

**New York State  
Law Enforcement Accreditation Program**

**IMPLEMENTATION GUIDE**



**New York State Division of Criminal Justice Services  
Office of Public Safety  
Law Enforcement Accreditation Program  
4 Tower Place  
Albany, NY 12203**

Prepared by

New York State

DIVISION OF CRIMINAL JUSTICE SERVICES

Office of Public Safety

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## **Purpose**

The purpose of this guide is to explain how the Accreditation Program works and to give practical suggestions on how to achieve accreditation. These suggestions are derived from the Accreditation Program staff's own expertise and input received from agencies that have attained accreditation status. This guide offers suggestions that should prove useful to agencies pursuing accreditation. It is important to note that while the standards tell agency officials what they must do to earn accreditation, each agency has considerable flexibility in determining how to implement specific requirements.

## INTRODUCTION

In 1983, the New York State Sheriffs' Association became the first organization of law enforcement executives in the country to develop and implement an accreditation program for its members. The program was an immediate success, and helped to lay the foundation for a broader, state-wide initiative that would be suitable for all New York agencies employing sworn law enforcement personnel.

In August of 1986, a state-wide blue ribbon planning committee was formed to explore the feasibility of developing a state-wide law enforcement accreditation program. The individuals selected to work on this Committee served as representatives of the State Association of Chiefs of Police, the State Sheriffs' Association, the New York State Police, and the State Division of Criminal Justice Services. A separate subcommittee was formed in February of 1987 to draft specific standards for the Planning Committee's consideration.

Enabling legislation was presented to the State Legislature for consideration in 1987. Chief Joseph Dominelli, the Executive Director of the New York State Association of Chiefs of Police and former President of the International Association of Chiefs of Police, provided critical insights throughout the planning process and played a key role in generating the necessary political support. Governor Mario Cuomo signed the bill in August of 1988.

The Planning Committee and Subcommittee worked through the beginning of 1989. On March 20, 1989, the Accreditation Council met for the first time to review the work that had been accomplished thus far. Later that month, the State Division of Criminal Justice Services sent copies of the proposed standards and rules and regulations to the Temporary President of the State Senate, the Speaker of the State Assembly, and to every law enforcement agency, mayor and appropriate town and county official in the state. The Accreditation Council met in June to review the comments that were subsequently received, and several standards were modified as a result. The Council then sponsored a comprehensive pilot test involving seven different law enforcement agencies to identify the types of problems that might be incurred during implementation.

A total of 17 law enforcement agencies served on the Planning Committee, Subcommittee and/or participated in the program's pilot test. These agencies ranged in size from seven full time officers to just over 4,000 sworn personnel. In addition, officials from 50 other law enforcement agencies and 17 municipalities provided input following the statewide mailing of draft standards.

The program became fully operational in December 1989. In the years that followed, the Council adopted several policies to facilitate program operations and oversaw the preparation of extensive resource materials to assist participating agencies.

The Council formed a committee in December of 1994 to conduct a comprehensive review of the program standards. The review was undertaken to determine if all of the requirements were still appropriate, to identify standards that should be clarified, consolidated, or otherwise modified, and to identify any new issues that the standards ought to address. The committee had representatives from six accredited and four unaccredited agencies of all sizes. The agencies represented communities from Long Island to Genesee County.

Most of the recommendations that the Committee offered were approved by the Accreditation Council in the fall of 1995. This action reduced the number of standards from 169 to 144, but did not otherwise affect the scope or impact of the initiative.

In October 2001, the Accreditation Council adopted a third edition of revised and newly drafted standards after a comprehensive review was completed by a committee of practitioners. The Committee was tasked to analyze the wording of each standard for clarity and appropriateness and to propose new standards where justified. As a result of the Committee's work, the Council was presented with 130 standards for consideration. The reduction in the number of standards from 144 was primarily due to the consolidation of a number of standards. The 130 standards included 4 newly drafted requirements. The changes eliminated duplication and unnecessary paper work without compromising the integrity of the program.

The Accreditation Program will continue to evolve in ways that are consistent with changing legal and social developments. As it does, the Council is committed to the task of ensuring that the program remains responsive to the needs of New York's law enforcement community.

## **ORGANIZATIONAL STRUCTURE**

### **The Law Enforcement Accreditation Council**

The Accreditation Council provides overall direction and consists of 17 members appointed by the Governor. The Council meets quarterly and is responsible for establishing standards, setting policy and has exclusive authority to grant accreditation status. Members include representatives from the State Chiefs' and Sheriffs' Associations, the Superintendent of the State Police, the Commissioner of the New York City Police Department, an official of a statewide police labor organization, an incumbent police officer, a deputy sheriff and a college professor of criminal justice. Other members represent the Association of Counties, the Association of Towns, the Conference of Mayors, the State Senate, and the Assembly.

### **The New York State Division of Criminal Justice Services**

The enabling legislation established the Accreditation Council within the State Division of Criminal Justice Services. Personnel at the Division's Office of Public Safety serve as the staff arm of the Council, providing technical support to participating agencies and all aspects of daily administration. Division staff also work with an Assessor Selection Committee which reviews applications from law enforcement professionals who wish to serve as assessors. The Committee consists of the Executive Directors of the State Chiefs' and Sheriffs' Associations, the Superintendent of State Police, and the DCJS Deputy Commissioner in charge of the Office of Public Safety.

## AN OVERVIEW OF THE ACCREDITATION PROCESS

### The Application Stage

Agencies wishing to participate in the New York State Law Enforcement Accreditation program should contact the Office of Public Safety (OPS) to obtain the necessary start up materials. These materials include an application which must be co-signed by the participating agency's chief law enforcement officer and the municipality's chief elected official. In addition to the application, the CEO must also submit the "Agency Participation Agreement" which describes program policies and the specific responsibilities that the agency and OPS will have during the process. There are also additional materials sent during the application stage designed to assist the agency throughout the process. These materials include a **Program Brochure, Part 6035** (NYCRR) Procedures for Accreditation of Law Enforcement Agencies, the **Standards and Compliance Verification Manual** which contains the program standards and examples of proofs of compliance or strategies that can be used to demonstrate that the agency's policies are compliant with program standards and **policies of the Law Enforcement Accreditation Council**. Information on the Accreditation Program can be assessed at the following website: [criminaljustice.state.ny.us/ops/accred/index.htm](http://criminaljustice.state.ny.us/ops/accred/index.htm)

### The Preparation Stage

Prior to initiating policy development and implementation of program standards, it is necessary for the CEO to evaluate and gain a thorough understanding of accreditation requirements. Once the CEO has established that it is the right time for the agency to pursue accreditation, they must then develop support for the program within the agency and from the local governing body. After the CEO has enlisted the necessary support, a program manager should be selected and a self assessment review initiated. The self assessment is a review of the agency's administrative, training, and operations policies to determine whether they are in compliance with the Accreditation Program standards.

## Policy Development and Implementation Stage

The policy development and implementation stage involves the agency's efforts to meet applicable program standards. A file folder must be set up for each standard to document compliance. For those policies that the agency believes are in compliance, it is necessary to gather documentation to prove such. If agency policies are not in compliance with program requirements either because they are deficient or because there are no policies in place covering a certain requirement, it is necessary to draft new or updated procedures. New procedures or major changes in existing policies or procedures must be fully implemented **three months prior to assessment**.

If compliance with a program standard is impossible or impractical due to unique or unusual circumstances, an agency may petition the Accreditation Council to waive the standard in question. The agency may do this by submitting a written request that explains why the waiver is desired. The Council will grant a waiver if it finds that the overall objectives of the Accreditation Program are not compromised by the granting of such a waiver. Additionally, the Council may impose conditions in place of the waived standard to assure that the program goals are not devalued. A waiver is granted when approved by a two-thirds vote of the Council.

An agency may also be exempt from complying with a particular standard(s) if the standard is "Not Applicable by Function." If an agency does not perform a particular function, such as utilizing technical aids for the detection of deception (Standard 50.6), then that agency is not held accountable for not complying with the standard. When an agency uses an N/A by function exemption, it must still document why or how it did not perform certain functions and complete a file folder for that standard. Agencies should contact OPS staff for questions concerning "not applicable status" or waivers.

During the policy development and implementation stage, agencies should consider utilizing the technical assistance available through Accreditation Program staff. Staff is available to discuss ways in which a department's unique circumstances might affect the way in which a given standard should be implemented. Additionally, agencies may also network with accredited agencies in order to receive valuable input and advice on the accreditation process. OPS staff can assist participating agencies in this networking process. OPS has established a **mentor program** that links accredited agencies with departments that are willing to make a firm commitment to complete the accreditation process. Agencies involved in the mentor program provide guidance and

direction on a regular basis to help organize and prioritize the tasks that must be accomplished.

There are also a number of CEO's from accredited agencies that are involved in the **Law Enforcement Executive's Accreditation Forum**. These executives are willing to meet with you and assist you through the accreditation process. They have a wealth of knowledge that can be very valuable as you begin on the accreditation path.

### **Final Preparation Stage**

Once the agency is confident that the requirements of all applicable program standards have been met and have been in place for three months, it should consider conducting a **mock assessment**. A mock assessment is a process whereby a knowledgeable person other than the program manager reviews the file folders prepared by the agency. The process includes verifying that the overall format of the folder is consistent with program expectations, that policies and procedures are in place to implement applicable standards, and that the folders contain adequate documentation. This process gives the agency time to identify and correct potential problems before the official assessment is conducted. **All findings and recommendations which are made pursuant to a mock assessment must be regarded as advisory and unofficial in nature.** OPS is **not notified** of the outcome of a mock assessment.

When the agency feels confident that they are ready for an official assessment OPS is contacted to initiate assessment proceedings. For their part, OPS requests that the agency submit 10 file folders for review. OPS staff conducts a review and makes recommendations based on file content. If necessary, the agency may need to correct deficiencies and resubmit corrected files to OPS. Program staff works closely with the agency to coordinate the logistics prior to the actual on-site assessment.

### **Pre-Assessment Procedures**

In order to be assessed, an agency must submit a document entitled "Accreditation Assessment Agreement". This form certifies that the agency has fulfilled certain requirements prior to the assessment.

Next, OPS designates a team of experienced law enforcement professionals to act as assessors. The CEO has an opportunity to review the list of potential assessors

prior to the assessment and has the option to disqualify any individual that may present a conflict of interest. Assessors may also be disqualified for other compelling reasons that are brought to the attention of program staff. Once the three member assessment team is chosen, OPS makes the necessary logistical arrangements and the team goes on site at the agency to review agency files.

## **Assessment**

The purpose of the assessment is to verify that the standards have, in fact, been successfully implemented and adequately documented. The assessment team spends three days at the agency to complete the review of files. All assessments begin on a Tuesday and end on Thursday. On Tuesday morning the assessors meet with the CEO and program manager to review the nature and scope of the assessment. The team should be briefed on matters pertaining to the organization, operations and the way in which the Policies and Procedures Manual is organized.

The assessors should be provided with a private room and have access to appropriate office supplies and a telephone. All folders and documents should be in one location and well organized. The program manager must be available at all times to answer questions and arrange any interviews that the assessors may want to conduct. Key personnel, including the training officer, records clerk, property officer, evidence technician, personnel officer and the fiscal officer, must be available during the three days. Assessors will interview and examine records to verify compliance to the standards.

At the conclusion of the assessment, the team will meet with the CEO and program manager to discuss their overall findings. If the agency is found to be in compliance with all program standards, a detailed report of the team's findings and recommendations is prepared and forwarded to OPS.

The assessment team may find that the agency is not in compliance with all of the standards. If this is the case, the team may work with the CEO to attempt to correct any deficiencies while on site. If the agency is unable to correct the deficiencies while the assessment team is on site, the team advises the CEO of the corrective actions and then reports their findings to OPS.

If the agency has not passed the initial assessment and it still wishes to pursue accreditation, it will have two options. First, in cases where the CEO agrees that the

agency did not demonstrate compliance, the Deputy Commissioner in charge of OPS shall determine the type of supplemental assessment activity that is appropriate. In cases where non-compliance is minimal, the CEO may simply be directed to mail additional documentation to the assessment team leader. In cases that require a more thorough review, the Deputy Commissioner may require a second on site assessment.

The second option is an appeal from the CEO directly to the Accreditation Council. If the CEO believes that the agency did demonstrate full compliance with the standard(s) in question, he may appeal to the Council for resolution.

### **Accreditation**

Upon completion of the assessment, the team leader prepares a report which is forwarded to OPS. OPS mails the report to the Council thirty days before their next scheduled meeting. If, based on the assessment report, the Council finds the agency to be in compliance with all the standards and no additional issues need to be addressed, the Council votes to accredit the agency and accreditation status is granted for a period of five years. The Council meets in March, June, September and December.

### **Award Ceremony**

Agencies are awarded a mounted Certificate of Accreditation that officially recognizes the work that the agency performed. In addition, the program manager receives a Certificate of Achievement for their role in helping the agency to become accredited. DCJS officials present the plaques at a local ceremony hosted by the participating agency. There are other tangible benefits that recognize this achievement, such as decals for agency vehicles, lapel pins and uniform ribbons. However, more important, is the fact that successfully achieving accreditation is a proactive effort by agencies to ensure that they have current and professional policies and procedures in place.

### **Maintenance of Accredited Status**

Once an agency is accredited, they must develop specific mechanisms to monitor compliance with all applicable standards during the five years of accreditation status.

One requirement is for the CEO to file annual reports attesting to his agency's on-going compliance. The CEO must also advise OPS if there is a lapse in compliance with any of the standards. If this is the case, the agency and OPS work together to bring the agency back to full compliance. The ultimate goal after achieving initial accreditation is reaccreditation!

# THE ROLE OF THE OFFICE OF PUBLIC SAFETY IN THE ACCREDITATION PROCESS

## **Introduction**

Agencies pursuing accreditation should be aware that program staff at OPS can offer technical assistance to agencies participating in the accreditation process. The following information is intended to familiarize program managers and CEO's about some of the support and assistance that program staff can provide.

## **Accreditation Council Support**

In order to facilitate appointments to the Accreditation Council, OPS solicits nominations from professional law enforcement associations such as the State Chiefs' and Sheriffs' Associations prior to sending nominations and resumes to the Governor's Appointments Office.

Additionally, OPS prepares briefing materials for Council members. For the Council's quarterly meetings, OPS drafts the agenda and prepares supporting materials such as assessment reports, policy proposals, and documentation addressing issues raised at prior meetings for distribution to Council members. In between Council meetings, OPS distributes informational updates as necessary.

Aside from preparing materials for Council members, OPS also makes the logistical arrangements for the quarterly meetings and is responsible for drafting the minutes of each meeting.

Finally, OPS completes special assignments as directed by the Council. These may include researching and preparing remarks for unresolved issues addressed by the Council at prior meetings, drafting policies, or seeking legal opinions from DCJS attorneys.

## **Accreditation Program Development**

A key element of the accreditation program is OPS's commitment to continuous development and improvement of the program. For example, program staff develop new policies when needed and conduct training for managers and assessors.

The Accreditation Program continuously works to improve existing products and services. This on-going improvement process can be seen with completed projects such as this Implementation Guide, the Assessor Reference Manual and the development of the “Program Manager” and “Maintaining Accreditation and Preparing for Reaccreditation Workshops”. Staff also provides orientation videotapes for new program managers and assessors.

### **Agency Assistance**

Program staff are committed to the task of assisting participating agencies pursuing accreditation to the full extent their resources permit. OPS offers many types of assistance to help agencies begin, complete and maintain accreditation. When an agency decides to begin the process of accreditation, OPS can facilitate the start up in several ways. OPS is willing to present a program overview to local governmental bodies to help agencies that want to participate gain political support. OPS will also address union representatives and officers to answer any questions or concerns they may have regarding accreditation. Additionally, as mentioned above, OPS offers training for CEO's and program managers to prepare them for accreditation requirements. During this training, OPS staff provide information on standards interpretations, documentation guidelines, self evaluation activities, and audit procedures.

### **Resource Materials**

OPS also provides valuable assistance to participating agencies during the entire accreditation process. One type of assistance comes in the form of resource materials. These materials include:

1. **Standards and Compliance Verification Manual** which contains the program standards that the agencies are expected to implement. Many of the standards are accompanied by a non-binding commentary that is intended to explain the purpose and/or intent of the standard. It also outlines strategies that agencies can use to demonstrate compliance with each standard. Agencies may choose to use all or some of the suggested strategies in the manual or devise other means of showing compliance which may not be noted in the text. An index and glossary of

key definitions is included at the back of the Manual.

2. A **directory** with the names, addresses and phone numbers of program managers from accredited agencies. Program managers and CEO's are encouraged to use this directory to network with other agencies participating in the program. Additionally, OPS has established a **mentor program** that links accredited agencies with departments that are willing to make a firm commitment to complete the accreditation process. Agencies involved in the mentor program provide guidance and direction on a regular basis to help organize and prioritize the tasks that must be accomplished.
  
3. A **directory** of names of CEO's who participate in **The Law Enforcement Executive's Accreditation Forum**. The Forum is comprised of a group of professional executives who are willing to share their experiences and knowledge of the accreditation process, and provide guidance to CEO's who are interested in pursuing accreditation. OPS will provide a list, upon request, of executives who participate in the Forum.

**A second form of assistance** involves individual consultations. Participating agencies are encouraged to contact program staff whenever they have any questions. OPS can help agency staff interpret and apply applicable standards. This can be done over the phone, through the mail, at OPS, or on site at the agency. Program staff can also work with agency managers to overcome obstacles or solve problems specific to that agency.

**A third type of assistance** available through program staff is training for chief executives and program managers.

Finally, OPS can assist agencies that have successfully achieved accreditation. Program staff is available to consult with accredited agencies as necessary to go over record keeping requirements and to track an agency's on going compliance with program standards. Program staff also work closely with accredited agencies as they approach reaccreditation.

## **Administration**

The accreditation program staff is responsible for the day to day administration of the program. These responsibilities include:

- T Processing agency applications. OPS distributes application packages (Application Form and Agency Participation Agreement) to interested agencies. Once OPS has received the completed applications, it then mails program forms and reference documents to the agency.
  
- T Establishing and updating the files of participating agencies and program assessors.
  
- T Maintaining an inventory of program materials.
  
- T Coordinating assessments. When an agency is ready to be assessed, program staff coordinates the selection of the assessors who will be going on- site at the agency and provides them with the necessary briefing materials. Once the assessment has begun, OPS maintains contact with the team leader. Upon completion of the assessment, program staff reviews the team leader's assessment report for accuracy and completeness.
  
- T Tracking status of accredited agencies. OPS will advise the CEO of an accredited agency when an Annual Compliance Survey is due. Additionally, OPS will contact a CEO one year before the agency's accreditation is due to lapse to begin the reaccreditation process.

## **Research and Planning**

The original accreditation project design called for extensive testing and input from as many officials as possible prior to implementation. Research conducted by OPS during this phase included sending copies of draft standards and rules and regulations to every law enforcement agency, mayor, and appropriate town and county official in the State. Many comments were received, and several standards were revised as a result.

A pilot test involving seven agencies ranging in size from 7 to 4000 sworn personnel was then held to evaluate all aspects of the proposed process. A similar pilot test of the reaccreditation process was conducted in the Fall of 1994.

OPS' research efforts also involve gathering data necessary for the preparation of the Accreditation Program Annual Report and the evaluation of the program and its impact. The research design includes the review of the Agency Implementation Survey and questionnaires on the assessment process which agencies and assessors complete following the assessment. Additionally, OPS staff debrief CEOs and agency managers of newly accredited agencies to hear first hand what impact the accreditation process has had on their agencies and to solicit suggestions on ways in which the program might be improved.

### **Assessor Development**

OPS' role in recruiting new assessors and training them is an important component of the accreditation program. OPS disseminates applications to eligible candidates and coordinates the review of applications with the Assessor Selection Committee. This Committee includes the Executive Director of the State Association of Chiefs of Police, the Executive Director of the State Sheriffs' Association, the Superintendent of the State Police, and the DCJS Deputy Commissioner in charge of OPS. After a review of the applications as been completed, OPS advises each applicant of the Committee's decision. Once assessors have been selected, OPS schedules and conducts training for the assessors.

Finally, OPS monitors assessor performance following each assignment. Program staff rely on an "Assessor Critique Form" which is completed by the assessed agency to assist in the evaluation.

# THE ROLE OF THE CHIEF EXECUTIVE OFFICER IN THE ACCREDITATION PROCESS

## Introduction

The CEO plays a critical role in the accreditation process. They must be firmly committed to and supportive of accreditation for the agency to succeed in becoming accredited. If the CEO is only marginally interested in the program or is pursuing accreditation at the insistence of others, agency personnel will quickly perceive this and their effort to garner support for accreditation could falter.

## Pre-Application Preparation

It is important that the CEO have a thorough working knowledge of the accreditation process from the outset. Informed judgments can then be made whether or not it is appropriate for the agency to seek accreditation at that time. To make an informed judgment, the CEO should:

- Î Thoroughly understand and evaluate information about program standards, policies and requirements. This can be done by reviewing program documents and speaking to program staff.
- Ï Contact CEO's from other agencies (especially those similar to their own) that have been accredited in order to hear first hand what it is like to go through the process.
- Ð Compare program requirements with existing policies and procedures in order to determine the impact that accreditation standards will have on agency administration, training and operations.
- Ñ Determine the fiscal impact of accreditation and ensure that the necessary administrative support can be made available. Potential costs include; copying, printing new procedure manuals or purchasing a file cabinet or other office equipment. Refer to the Cost/Resource Worksheet in the Appendix.

## Developing support for the Program

It is critical that the CEO "sell" the accreditation program to three key factions - the chief elected officer/local governing body, the union, and the rank and file within the agency. "Selling" the accreditation program includes providing a description of the program, explaining why it is needed, and listing the benefits that can result from achieving accreditation status.

Î **Local Governing Board** - The legislation which established the Accreditation Program requires that the application to participate be submitted by the chief law enforcement officer of the agency with the approval of the municipality's chief elected officer. While the accreditation program is a statewide initiative, it is in practice a tool for local governments and their law enforcement agencies to evaluate and improve themselves. The state legislature thus requires municipal approval in part to assure that the CEO has the political support necessary to facilitate the accreditation process. Additionally, by winning the support of the local governing board, the CEO may more easily avoid roadblocks set up by the governing board that is uninformed of, or disinterested in, the benefits of accreditation.

Ï **Unions** - Without the cooperation and support of the unions, the accreditation process can be significantly slowed. Therefore, the CEO should:

ý Explain the goals and benefits of accreditation to the union early in the process.

ý Seek union input for new policies and procedures, especially those impacting sensitive areas such as personnel evaluations and discipline.

ý Seek union assistance in "selling" accreditation to the rank and file

Ð **Rank and File** - Smooth implementation of the accreditation process requires internal acceptance of the accreditation program. The policies and procedures developed for accreditation may entail changes in the ways that officers do things,

and the rank and file's support will be necessary to implement the new policies. Additionally, policies and procedure developed with input and commitment from the rank and file can result in their valuable insight and assistance in making the new policies and procedures better. To achieve the goal of internal acceptance among the rank and file, the CEO should involve the rank and file as much as possible during the accreditation process and explain that accreditation may reduce their liability in both criminal and civil litigation.

Ñ **Explain the process** to the rank and file and let them know that accreditation is a long term goal with which the agency is committed to achieving. Demonstrate that accreditation is attainable by pointing to agencies similar to theirs that have achieved accreditation. Appeal to their sense of pride. Keep them informed of the agency's progress throughout the process.

### **Coordinating Agency Resources**

OPS does not charge any application fees to participate in the program; nor do they charge for program manuals, technical assistance or other services. It should also be noted that program standards do not necessarily require agencies to purchase new equipment, renovate facilities, or maintain minimum staffing levels.

Participating agencies will have to assume implementation costs primarily in the area of personal services. One such cost includes the salary of those officers who are assigned to the task of drafting the new policies and procedures. This cost depends upon such variables as the amount of work that must be accomplished and the amount of overtime that is incurred. Secretarial time may also be needed to type and edit the new procedures.

Agencies will find that a word processor will be of tremendous value. Most agencies discover that a large volume of written materials must be developed, and revising these materials is a continual effort throughout the accreditation process and after. A word processor allows for immediate production, revision and distribution of written documents and saves money in the long run by eliminating the need to retype lengthy procedures because of minor changes.

Other costs may be incurred to photocopy new Procedure Manuals, and some training will be necessary to familiarize officers with new procedures.

Finally, the program manager may need a new file cabinet and petty cash for fact finding trips to accredited agencies or accreditation training sponsored by OPS.

### **Selecting a Good Program Manager**

Selecting the right person as a program manager is critical to enhance the agency's effort to becoming accredited. Qualities inherent in a good program manager include:

- A genuine commitment and interest in the accreditation process. Turnover in this position can be highly disruptive and should be avoided whenever possible.
- Enough years of experience in the department to have a broad understanding of agency practices and capabilities.
- The continual support of the CEO to permit an open line of communication with all segments of the department. Those who report to the program manager must feel free to give honest opinions and not have to "sugarcoat" their communications.
- Good writing, organization, and analytical skills.
- A high enough rank to delegate assignments and enforce deadlines. A program manager should be able to identify and utilize certain personnel within the agency for assignments that they are uniquely suited for.
- A sense of humor throughout the accreditation process!

The Program Manager will need an adequate amount of time to coordinate the accreditation process and to draft the necessary policies and procedures. Since these are very time consuming tasks, program managers should be relieved of at least some of their responsibilities whenever possible. At a minimum the manager should be allowed to reserve a specific period of time each week to work on accreditation.

## **The CEO's Relationship with the Program Manager During Implementation Phase**

The CEO's role in the accreditation process does not end with the appointment of a program manager. The CEO retains a management role and should:

- Provide direct supervision and guidance to the Program Manager on all matters involving accreditation.
- Meet with the Program Manager at least once a week to discuss progress, and be accessible at other times when necessary to respond to suggested policy/procedural changes in a timely manner.
- Run interference if necessary to help the manager when requests are made for feedback from higher ranking officers. Program managers must have the authority to delegate responsibilities where appropriate. If necessary, an officer of command rank can be assigned to assist the program manager in this task.
- Establish and enforce firm deadlines. A department can achieve accreditation in approximately 2 years by implementing an average of one standard per week. Many departments have completed the process in less than one year.
- Make sure everyone (command staff, rank and file, government officials, and the public) is kept up to date on the progress of the accreditation process and encourage them to stay involved.

## **Procedural Duties of the CEO/Contacts with OPS**

The CEO must:

- Co-sign the Application with the Chief elected official from the municipality and submit the form to OPS.
- Sign the Agency Participation Agreement. This agreement sets forth key program policies such as confidentiality, sets forth the specific program requirements and

explains what the Accreditation Council expects of participating agencies. Finally, the Agreement identifies what participating agencies can expect from OPS and the Accreditation Council. This Agreement must be submitted with the application.

- Sign the "Accreditation Assessment Agreement" provided by OPS. The CEO submits the agreement to OPS when the agency is ready to be assessed.
- Ensure that all policies and procedures developed to meet accreditation requirements are fully implemented and in effect for three months prior to the assessment. Copies of all new procedures must be issued (preferably as they are approved rather than waiting until all revisions are complete) and all personnel must be trained in the new procedures.

### **The CEO's Role in the Assessment and Post-Accreditation**

- The CEO should be available to the assessors at all times during the assessment and should ensure that they have adequate working space and access to all necessary files and personnel.
- The CEO should ensure that a formal mechanism is in place to monitor compliance with all program standards and submit Annual Compliance Surveys to OPS following accreditation.

# THE ROLE OF THE PROGRAM MANAGER IN THE ACCREDITATION PROCESS

## Introduction

The CEO should give the accreditation program manager the authority to direct all accreditation related activities. The program manager assumes responsibility for establishing and maintaining the plan, establishes the organization of the program, manages and controls the program, functions as the liaison between the agency and OPS and communicates progress to the CEO.

## Pre-Application Preparation

The program manager must have a thorough understanding of the accreditation program rules, policies, and expectations from the onset. It is better to take the time to become thoroughly familiar with the accreditation process than to charge ahead without direction and end up wasting time, energy and resources. If there is no clear concept of what must be accomplished, it won't be done correctly. In order to have the process run smoothly from the beginning the program manager should:

- T Approach accreditation with an open mind. Use the program as an opportunity to review and update all the policies and procedures for the department. The program standards are considered minimums that departments should meet, and often there are specific conditions that each agency faces that should be addressed as well.
  
- T Keep in mind that the accreditation process is not complicated but is thorough and time consuming. There is no mystery to it. Any department, regardless of size, can complete the accreditation process if the task is approached systematically.
  
- T Keep clear of traps. Misinformation, clouded vision of what needs to be done, trying to do too much at one time, lack of confidence, distractions, or insufficient time can sabotage your efforts. Staff at OPS strongly encourage agency managers to regularly contact them as they proceed through the program.

## **Planning For Accreditation**

Program managers should develop a detailed work plan as soon as the agency submits the application to OPS. A poorly planned project will take much longer than necessary, and may waste valuable time, effort and resources. The following are some suggestions that agency managers may consider in preparing for the project:

- Î Read program documents carefully. These include the Standards and Compliance Verification Manuals, program brochure and the policies of the Law Enforcement Accreditation Council. A full description of the contents of each document can be found in the section entitled "The Role of OPS in the Accreditation Process".
- Ï There is a videotape available especially designed for the Program Manager. This video, entitled "Program Manager Orientation," is approximately 30 minutes long and includes an overview of the accreditation program, the program manager's responsibilities and tips on how to prepare for the assessment.
- Ð Visit several accredited agencies. OPS has a directory with names, addresses, and phone numbers of all accredited agencies. OPS can assist program managers in networking. It may be most beneficial for a manager and the CEO to visit an agency similar in size and organization.
- Ñ Attend the two day Program Manager Workshop which focuses on the day-to-day tasks leading to accreditation and incorporates many useful ideas and strategies.

## **Organizing the Project**

Part of the manager's responsibility is to lay the groundwork for the implementation of new or revised policies and procedures that are developed from complying with program standards. The accreditation process will be completed quicker and with less effort and aggravation if it has structure and direction.

- C Put goals in writing. Written goals allow the manager to clearly identify them and increases the commitment to the project. Written goals allow the manager to measure progress and readily see which standards are completed and which ones need additional attention.
  
- C Identify and establish priorities. Start early on tasks which need the most work or will take a long time to accomplish. Concentrate on "problem areas" such as labor issues, use of force standards, and internal affairs. Program staff at OPS can offer suggestions and support in overcoming obstacles that may develop in complying with certain standards.
  
- C Set a deadline for the completion of the accreditation program and adhere to it. Without a target deadline, the project can drag on. A reasonable deadline should take into account factors such as vacations, tourist activities, seasonal fluctuations in population, agency staff and calls for service, etc. Managers should consult with the CEO and command staff about the time and personnel resources available for accreditation duties. Procrastination by the administration or individuals designated as team members may severely interfere with the success of the accreditation project.
  
- C Delegate accreditation tasks. Since the accreditation project is comprehensive and will affect every member of the department, managers may choose to delegate tasks to appropriate personnel. Although managers are chosen by the CEO for their competence and qualifications, they are not experts in all areas of the agency. For example, the patrol commander will best know the duties and responsibilities of the patrol unit. Delegating will also enable other members of the agency to get involved and support the program and should help to complete the project faster. In order to get the most out of the tasks that are delegated managers should:
  - & Explain the accreditation program and convey their plan of action. Members of the department involved in the accreditation process should be thoroughly briefed on the objectives and procedures.

- & Select the right person for the task. They should be knowledgeable, skillful, and enthusiastic about improving the department. Inform the team member why they have been selected for this assignment.
  - & Indicate specifically the duties of the team member. Managers should disseminate to team members standards which they are responsible for. Deadlines should be set and tracked to ensure that the timetable is adhered to.
  - & Communicate clearly and often. Managers should be direct and concise in requests, questions and answers. Asking open-ended questions will foster good communication between team members. Both parties should give and get feedback on the progress of the project
  - & Agree on conditions up front. Settle on things like responsibilities, deadlines, expectations, progress reports, etc. Identify specific intermediate objectives and deadlines. The accreditation process is less intimidating and overwhelming if divided into component parts. People are more enthusiastic about accreditation if they can attain success early by meeting incremental goals.
- C Identify resources needed to make the accreditation process run efficiently. Resources may include a secretary, a computer, file cabinet, etc. Be aware that there are costs involved in the accreditation process and managers should think about ways of cutting costs. For example, secretarial assistance may be obtained through another part of municipal government or through an intern program at a nearby high school or college, and policy manuals may be printed at cost through a printing company or with financial assistance of a civic group. Other examples of resources to consider may include civic groups such as the Rotary or Lions club, RSVP (retired seniors volunteer program) and interns from a local university or community college.

- C Involve the union and rank and file. Unions can make the job of program manager easy or difficult. Getting the support of the union is extremely important in the smooth operation of the accreditation project. Managers should involve the union in the entire process, from beginning to end. Early communication with the union will help expose any concerns about how accreditation will effect the rank and file. Keeping the union regularly updated on the progress of the project will also help dispel rumors about the changes that may occur as a result of accreditation. The involvement of the union will ensure that potential violations of current bargaining agreements are identified and addressed in a timely manner. There should be no surprises from either the administration or the union concerning any aspect of the accreditation program. The rank and file should also be involved in the accreditation process. Managers must generate enthusiasm and allay fears associated with change. Accreditation will not successfully occur without support from the rank and file. Encouraging feedback on drafts of policies and being open to opinions and suggestions will produce a greater commitment to the process by sworn personnel.
  
- C Call OPS early and often. The Accreditation Staff encourages managers to contact them with questions or concerns about the project. It is also recommended that managers keep OPS regularly informed of progress.

### **File Folders**

A separate **file folder** for each program standard must be prepared. Each agency has the burden of proving compliance with the standards. An agency must compile all the proofs necessary to demonstrate compliance for every element of every applicable standard. OPS encourages agency managers to follow the guidelines recommended in the Compliance Verification Manual in demonstrating compliance. It is very important that agencies adequately document their file folders with as many different examples of compliance as possible. This does not mean including ten examples of the same form, but, instead including diverse samples of compliance. Program assessors have found that many agencies that have scheduled an on-site assessment often lack enough supporting documentation in their file folders. Each folder will include a copy of the standard, a Standard Compliance Report (supplied by OPS),

the written directive relating to the standard and documentation that demonstrates the agency's compliance to the standard.

The **Standard Compliance Report** enables both the agency and the assessors to quickly determine how compliance is being met. The top half of the form is completed by the agency during its self-assessment. The agency identifies specific source(s) used to establish compliance and then places the corresponding documentation in the file folder. The assessors will use the bottom half of the report to indicate whether or not the agency has successfully demonstrated compliance. It is helpful to both the agency and the assessors if the program manager uses high lighters to color-code the contents of the file folders.

Assessors may examine written documentation, conduct interviews and/or directly observe operations in order to confirm compliance to the standards. Ways to prove compliance to a standard include:

Ī **Written directives** - This category may include general or special orders, standard operating procedures, policies and procedures, directives, or rules and regulations. These address what agency personnel must do in a situation or how a procedure should be handled. The directives do not prove to an assessor that the policy is being implemented, but only that the agency has a written policy or procedure. Although each standard must be in a separate folder, there is no need to have a directive for each standard. An agency may write a single directive which encompasses several of the standards. Every element of a standard, however, must be addressed.

Ī **Other written documentation** - This category consists of written materials that demonstrate compliance with agency directives. Examples of written documentation may include reports, samples of agency forms, files, logs, lesson plans, personnel files and evaluations. For example, the folder containing Standard 5.3 (establishing procedures for collecting, safeguarding, and disbursing cash) should not only consist of the directive but also copies of bail receipts, financial statements, records of appropriations, logs of petty cash, and/or disbursing records. The assessors must see that the policy is being

complied with in order to approve the standard.

- Đ **Interviews** - Assessors may interview agency personnel in order to determine if they are aware of and follow a particular standard. The agency may indicate which standards may be documented through interviews, but the assessors themselves will conduct the interview. It is the responsibility of the agency to assure appropriate personnel are available to the assessors during the three-day assessment. The assessors may conduct independent interviews of agency personnel in addition to those suggested by the agency.
- Ñ **Observations** - Assessors may verify compliance through direct observation of appropriate standards. Examples of standards that assessors may use direct observation to support compliance include, but are not limited to, evidence handling, communications, inspections of financial record keeping, vehicle equipment and record keeping.

**Please refer to the Standard Compliance Report and “Contents of a File Folder” in the Appendix.**

### **Standards and Commentaries**

Participating agencies are expected to comply with every element of every applicable standard. The explanatory commentary which accompanies many of the standards is not binding, but the standards and commentaries are designed to work together to ensure that the goals and objectives of the program are met.

Program managers should use the commentaries as a guide when developing policies. Program staff use the commentaries as a guide in offering advise and technical assistance to participating agencies. Assessors use the commentaries as a guide in determining agency compliance with a particular standard. The commentaries were written to complement and integrate with program standards. The Accreditation Council strongly recommends that participating agencies follow the commentaries as closely as possible when establishing procedures and documenting compliance.

There are two ways in which agencies may be exempted from meeting a particular standard. "Not applicable by function" status can be granted if an agency

does not perform the function indicated by the standard. An example of "not applicable" status might be if an agency does not use technical aids for the detection of deception (Standard 50.6), or if an agency does not utilize specialized units (Standard 43.6). A memo indicating that the agency is not responsible for certain duties should be placed in the appropriate standard file folder.

A "waiver" is issued if an agency cannot meet the requirements of a standard. The Accreditation Council reviews waivers on a case-by-case basis with a two-thirds vote needed to approve a waiver. "Not applicable by function" is a common occurrence while a "waiver" is extremely rare. Agency managers should contact program staff at OPS if there are any questions or concerns about these conditions.

### **Technical Assistance**

OPS staff are available to answer any questions that an agency may have about the program. Program managers should call OPS staff at any time. Questions can be general, such as different ways of organizing a policy and procedure manual to specific questions on how to implement a certain standard. If there is a problem implementing one of the standards, OPS staff will brainstorm over the phone and where possible, provide the name and phone number of other program managers who have expressed similar concerns. By establishing this network, managers can contact and assist each other. If there are issues that cannot be resolved by phone, OPS staff can arrange a meeting in Albany or at the agency.

## DEVELOPMENT OF A POLICIES AND PROCEDURES MANUAL

### Introduction

A well-written policy and procedure manual is the foundation of a professional law enforcement agency. Law enforcement officers have extraordinary powers of discretion, authority and power. In addition, the nature of policing requires that officers often have to react in emergency situations and make split-second decisions that can ultimately affect life and death. Without current and well-written policies to guide them, officers are forced to rely on common sense, a "best guess," and luck in carrying out their duties. Police officers, managers and municipalities have too much authority, too much responsibility and too much liability at stake to allow "best guesses" and luck to be the determining factors in accomplishing their objectives.

A complete and well-written policy and procedure manual provides law enforcement executives, supervisors and officers with a number of advantages. A carefully written procedure or policy can protect officers, management and the municipality from civil actions for vicarious liability. It demonstrates that the department has shown due regard in directing the actions of its' employees and that officers followed approved and recognized procedures in carrying out their duties. This also demonstrates that the chief executive officer has taken a proactive stand in planning ahead rather than wait until after a major incident to write a policy.

A policy or a procedure is more than a goal-oriented planning tool that can protect officers, managers and municipalities. A policy is a powerful communication tool. Policies and procedures can inform department personnel of their responsibilities, outline acceptable procedures to follow, establish general performance standards, and can create consistency between various supervisors, shifts or officers in carrying out their numerous tasks. By successfully communicating expectations to each member of the department, chief executive officers take an important step in establishing accountability, responsibility and discipline.

Finally, a written manual serves as a central repository for all departmental guidelines. This makes it easier for officers to locate the agency's most recent procedure or directive, it provides consistency in making decisions, and it ensures a solid foundation for the professional operations of a modern-day law enforcement agency.

## **Definitions**

In discussing the development and organization of a policy and procedure manual, it is important that the program manager has a clear understanding of basic terminology. A mission statement is the broadest overview of an agency's intent. It should describe in a general and brief fashion the purposes of the organization and define the role of the agency in the community.

A goal is an ideal or a target that is set by management to give direction to where the agency should be going. It is something to aim for in accomplishing the mission statement and also a target that should give employees an idea of their direction. Goals may be ideal and impossible to achieve or can be used as realistic targets that can measure progress. If a goal is attained, it ceases to provide motivation and should be replaced with another. A goal is a general statement of broad direction or intent that offers in concrete terms the major accomplishments desired by management.

An objective offers a specific statement about how to achieve an agency's goals. They should define the results that are to be achieved (the "what" and "when"), but not the activities that are to be performed (the "why" and "how"). Objectives should start with the word "to" and be followed by an action verb. They should specify a single key result to be accomplished and set a target date to be completed. These should be consistent with organizational policies and should be mutually agreed upon by all levels within an agency.

A policy can be considered an overall action plan for the agency. Policies are not specific, but should show the intent, philosophy or be a guide for informing employees why management wishes to follow a certain direction. Without policies in place, officers do not have a uniform guide for their actions. A lack of policies can result in crisis management and a lack of consistency in carrying out tasks. Policies can be defined as general statements that can be applied in recurring situations rather than a detailed procedure.

Procedures are much more specific than a policy but are less restrictive than a rule and regulation. Procedures describe a particular way of doing something while still allowing some flexibility, and should actually define a policy. These may be viewed as a series of steps followed in a definite order, and should define an acceptable method of meeting the agency's policy.

A rule and regulation is a specific and restrictive directive. These should be written to cover situations in which there can be no deviation. A rule applies each and every time a situation occurs and states what the officer must or must not do. Rules and regulations are generally limited to situations or circumstances which can result in disciplinary actions if they are violated.

### **Organizing a Policy Manual**

There are a number of different options that an agency can use to design an effective and efficient policy manual. Even though each agency has individual needs and requirements as reflected in their policies and procedures, there are common variables that every agency should consider.

The manual should be readily available to all personnel. This can be accomplished by issuing every member a copy of the manual, placing it in several accessible locations within the department or making it available on the agency's computer network. Policies that are unavailable or inaccessible will not be understood or used. Some agencies may choose to break up a single manual into two or more separate manuals. Multiple manuals can be distributed on an "as needed" basis. For example, policies that deal with "Administration" would impact command officers and managers more directly than line officers. Copies of the "Administration" policies could be distributed to all managers and several copies could be made available at strategic points in the agency for reference by line officers. Conversely, policies dealing with "Operations" directly impact the line officers and copies of the "Operations" manual would be distributed to all line officers. Complete copies of the entire manual could be made available at strategic points in the agency for reference.

The manual should be considered a "working document" for every officer under almost any situation. The manual should be built tough. Ideally, it should have a solid cover that will not damage easily and should contain heavy-weight paper that does not tear easily. The pages should be bound in a way that easily allows for updates and revisions. The pages should also turn freely without ripping out of the binder.

The organization of a policy manual will depend on the individual needs of each agency. Broad topic areas should be clearly marked by easily recognizable dividers. The positioning of the sections should then be arranged based on how often they will be

used. Sections that are frequently used should be placed near the front of the manual for quick reference.

The most important factor to consider in producing a manual is the necessity for a complete index. The index system should be arranged alphabetically for quick reference. It should also be cross-referenced (for example, under "vehicles" in the Index, an agency may sub-divide to include "equipment", "firing at or from", "inspections of", "inventory of", "pursuits", "unmarked", "lockouts" and "operation of"). In addition, the same policy may be placed several times in the Index under different topic headings. This is absolutely critical so that officers can quickly look up a policy in an emergency situation.

### **Strategies for Formatting Policies**

There are many different ways of organizing policies into a standardized format. Standardization offers several advantages, such as ease of recognition, reading, filing, retrieving, correcting and updating. Accreditation Standard 2.3 offers guidelines that agencies are required to follow in establishing a system for written directives.

The format and content that an agency chooses for their policies and procedures may vary but there are several common features that chief executive officers should consider. Each directive should contain a heading that contains specific information including:

- Î The name of the department.
- Ï The type of directive that is being issued (general order, special order, personnel order, rule and regulation, training bulletin).
- Ð An index control code which identifies each separate directive for easy access, updating and purging.

Another method of indexing would be to identify a directive by the year issued and the chronological position of issue within that year. For example, the sixth general order issued in 2000 would be identified as "GO 2000-6", while the tenth training bulletin issued in 2000 could be numbered "TR 2000-10".

A third variation of indexing would be to use an alpha-numeric numbering system. Depending on how the agency sub-divides its manual, each page number would begin with one of the manual sections (example: an agency may divide its policy manual into three sections: Administration, Training and Operations). The first digit in this type of numbering system would be either "A", "T" or "O." The next space would contain the section or topic of the directive and be followed by the page number for that particular directive. For example, a directive might be numbered "A-1-2". The Table of Contents or Index would indicate that this is the "Mission Statement" that is found in the first section in the Administration part of the manual. The last number in this sequence refers to the second page of the directive.

Another variation of a numbering system would be to divide the manual into numerical sections (example: 1= Organization, 2 = Personnel, 3 = Rules of Conduct, 4=Investigation, 5= Patrol Procedures, etc.). Following this, the directives could be numbered based on the Table of Contents. For example, a general order dealing with the agency's mission statement could be numbered "GO 1-2-3." This would indicate that this general order could be found in the first section (1 = Administration), it is the second directive found in this section (2), and that there are a total of three pages in this general order (3).

Critical elements that should be included in every directive include the date of issue and a separate block that indicates the date which it was reviewed. Chief executive officers should develop a system that allows for the review of every agency directive annually. The proof of this review would be the dates and initials of the chief executive officer or designee on each order.

A current and well-written system of directives is not an option in today's society... it is a necessity. Today's society places too much responsibility and liability on police departments to allow guessing or luck to determine the actions of its officers. Municipalities, chief executive officers and police officers need current and detailed guidelines to follow if they expect to perform in a professional manner. The development and implementation of a system of directives allows every person in a police department the ability to make decisions and perform their jobs in a predictable and professional manner.



# APPENDIX

# ACCREDITATION PROGRAM FLOW CHART

## **1. APPLICATION**

Agency Sends OPS:

- Application Form
- Participation Agreement

## **2. PREPARATION**

CEO evaluates program standards  
CEO develops program support within the agency.  
CEO designates program manager  
Program files are assembled  
Self assessment stage begins.

## **3. POLICY DEVELOPMENT AND IMPLEMENTATION**

Technical assistance from OPS  
Network with participating agencies.

## **4. FINAL PREPARATION**

Agency conducts final review  
Mock assessment (optional)  
OPS requests 10 folder files for review  
Agency corrects any deficiencies  
Resubmits corrected file.

## **5. ASSESSMENT PROCEDURES**

Agency sends to OPS:  
- Request for assessment  
- Assessment contract  
CEO reviews list of potential assessors  
OPS selects team .  
Team reviews 132 program files  
3 assessors for 3 days

## **6. AGENCY IS ASSESSED (OUTCOMES)**

- A.) All 132 Standards are in Compliance.  
(OR)  
B.) Although the agency was not in compliance with all standards Initially, the deficiencies were corrected during the assessment.  
(OR)  
C.) Agency is unable to correct deficiencies during The Assessment. Team leader advises CEO of corrective actions necessary and reports findings to OPS. Time table is set. Agency makes recommended changes and requests limited 2nd assessment.  
(THEN)  
Team leader advises CEO of assessment results.  
Written report sent to the Accreditation Council.  
(OR)  
D.) Agency has not complied with all standards.  
Agency appeals to council.

## **7. ACCREDITATION**

Council reviews report 30 days prior to a scheduled Council quarterly meeting.  
Council Votes to accredit or defer.  
If Council votes to accredit, accreditation granted for 5 Years.

## **8. MAINTENANCE OF ACCREDITED STATUS**

Agency prepares annual compliance surveys  
Agency monitors accreditation file to ensure that files are kept current in accordance with both agency and Council policy.  
Agency advises OPS of any lapse in compliance within 30 days and works with OPS to develop corrective plan of action.  
Agency works with OPS towards reaccreditation

Rev: 2/28/2010

**NEW YORK STATE LAW ENFORCEMENT  
ACCREDITATION PROGRAM**

**STANDARD COMPLIANCE REPORT / POLICY ADVISE**

**FOR AGENCY USE:**

Agency: \_\_\_\_\_  
Standard: \_\_\_\_\_  
Prepared by: \_\_\_\_\_

Method of Compliance: \_\_\_\_\_ Written directive (must be attached)  
\_\_\_\_\_ Written documentation (must be attached)  
\_\_\_\_\_ Interview(s) (specify names and titles)  
\_\_\_\_\_ Observations  
\_\_\_\_\_ Waiver (attach approval from Council)

Identify source(s) and explain:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

C.E.O. (or designee) Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**ASSESSOR USE ONLY:**

Compliance: \_\_\_\_\_ Noncompliance: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Assessor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

If noncompliance: Team Leader Signature: \_\_\_\_\_

Date C.E.O. (or designee) notified: \_\_\_\_\_ Time: \_\_\_\_\_

If documentation accepted: Team Leader Signature: \_\_\_\_\_

Date C.E.O. (or designee) notified: \_\_\_\_\_ Time: \_\_\_\_\_

Comments: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## LAW ENFORCEMENT ACCREDITATION PROGRAM COST / RESOURCE WORKSHEET

PHYSICAL RESOURCES

AVAILABLE AND AUTHORIZED

Office space .....	9
File cabinet(s) .....	9
Access to:	
Computer .....	9
Printer .....	9
Photocopier .....	9

POTENTIAL COSTS TO IMPLEMENT / MAINTAIN STANDARDS

Building enhancement	
Security and Control ( <b>Std. 7.1</b> ).....	\$ _____
Sex Offense Victims ( <b>Std. 29.5</b> ).....	\$ _____
Equipment:	
Safeguarding Cash ( <b>Std. 5.3</b> ).....	\$ _____
Vests ( <b>Std. 41.1</b> )..... x # vests @ \$ _____ =	\$ _____
Manager training and travel.....	\$ _____
Office supplies	
File folders, Xerox paper. etc.....	\$ _____
Personnel	
Psychological Screening ( <b>Std. 12.4</b> ).....	\$ _____
Background Investigation ( <b>Std. 12.5</b> ).....	\$ _____
Miscellaneous .....	\$ _____
Printing SOP manual.....	\$ _____
Training	
Field Training ( <b>Std. 32.4</b> ).....	\$ _____
Length and Content, In-Service ( <b>Std. 33.1</b> ).....	\$ _____
Specialized Training ( <b>Std. 33.3</b> ).....	\$ _____
Annual Supervisory Training ( <b>Std. 34.2</b> ).....	\$ _____
<b>TOTAL</b> .....	<b>\$ _____</b>

STAFF NEEDS:

Has the CEO given the program manager reasonable time to complete this project in a timely manner?

## CONTENTS OF FILE FOLDER

### 1. COPY OF STANDARD

P PAGE(S) TAKEN FROM COMPLIANCE VERIFICATION MANUAL

P STAPLE PAGE(S) TO INSIDE (LEFT HAND SIDE ) OF FOLDER

### 2. A STANDARD COMPLIANCE REPORT

P THIS MUST BE SIGNED BY THE CEO

P PLACED ON TOP OF DOCUMENTATION IN FOLDER

T TOP HALF COMPLETED BY AGENCY DURING SELF ASSESSMENT

T BOTTOM HALF IS COMPLETED BY ASSESSORS TO INDICATE WHETHER OR NOT AGENCY HAS DEMONSTRATED COMPLIANCE

### 3. WRITTEN DIRECTIVES

P GENERAL OR SPECIAL ORDERS

P STANDARD OPERATING PROCEDURES

P POLICIES & PROCEDURES

P DIRECTIVES, RULES AND REGS

### 4. OTHER WRITTEN DOCUMENTATION

P REPORTS

P FILES

P LOGS

P LESSON PLANS

P PERSONNEL FILES

P EVALUATIONS

**ACCREDITATION ASSESSMENT AGREEMENT**

On behalf of the \_\_\_\_\_ (name of agency), I hereby request an on-site assessment pursuant to the requirements set forth by the New York State Law Enforcement Accreditation Council. In making this request, I formally certify that:

- (1) The policies and procedures needed to meet all program standards have been fully implemented and in effect for a minimum of three months.
- (2) All revisions in our agency's Policy and Procedure Manual have been distributed to appropriate personnel and an orientation of all personnel to the new procedures has been completed.
- (3) All forms or logs referred to in our agency's Policy and Procedure Manual are available for review by the assessors and have been in use for a minimum of three months.
- (4) There is a separate folder available for review for each of the program standards. Each folder contains at a minimum:
  - a. A copy of the relevant page from the Standards and Compliance Verification Manual. This page reprints the individual standard and contains a list of suggested strategies which agencies can use to demonstrate compliance;
  - b. An original Standard Compliance Report with NCR copy attached that identifies the specific ways (documentation, interviews, etc.) in which the agency can show that it has met the intent of the standard;
  - c. A copy of all departmental policies and procedures that address the standard in question: and
  - d. Supporting documentation (sample forms, job announcements, lesson plans, etc.) which clearly demonstrates that all components of the standard have been fully implemented.
- (5) The agency has done a comprehensive internal review.

Furthermore, I agree to be present and available to assess potential problems throughout the entire period of the on-site assessment. Key personnel are identified by name below and will also be present and available during the entire period of the on-site assessment to answer any questions that the assessors may have.

Program Manager: \_\_\_\_\_  
Training Officer: \_\_\_\_\_  
Union Representative \_\_\_\_\_  
Records Clerk \_\_\_\_\_  
Property Officer: \_\_\_\_\_  
Evidence Technician: \_\_\_\_\_  
Personnel Officer: \_\_\_\_\_  
Fiscal Officer: \_\_\_\_\_

(Assessors may want to interview other department personnel as well, but those listed above **must** be available).

Additionally, I have made the necessary arrangements to ensure the assessment team will have adequate work space and access to a telephone.

Should some unforeseen event occur that impacts this agreement in any way, I will contact the Office of Public Safety, Accreditation Program at once and request that the assessment be postponed until the agency is again in full compliance.

\_\_\_\_\_  
Signature of Chief Executive Officer

\_\_\_\_\_  
Date