Directive and Proofs of Compliance

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Items to Be Discussed

- Values of Written Directives and Proofs
- Building the Directive System
- Directives
- Types of Written Directives
- Proofs of Compliance
- Amount of Proof Needed (Appendix G)
- Guiding Principles
Value of WD and Proofs of Compliance

Written Directives
- Are documentation of your policy and procedures
- Develops requirements for employee participation

Proofs of Compliance
- Supports the agency for documentation
- Important when faced with litigation
- An informal staff inspection process
Directive Systems

Related Standards:

- Law Enforcement Standard - 12.2.1
- Campus Security Standard - 3.2.1
- Communications Standard - 2.1.5
- Training Academy - 3.1.6
Developing Written Directives

- **Dissect Standard Statement**
  - Be mindful of the subsections (bullets)

- **Specific Elements**

- **Use Subject Matter Experts where possible**
  - Agency personal, PACs, POST

- **Have processes for review & approval**
  - Legal Dept., Chief, etc.
Directive

Definition: an official or authoritative instruction (dictionary)

CALEA Glossary:

- Written document
- Used to guide or affect the performance or conduct
- Includes Policies and Procedures
- Rules and Regulations
Directive (cont’d)

✓ State Statues/Local Ordinances
✓ General orders - special orders
✓ Memorandums
✓ Instructional material

Binding on Agency Personnel!
Written Directives

- Clear understanding of Expectations and constraints
- Issuance and acknowledgment
- Rapid access (electronic) (PowerDMS?)
- Use of hyperlinks (statutes, other policies etc.)
- Annual review for possible changes!!
- Majority of Standards require Written Directives
Types of Written Directives

More specific category of Written Directive:

- **Policy** – a written broad statement of agency principles

- **Plan** - documented identification of methods to achieve desirable goals or conditions

- **Procedure** - a written directive that is a guideline for carrying out agency activities

- **Process** – How something is accomplished
Proofs of Compliance

- Test your assumptions
- Review your documents that guide your actions
- Create an opportunity to clarify duties and responsibilities for your agency personnel
- Improve service delivery
- Create “buy in” for Accreditation
Proof of Compliance Considerations

- Directives, documentation, or observations are relevant and appropriate to the standard being addressed
- Highlighting is specific to the standard
- Show continued compliance
Proof of Compliance
(Something which shows that something else is true or correct)

- Reports
- Used to show that the agency is following a standard and its written directives governing that standard
- Generated with the implementation of a Directive that conforms with the standard
Proofs of Compliance

Types of Proofs - Think...

- Job Descriptions
- Labor Contracts
- Correspondence
- Photographs/Video
- Digital Recordings
- Rosters
Proofs of Compliance

Types of Proofs

- Forms
- Reports
- News Articles
- Budget Documents
- Logs and Records
- Interviews
- Observations
4.1.5 (LE1)

|M M M M| (LE1) Rendering Medical Aid Following Police Actions

A written directive requires that appropriate medical aid is rendered as quickly as reasonably possible following any law enforcement action in which injuries have been sustained; and includes procedures for activating the emergency medical system when obvious severe injuries have occurred, medical distress is apparent, or the individual is unconscious.
Directive 2.3.4
Following any law enforcement action in which injuries have been sustained, appropriate medical aid will be rendered as quickly as reasonably possible. EMS will be activated when obvious severe injuries have occurred, medical distress is apparent, or the individual is unconscious.
The following procedures shall be followed to ensure appropriate medical aid is rendered as quickly as reasonably possible:

• The scene will be secured;
• If necessary, the individual will be placed under control;
• Dispatch will be notified via radio to activate EMS;
• Dispatch will immediately notify EMS to respond; and
• Immediate medical aid will be administered consistent with the employee’s training.
Report: On 12/1/2021 at 0800 hours I responded to a report of an assault at 101 Main St. Upon arrival I observed a person assaulting an employee of the variety store at that location. I immediately stopped the assault and attempted to take the person into custody. As I did so, he fell to the ground and then complained of pain in his right leg. I ensured the scene was secure and he was under control. I then requested EMS to my location. I then stabilized and elevated the leg consistent with my training.

Other proofs: - EMS dispatch log
- Body cam video
Building the Files

CALEA Best Practices Power DMS

12.2.1

(M M M) (LE1) The Written Directive System

The agency has a written directive system that includes, at a minimum, the following:

a. agency values and mission statement;

b. a statement that vests in the agency's chief executive officer the authority to issue, modify, or approve agency written directives;

c. identification of the persons or positions, other than the agency's chief executive officer, authorized to issue written directives;

d. a description of the written directives system;

e. procedures for indexing, purging, and revising directives;

f. statements of agency policy;

g. rules and regulations;

h. procedures for carrying out agency activities, and

i. procedures for review of proposed or revised policies, procedures, rules, and regulations prior to their promulgation to ensure they do not contradict other existing agency directives or applicable law.

Commentary

The agency should establish a formal written directive system to provide employees with a clear understanding of the constraints and expectations relating to the performance of their duties. The written directive system should permit rapid access to individual policies, procedures, rules and regulations, and should differentiate types of directives, e.g., general order, special order, personnel order.

Each agency has the latitude to use a variety of types of written directives. However, the agency should make it clear what level of authority is required to issue each type of directive, e.g., only the CEO may issue rules and regulations, division commanders may issue standard operating procedures. The agency should also make it clear that a written directive pertaining to a subordinate component may not contradict a directive issued by a higher level authority, e.g., a division procedures manual may not contradict an agency-wide regulation. Every written directive should be reviewed annually by the issuing authority to determine if changes should be made because of changed circumstances or occurrences during the previous year. (M M M) (LE1)
1. WD = Written Directive
Definition- Any written document used to guide or affect the performance or conduct of agency employees. The term includes policies, procedures, rules and regulations, general orders, special orders, memorandums, and instructional material.

2. Proof = Proof of Compliance

3. Simple Note = any other entry
   a. INT = Interview
   b. OBSV = Observation
   c. N/A = Not Applicable Size/Function (Describe Why)
   d. No Occur = Did not Occur
Example
4.1.4 Use of Authorized Less Lethal Weapons

(M M M M) (LE1) Use of Authorized Less Lethal Weapons

A written directive governs the use of authorized less lethal weapons by agency personnel.

Commentary

I asked the suspect where he was coming from, he responded, "I was over at Jimmy’s, stop harassing me." The male suspect quickly began to walk away from my cruiser, I ordered him to stop where he was and sit on the sidewalk, he failed to comply with my verbal commands. I then exited my cruiser and again ordered the male to sit on the curb and show me his identification. The suspect responded, "I don’t have to show you shit, you are harassing me!" At this point I was within arm’s reach of the suspect, and I again ordered him to sit down on the curb. I placed my left hand on the suspect’s shoulder and began to guide him to the ground. The suspect then pulled away from me and took an aggressive fighting stance. At which point I closed the distance between us and attempted a sweeping leg take down, the suspect was able to regain his balance and began to run away from me, north bound on the plaza sidewalk.

I pursued the suspect unholstered my taser, activated the taser, the red laser was active and visible, I pointed the taser at the suspect. At this point I ordered the suspect to stop or I would deploy my taser. The suspect stopped running and stood with his back to the front doors of The Dress Barn. With my taser still aimed at the suspect, I ordered him to sit on the ground which he complied to do, I informed Officer Bilotto to step up her response to my location. I then informed the suspect he was under arrest and to lay face down on the ground with his arms behind his back, the suspect failed to do this. I again ordered him to lay flat on his stomach and

Authorized use of Taser (non-deployment)

Authorized use of Taser (Deployment)

Officer delivered taser to subject's lethal target areas
Non-Applicable  N/A
Bulleted Standard

(M M M M) (LE1) Pursuit of Motor Vehicles

A written directive governs pursuit of motor vehicles, to include:

a. evaluating the circumstances;

b. defining the criteria under which pursuit can be initiated;

c. initiating unit/personnel responsibilities;

d. designating secondary unit’s responsibilities;

e. specifying roles and restrictions pertinent to marked, unmarked, or

I immediately drove out of the parking lot and accelerated after the speeding SUV with my emergency lights on. The SUV continued with no indication of slowing. The SUV was straddling the white painted lane lines and was drifting left and right. At about 1889 Silas Deane Hwy, I turned on my siren and notified police dispatch that I was attempting to catch up to the SUV. There were no other cars or pedestrians on the road at this time. The weather was clear and the road was dry. The driver and the registration was unknown at this time. I was driving a Ford Police Explorer and I was the sole occupant. I could not see if there was more than one occupant in the SUV and I could not determine the age, race, or gender of the driver. I continuously radiated my speed and location to dispatch. I was approaching 80 MPH in the area of Panorama St and I could still see that the SUV was still far ahead of me. I continued to try to close the distance between us, hoping to get the registration. I was in the area of the Saybrook Fish House. 2165 Silas Deane when I could see the SUV’s brake lights come in the area of Elm St. I continued to follow the SUV. In the area of CVS Pharmacy, 2427 Main St, the
Amount of Proof Needed

Initial Assessment

- Policy implementation date
- CALEA Contract date
- Not expecting three/four years of proofs for initial
- Include Time Sensitive
- Recommend at least One Year of Proofs
Appendix G

Reaccreditation

- Compliance - one proof for each year in the file
- Satisfies the agency's directive requirements
- Satisfies requirements of the standard
Reaccreditation

Compliance with multiple requirement (bulleted) standards

- Documentation from each year
- Proofs support each bullet
- Show continued compliance for the 4-year assessment period
- Same proof per year if the content sufficiently satisfies each bullet
- If not, each bullet will require different proofs of compliance for each assessment year
**Time Sensitive – 4-year cycle**

<table>
<thead>
<tr>
<th>Frequency Required by Directive And/Or CALEA Standard</th>
<th>Recommended Minimum in File for Each Year</th>
<th>Recommended Total Minimum in File</th>
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<tr>
<td>Per Incident</td>
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<td>4</td>
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<tr>
<td>Daily</td>
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<td>4</td>
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<td>Monthly</td>
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<td>8</td>
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<tr>
<td>Quarterly</td>
<td>2</td>
<td>8</td>
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<tr>
<td>Semi-Annual</td>
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<td>4</td>
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<tr>
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<td>4</td>
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<tr>
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<td>1</td>
<td>2*</td>
</tr>
<tr>
<td>Every 4 Years</td>
<td>1*</td>
<td>1 or 2</td>
</tr>
</tbody>
</table>

* May not be applicable if not enough time has elapsed. (Example: new standard or bullet of a new standard and time required is not sufficient for reporting)
Guiding Principles

Appendix B

➢ A written directive binding upon agency personnel
➢ No need to have an individual directive for each standard
➢ May have a single manual or directive covering several standards
➢ A written directive is the foundation for functional compliance with written directive standards
➢ Adherence to written directives will generate other documentation (known as "proofs")
Thank you

Appreciate your attention today
Accreditation is a Journey not a Destination

Enjoy the Journey!