

## **SUGGESTED PROOFS OF COMPLIANCE (SPOC)**

This document is a guideline **only** for Certification Managers and Auditors to utilize when determining what **can** constitute proof for each standard. It is impossible to list the multitude of proofs that could be used by an agency for compliance, which is why it is crucial to remember that these suggested proofs are not and cannot be all-inclusive. They are only suggestions! It is also **NOT** necessary to have each and every one of these proofs listed below in the standard folder. Also, it is **not** necessary to have multiple amounts of each proof in the compliance folder. Common sense should dictate. If the standard calls for an annual report, then an annual report for **each** year (on re-certification) should be in the folder. If the standard calls for a quarterly report, a sampling (possibly two of the four quarterly reports) per year can constitute compliance. In general it is **not** necessary to over fill the folders. No less than two proofs of compliance are required for each standard.

### **ADMINISTRATION**

#### **CDPS 001**

**SPOC:** Written Directive; Copy of actual signed Oath of Office for sworn department member; Recording (i.e. picture or video) of a swearing in ceremony

#### **CDPS 002**

**SPOC:** Written Directive; Proof that officers have received written directive; Signed code (if the directive requires a signature); Training record showing that personnel have been trained in reference to the written directive; Training outline; Training attendance record; Picture of Code of Ethics prominently displayed

#### **CDPS 003**

**SPOC:** Written Directive; Proof that officers have received written directive; Training attendance record; Picture of written directives manual centrally displayed supporting directive requiring distribution

#### **CDPS 004**

**SPOC:** Written Directive; Proof that officers have received written directive; Training record showing that personnel have been trained in reference to the written directive; Reports demonstrating that procedures were followed; Sample forms used to carry out procedures; Call out list for interpreters

#### **CDPS 005**

**SPOC:** Written Directive; Incident reports that show proof of standard

### **CDPS 006**

**SPOC:** Written Directive; Proof that officers have received written directive; Training record showing that personnel have been trained in reference to the written directive; Reports demonstrating that procedures were followed; Sample forms used to carry out procedures; Photo of requirements posted in a central area for arrest bookings; Documentation that manuals provided by the State Department are readily available

### **CDPS 007**

**SPOC:** Written Directive; Proof that officers have received written directive; Training record showing that personnel have been trained in reference to the written directive; Reports that might demonstrate that procedures were followed; Picture of citizen complaint procedures posted in a prominent area for the public; Media articles and press releases referencing this written directive and/or philosophy

### **CDPS 008**

**SPOC:** Written mission statement; Proof that officers have received mission statement; Photo of mission statement prominently on display at a central location within department; Department annual report containing mission statement; Media release of mission statement; Planning documents reflecting consideration of the mission statement in planning departmental goals and objectives

### **CDPS 009**

**SPOC:** Copy of department's current goals and objectives; Proof of annual review – dated memo from department CEO indicating review, and/or several annual updates showing changes; Proof of dissemination or availability to personnel such as a photo of prominent posting or distribution logs; Department annual report containing goals and objectives; Council or Board meeting minutes containing department goals and objectives read into the minutes; Media release of department goals and objectives; Planning documents reflecting use of department goals and objectives in assigning of department resources

### **CDPS 010**

**SPOC:** Written directive; Proof that officers have received written directive; Signed record that written directive was distributed; Training record showing that personnel have been trained in reference to the written directive; Training outline; Training attendance record; Reports demonstrating that procedures were followed; Sample forms used to carry out procedures; Pictures from training; Court records; Media releases

### **CDPS 011**

**SPOC:** Written directive; Proof that officers have received written directive; Training outline; Training attendance record; Photos from training

### **CDPS 012**

**SPOC:** Written directive; Proof that officers have received written directive; Samples of procedures being followed, i.e., Use of Force Report, Incident Report showing use of force and procedures followed; Media releases

### **CDPS 013**

**SPOC:** Written directive; Proof that officers have received written directive; Training record showing proof that personnel have been trained in reference to the written directive and standard; Proof of outcome of training, i.e. qualification forms; Proof that procedures for Bullets C&D have been followed; Photos of training; Sample forms proving procedures have been followed

### **CDPS 014**

**SPOC:** Written directive; Proof that employees have received written directive; Reports, memorandums, media releases, etc., (if available) demonstrating that procedures were followed; Training records; Interview of selected employees

### **CDPS 015**

**SPOC:** Job descriptions for each position in the agency to include necessary skills, knowledge and abilities

### **CDPS 016**

**SPOC:** A set of all written directives for assessors to see; Memorandums, media releases, etc., proving bullets

### **CDPS 017**

**SPOC:** Written directive; Copy of applicable Code of Virginia; Copy of criteria from Academy; Copy of criteria established by DCJS; In-Service documents; Proof of training

### **CDPS 018**

**SPOC:** Written directive; Copy of county/city procedures for standard; Interview with personnel responsible for bullets in standard

### **CDPS 019**

**SPOC:** Spreadsheets from agency's finance section; Interview with personnel responsible for accounting system; Samples of each bullet

### **CDPS 020**

**SPOC:** Written Directive; Documentation/proof for each bullet (receipts, invoices, copy of audit, copy of quarterly accounting)

### **CDPS 021**

**SPOC:** Written Directive; Agency logs; Incident reports proving evidence function performed prior to end of tour of duty; Copy of Incident report showing how property came into agency's possession; Packaging and labeling guidelines; Safe or other extra security measure for exceptional, etc. items of property; Report or form proving notification of owner of property; Observation of property / evidence rooms on agency walk-thru; Interview with Evidence Custodian / Property Clerk, etc.

### **CDPS 022**

**SPOC:** Written Directive; Observation of property/evidence room(s) on walk-thru of agency; Interview with authorized personnel; Sample records of status of property held by agency; Sample property return receipts

### **CDPS 023**

**SPOC:** Quarterly inspection reports; Inventory if property manager is assigned and/or transferred from this duty; Copy of annual audit; Copy of biannual unannounced inspection; Interview with Property / Evidence Manager

### **CDPS 024**

**SPOC:** Sample reports, forms, etc., proving final disposition of property; Copy of appropriate Code(s) of Virginia

### **CDPS 025**

**SPOC:** Copy of written contract(s) detailing each bullet

### **CDPS 026**

**SPOC:** Written directive stating that information will be made available to the public on procedures to make complaints; Observation (during walk-thru of agency) showing where public complaint procedures are posted; Brochures, PSA Tapes, or Actual Web Page showing public complaint procedures

### **CDPS 027**

**SPOC:** Written directive specifying standard bullets; Copies of sample fliers, brochures, meeting agendas/minutes, etc., Copy of a list that includes emergency contact numbers of agency representatives and services provided (i.e., EMS, fire, schools, housing authority, hospitals, physicians, churches, civic groups, hope house, etc.) for a liaison organization or group; Copy of goals and objectives; Copy of mission statement

### **CDPS 028**

**SPOC:** Written directive; Sample news releases, either written, taped, or audible; Interview

### **CDPS 029**

**SPOC:** Written directive and samples of actual VFOIA requests/disseminations, if there are any; Interview Records Manager or VFOIA Officer

### **CDPS 030**

**SPOC:** Written Directive; Brochures, cards, etc.; Copy of applicable Code of VA

### **CDPS 031**

**SPOC:** Written Directive; Interview with officer/dispatcher; CAD Manual; Observation on agency walk-thru

### **CDPS 032**

**SPOC:** Written Directive; Sample duty roster; Sample of agency member phone numbers; Observation on agency walk-thru; Interview with dispatcher

### **CDPS 033**

**SPOC:** Written Directive; CAD entry or CAD activity report highlighting each bullet on the CAD printouts; Interview with Officer/Dispatcher

### **CDPS 034**

**SPOC:** Written Directive or SOP; Virginia state code; CCRE; Ten print (Livescan) printout; RMS (Records Management System) printout; Photo of Records Section; Observation on agency walk-thru; Interview

### **CDPS 035**

**SPOC:** Written directive; Virginia state code; RMS printout showing menu with separate adult and juvenile; Criminal history record request; Memo's or other correspondence about records security; Observation on agency walk-thru

### **CDPS 036**

**SPOC:** Written directive; A suggested set of field reporting forms would include the following: Offense Report; Supplemental Report; Traffic Accident Report; Arrest Report; Property Report; Prosecution Report; and Miscellaneous Incident Report. The forms may be more specialized than those listed (e.g., crimes against persons, crimes against property,) however; those listed represent a fairly complete set; Report Writing Manuals; Lesson Plans; Examples of completed Report Forms

### **CDPS 037**

**SPOC:** Written Directive; Virginia state code; VCIN audit information and/or manuals; NCIC/VCIN Entry; Request for NCIC/VCIN entry form; Warrant Control Form; RMS printout; Photo of warrant section; Interview

### **CDPS 038**

**SPOC:** Written directive; Virginia state code; VA records retention schedule; VA Library of Records website; Interview

### **CDPS 039**

**SPOC:** Written directive; Memo's; Roll call sheets; Example of reports turned over to others for follow up; Interview

# OPERATIONS

## **CDPS 040**

**SPOC:** Written Directive; Interview with officer

## **CDPS 041**

**SPOC:** Written Directive; Photo of officer wearing safety belt and/or Interview with Officer; Copy of training lesson that deals with seat belt use; VA state code

## **CDPS 042**

**SPOC:** Written Directive and/or memorandum reference body armor and/or photo of officer wearing body armor and/or invoices for purchase of body armor; Observation at static display of officer wearing body armor

## **CDPS 043**

**SPOC:** Written directive; Administrative regulations, i.e., Memorandums, Manufacturers and/or operators manuals; Interview

## **CDPS 044**

**SPOC:** Written Directive; Copies of training certificates and/or rosters; Observation at static display; Operations Manuals for special units covering requirements listed in this standard  
Examples of the above would be: Horses, canine teams, bicycles, motorcycles, mobile command post, SWAT vehicles, Forensic Vehicle, Aviation Unit, Marine Patrol Unit, trailers.

## **CDPS 045**

**SPOC:** Comprehensive pursuit policy that covers all of the items in the standard. Communications unit policy manual/training lesson plans; Use of force policy that covers forcible stopping/roadblocks

## **CDPS 046**

**SPOC:** Written Directive that covers the standard for both line officers and investigators to include – documentation of physical evidence, managing and protecting the crime scene, locating and interviewing complainant witnesses and suspect; Sample IBR highlighting standard bullets

## **CDPS 047**

**SPOC:** Written Directive; Operations Manual; Interview an officer that conducts follow-up investigations; Sample IBR

## **CDPS 048**

**SPOC:** Written Directive indicating that the agency investigates these types of complaints; Printout of a call for service and/or incident report for this type of complaint

### **CDPS 049**

**SPOC:** Written Directive; Raid plan check off sheet; Briefing report of a planned operation; Interview

### **CDPS 050**

**SPOC:** Written Directive; Simulated training exercises; State-wide mutual aid agreements; TV and media events; lesson plans or outlines; mobilization plans; incident reports

### **CDPS 051**

**SPOC:** Written Directive; Sample traffic summonses

### **CDPS 052**

**SPOC:** Written Directive; Video tape from in car camera; Observation; Interview

### **CDPS 053**

**SPOC:** Written Directive; Documentation showing that an item of personal belonging of an accident victim has been taken for safekeeping

### **CDPS 054**

**SPOC:** Written Directive; Picture of an officer directing traffic at the scene of a traffic accident; Report stating that traffic control was provided at the scene of an accident; Lesson plan from academy; Picture of an officer directing traffic using accepted hand signals or gestures (Should have traffic vest on in picture); Observation on ride along

### **CDPS 055**

**SPOC:** Written Directive and/or actual incident report involving roadblock (if used and if available) and/or incident report involving checkpoint and/or roll-call training sheet showing that officers were trained in the agency's Use of Force policy specifically use of roadblocks and/or checkpoints

### **CDPS 056**

**SPOC:** Written Directive; Picture of a prisoner being transported showing restraints being used; Picture of an arrestee before transportation showing the proper seating arrangement; Photo of an officer searching the transport vehicle; Photo of an officer searching a prisoner before transportation; Interview with transportation officer

### **CDPS 057**

**SPOC:** Highlighted copy of the agency's written directive concerning transportation and handling of sick, injured, handicapped, mentally ill, or prisoners suspected of carrying a communicable disease such as AIDS or hepatitis. Communications Log Sheet showing that someone was transported according to the directive. Documentation of an instance where someone was transported to a medical facility and hospital protocol was followed, i.e., an injured prisoner was transported to a medical facility for treatment.

### **CDPS 058**

**SPOC:** Written Directive; Copy of a communications log sheet showing where policy was followed during the transportation of a prisoner of the opposite sex; i.e., vehicle mileage and time frame

### **CDPS 059**

**SPOC:** Written Directive; If possible, an actual escape incident detailing any actions taken according to policy; Communications log sheet showing that notification was made in a timely manner and according to policy; IBR report detailing the events of the escape

### **CDPS 060**

**SPOC:** Written Directive; Picture of a prisoner restrained according to agency procedures; approved restraints on display during Static Display; Interview

### **CDPS 061**

**SPOC:** Written Directive; Lesson plan; Acknowledgement of training form; Interviews

### **CDPS 062**

**SPOC:** Written Directive; Interviews; Photo documentation; Observation of a search of a prisoner prior to entering the lockup

### **CDPS 063**

**SPOC:** Written Directive; Observation on agency walk-thru; Interview; Visual inspection paying particular attention for the existence of video or audio/visual technology; Photo documentation; Official documentation concerning the preparations of the room (i.e., noting search and clearance of room); Documentation of the receipt of training of assigned personnel

### **CDPS 064**

**SPOC:** Written Directive; Interviews; Review of any documentation such as official reports of any incident or trial; Inspection of equipment; photo documentation; Inventory list

### **CDPS 065**

**SPOC:** Written Directive; Documentation of the receipt of training of assigned personnel; Interviews

### **CDPS 066**

**SPOC:** Written Directive; Copy of the job description for this responsibility; any other official department documentation such as a memorandum or personnel order

### **CDPS 067**

**SPOC:** Written Directive; Copy of a logbook that documents searches; Interviews of assigned personnel

### **CDPS 068**

**SPOC:** Written Directive; Inventory List; Inspection Lists; Photo documentation

### **CDPS 069**

**SPOC:** Written Directive; Sample printout of computer screen; Sample warrant jacket or excerpt from an official logbook

### **CDPS 070**

**SPOC:** Written Directive; Copy of the Code of Virginia relating to civil process service; Unit manual or handbook; Copies of documents served (with returns completed); Interviews

### **CDPS 071**

**SPOC:** Written Directive; Copy of the Code of Virginia relating to criminal warrant service; Copies of served warrants; Capiases; Summons in lieu, etc., with returns

### **CDPS 072**

**SPOC:** Written Directive; Copy of the Code of Virginia relating to items levied upon or seized under lawful authority; Newspaper notices of auctions, sheriff's sales, etc.

### **CDPS 073**

**SPOC:** Written Directive; Copies of offense/incident reports; Samples of handout materials, brochures or pamphlets that would be provided by sworn personnel; Sample copies of arrest warrants served; Sample copies of emergency protective orders obtained by officers and served; Copies of applicable sections from the Code of Virginia; Any media documentation such as articles (or video) about sworn personnel and approaches to the issue

## **PERSONNEL**

### **CDPS 074**

**SPOC:** Written Directive; Copy of Code of Virginia; Brochures; Employment Announcement – web, newspaper, interagency publication; job application

### **CDPS 075**

**SPOC:** Written Directive; Locality regulations; HR Rules, EEOC Poster, flyer, statement; Unit operating Manual

### **CDPS 076**

**SPOC:** Written Directive; HR Policy; Training Certificate or Roster; Unit Operating Manual

### **CDPS 077**

**SPOC:** Written Directive and/or Copy of Notification Acceptance/Denial; HR Policy

### **CDPS 078**

**SPOC:** Written Directive; Photo of record location; Observation on Walk-Thru of Records; HR Policy

### **CDPS 079**

**SPOC:** Written Directive; HR Policy

### **CDPS 080**

**SPOC:** Written Directive; Job Descriptions

### **CDPS 081**

**SPOC:** Written Directive; Database printout showing min – mid – max salaries; Completed forms

### **CDPS 082**

**SPOC:** Written Directive; HR Policy; Completed forms (time sheets, request for use, etc.)

### **CDPS 083**

**SPOC:** Written Directive; HR or Locality Policy; Brochures – Manuals, etc. could be added

### **CDPS 084**

**SPOC:** Written Directive; Interview

### **CDPS 085**

**SPOC:** Written Directive; Requests for outside employment; Off-duty forms

### **CDPS 086**

**SPOC:** Written Directive; Log sheet or sign up sheet; Memo's

### **CDPS 087**

**SPOC:** Written Directive; could include lesson plans, certificates of training, interview, etc.

### **CDPS 088**

**SPOC:** Plan and/or written directive; Documentation showing review; Copy of evaluation comments; HR policy

### **CDPS 089**

**SPOC:** Policy and/or Sample printout or training forms

### **CDPS 090**

**SPOC:** Written Directive; Copy of evaluation (may blank out employee name); Sample performance evaluation of probationary employee

### **CDPS 091**

**SPOC:** Written Directive – could include copy of evaluation; Interview

### **CDPS 092**

**SPOC:** Written Directive; Samples of department forms that may be utilized in a disciplinary proceeding (i.e., specification sheet); Copies of written notification of charges; Letters of adjudication. **SPECIAL NOTE: FOR THE SAKE OF CONFIDENTIALITY, ALL NAMES CAN BE STRICKEN/COVERED OVER, ETC., ON THE FORMS UTILIZED FOR DOCUMENTATION**

### **CDPS 093**

**SPOC:** Written Directive; Copy of any lesson plan utilized in training; Receipt of training forms; Request forms for receipt of vaccinations; Sample incident reports or other authoritative form/documentation; Sample of vaccination record; Interviews; Observation during static display of personal protective equipment issued to personnel

## **TRAINING**

### **CDPS 094**

**SPOC:** Written Directive; Virginia state code; Examples of completed evaluations; SKA forms; Excerpts from recruit officer trainee handbook for basic training and curriculum; Training records; Training certificates; Proof of academy certification; Condition of employment; VCIN certificates; DCJS forms; Courtroom security training certificates

### **CDPS 095**

**SPOC:** Written directive; Field training and evaluation program standard evaluation guidelines; Weekly observation reports completed by FTO; Monthly evaluation report; Final comprehensive report; Announcement of vacancy; Criteria and selection of FTO positions; Training certificates for FTOs; Schedule indicating rotation of recruits

### **CDPS 096**

**SPOC:** Written directive; Training certificates; Organizational chart; Evaluation of the career development program; Memo regarding requests for training; Memos regarding roll call training and other town/city/county training; OJT reports

### **CDPS 097**

**SPOC:** Memo or written directive requiring on-going specialized training; Training certificates; Training rosters; Lesson plans; After-training reports

### **CDPS 098**

**SPOC:** Written directive; Proof that employees have received a copy; New employee orientation checklist and employment packet; Proof of orientation; Mission statement; Signed statement of understanding forms; Proof of general order manual issued to employee

### **CDPS 099**

**SPOC:** Written directive; Training record; Request for training; Training certificates; Training rosters; Training report

## **LAW ENFORCEMENT OFFICE SPECIFIC**

### **CDPS 100LE**

**SPOC:** Written Directive; Samples of proof of each bullet; Interview with Crime Analyst

### **CDPS 101LE**

**SPOC:** Annual report that encompasses the standard bullets; Neighborhood Watch information; Patrol assignment sheet; CAD reports and/or correspondence requesting extra patrol; Copies of community surveys; IBR and CAD reports; Suspicious activity information provided by community and residents; Monthly crime prevention activities calendars; Reports on programs presented to include number present and topic covered along with additional concerns; Crime analysis data targeting problem areas; Graphs showing an increase in specific communities; Any changes in policy or procedure resulting from community concerns

### **CDPS 102LE**

**SPOC:** Copies of meeting minutes that show input by the agency; CPTED training

### **CDPS 103LE**

**SPOC:** Written Directive; Sample brochures or cards that are given to victims/witnesses and/or sample IBR showing in narrative that information was given to victims/witnesses, etc.

### **CDPS 104LE**

**SPOC:** Written Directive; Written statement from CEO stating actual person that is responsible for this function; Liaison statement for agency's that do not have communications function; Copy of job description

### **CDPS 105LE**

**SPOC:** Written Directive; Observation on agency walk-thru

### **CDPS 106LE**

**SPOC:** Written Directive; Copy of FCC License

### **CDPS 107LE**

**SPOC:** Written Directive; Observation of 911 or other toll-free lines for citizens of this jurisdiction and/or Interview with person in charge of communications function; Phone books showing 911 or other toll-free numbers

### **CDPS 108LE**

**SPOC:** Written Directive; Sample CAD print-out showing each standard bullet highlighted; Interview with dispatcher; Observation on agency walk-thru

### **CDPS 109LE**

**SPOC:** Written Directive; Observation on agency walk-thru; Photo of door locks and fire extinguisher; Photo of generator; Photo of back-up communications center; Photo of UPS

### **CDPS 110LE**

**SPOC:** Written Directive or SOP; Observation on agency walk-thru; Interview with Communications Supervisor

### **CDPS 111LE**

**SPOC:** Observation of Alternate Source of Electrical Power on agency walk-thru and/or Photo of same; Samples of testing/maintenance on Alternate Source

### **CDPS 112LE**

**SPOC:** Written policy on Asset Forfeiture (procedures, responsibilities, etc.); Copies of DCJS Asset Seizure Reporting forms; Seized Property Disposition Sharing form; Circuit Court Documents; Copies of federal seizure reporting forms (if applicable)

### **CDPS 113LE**

**SPOC:** Written Directive that includes the language in the standard; Report/arrest documentation from a patrol officer handling a juvenile incident; any documentation indicating the Departments participation in special projects dealing with juveniles such as DARE, SRO items, etc.

### **CDPS 114LE**

**SPOC:** Written Directive; IBR of juvenile offenders where the disposition was handled by all three methods

### **CDPS 115LE**

**SPOC:** Written Directive; Petition information forms; Rights Waivers forms; Incident Report; Copy of Detention Order; Copy of CHINS report/form

### **CDPS 116LE**

**SPOC:** Written Directive; Lesson Plans (DARE, Class Action); SRO stats; sample quarterly reports (grant positions); Career Day