to utilize the team concept rests with the commander responsible for conducting the inspection.
- (3) A team shall be composed of representatives from the appropriate inspection level. For example, if an inspection is initiated at the Division level, it should consist of staff appointed by the Division commander responsible for conducting the inspection. If an inspection is initiated at the command level, it should consist of staff appointed by the commander whose command is being inspected. Nothing precludes appointment of inspection staff for career development purposes.

(4) Team members should not normally consist of personnel with direct responsibility for the inspected program at the command being inspected. For example, an evidence officer should not be assigned to conduct a Departmental Evidence inspection, of their assigned command. This should not prevent team members with direct responsibility for the program being inspected with assisting in the inspection process.

## 7. INSPECTION DOCUMENTATION.

### a. Inspection Checklist.

(1) The AIS checklists shall be utilized for inspections. Appropriate boxes shall be checked and questions with a “No” or “N/A” response will require an applicable explanation in the “Remarks” section (refer to Annex A). Each checklist has an associated guide to assist the inspector(s) through the inspection process.

(2) For the second and fourth quarter mandatory departmental inspections, a checklist will be used and available on the AIS Intranet site under Mandatory Departmental Inspections Schedule and/or Inspection Forms.

b. Exemption. In the event the respective command does not maintain a specific program which requires an inspection (e.g., evidence), the command shall immediately submit a CHP 51, Memorandum, through channels to AIS. When applicable, the CHP 51 shall contain justification as to why the specific inspection does not apply to the command. The associated checklist, which would potentially contain all N/A responses, shall not be submitted in addition to the CHP 51. Annex B contains a sample mandatory inspection exemption CHP 51.

c. Exceptions Section. The Exceptions Section (refer to Annex A) shall be completed, in conjunction with the appropriate topic checklist(s), for each inspection (except in instances where an exemption applies, refer to paragraph 7.b.), as follows:

(1) The inspector(s) shall complete and check all applicable boxes as they apply to the topic inspection.

(2) The inspector(s) should comment on innovative practices developed by the command, solicit suggestions from the command to improve policies and procedures and/or the inspection process. The inspector(s) should include these suggestions in the “Inspector’s Comments” section (refer to Annex A).

(3) The inspector(s) shall document all findings and include identified deficiencies found during the inspection in the Exceptions Section (refer to Annex A). The following guidelines should be utilized:

(a) An 11 percent or greater deficiency is considered the threshold of a finding.

(b) A less than 11 percent deficiency is considered the threshold of an observation only.

NOTE: Sound professional judgement shall be used to identify certain high risk and/or officer safety issues which may constitute a deviation from the above-mentioned guidelines and should be considered a finding despite a less than 11 percent deficiency.

(4) In the Commander's Response section (refer to Annex A), the commander shall check either "Concur" or "Do Not Concur." All Do Not Concur responses shall include documentation for the basis of the response and attached in the form of a CHP 51.

(5) The commander shall document a response to all the inspector's findings. This documentation shall not identify any employee(s) responsible for the inspected program by name. This documentation should be completed in the form of a corrective action plan on a CHP 51 (refer to Annex C).

(6) The commander may appeal the findings of the topic inspection by checking the box to the left of the commander's signature block on the Exceptions Section (refer to Annex A). This alerts the next level in the chain of command that the commander would like to appeal the results of the inspection.

(7) The appeal review/decision shall be documented by the appropriate responding commander utilizing a CHP 51.

(8) The lead inspector, commander, and Division Chief or designee, shall sign and date the appropriate boxes on the Exceptions Section (refer to Annex A).

NOTE: Information gathered from inspections may be utilized by AIS for the purpose of conducting trend analysis to identify innovative practices, or ideas and processes, that have been implemented to improve efficiency and effectiveness of departmental operations. Conversely, trend analysis will also be utilized to identify specific operational areas where performance is substandard, or operation can be improved. This information will be routed to DAD for evaluation.

d. Routing of Topic Inspection Documentation. Inspection checklist(s) and applicable worksheets will be completed as the result of a topic inspection. Inspection documentation shall be forwarded as follows:

(1) Executive Office-Level Inspection Documentation. Inspection documents shall be routed electronically to the Executive Office responsible for the inspection within 30 calendar days by the inspected command. The appropriate Assistant Commissioner shall forward the documents to AIS via email to [audits@chp.ca.gov](mailto:audits@chp.ca.gov) within 15 calendar days of receiving the command's completed inspection. Refer to paragraph 7.d.(4) regarding documentation for the second and fourth quarter mandatory departmental inspections.

(2) Division-Level Inspection. Inspection documents shall be routed electronically to the appropriate Division within 30 calendar days. Documentation is not required to be submitted to AIS. All documentation related to Division-level inspections shall be retained at the Division level.

(3) Command-Level Inspection. Inspection documents shall be routed electronically to the respective Division within 30 calendar days. The Divisions are not required to forward documentation of command-level inspections to AIS. All documentation related to the command-level inspection shall be retained at the command and Division level.

NOTE: If a commander conducting a self-inspection believes an innovative practice has been discovered, or has identified deficiencies with policy, nothing precludes the commander from documenting and forwarding the inspection and/or Exceptions Section through channels to AIS.

(4) Second and Fourth Quarter Mandatory Departmental Inspections. Inspection documentation shall be routed in the same manner as Executive Office-level documentation. Commands shall route the completed checklist documentation to their respective Divisions within 30 calendar days after the end of the second and fourth quarter by the inspected command. Divisions shall e-mail all second and fourth quarter mandatory departmental inspections within 45 days from the end of the second and fourth quarters to their respective Assistant Commissioner. The appropriate Assistant Commissioner will send the completed and approved checklist to AIS e-mail via [audits@chp.ca.gov](mailto:audits@chp.ca.gov).

(5) First and Third Quarter Division Directed Topic Inspections. Inspection documentation shall be routed as Division-Level documentation. First and third quarter topic inspections shall be submitted to Division within 30 calendar days from the end of the first and third quarters.

e. Retention. Inspection documents shall be maintained for the previous four years plus current. Inspection documents which have not been cleared of deficiencies shall be maintained for the previous four years plus current or until all items noted are corrected, whichever is greater. These documents shall be maintained in the following locations:

(1) Executive Office-Level Inspection Documents.

(a) Approved electronic copies shall be maintained by AIS, and accessible to Executive Management.

(b) Originals shall be maintained at the inspected command.

(2) Division-Level Inspection Documents.

(a) Approved electronic copies shall be maintained by the appropriate Division.

(b) Originals shall be maintained at the inspected command and electronic copies shall be maintained at the Division office.

(3) Command-Level Inspection Documents.

(a) Approved electronic copies shall be maintained by the Division office.

(b) Originals shall be maintained at the inspected command.

(4) Second and Fourth Quarter Mandatory Departmental Inspections.

(a) Approved electronic copies shall be maintained by AIS.

(b) Originals shall be maintained at the inspected command.

8. APPEALS PROCESS. In the event a commander does not concur with the findings of an inspection, the commander may appeal the inspection. The commander may initiate an appeal by checking the appropriate box, "Command would like to discuss this report with the reviewer," located to the left of the commander's signature block (refer to Annex A). All appeals shall be documented on a CHP 51 and submitted to the next level in their respective chain of command. The next level in their respective chain of command shall render a written decision on a CHP 51. This decision shall be considered final.

9. PERFORMANCE REVIEW. In accordance with the Audits and Inspections Plan, AIS conducts performance reviews throughout the Department to ensure compliance with policy and procedures. All or portions of the performance review may be conducted in-person or virtually.

a. Draft Report. Approximately 30 days following the performance review, AIS will issue a performance review draft report. The draft report will contain the completed performance review checklist including a completed Exceptions Section, outlining any findings.

b. Command Response. All findings identified requiring follow-up are required to be addressed in the form of a corrective action plan on a CHP 51. The corrective action plan, commander-signed checklist, including the Exceptions Section, shall be submitted to AIS, through the command's Division, no later than 30 calendar days following receipt of the draft report. The command's Division Chief, or designee, shall sign the "Reviewer's Signature" box of the Exceptions Section and acknowledge receipt of the corrective action plan by checking and signing within the "For Division Use Only" section (refer to Annex C).

c. Final Report. Upon receipt of the signed draft report and approved corrective action plan, AIS will submit a final report to the inspected command and respective Division.

10. PERFORMANCE REVIEW FOLLOW-UP. If requested by Executive Management or DAD, AIS will be responsible for conducting a follow-up inspection of all findings noted during the initial performance review to determine whether a command has implemented corrective actions and resolved identified issues. The review period of examination may begin the day following the issuance of the performance review draft report and end the day preceding the follow-up inspection.

a. Level of Compliance.

(1) For each finding listed within the performance review report "Inspection Findings/Observations" section, AIS inspector(s) will examine the level of compliance with policy (e.g., commander's response/corrective action plan implementation) and provide a status rating, such as, fully implemented, partially implemented, not implemented, no qualifying sample available, or no longer applicable due to policy change.

(2) If the finding(s) listed within the performance review report "Inspection Findings/Observations" section is resolved (e.g., corrective action fully implemented), AIS will close the performance review follow-up report and inform the command, respective Division, and DAD.

(3) If the finding(s) listed within the performance review report “Inspection Findings/Observations” section is not resolved (e.g., corrective action partially implemented or not implemented), AIS will issue a report to the command, respective Division, and DAD.

b. Follow-up Reporting Responsibility for Unresolved Finding(s).

(1) Division commanders are responsible for ensuring identified deficiencies of their subordinate commands (e.g., field commands, offices, and sections) are corrected as soon as practical. Findings identified as partial or not implemented within the follow-up report require a CHP 51 from the Division commander to AIS upon achieving full compliance. This CHP 51 shall **only** attest full compliance has been achieved; no description or explanation of how full compliance was achieved is necessary.

(2) The appropriate Commissioner is responsible for ensuring identified deficiencies of their subordinate commands (e.g., Divisions and offices) are corrected as soon as practical. Findings identified as partial or not implemented within the follow-up report require a CHP 51 from the appropriate Commissioner to AIS upon achieving full compliance. This CHP 51 shall **only** attest full compliance has been achieved; no description or explanation of how full compliance was achieved is necessary.

(3) Once AIS is notified of full compliance, AIS will close the command’s performance review follow-up report and inform the command and respective Division via a CHP 51.

c. Timeframes. The Division commander shall provide their subordinate command(s) with timeframes to correct discrepancies and address unresolved issues. These timeframes shall normally be established after reviewing documentation containing the proposed corrective action from their subordinate command(s) and the identified deficiencies. A CHP 51 indicating full compliance is usually submitted to AIS within six months.

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## ANNEX A

### SAMPLE DEPARTMENTAL EVIDENCE CHECKLIST

# DEPARTMENTAL EVIDENCE

## GUIDE



This guide is to provide direction for personnel conducting a Departmental Evidence inspection to ensure compliance with Highway Patrol Manual (HPM) 70.1, Evidence Manual.

The inspector(s) should utilize the following records when conducting an inspection of the evidence program, including, but not limited to: California Highway Patrol (CHP) 36, Property Receipt; CHP 36B, Property and Evidence Log; CHP 37, Controlled Substances for Destruction; CHP 37A, Firearms for Destruction; court orders; quarterly inspection memorandum; annual or change-of-command inventory memorandum; or other applicable documentation regarding the command's possession of evidence or property, specifically items which have been destroyed, to ensure compliance with policy and legal statutes. The inspector(s) should also refer to HPM 70.1, Chapter 12, Security, Inspection, and Inventory Procedures, to determine if security measures are adequate.

The inspector(s) should start the inspection by first obtaining a list of evidence items currently in the command's custody generated from the evidence record management system. The evidence officer and supervisor should be available to answer questions related solely to the function of the command's evidence program. The inspector(s) should review evidence procedures with the evidence officer and supervisor to ensure they have a thorough understanding of the requirements of HPM 70.1.

As required in HPM 70.1, Chapter 12, when entering the evidence room to conduct an inspection, there will be at least two employees present. Additionally, all personnel entering the evidence room will be documented on the CHP 36S, Evidence Room Security Log. Departmental personnel are reminded no evidence items **shall** be opened solely to verify the contents during an inspection.

#### Methodology:


**Review Period:** This inspection will encompass activities of the command in relation to evidence for a minimum of 12 consecutive months preceding the inspection and will require a thorough review of associated documentation.

**Sampling:** The selection of evidence cases will be random. To assist in identifying a random selection of cases, if needed, the inspector(s) may use any randomizer tool, such as [www.randomizer.org](http://www.randomizer.org).

A deficiency identified in the Command Evidence inspection may indicate the integrity of the command's evidence program is deficient and further evaluation is necessary. If it is determined deficiencies exist in the command's evidence program, the commander will be required to provide a corrective action plan to their respective Division, as well as the Internal Affairs Section, Evidence Unit, with a resolution date. Additionally, the commander will be required to provide documentation verifying the plan was implemented and successfully executed. Some deficiencies, such as those involving drugs, guns, or money, may require the entire evidence program to be inventoried to ensure its integrity. The inspector(s) should provide notification of discrepancies to their immediate chain-of-command.


**ANNEX A**

**SAMPLE DEPARTMENTAL EVIDENCE CHECKLIST (continued)**

<b>DEPARTMENTAL EVIDENCE</b>		 <small>AUDITS &amp; INSPECTIONS SECTION - 036</small>	
<b>INSPECTION CHECKLIST</b>			
COMMAND	LOCATION CODE	INSPECTED BY (NAME AND ID NUMBER)	DATE
Sierra Nevada Area	248	Sergeant J. Beaker, ID 68999	Mar 10, 2025
DIVISION		ASSISTED BY (NAME AND ID NUMBER)	DATE
Western Division		Sergeant B. Melon, ID 89888	Mar 10, 2025
INSPECTION TYPE	FOLLOW-UP REQUIRED	COMMANDER (NAME AND ID NUMBER)	
Executive Office Level	Yes	M. Armstrong, ID 38777	
<p><b>INSTRUCTIONS:</b> Answer each question by selecting "Yes," "No," or "N/A" from the dropdown list. A Yes response indicates full compliance with policy. If a No or N/A box is selected, the "Remarks" section shall be utilized for explanation. Any discrepancies with policy and/or applicable legal statutes shall be explained in the Remarks section. Additionally, such discrepancies shall be documented in the Inspector's Notes section of this document and addressed to the next level of command. Furthermore, the Exceptions Section shall include any follow-up and/or corrective action(s) taken. If this form is used for a Follow-up Inspection, the "Follow-up" inspection type shall be selected, and only deficient items previously identified are to be reinspected. <b>IMPORTANT:</b> This form may contain material exempt from public disclosure and is identified by a shaded overlay. Exempt material shall not be disclosed outside the California Highway Patrol (CHP) except to allied agencies with their agreement not to disclose the information outside their agency.</p>			
<b>QUESTIONS 1 THROUGH 10 PERTAIN TO PROPERTY</b>			
<p>1. Was all property and evidence which came into the possession of the Department entered into the evidence Records Management System (RMS)? (sample size = 10 evidence cases)</p> <p><small>(Refer to Highway Patrol Manual [HPM] 70.1, Evidence Manual, Chapter [Ch.] 6, Forms – Completion and Management, paragraph ¶ 10.b.)</small></p>		Yes	Remarks:
<p>2. Was red evidence tape utilized on packaged items to cover the overlapping ends of the package, creating an evidentiary seal, except controlled substances, currency, and any other item of value? (sample size = all active cases inspected excluding controlled substances and currency)</p> <p><small>(Refer to HPM 70.1, Ch. 5, Packaging of Evidence and Property for Booking, ¶ 3.a.[2].)</small></p>		No	Two of the five items were not in compliance.
<p>3. Did all packaged items have the following handwritten information on the package: (sample size = 20 controlled substances evidence cases and 10 currency evidence cases)</p> <p>a. Property control number?</p> <p>b. Item number(s)?</p> <p>c. Initials, identification (ID) number of booking officer, and booking date across the evidence tape seal ensuring the information overlaps both the evidence tape and the package?</p> <p><small>(Refer to HPM 70.1, Ch. 5, ¶ 3.a.[1][a-c].)</small></p>		N/A N/A N/A	The command did not maintain an evidence room during the review period.
<p>4. Was the chain of possession completed for each handling, movement, and transfer of any evidence, when a CHP 36, Property Receipt, was used? (sample size = all cases inspected)</p> <p><small>(Refer to HPM 70.1, Ch. 6, ¶ 6.f.)</small></p>			Remarks:
<p>5. Was the evidence RMS-generated log electronically saved following the completion of an inspection, inventory, or the transfer of information after an evidence RMS outage?</p> <p><small>(Refer to HPM 70.1, Ch. 6, ¶ 9.)</small></p>			Remarks:
<p>6. When property was taken into possession by members of the Department which may be returned to its owner, was a locally produced property notice letter mailed to the owner, indicating the Department will dispose of the property after 60 days if not claimed, in accordance with Civil Code 2080.10?</p> <p><small>(Refer to HPM 70.1, Ch. 6, ¶ 13.a.)</small></p>			Remarks:
<small>Departmental Evidence (Rev. 05-25) <span style="float:right">Page 2 of 9</span></small>			

**ANNEX A**

**SAMPLE DEPARTMENTAL EVIDENCE CHECKLIST *(continued)***

<p><b>DEPARTMENTAL EVIDENCE</b> EXCEPTIONS SECTION</p>													
<b>INSPECTOR'S NOTES</b>													
<p><small>INSPECTION FINDINGS/OBSERVATIONS (See HPM 22.1, Command Inspection Program Manual, Ch. 1, Introduction, Annex A, for example):</small></p> <p>The Western Division inspection team conducted the 2025 second quarter mandatory departmental inspection Command Evidence. The inspection was conducted on Monday, March 10, 2025.</p> <p>The inspection was conducted utilizing the attached Command Evidence inspection checklist.</p> <p>Findings/Information:</p> <p>1. Two of the five (40 percent) evidence items selected were not sealed with red evidence tape on packaged items to cover the overlapping ends of the package. (Refer to Command Evidence checklist, question #2)</p> <p>Observations:</p> <p>1. Nine of the ten (90 percent) evidence items selected did have a CHP 36, Property Receipt, was used. (Refer to Command Evidence, question #4)</p> <p align="right"><small>(Attach additional pages as needed)</small></p>													
<p><small>INSPECTOR'S COMMENTS (Identify innovative practices; suggestions for statewide improvement; or other general comments):</small></p> <p>None.</p> <p align="right"><small>(Attach additional pages as needed)</small></p>													
<p><small>COMMANDER'S RESPONSE:</small></p> <p><input type="checkbox"/> Concur                      <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response on a CHP 51, Memorandum)</p>													
<b>REQUIRED ACTION</b>													
<p><small>If there are findings, the command shall complete a corrective action plan on a CHP 51.</small></p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:45%;"></td> <td style="width:30%;"><small>INSPECTOR'S SIGNATURE</small></td> <td style="width:25%;"><small>DATE</small></td> </tr> <tr> <td><input type="checkbox"/> Command would like to discuss this report with the reviewer</td> <td><small>COMMANDER'S SIGNATURE</small></td> <td><small>DATE</small></td> </tr> <tr> <td><input type="checkbox"/> Reviewer discussed this report with the command</td> <td><small>REVIEWER'S SIGNATURE</small></td> <td><small>DATE</small></td> </tr> <tr> <td><input type="checkbox"/> Concur                      <input type="checkbox"/> Do Not Concur</td> <td></td> <td></td> </tr> </table>			<small>INSPECTOR'S SIGNATURE</small>	<small>DATE</small>	<input type="checkbox"/> Command would like to discuss this report with the reviewer	<small>COMMANDER'S SIGNATURE</small>	<small>DATE</small>	<input type="checkbox"/> Reviewer discussed this report with the command	<small>REVIEWER'S SIGNATURE</small>	<small>DATE</small>	<input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur		
	<small>INSPECTOR'S SIGNATURE</small>	<small>DATE</small>											
<input type="checkbox"/> Command would like to discuss this report with the reviewer	<small>COMMANDER'S SIGNATURE</small>	<small>DATE</small>											
<input type="checkbox"/> Reviewer discussed this report with the command	<small>REVIEWER'S SIGNATURE</small>	<small>DATE</small>											
<input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur													
<p><small>Departmental Evidence (Rev. 05-25)</small></p>													
<p><small>Page 3 of 3</small></p>													

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## ANNEX B

### SAMPLE MANDATORY INSPECTION EXEMPTION MEMO

State of California

Transportation Agency

#### Memorandum

Date: March 10, 2025

To: Audits and Inspections Section

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**  
Business Services Section

File No.: 076.A14635.A19222

Subject: 2025 SECOND QUARTER MANDATORY DEPARTMENTAL  
INSPECTION – COMMAND EVIDENCE

This memorandum serves as written response to the 2025 second quarter mandatory departmental inspection of Command Evidence. The Business Services Section (BSS) is an administrative headquarters command and does not engage in the activities assessed in this inspection.

In the event the BSS needed to process evidence, the command would utilize the assistance of the Internal Affairs Section. If evidence required special handling, such as drug processing, BSS would utilize the North Sacramento Area to assist.

If you have any questions or would like additional information, please contact me or Lieutenant Will Rutherford at (916) 555-3160.

W. H. TAFT, Captain  
Commander

FOR DIVISION USE ONLY		
<input type="checkbox"/> Division concurs with the response provided by the Area commander and has reviewed the corrective actions submitted by the Section / Area / Unit.		
Reviewer's Signature:	ID Number:	Date:

Safety, Service, and Security  
CHP 51 (Rev. 06/2015) OPI 016



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## ANNEX C

### SAMPLE CORRECTIVE ACTION PLAN

State of California

Transportation Agency

#### Memorandum

Date: March 10, 2025

To: Western Division

From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
Sierra Nevada Area

File No.: 248.12333.14555

Subject: 2025 SECOND QUARTER MANDATORY DEPARTMENTAL INSPECTION

The Sierra Nevada Area completed the 2025 second quarter mandatory departmental inspection pursuant to Government Code (GC) §13887, the California Highway Patrol (CHP) Audit Charter, and CHP Audits and Inspections Plan. This inspection focused on the Departmental Training checklist, as directed by the Office of the Commissioner.

There were three findings noted by the inspector:

**Finding 1–Agree:** Five of Ten (50 percent) nonuniformed employees and senior volunteers, who drove monthly on state business, did not complete the online Defensive Driver Training upon hire. (Refer to Departmental Training checklist, question #18)

- o **Action Taken:** The Sierra Nevada Area training coordinator added the initial and refresher behind-the-wheel drivers training to the commands training tracker.
- o **Method of Control:** The Sierra Nevada Area training coordinator developed an Excel spreadsheet to track all employees' training upon hire and then every four years thereafter. The training coordinator will ensure all employees are aware of the training that needs to be completed for each year.
- o **Person Responsible for Corrective Action:** The training coordinator will ensure nonuniformed employees driving on state business completed the required behind-the-wheel drivers training.
- o **Person Responsible for Oversight:** The commander will oversee nonuniformed employee training and ensure the required training is completed upon hire and subsequent four year training.

**Finding 2–Agree:** Five of Ten (50 percent) nonuniformed employees and senior volunteers, who drove monthly on state business, did not complete the one-time, one-hour behind-the-wheel, defensive driver training from a certified Driver Awareness Instructor. (Refer to Departmental Training checklist, question #18)

- o **Action Taken:** The Sierra Nevada Area training coordinator added the initial behind-the-wheel drivers training to the commands training tracker.
- o **Method of Control:** The Sierra Nevada Area training coordinator developed an Excel spreadsheet to track all employees' training upon hire. The training coordinator will ensure all employees are aware of the training that needs to be completed upon hire.
- o **Person Responsible for Corrective Action:** The training coordinator will ensure nonuniformed employees driving on state business completed the required behind-the-wheel drivers training.
- o **Person Responsible for Oversight:** The commander will oversee nonuniformed employee training and ensure the required training is completed upon hire.

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CHP 51 (Rev. 09/2013) CH 016



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ANNEX C

SAMPLE CORRECTIVE ACTION PLAN (continued)

Western Division  
Page 2  
March 10, 2025

**Finding 3--Agree:** Five of Ten (50 percent) CHP 416, Record of Shoots, were not signed by a supervisor.  
(Refer to Departmental Training checklist, question #43)

- o **Action Taken:** The Sierra Nevada Area training sergeant will direct the range officer to ensure supervisors are signing the CHP 416, Record of Shoots
- o **Method of Control:** The Sierra Nevada Area range officer will audit the CHP 416 periodically to ensure supervisors signatures are the CHP 416.
- o **Person Responsible for Corrective Action:** The Sierra Nevada Area training sergeant ensure supervisors are aware and signing on the CHP 416.
- o **Person Responsible for Oversight:** The commander will oversee range training and quarterly shoots to ensure all signatures are included on the CHP 416.

If you have any questions or require additional information, please contact me, or Lieutenant Ian Geld, at (916) 555-3160.

F. C. DEVIN, Lieutenant  
Commander

Attachments

<b>FOR DIVISION USE ONLY</b>		
<input type="checkbox"/> Division concurs with the response provided by the Area commander and has reviewed the corrective actions submitted by the Section / Area / Unit.		
Reviewer's Signature:	ID Number:	Date: