

NCLEA TO LE1 COMPLIANCE REQUIREMENTS:

- **1.01** Written System of Agency Directives - Ensure timeline procedures for review
- **1.04** Agency Jurisdiction - Ensure written directive defines current territorial jurisdiction based on applicable state law
- **1.05** Sworn Personnel - Ensure all sworn employees to meet the minimum certification standards established by the appropriate Commission
- **1.06** Cash Transactions - Ensure written directive specifies a custodian of each account and who is responsible for its security; Explains how cash is secured and where it is maintained; Ensure quarterly audit by an independent auditor
- **1.07** Accountability for Agency Capital Assets - Ensure full compliance
- **1.08** Approval for Personally Owned Equipment - Ensure full compliance
- **1.09** Agency-Issued Property/Equipment - Ensure full compliance
- **1.10** Continuing Compliance with NCLEA Standards - Ensure full compliance
- **1.11** Bias-free Policing - Ensure statement in written directive
- **1.13** Investigations of Complaints - Ensure that sustained complaints must be based on facts determined during the investigation
- **1.14** Time Limit on Internal Investigations - Ensure written directive sets a time limit for possible disciplinary action
- **1.15** Notification of the Agency CEO - Ensure written directive addresses notification of complaints filed against volunteers (if any)
- **1.16** Reporting to Applicable Standards Division - Ensure full compliance
- **1.17** Critical Incident Reporting - Ensure full compliance
- **1.18** Appeal Procedures for Disciplinary Actions - Ensure full compliance
- **1.20** Notification to Complainant - Ensure full compliance
- **1.21** Harassment and Discrimination - Ensure written directive addresses discrimination and retaliation. Ensure written directive provides reporting procedures that include when it is appropriate to make a report outside the Agency.
- **1.22** Professional Conduct - Ensure mandatory training on the Code of Conduct for all personnel every two years.
- **1.23** Appearance - Ensure full compliance
- **1.24** Emergency Operations - Ensure full compliance
- **1.25** Duty to Intervene - Ensure compliance to NCGS 15A401(d1).
- **2.03** Use of Force Training and Proficiency for Intermediate Weapons - Ensure written directive requires annual proficiency training for all intermediate weapons
- **2.04** Training Records - Ensure written directive describes its employee training records system and maintains confidentiality
- **2.06** In-Service Non-Sworn Employee Training - Ensure full compliance
- **2.07** Supervisor Training - Ensure training is provided within twelve (12) months of promotion.
- **2.08** Specialized Tactical Team Training - Ensure written directive requires completing a recognized tactical response school or the equivalent BEFORE participating in a primary function as a member of the team; at a minimum, at least eight hours monthly training; training must be based on critical skills specific to the tactical team's responsibilities as defined by the Agency

- **2.10** Field Trainee Evaluations - Ensure at least weekly written evaluations by the FTO. The evaluation will be reviewed with the new officer and the FTO and maintained on file by the agency.
- **2.11** Background Investigator Training - Ensure full compliance
- **2.12** Required Telecommunications Training - Ensure full compliance
- **3.01** Employee Selection Procedures - Ensure written directive details all elements of the selection process for both SWORN AND NON-SWORN AND ALL SWORN AND NON-SWORN must meet all legal requirements to hold their positions with the appropriate Commission.
- **3.02** Background Investigations for Selection of Employees - Ensure written directive includes procedures for either in house or contractual services of the following: utilization of a CVSA or polygraph; procedures for psychological evaluations; a summary of the investigator's findings and conclusions regarding the applicant's moral character known to the agency, and any reviews and/or reports required by the agency CEO
- **3.03** Personnel Files - Ensure full compliance
- **3.04** Secondary Employment - Ensure written directive includes procedures to establish insurance, worker's compensation, and/or liability responsibilities in secondary employment requests. Ensure written directive addresses off-duty employment for all bullets.
- **3.05** Promotional Process - Ensure written directive includes any applicable qualifications, announcements, any testing procedures, grading, and any appeal process.
- **3.06** Promotional Eligibility Lists - Ensure full compliance
- **3.07** Annual Performance Evaluations - Ensure written directive requires performance evaluations must be completed for ALL employees, including full- time, part-time, and reserve. Performance evaluations shall be signed by the employee and reviewer.
- **3.08** Early Warning System - Ensure written directive is based on NCGS NCGS 17F-10 and includes: reporting of discharge of a firearm, instances of the use of force, vehicle collisions, and citizen complaints, or any other indicators identified by the agency; Supervisory intervention to correct behavior; review determines program effectiveness
- **3.09** Reserve Officer Program - Ensure full compliance
- **3.10** Recruitment Plan - Ensure Recruitment Plan contains a statement that the agency is committed to equal opportunities for employment. Ensure annual review of the progress of the recruitment plan towards goals and objectives, as well as update of the plan when needed.
- **4.01** Privacy and Security of Records - Ensure written directive complies with applicable retention laws. Ensure appropriate training for the agency personnel responsible for records management is provided; Ensure all juvenile records are secured separately from adult records (NCGS 7B-3001)
- **4.02** Release of Information - Ensure written directive addresses release of information (e.g., media)
- **4.03** Public Information Officer (P.I.O) - Ensure full compliance
- **5.02** Neck and Choke Holds - Ensure written directive prohibits the use except in those situations where the use of deadly force is allowed by law.
- **5.03** Authorization of Deadly Force - Ensure written directive is in accordance with NCGS 15A-401(d)(2).
- **5.06** Documenting the Discharge of Firearm - Ensure written directive requires supervisory review

- **5.09** Warning Shots - Ensure written directive prohibits warning shots
- **6.01** 24-Hour Law Enforcement Response to Emergency Situations - Ensure full compliance
- **6.02** Investigative Interviews - Ensure written directive includes procedures for conducting investigative interviews of adults and juveniles; addresses interview documentation, that interviews requiring audio or video recordation are performed in accordance with North Carolina statutory requirements and ensure that juveniles are provided their statutory interrogation rights
- **6.03** Search Warrants/ No Knock Warrants / Warrantless Searches - Ensure written directive includes procedures; addresses no-knock warrants; includes scope and documentation
- **6.05** Follow-Up Investigations - Ensure full compliance
- **6.06** Informants - Ensure written directive includes identification and recruitment requirements, limits on who can be used, and appropriate personal interaction with informants; all elements of (c) file content; documentation for payments
- **6.07** Confidential and/or Narcotics Funds and Audits - Ensure written directive includes designation of person responsible and accountable, secure storage, procedures for requesting, receiving, and returning unused funds, and quarterly auditing (not just accounting) by independent person
- **6.08** Vehicle Pursuits - Ensure annual training on pursuit policy, not just review; Ensure written directive includes methods for conducting a pursuit and personnel authorized to conduct a pursuit
- **6.10** Non-Emergency and Emergency Response - Ensure written directive describes the law enforcement officers' responsibility when operating an emergency vehicle
- **6.11** Crash Investigation - Ensure full compliance
- **6.12** Reflective Vests - Ensure written directive includes current ANSI/ISEA standards and working at the scene of a crash
- **6.14** Checking Stations and Roadblocks - Ensure full compliance
- **6.16** Seatbelts - Ensure full compliance
- **6.17** Inspection of Patrol Vehicle and Equipment - Ensure full compliance
- **6.18** Special Use Equipment and Vehicles - Ensure full compliance
- **6.19** Traffic Enforcement Operations - Ensure written directive includes authorized traffic enforcement activities and circumstances where law enforcement officers have discretion
- **6.20** Eyewitness Identification - Ensure full compliance
- **6.21** Missing Persons - Ensure written directive includes no minimum time requirement for a waiting period
- **6.22** In-Car and/or Body-Worn Audio / Video - Ensure written directive includes procedures for the public request of recordings in accordance with NCGS 132-1.4A
- **6.23** Ballistic Vests - Ensure written directive includes inspection and following of manufacturer guidelines
- **6.24** Providing Discovery to Prosecutor - Ensure written directive addresses NCGS 15A-901
- **7.01** Emergency Operations Plan - Ensure written PLAN is accessible to all personnel; Ensure written PLAN includes crisis negotiation and other incidents or events; Ensure annual review of the PLAN

- **7.03** After Action Report - Ensure written directive includes any natural or man- made disaster, any major incident as defined by the Agency, and any tactical team deployment
- **7.04** Tactical Team - Ensure full compliance
- **7.05** Hazardous Materials - Ensure full compliance
- **8.02** Back-up Telecommunications Center - Ensure a PLAN is in place
- **8.05** Back-Up Power Source - Ensure there are security measures preventing unauthorized access or tampering
- **8.07** Access to Criminal Justice Information Systems - Ensure full compliance
- **9.01** Searching and Transport - Ensure written directive includes Agency approved methods to transport detainees safely; Methods or actions for transporting sick, injured, or disabled detainees; Monitoring of the detainee to observe any medical difficulties that arise enroute
- **9.02** Temporary Custody of Juveniles - Ensure in accordance with North Carolina law
- **9.03** Separation of Detainees - Ensure written directive requires sight and sound separation between adult detainees and juveniles in temporary custody.
- **9.04** Medical Assistance for Detainees - Ensure full compliance
- **9.06** Weapons in Holding Areas /Processing Areas - Ensure written directive includes when weapons, including less-than-lethal weapons, are allowed in the holding cell and processing areas of the Agency and provisions on when and how they must be secure
- **9.07** Consular Notifications - Ensure full compliance
- **10.01** Courthouse/Courtroom Security - Ensure written directive includes training and the use of restraints on persons in custody
- **10.03** Emergency Response and Evacuation Plans - Ensure full compliance
- **11.01** Property and Evidence – Chain of Custody- Ensure written directive includes proper inventory, storage, and chain of custody; including assets seized for forfeiture
- **11.03** Property and Evidence Submission - Ensure written directive is clear that employees shall not personally retain property or evidence
- **11.04** Property and Evidence Storage/Access and Security - Ensure written directive restricts access for unauthorized personnel unless they are escorted and sign in and out in a book or register or a digital agency-approved tracking system
- **11.05** High-Risk Property and Evidence - Ensure written directive requires high-risk property and evidence to be stored separate from other property in locked storage areas inside the Property Room and requires additional security measures. This includes guns, drugs, money, or any other item of high value or significant risk of loss as determined by the Agency
- **11.06** Disposal of Property and Evidence - Ensure full compliance
- **11.07** Release of Property and Evidence - Ensure written directive details the difference between property and evidence and when and how items may be released to the complainant or owner. All releases will be documented and signed for on a property and evidence release form.
- **11.09** Annual Audit of Property and Evidence - Ensure audit is in compliance with Appendix B
- **11.10** Change of Assignment Inventory of Property and Evidence - Ensure audit is in compliance with Appendix B; Ensure written directive requires an audit of high-risk items when a new CEO is assigned to lead the Agency
- **11.11** Hazardous and Biohazardous Materials - Ensure full compliance

NCLEA TO ADVANCED COMPLIANCE REQUIREMENTS:

- **1.01** Written System of Agency Directives - Ensure timeline procedures for review
- **1.05** Sworn Personnel - Ensure all sworn employees to meet the minimum certification standards established by the appropriate Commission
- **1.06** Cash Transactions - Ensure written directive specifies a custodian of each account and who is responsible for its security; Explains how cash is secured and where it is maintained; Ensure quarterly audit by an independent auditor
- **1.07** Accountability for Agency Capital Assets - Ensure written directive addresses ANNUAL accountability of all capital assets, including Agency firearms, radios, vehicles, and other capital property, equipment, or other assets valued greater than \$5,000. The results will be forwarded to the Agency CEO.
- **1.08** Approval for Personally Owned Equipment - Ensure 41.3.4 is not 20%*; Ensure written directive requires written approval from the Agency CEO or designee before carrying or using any personally owned equipment *If 20% ensure full compliance with NCLEA standard requirements"
- **1.09** Agency-Issued Property/Equipment - Ensure written directive requires all personnel to sign a property or inventory sheet property or equipment issued to the employee and includes a process for recovering the property or equipment
- **1.10** Continuing Compliance with NCLEA Standards - Ensure written directive designates a person within the agency responsible for monitoring continued compliance
- **1.11** Bias-free Policing - Ensure statement in written directive
- **1.14** Time Limit on Internal Investigations - Ensure written directive sets a time limit for possible disciplinary action
- **1.15** Notification of the Agency CEO - Ensure written directive addresses notification of complaints filed against volunteers (if any)
- **1.16** Reporting to Applicable Standards Division - Ensure full compliance
- **1.17** Critical Incident Reporting - Ensure full compliance
- **1.18** Appeal Procedures for Disciplinary Actions - Ensure written directive includes which actions may be appealed and what level/position will constitute the appellate authority
- **1.20** Notification to Complainant - Ensure written directive includes notification of investigation results, as permitted by law.
- **1.21** Harassment and Discrimination - Ensure written directive addresses discrimination and retaliation. Ensure written directive provides reporting procedures that include when it is appropriate to make a report outside the Agency.
- **1.22** Professional Conduct - Ensure mandatory training on the Code of Conduct for all personnel every two years.
- **1.23** Appearance - Ensure written directive includes special assignments
- **1.24** Emergency Operations - Ensure full compliance
- **1.25** Duty to Intervene - Ensure compliance to NCGS 15A401(d1).
- **2.03** Use of Force Training and Proficiency for Intermediate Weapons - Ensure written directive requires annual proficiency training for all intermediate weapons
- **2.04** Training Records - Ensure written directive describes its employee training records system and maintains confidentiality

- **2.07** Supervisor Training - Ensure training is provided within twelve (12) months of promotion.
- **2.08** Specialized Tactical Team Training - Ensure written directive requires completing a recognized tactical response school or the equivalent BEFORE participating in a primary function as a member of the team; at a minimum, at least eight hours monthly training; training must be based on critical skills specific to the tactical team's responsibilities as defined by the Agency
- **2.10** Field Trainee Evaluations - Ensure at least weekly written evaluations by the FTO. The evaluation will be reviewed with the new officer and the FTO and maintained on file by the agency.
- **2.11** Background Investigator Training - Ensure written directive requires training completed before conducting applicant background investigations
- **2.12** Required Telecommunications Training - Ensure full compliance
- **3.01** Employee Selection Procedures - Ensure written directive details all elements of the selection process for both SWORN AND NON-SWORN AND ALL SWORN AND NON-SWORN must meet all legal requirements to hold their positions with the appropriate Commission.
- **3.02** Background Investigations for Selection of Employees - Ensure written directive includes procedures for either in house or contractual services of the following: utilization of a CVSA or polygraph; procedures for psychological evaluations; a summary of the investigator's findings and conclusions regarding the applicant's moral character known to the agency, and any reviews and/or reports required by the agency CEO
- **3.03** Personnel Files - Ensure full compliance
- **3.04** Secondary Employment - Ensure written directive includes procedures to establish insurance, worker's compensation, and/or liability responsibilities in secondary employment requests. Ensure 22.2.4 is not 20%* and written directive addresses off-duty employment for all bullets.*If 20% ensure full compliance with NCLEA standard requirements"
- **3.05** Promotional Process - Ensure written directive includes any appeal process.
- **3.07** Annual Performance Evaluations - Ensure written directive requires performance evaluations must be completed for ALL employees, including full- time, part-time, and reserve. Performance evaluations shall be signed by the employee and reviewer.
- **3.08** Early Warning System - Ensure written directive is based on NCGS NCGS 17F-10 and includes: reporting of discharge of a firearm, instances of the use of force, vehicle collisions, and citizen complaints, or any other indicators identified by the agency; Supervisory intervention to correct behavior; review determines program effectiveness
- **3.09** Reserve Officer Program - Ensure full compliance
- **3.10** Recruitment Plan - Ensure Recruitment Plan contains a statement that the agency is committed to equal opportunities for employment.
- **4.01** Privacy and Security of Records - Ensure 82.1.3 is not 20%* and that written directive complies with applicable retention laws. Ensure appropriate training for the agency personnel responsible for records management is provided; Ensure all juvenile records are secured separately from adult records (NCGS 7B-3001)*If 20% ensure full compliance with NCLEA standard requirements"
- **4.02** Release of Information - Ensure 54.1.1 is not 20%* and that written directive addresses release of information (e.g., media) *If 20% ensure full compliance with NCLEA standard requirements"

- **4.03** Public Information Officer (P.I.O) - Ensure 54.1.1 is not 20%**If 20% ensure full compliance with NCLEA standard requirements"
- **5.02** Neck and Choke Holds - Ensure written directive prohibits the use except in those situations where the use of deadly force is allowed by law.
- **5.03** Authorization of Deadly Force - Ensure written directive is in accordance with NCGS 15A-401(d)(2)."
- **5.06** Documenting the Discharge of Firearm - Ensure written directive requires supervisory review
- **5.09** Warning Shots - Ensure written directive prohibits warning shots
- **6.02** Investigative Interviews - Ensure written directive includes procedures for conducting investigative interviews of adults and juveniles; addresses interview documentation, that interviews requiring audio or video recordation are performed in accordance with North Carolina statutory requirements and ensure that juveniles are provided their statutory interrogation rights
- **6.03** Search Warrants/ No Knock Warrants / Warrantless Searches - Ensure written directive includes procedures; addresses no-knock warrants; includes scope and documentation
- **6.05** Follow-Up Investigations - Ensure written directive requires appropriate personnel to be trained in conducting follow-up investigations
- **6.06** Informants - Ensure written directive includes identification and recruitment requirements, limits on who can be used, and appropriate personal interaction with informants; all elements of (c) file content; documentation for payments
- **6.07** Confidential and/or Narcotics Funds and Audits - Ensure written directive includes designation of person responsible and accountable, secure storage, procedures for requesting, receiving, and returning unused funds, and quarterly auditing (not just accounting) by independent person
- **6.08** Vehicle Pursuits - Ensure annual training on pursuit policy, not just review; Ensure written directive includes methods for conducting a pursuit and personnel authorized to conduct a pursuit
- **6.10** Non-Emergency and Emergency Response - Ensure written directive describes the law enforcement officers' responsibility when operating an emergency vehicle
- **6.11** Crash Investigation - Ensure written directive includes taking any enforcement actions
- **6.12** Reflective Vests - Ensure written directive includes current ANSI/ISEA standards and working at the scene of a crash
- **6.14** Checking Stations and Roadblocks - Ensure 61.1.6 is not 20%**If 20% ensure full compliance with NCLEA standard requirements"
- **6.16** Seatbelts - Ensure written directive requires occupants in Agency vehicles to wear a seat belt, as required by North Carolina law. Detainees and arrestees are required to be seat-belted during transport.
- **6.17** Inspection of Patrol Vehicle and Equipment - Ensure full compliance
- **6.18** Special Use Equipment and Vehicles - Ensure written directive requires special vehicles, including vehicles used for special assignments, have a documented readiness inspection at least quarterly
- **6.19** Traffic Enforcement Operations - Ensure written directive includes authorized traffic enforcement activities and circumstances where law enforcement officers have discretion

- **6.20** Eyewitness Identification - Ensure written directive requires training of appropriate personnel in the administration of show ups, live or photographic lineups
- **6.21** Missing Persons - Ensure written directive includes no minimum time requirement for a waiting period
- **6.22** In-Car and/or Body-Worn Audio / Video - Ensure written directive includes procedures for the public request of recordings in accordance with NCGS 132-1.4A
- **6.23** Ballistic Vests - Ensure written directive includes inspection and following of manufacturer guidelines
- **6.24** Providing Discovery to Prosecutor - Ensure written directive addresses NCGS 15A-901
- **7.01** Emergency Operations Plan - Ensure written PLAN is accessible to all personnel; Ensure written PLAN includes crisis negotiation and other incidents or events; Ensure annual review of the PLAN
- **7.03** After Action Report - Ensure written directive includes any natural or man- made disaster, any major incident as defined by the Agency, and any tactical team deployment
- **7.04** Tactical Team - Ensure written directive requires annual documented inspection of equipment and provisions for placing medical and/or fire assistance on standby
- **7.05** Hazardous Materials - Ensure written directive is specific for large-scale hazardous materials and biohazard situations
- **8.02** Back-up Telecommunications Center - Ensure a PLAN is in place
- **8.05** Back-Up Power Source - Ensure there are security measures preventing unauthorized access or tampering
- **9.01** Searching and Transport - Ensure written directive addresses monitoring to observe medical difficulties that arise enroute
- **9.02** Temporary Custody of Juveniles - Ensure in accordance with North Carolina law
- **9.03** Separation of Detainees - Ensure written directive requires sight and sound separation between adult detainees and juveniles in temporary custody.
- **9.06** Weapons in Holding Areas /Processing Areas - Ensure written directive includes when weapons, including less-than-lethal weapons, are allowed in the holding cell and processing areas of the Agency and provisions on when and how they must be secure 10.01
Courthouse/Courtroom Security - Ensure written directive includes training and the use of restraints on persons in custody
- **10.03** Emergency Response and Evacuation Plans - Ensure evacuation plans for each courthouse/courtroom are reviewed with Court employees at least annually
- **11.01** Property and Evidence – Chain of Custody - Ensure written directive includes proper inventory, storage, and chain of custody; including assets seized for forfeiture
- **11.03** Property and Evidence Submission - Ensure written directive is clear that employees shall not personally retain property or evidence
- **11.04** Property and Evidence Storage/Access and Security - Ensure written directive restricts access for unauthorized personnel unless they are escorted and sign in and out in a book or register or a digital agency-approved tracking system
- **11.05** High-Risk Property and Evidence - Ensure written directive requires high-risk property and evidence to be stored separate from other property in locked storage areas inside the

Property Room and requires additional security measures. This includes guns, drugs, money, or any other item of high value or significant risk of loss as determined by the Agency

- **11.06** Disposal of Property and Evidence - Ensure 84.1.7 is not 20%* *If 20% ensure full compliance with NCLEA standard requirements"
- **11.07** Release of Property and Evidence - Ensure written directive details the difference between property and evidence and when and how items may be released to the complainant or owner. All releases will be documented and signed for on a property and evidence release form."
- **11.09** Annual Audit of Property and Evidence - Ensure audit is in compliance with Appendix B
- **11.10** Change of Assignment Inventory of Property and Evidence - Ensure audit is in compliance with Appendix B; Ensure written directive requires an audit of high-risk items when a new CEO is assigned to lead the Agency
- **11.11** Hazardous and Biohazardous Materials - Ensure full compliance