



University of Pennsylvania Police Department 4040 Chestnut Street, Philadelphia, Pa 19104		 
Directive: 21	Subject: UPPD Direction	Effective Date: 08/01/1997
Order of: Gary Williams, Chief of Police		Amended Date: 08/01/2023

I. Purpose

The purpose of this directive is to establish command responsibility, chain of command, and authorization for staff meetings. This directive further defines what written directives are, how they are composed, accounted for, and distributed. The procedures for communication, coordination, and cooperation among all agency functions are also defined.

II. Policy

It is the policy of the University of Pennsylvania Police Department (UPPD) to achieve effective direction, coordination and control of all personnel and operations by using clearly defined lines of command authority. The written directives system of the department is designed to ensure that all employees have a clear understanding of the expectations and restraints relating to their performance in this department. Written directives of the department will be contained in the UPPD Directives Manual, as well as in special unit manuals.

III. Scope

This directive shall affect all UPPD employees.

IV. Definitions

- A. Chain of Command: Formal lines of communication going downward or upward within the organizational hierarchy through each successive level of command.
- B. Command Protocol: The process identified to ensure continuation of supervision at all levels of the chain of command when vacancies or absence from duty exists.
- C. Directive: UPPD policy and procedure, including rules and regulations. Directives will be retained in the Directives Manual, or stored electronically, and filed according to the index number of each directive. If a directive rescinds or amends an existing order, the obsolete order shall be removed and the current directive inserted in its place. The Professional Standards and Training Supervisor shall file a copy of the rescinded/amended directive.

- D. Manual: A hard-copy collection of written directives in book, notebook, or other similar format.
- E. Memorandum: An informal written document that may or may not convey an order; it is generally used to clarify, inform, or inquire. Memorandum may be initiated at any level to provide useful, specific information for UPPD members, or constitute an order affecting specific behavior for a specific event or period of time. Memorandum would include the computerized Electronic Mail (e-mail) system in lieu of the written memorandum.

V. Procedures

A. Command Responsibility

- 1. The responsibility and authority of the Vice President of Public Safety is granted by the Trustees of the University of Pennsylvania. The Chief of Police has the authority and responsibility for management, direction, planning, staffing, performance and control of the operation and administration of the department.
- 2. All incidents, occurrences, circumstances, and influences affecting the UPPD and its role and responsibilities to the University of Pennsylvania are the responsibility of the Chief of Police. The Chief of Police is the sole designee, as provided for by the Trustees of the University of Pennsylvania through the office of the Vice President of Public Safety.

B. Chain of Command

- 1. The Chief of Police has absolute command authority, as established by the Vice President of Public Safety through the Trustees of the University of Pennsylvania, as the Chief Executive Officer of the UPPD. An unbroken line of authority extends from the Chief of Police, through the officer in command at each level in the department.
 - a. In the event the Chief of Police is incapacitated, out-of-town, or otherwise unable to act, the Deputy Chief of Patrol Operations, the Deputy Chief of Investigations, the Captain of Patrol, the Captain of Staff and Administrative Services, the Shift Commander, and the Shift or Detective Supervisor will, in that order, command and provide the direction to this department.
 - b. In all circumstances, the sworn officer with the highest rank available will have the authority of the Chief of Police.
- 2. Rank Structure
 - a. Lines of authority within each component will be based on rank in the following descending order:
 - 1) Chief;
 - 2) Deputy Chief;

- 3) Captain;
 - 4) Lieutenant;
 - 5) Sergeant/Detective Supervisor;
 - 6) Corporal;
 - 7) Detective/Police Officer.
- b. Officers of the same grade shall rank according to seniority, determined by time in rank. When two or more officers are appointed to the same grade on the same date, departmental seniority prior to promotion or appointment will determine rank. Seniority for non-supervisory bargaining unit (Union) members is determined by the bargaining unit when two or more officers are appointed on the same date.
3. Command Protocol
- a. Command Protocol in single operations involving personnel of different units normally will be determined by rank, but a command officer's appearance on the scene does not automatically place him/her in charge of that scene unless he/she assumes control or announces he/she is taking control. In situations where officers of the same rank in different divisions appear at a scene, the ranking officer from the division having operational control shall assume command and control. If notification of a specific officer or supervisor is required prior to taking a specific action, notification will always be attempted.
 - 1) An officer assigned a call or assignment will be in charge unless relieved by a detective or supervisor.
 - 2) A detective assigned a case will be in charge of the scene unless relieved by a Detective Supervisor.
 - 3) In all instances where a supervisor relieves the officer or detective at the scene, that supervisor will then assume control of the situation.
 - b. In the event personnel are called in to work to provide assistance at the scene of a disaster or unusual occurrence, the command responsibilities will be designated by the Chief of Police or on-site command level staff.
- C. Obedience Of Orders
1. Each employee and member of the department must obey any lawful or legitimate order of a superior or supervisory officer including any order relayed from a superior or supervisory officer by an employee or member of the same or lesser rank.

2. Should conflicting orders be given or issued in the form of a verbal or written order, the last order given should prevail. The supervisor issuing the original order shall be informed of the conflict as soon as practical. The resolution to the conflict shall be in either verbal or written form.
3. In the event that the conflicting order is not altered or retracted, the employee should not be responsible for disobedience of the order previously issued.

D. Staff Meetings

1. Staff Meetings shall be conducted at a minimum of once a month. These meetings shall allow for the informal dialogue and formal planning essential to the efficient operation and administration of the department.
2. Staff Meetings include the following personnel:
 - a. Chief of Police;
 - b. Deputy Chiefs;
 - c. Captains;
 - d. Lieutenants;
 - e. Sergeants and Detective Supervisors; and
 - f. Other personnel by invitation of the Chief of Police, or designee.
3. Staff meetings may be conducted by any supervisory officer to include that officer's immediate subordinates.
4. The highest-ranking officer present for a meeting shall designate the date, time and location of each staff meeting. He/she shall chair the meeting and assign responsibility for recording minutes.
5. The officer scheduling and conducting the meeting may invite other members of the department for briefing and/or consultation.

E. Written Directives

1. All directives are written policy and pertain to all employees of the department unless noted otherwise. The function of written policy is to inform, instruct and ensure that all members and employees of the UPPD have a clear understanding of departmental:
 - a. Goals and objectives;
 - b. Procedures;

- c. Activities;
 - d. Changes;
 - e. Decisions;
 - f. Rules and regulations; and
 - g. Other formal communications.
2. Written policy is not intended to impede other methods of upward, downward or lateral communications throughout the department.
3. Employee/Member Responsibility
- a. Employees of the department are responsible for, and will be held accountable for, having a working knowledge of the contents of any written policy affecting them. Failure to be familiar with the contents of policy is no excuse for not complying with its contents and such failure will result in disciplinary action, up to and including dismissal.
 - b. Compliance with the following non-departmental written policy is also expected:
 - 1) Federal Law and statutes, mandates and the Constitution of the United States;
 - 2) Pennsylvania Law and statutes, mandates and the Pennsylvania State Constitution;
 - 3) City of Philadelphia ordinances; and
 - 4) University of Pennsylvania Policies, Procedures, Rules and Regulations.
4. Written Directive System Format
- a. All UPPD written directives will be written in the following style and outline format:
 - 1) Purpose
 - (i) An indication of why the policy is being issued and the important factors leading to the issuance of the policy.
 - 2) Policy
 - (i) A broad statement of policy clearly outlining the action to be taken and the responsibilities of those actions.
 - (ii) The intent of words such as "will", "must", and "shall", used in written directives, mandates the required action.

- (iii) Words such as "may", and "should", indicate departmental encouragement, but allow for a degree of discretion
- 3) Scope
 - (i) Specifies which departmental employees are affected by the directive.
- 4) Definitions
 - (i) If applicable, definitions of specific terms or words will be given to guide employees and allow for a clear understanding of directive content.
- 5) Procedures
 - (i) The departmentally acceptable description of the task to be accomplished by the policy written in easily understood outlined form. All necessary detail shall be included so as to establish a step-by-step scenario.
- 6) The UPPD Directives Manual will be issued (printed and/or electronically) to each officer in the department. Departmental computers can be utilized for officers needing to read their directives manuals. Additionally, printed copies of the Directives Manual will be distributed to the following:
 - (i) The Chief of Police;
 - (ii) Deputy Chiefs;
 - (iii) Captains;
 - (iv) Lieutenants;
 - (v) Sergeants;
 - (vi) Corporals;
 - (vii) Police Officers and Detectives
- 7) Directive books will also be placed in PennComm and the Sergeants Office.
- 8) Each directive will be formatted in accordance with section specifications listed elsewhere within this directive. The heading of each directive will include department name, directive number, subject, effective date, and amendment date.

F. Issuing Authority

1. All written directives will only be issued or modified with the approval of the Chief of Police under his/her signature. No directive is valid unless the signature of the Chief of Police is

affixed to the cover page. Simple memorandum communications can be composed by any reasonable person, but shall not conflict with policy directed by a higher authority.

G. Memorandum

1. Memorandum can be issued at any level within the UPPD on an Interoffice Memorandum form (UPPD-28). Memorandum may include, but are not limited to:
 - a. Announcement of new employees, transfers, promotions, etc.;
 - b. Assignment of individuals to public gatherings or special events;
 - c. Assignment of individuals to attend schools, seminars, in-service training, conferences, or other special activities;
 - d. Requests for additional information regarding specific incidents; and
 - e. Emergency situations or bulletins.
2. Any memorandum an officer feels should be brought to the attention of the Chief of Police (i.e., safety issues, hazardous conditions, equipment failure, failure of a supervisor to respond to any previous memorandum), shall be sent through the chain of command, beginning with the officer's immediate supervisor. The original shall be forwarded to the Chief of Police.
 - a. The immediate supervisor shall read and review the memorandum and forward a copy, with his/her written comments, to the Shift Commander, Captain, or Deputy Chief, depending on the chain of command.
 - b. The Shift Commander shall read and review the memorandum and comments from the Supervisor. The Shift Commander shall forward a copy, along with his/her written comments, to the Captain of Patrol and the Captain of Staff and Administrative Services.
 - c. The Captains shall read and review the memorandum and comments from the immediate Supervisor and Shift Commander. The Captains shall forward a copy, along with his/her written comments, to the Chief of Police.
 - d. The memorandum with comments shall be received by the Chief of Police no later than ten (10) days from the original date of the memorandum. The immediate Supervisor, Shift Commander, Captain, or Deputy Chief shall review and comment on the memorandum as soon as possible.
 - e. The officer originating the memorandum should receive written acknowledgement from the Office of the Chief of Police within fifteen (15) days from the original date of the memorandum.

3. Memorandum may be discarded after the effective date has past. They need not be numbered or carry a signature, but shall bear the senders initials.
4. When using Electronic Mail (E-mail) as a form of memorandum, the person originating the message is responsible for its content, distribution, cancellation date, etc. All personnel, required by the department to have an e-mail account, will check their account at least once at the beginning of each scheduled working day.

H. Organization and Numbering Of The Directives Manual

1. The UPPD Directives Manual will begin with a numerical Table of Contents and alphabetical cross-reference index that should allow rapid access to departmental Directives.
2. Directives will be numbered in ascending numerical order beginning with the number 1.
3. Printed Directives are placed in ascending numerical order in a three-ring binder or electronic format, comprising the UPPD Directives Manual.

I. Procedures for Review Of New Or Revised Directives

1. New/revised directives will be issued as warranted. Before final approval, draft directives will be circulated to the Captains, the Deputy Chiefs, and the Chief of Police by the Professional Standards and Training Supervisor for comments. These drafts will be identified with a "DRAFT" stamp. A cover memorandum will be attached requesting comments and specifying method and date comments will be due for final approval. All commanders shall forward any draft directives to their subordinate supervisors for review prior to submitting them to the Professional Standards and Training Supervisor. The commanders will remove the changes for contradicted other existing agency directives or applicable law. Comments can be listed on the cover sheet.
 - a. The Chief of Police, Deputy Chiefs and Captains will review the directives and forward their recommendations and input to the Professional Standards and Training
 - b. Draft directives will be reviewed and finalized to ensure that there are no contradictions by the Professional Standards and Training Supervisor and forwarded to the Chief of Police for final approval. Directives will not be distributed prior to the review process and approval by Chief of Police.
 - c. The Captains and Deputy Chiefs are encouraged to draft directives pertaining to employees under their command. The draft directives would then be forwarded to the Professional Standards and Training Supervisor to be distributed for review and final approval as outlined above.
2. Filing and Indexing

- a. The Professional Standards and Training Supervisor is responsible for recording, distribution, filing and indexing all new or revised directives.

3. Distribution and Maintenance

- a. Existing, new, or newly revised directives (may be in the form of removable electronic storage media USB Flash drives and/or printed directives) will be disseminated to affected personnel through their immediate supervisor. The supervisor is responsible for making all personnel under his/her command aware of the directive. Each employee receiving a directive will sign and date the Training Materials Receipt (UPPD-52) indicating that he/she has received and acknowledged the receipt of the directive. The employee's immediate supervisor will also initial the (UPPD-52) indicating that the employee did receive the directive. Completed Training Materials Receipt forms will be forwarded to the Training Coordinator, by all supervisors, at the end of each calendar year for filing and record keeping.
- b. Every employee who is issued a directives manual with the agency's written directives shall read and be familiar with the contents. Employees who are unclear about a directive or have questions pertaining to a particular directive are required to direct their questions to their immediate supervisor.
- c. Departmental Directives are the property of the UPPD and will be turned in when terminating employment with the department.

4. Changes/Updates of Directives

- a. Agency directives must be kept up to date to insure the most current policies, procedures, and rules and regulations are understood and followed by all employees. For this reason, changes and revisions of directives will be made from time to time. The following method will be used to insure employees are notified of changes/updates in directives:
 - 1) Officers will receive a revised departmental directive manual; with a cover memo indicating the changes made to the specific directive(s).
 - 2) For the printed manuals, the old directive(s) will be removed and the new directive(s) inserted in the proper place.
- b. The change will be documented on the amendment section of the directive and the Table of Contents.
- c. Supervisors will insure all personnel receive the amended directive(s) as outlined in Section H., 3., a., above.

J. Confidential Communication

1. Confidential communication need not pass through the chain of command. However, such communication shall be limited to matters such as Internal Affairs, intelligence, and civil action involving an employee of the department or confidential victim/witness information. All such communication shall be stamped "CONFIDENTIAL."

K. Unit Manuals

1. Unit Manuals are designed for specific units and contain specific operational or technical information for that unit. These manuals are compiled and issued to a specific unit at the discretion of the Chief of Police. The master copies of all Unit Manuals will be maintained by the Chief of Police. A copy of all unit manuals will also be issued to the Professional Standards and Training Supervisor for reference.

L. Response to Interdepartmental Correspondence

1. If a response to correspondence is requested or required, the person to whom the letter is addressed will compose the response and return it through the chain of command. A copy of the correspondence and response will be delivered to the officer who initiated it. All correspondence should be addressed to the employee required to respond.

M. Extra departmental Correspondence

1. Any written communication originating within the UPPD bearing reference to departmental action, personnel, policy, or any other departmental concern, will only be mailed with permission from the Chief of Police.
2. In order to maintain continuity in departmental/community image and policy, all correspondence will be reviewed and controlled through the chain of command. It is expected that the author initiating any correspondence for extra-departmental circulation will only draft that correspondence with the best interest of the department in mind.
3. Any correspondence not reviewed and verified by the Chief of Police, or designee, will be considered null and void. Such correspondence will not be recognized or adhered to by the department.

N. Communication, Coordination, And Cooperation

1. All operational components of the UPPD will encourage and support the exchange of information with each other for the purposes of coordinating activities and achieving the common goal of keeping the University community safe. Information may be exchanged through:
 - a. attendance of Detective Unit personnel at roll calls,
 - b. staff meetings,

- c. e-mail,
- d. memoranda, and
- e. exchange of flyers/bulletins.

O. Compliance

Violations of this directive, or portions thereof, may result in disciplinary action.

P. Officers Assigned To Other Agencies

Officers of this department assigned to or assisting other law enforcement agencies will be guided by this directive.

Q. Application

This directive constitutes departmental policy, and is not intended to enlarge the employer's or employee's civil or criminal liability in any way. It shall not be construed as the creation of a higher legal standard of safety or care in an evidentiary sense with respect to third party claims insofar as the employer's or employee's legal duty as imposed by law. Violations of policy will only form the basis for departmental administrative sanctions. Violations of law will form the basis for civil and criminal sanctions in a recognized judicial setting.