Mock Assessment Training

Purpose:

- To provide a process and guidelines for conducting mock CALEA® assessments.

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Disclaimer:

- Mock assessments are not a service provided by CALEA. A mock Assessment is a private agreement between the agency and assessors it selects for the mock assessment.

Objectives:

1. To establish a uniform model for mock assessments that results in a sound evaluation of accreditation preparedness.

2. To provide guidance for a successful assessment.

3. To establish agency and mock assessor guidelines and responsibilities.

What is a Mock Assessment?

- It is a tool to prepare for an assessment.
- *Knowledgeable* outside parties conduct a preparedness analysis of policies, procedures and activities relating to accreditation.
- Is specific and as comprehensive as the CALEA assessment.
- Is a final step.

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Mock Assessors Provide:

- A knowledgeable opinion about preparation and standard compliance.

- Accreditation advice.

- Instruction to agency personnel (in some cases).

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A Mock Assessment is Not:

- An opportunity to teach new AMs about accreditation.

- An opportunity to use mock assessors to write or re-write general orders, policies, or procedures.

A Mock Assessment is Not:

- An opportunity for other agencies to learn about accreditation or accreditation compliance.

- A guarantee.

Planning a Mock Assessment

- When all of the agency's procedures and policies are in place and the files are complete.

- Schedule with enough lead-time prior to the actual assessment (6 mo.).

- Includes selection and availability of *qualified* mock assessors.

- Abbreviated mock assessments are not recommended (cursory file review).

Host Agency Responsibilities:

- Refer to *CALEA Process and Programs Guide.*

- Be ready for the mock assessment.

- Incomplete items will not be reviewed prior to the CALEA on-site. Problem area.

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Host Agency Responsibilities:

- Host agencies are expected to pay for all expenses (if any were negotiated).

- Accreditation Manager (AM) is to generally facilitate the mock assessment.

- Prepare agency members for the mock assessment.

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Host Agency Responsibilities:

- Establish a time line for providing the Mock Team Leader (MTL) and agency with information.

- Set-up for the mock team.

- Tour preparation and display.

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Assessor Confidentiality:

- No release of information pertaining to the mock assessment unless authorized by the agency.

- A copy of the written reports to the agency should be maintained by the mock team leader.

- CALEA Assessors will request general information from the agency. (The decision to release the detailed report lies with the Agency CEO.)

- If the agency breaks confidentiality on an issue so can the assessor.

Team size:

- Varies on the size of agency and situation.
- Most teams will consist of a team leader and one to three assessors.
- A team can successfully complete *most* full mock assessments in two to three days.
- Too many assessors will confuse agency.
- Difficult for the team leader to maintain quality control.

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Mock Assessor selection:

- Current _active_ **CALEA** assessor (with CALEA assessor training within the past three years).

- CALEA AM with five years experience.

- Served as an assessor on at least three CALEA mocks or one CALEA on-site.

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Mock Assessor selection:

- Was the AM during a CALEA on-site.

- Consider the type, size and function of agency the assessor is from.

- Consider assessor's agency ability to manage **CALEA** accreditation.

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Cautions:

- Not all professional (fee for hire) accreditation services or assessors are qualified or are up to date.

- Some mock assessors have not been up to date with current process and information.

- Some AMs are not qualified to be mock assessors.

Cautions:

- Assessment teams should have a balance in assessor experience.

- Team members should sign up for and participate in the whole assessment.

Team Leader Responsibilities

- **Before agreeing to do the mock assessment:**
  - Agree to any compensation terms (as appropriate).
  - Determine if the AM has had the required training.
  - Make an estimate of agency preparedness and what will be involved.
  - Understand the *perspective of the CEO* in accreditation as compared to the AM. Accreditation serves the agency through the CEO.

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Team Leader Responsibilities:

- Ask AM if mock team can communicate anything special to CEO/command staff.

- Determine if agency and AM understand assessment and report requirements.

- Contact team members.

Speak the Same Language:

- *All participants* must understand these concepts and principles:
- Appendixes:
  - A, Glossary
  - B, Guiding Principles
  - G, File Construction and Documentation
  - E, List of Time Sensitive Activities
  - I, Sample Size Table Evidence Custodian Change Audits
  - J, Suggested Structure, CALEA Best Practices in PowerDMS
  - K. Sample Size Determination for Annual Property and Evidence Audits
- Current Assessment Report
  - Tables and charts required for the Assessment Report
- Definitions

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During the Mock Assessment the Team Leader:

- **Meets with the CEO and key personnel virtually if the mock is not in person.**

- **Asks for questions/concerns.**

- **Is in charge of the team and approves all team recommendations.**

- **Should ensure that team members do not fall into the "my agency" trap.**

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During the Mock Assessment the Team Leader:

- Maintains professional team decorum.
- *Closely* reviews the amount of work and accuracy of (particularly new) mock assessors.
- Ensures all chapters/standards are reviewed including NAs and 20%.

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During the Mock Assessment the Team Leader:

- Review community outreach contacts.

- Ensures *all* required time sensitive reports and activities have been completed.

- Note observation standards and opportunities during any agency tour.

Team Leader Responsibilities

– Ensure the TL and agency are in agreement with the scope of mock assessment and the responsibilities of the participants.

– Determine that the agency is in fact prepared for the mock assessment.

- Determine if the agency has the information for the assessment report tables.

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Avoid Appendix G, Time Sensitive Schedule Trap

- "The following **recommendations** are *__offered__* as *__guidelines__* for determining *__minimum__* adequate proofs of compliance:" (G-3)

- All time sensitive material, quarterly to once in 3 years must be available.

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Common issues:
(File maintenance)

- Preparing the file material for easy assessor review, i.e., clerical, organizational, or highlighting issues.

- Inadequate or incorrect proofs of compliance that require additional material **already in possession of the agency** to be added to the files.

Common Issues
(previously called Applied Discretion)

- *Conflicting written directives or not following written directives.*

- Requirements for material that the agency had to create during the assessment.

Common Issues
(previously called Applied Discretion)

- Material that was revised, corrected, or completed during the assessment.

- Irregularities concerning interviews.

- Action concerning observation standards.

Common Issues
(previously called Applied Discretion)

- Assessors should avoid <u>unnecessary</u> changes or adjustments to agency directives that meet compliance, as these changes <u>must</u> be reported as applied discretion.

Noncompliance

- There is no compliance

- Where "compliance exists" but the agency apparently is not significantly following its policies and procedures.

Future Performance Issues

- Directives that appear to meet the intent of standards but the directives initial established time-line for completion of required activities has not been met (previously called "wet ink").

- These requirements are reported to emphasize that these activities must be completed in the appropriate time frame.

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Compliance (generally file) Review:

- To identify any problems or issues.

- Don't be easy on the agency but don't be a too tough either.

- Focus is on file construction and proofs of compliance.

Compliance (generally file) Review:

- PDMS development and content.

- PowerDMS – Best practices

- Bring any problems with file construction to the agency's attention.

Verifying Compliance

- Ensure that directives/documentation apply to the standard and don't present conflicts.

- For bulleted standards, ensure that directives/documentation cover each bullet.

- Make sure that compliance can be verified through the documentation in the file unless an interview/observation is noted.

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Verifying Compliance

- Don't assume, (the CALEA assessors don't) bring any questions to the attention of the agency.

- Ensure the requirements of written directive and conditional standards are met.

- Carefully review standards the agency classifies as NA.

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Verifying Compliance

- Complete a work sheet for all standards or by chapter (If not using the **One-on-One** method).
  - Add explanatory comments or suggestions, as needed to worksheets.
  - Copies of worksheets should be provided to mock assessors for their respective chapters to facilitate questions/clarifications at a later date.

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One-on-One

- Assessors and agency agree;
  - One agency member with each assessor,
  - Takes detailed notes and explanations on each ISSR.
- Much more information is passed and understood.
- Assessors can get more done.
- Assessors can excuse agency members for discussions.

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Interviews:

- When the assessor feels it is appropriate.

- Listing an interview on the ISSR/PowerDMS does not mandate the assessor to interview the person if the file is adequate.

- Interview other key members about critical areas: use of force, training, records, property control, AA/EEO, unusual occurrences, etc.

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Problems

- After a team *discussion, a meeting is held* with the AM to explain the issue.

- If the team and the AM still disagree on the compliance or interpretation issue, the matter is brought to the attention of the CEO at the exit interview.

- Recommend to the CEO that the issue be presented to their CALEA Program Manager for advice.

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Tally and Summarize:

- Review findings with each team member, and what the team member will present at the exit interview.

- Identify file maintenance, applied discretion, future issues and wet ink, and non-compliance issues.

- Identify agency strengths and potential assessment problems.

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Exit Interview

- Hold a brief pre-exit interview with the AM.
- Ask the AM if there are special problems or solutions that he wants emphasized.
- The exit interview is chaired by the TL and is attended by the mock assessors, the CEO, AM, and any others identified by the host agency.
- The TL presents opening and closing remarks and calls on team members for presentations.

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Exit Interview

- Provide other review comments and advice that may be appropriate.

- Discuss the public hearing.

- Make realistic recommendations.

Exit Interview

- Do not be overly optimistic; the mock team's reputation is also a concern.

- Ask the agency to provide feedback on the performance of the mock assessment team.

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Mock Assessment Report:

- Provide a report **to the agency CEO** documenting the mock and scope of the assessment (3-5 pages).

- State the team's findings; include problems and recommendations.

- Note standards or chapters were not complete or could not be reviewed.

- The report may be released to agency members, governmental, and media organizations.

Mock Assessment Training

Frequent Problem: 1

- **No directives in file or the directives don't apply to the standard**.
  - Example: For standard 84.1.6, requiring an audit by an outside supervisor, the agency uses a directive requiring an inspection by the evidence supervisor.

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Frequent Problem: 2

- **Directives don't cover the entire scope of the standard**.
    - Example: LE Chapter 35 requires evaluation of <u>all</u> personnel, but the directive only pertains to sworn personnel.

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Frequent Problem: 3

- **Lack of analysis, evaluation, etc.**
  - Example: In many cases, a statistical report will be used when an analysis or evaluation is required.

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Frequent Problem: 4

- **Problems identified during evaluations and/or inspections that can result in noncompliance**.

    - Example: A staff inspection report notes that the required inspections of the holding facility aren't being completed.

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Frequent Problem: 5

- **Time sensitive timelines not being met.**
  - Example: Reports, analyses, etc. that aren't completed or are completed for multiple years just prior to an on-site.

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Frequent Problem: 6

- **Agencies not complying with their own policies**.
  - Example: Standard 25.1.3 requires an annual analysis of grievances but agency policy requires quarterly. The agency must show proofs for quarterly analyses.

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Frequent Problem: 7

- **Documentation does not apply to the standard.**

  - Example: Training committee meetings are documented with minutes of a recruitment committee.

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Frequent Problem: 8

- **Documentation does not cover the reaccreditation period (4 years) – refer to Appendix G.**

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Frequent Problem: 9

- **File construction issues: lack of highlighting, excessive documentation, excessive use of PDMS notes box saying no incidents occurred, etc.**

Frequent Problem: 10

- **Agency efforts and documentation is inadequate to meet compliance:**

    – Example: The agency has thousands of items of evidence and property and the audit required of 84.1.6c showed only 10 items were checked. (*A significant representative sampling of property including high-risk items* is required.) Follow Appendix I

Dyslexia – The Assessor Disease

- Reported problems to CALEA are highly accurate.

- Missed compliance problems are a major concern and are mainly caused by:
    - Ineffective assessors.
    - "It was passed by the last team."
    - *reading* assumptions into standards and compliance material.

- Missed issues creates a major problem for the agency during future assessments.

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