


**Department of Financial Services
Florida Division of State Fire Marshal**

	Title: Staff Inspections		Policy # 1.1.3
	Amends: N/A	Rescinds: N/A	Effective Date: 03/05/2010
	Review Date:	Review Date:	Review Date:
Approved: _____ <i>Julius E. Halas</i>		Director Julius Halas	

I. Purpose

To establish a system for internal review and control of Division of State Fire Marshal (Division) policies and procedures.

II. Policy

It is the policy of the Division to evaluate and improve performance, efficiency and standards by conducting staff inspections as directed by the Division Director.

III. Authority

Department of Financial Services AP&P #1-02: "Internal Controls Policy" and Department of Financial Services AP&P #1-9: "Loss Prevention Program – Employee Safety"

IV. Definitions

- A. Component - An organizational unit of the Division, such as a Bureau, field office or section.
- B. Director - Director or his or her designee.
- C. Comprehensive Inspection - A complete examination of every aspect of an organizational component.
- D. Follow-Up Inspection - Conducted in response to a Staff, Comprehensive, Special Inspection or Risk Assessment. This inspection focuses only on those changes that were agreed upon by the Director and Bureau Chief of the affected component.
- E. Field Inspection - Conducted by members who exercise control over the members, facilities, procedures or other elements being inspected.
- F. Risk Assessment - An inspection designed to assess hazards or vulnerability, such as loss of assets, loss of time, breaches of security, personal physical harm or institutional harm.

- G. Special Inspection - Conducted in response to an emergency or unusual situation or to examine a specific problem area. Inspections of this type are limited to the specified issue.
- H. Spot Inspection - Narrowly focused inspection with the single objective of ensuring compliance with a specific directive.
- I. Staff Inspection - Inspection involving the examination of Division operations, systems or programs for efficiency, effectiveness, policy compliance, and adequacy of management controls. This type of inspection is conducted by members who do not have control over the persons, facilities, procedures or other elements being inspected.

V. Procedures

- A. Inspections are conducted at the direction of the Director. Any supervisor may request a staff inspection through the chain-of-command but only the Director has the authority to order a staff inspection.
- B. Staff inspections may be formally scheduled or initiated by the following:
 - 1. To confirm accreditation compliance;
 - 2. To affirm that selected goals and objectives are achieved;
 - 3. As a result of comments derived from the public or members of the Division; or
 - 4. At the request of a Division supervisor.
- C. Inspections shall only be conducted by staff inspectors assigned by the Office of the Director; however persons with expertise in specialized areas may be temporarily assigned to a particular inspection process.
- D. Staff inspectors are responsible neither to the supervisors of the component or function being inspected, nor for the performance of the component or function.
 - 1. During the course of an inspection, staff inspectors may operate outside of normal procedures and the chain-of-command within the components being inspected.
 - 2. While a staff inspection is being conducted, staff inspectors report only to the Director regarding matters involving the inspection.
- E. The staff inspectors shall be responsible for coordinating and conducting individual inspections, compiling reports, monitoring the status of deficiencies and making recommendations to the component supervisor to bring the affected component into compliance. The staff inspection process includes, but is not limited to, ensuring the following tasks or goals are achieved:
 - 1. The Division fulfills its legally mandated responsibilities;

2. Components comply with all Bureau, Division and Department of Financial Services (DFS) policies, procedures, practices and standards;
 3. Progress is being made or program goals and objectives are being achieved;
 4. Compliance with accreditation standards and practices is being maintained;
 5. Integrity in the management of the Division is achieved and maintained; and
 6. The service rendered to members by support elements is adequate and productive.
- F. During the course of any inspection, complete access to all facilities, records, reports, files, members, equipment and any other item shall be granted to the staff inspector.
1. All members shall cooperate with and provide assistance to the staff inspector conducting the inspection process.
 2. Failure to provide access or cooperation as needed by the staff inspector may be grounds for disciplinary action.
 3. Questions by the staff inspector, whether written or oral, may be directed to any member of the Division and will warrant response as if the question was posed by the Director.
 4. The confidentiality of all members responding to inquiries from the staff inspector shall be maintained unless criminal behavior is discovered. Surveys, questionnaires, and other instruments shall not be identified by the name of the respondent.
 5. Comments used in the final inspection report shall be consolidated, and shall not be attributed to any member in order to maintain confidentiality.
 6. If at any time during the inspection, criminal activity is discovered, the staff inspector shall immediately inform the Director and appropriate Bureau Chief.
 7. If at any time during the inspection conditions are identified which could pose a security or safety hazard, the staff inspector shall take immediate correct the situation.
- G. Inspections may be conducted by interview, observation, survey, questionnaire, checklist, examination, or any other method or combination of methods deemed appropriate by the staff inspector.
1. The staff inspector shall at all times consider the nature of the duties performed by the members being inspected and shall attempt to minimize disruption to their working environment whenever possible.

2. Except where specifically cited by the Director, the staff inspector has the authority and responsibility to determine which elements of an entity should be inspected.
 3. The duration of all inspections will be determined by the staff inspector.
 4. At the request of the staff inspector the Bureau Chief or supervisor shall appoint a liaison that shall work closely with the staff inspector to facilitate the inspection. The liaison shall, at a minimum:
 - a. Convey information about the inspection to members of the component;
 - b. Assist with the location of locating data;
 - c. Provide access to records; and
 - d. Coordinate scheduling for interviews.
- H. The Bureau Chief and supervisors of the component being inspected shall be notified in writing by the Director or designee at least ten (10) days in advance of the inspection.
1. Staff Inspections are not intended to be conducted without notice. The written notification shall indicate the nature of the inspection and may include specific requests for desired actions, questions to be answered, documents to be produced, or other necessary actions to complete the inspection.
 2. Risk Assessment, Special and Spot Inspections require no prior notification and may be ordered by the Director at any time.
 3. Due to the unique nature of certain components or functions within the Division, spot inspections may be routinely planned and implemented by the staff inspector without prior notification to the component being inspected.
 4. The Director may order inspections as deemed necessary and at his or her discretion, may choose to give prior notification or to order the inspection without notification.
 5. A staff inspector may spot check any component, procedure or condition which does not appear to be functioning properly without prior notification.
- I. Prior to commencement of the inspection, the staff inspector shall arrange to meet with the Bureau Chief or supervisor of the component being inspected. The purpose of this meeting is to discuss methods, objectives and needs, and to identify priorities or special concerns of the Director, Bureau Chief or supervisor.
1. When appropriate, this meeting may take place by teleconference.

2. Risk Assessment, Spot and Follow-Up Inspections do not require a meeting prior to the inspection.
- J. In all Staff and Comprehensive Inspections, the following areas will be reviewed, at a minimum:
1. Facilities and equipment;
 2. Policies and written procedures;
 3. Files and records; and
 4. Supervision and leadership;
- K. A post-inspection conference will be held between the staff inspector and Bureau Chief or supervisor at the conclusion of the inspection to provide an informal report of findings and recommendations.
- L. The staff inspector will submit a report to the Director within fourteen (14) days after the completion of the inspection.
1. Reports shall be based on factually developed material and may include findings, consolidated comments and other data pertinent to the inspection.
 2. Significant issues shall be addressed.
 3. Photographs and videotapes may be included if necessary to accurately portray conditions or situations.
 4. All inspections shall be tracked in the electronic Staff Inspection Database.
- M. After review by the Director, copies of the report shall be submitted by the staff inspector to the Assistant Director, Bureau Chief and supervisor of the component inspected.
- N. The correction of deficiencies identified by staff inspections through training, direction and discipline is the responsibility of the appropriate component commander.
- O. If a follow-up inspection is deemed necessary, the Director will notify the Bureau Chief or supervisor of the date of the inspection.
- P. Within two (2) weeks of receipt of the inspection report, the Bureau Chief shall prepare and submit a written response to the Director including the following information at a minimum:
1. Findings or recommendations with which the Bureau Chief concurs;
 2. Findings or recommendations with which the Bureau Chief disagrees, supported by justification;

3. Implementation plans to correct deficiencies or irregularities; and
 4. After review of the inspection report and the Bureau Chief's written response, the Director may schedule a post-inspection conference with the Bureau Chief or supervisor.
 - a. The purpose of the post-inspection conference is to discuss the findings of the inspection and arrive at a consensus of recommendations.
 - b. Contested findings or recommendations shall be resolved by the Director.
- Q. Within ninety (90) days after the completion of each staff inspection, Comprehensive Inspection or Risk Assessment, a follow-up inspection may be conducted. No prior notice is required, and it will be the responsibility of the staff inspector to schedule the inspection.
1. The purpose of this inspection is to gauge the progress made toward implementing the changes or recommendations.
 2. The primary focus will be to determine the following:
 - a. If steady, continual improvement has been realized;
 - b. If there are changes that have been made or remain to be made;
 - c. Any identified factors that may impede progress; and
 - d. The success or failure achieved by the entity to improve its operations.
 3. A report detailing the findings of the follow-up inspection is required. After reviewing the report, the Director may require an oral or written response to the findings of the inspection from the Bureau Chief or supervisor.
 4. The Director may specify that additional follow-up inspections be conducted. The frequency and number of follow-up inspections is left to the discretion of the Director.
- P. The primary duties of staff inspectors are to observe, evaluate, recommend and report.
1. The staff inspector is responsible for reporting superior performance as well as identified discrepancies.
 2. The staff inspector shall not make suggestions or corrections directly to members unless there is a safety hazard or a violation of law is observed.
 3. A staff inspector shall refrain from giving any evaluation of the component until all results have been analyzed and the final report submitted.

4. The staff inspector shall not exhibit personal reactions to any strengths or weaknesses during the inspection, and must remain impartial.
5. In most circumstances, members will be interviewed individually and privately. At the discretion of the staff inspector, this guideline may be modified and several members may be interviewed collectively.
6. The staff inspector shall speak in a manner which puts the member at ease and will explain the process of staff inspections in order to clarify any misunderstandings and relieve the member's anxiety.
7. The staff inspector shall maintain adequate security of inspection reports, working papers and other documents relating to inspections.
 - a. Security measures shall also apply to the potential oral dissemination of inspection data to inappropriate recipients.
 - b. Staff inspectors shall be held accountable for the confidentiality and security of information they possess.