

# CALEA Pre-Assessment Documentation Checklist

## How to use this checklist

This comprehensive checklist is designed to help your agency systematically prepare for CALEA accreditation assessment. Use it to track documentation collection, identify gaps, and ensure nothing is overlooked as you prepare for your on-site assessment.

### INSTRUCTIONS

- ▶ Complete the agency information section to **customize this checklist** for your assessment
- ▶ Work through each of the **seven sections** systematically, checking off items as they are completed
- ▶ Use the **notes/status columns to track progress**, identify responsible parties, or note locations of documentation
- ▶ Begin working through this checklist at least **6-12 months before** your scheduled assessment
- ▶ Conduct **regular reviews** of your progress using the milestone tracking section
- ▶ Keep this checklist with your **compliance file** as a record of your preparation process

## ▶ Agency information and assessment details

Agency Name: \_\_\_\_\_

### ACCREDITATION PROGRAM

- Law Enforcement Accreditation
- Advanced Law Enforcement Accreditation
- Other: \_\_\_\_\_

### ASSESSMENT TYPE

- Initial Accreditation
- Reaccreditation

### AGENCY INFORMATION

Scheduled Assessment Date: \_\_\_\_\_

Accreditation Manager/Primary Contact: \_\_\_\_\_

Assessment Team Lead (if assigned): \_\_\_\_\_

Compliance File Location: \_\_\_\_\_

Number of CALEA Standards Applicable: \_\_\_\_\_

## ► Pre-assessment timeline and milestones

Track your major preparation milestones and deadlines:

MILESTONE	TARGET DATE	COMPLETE DATE	STATUS
Gap analysis completed			<input type="checkbox"/> Complete
Policy mapping/crosswalk finalized			<input type="checkbox"/> Complete
All written directives updated			<input type="checkbox"/> Complete
Compliance file organized			<input type="checkbox"/> Complete
Mock assessment conducted			<input type="checkbox"/> Complete
Deficiencies from mock assessment corrected			<input type="checkbox"/> Complete
Personnel training completed			<input type="checkbox"/> Complete
Public comment period initiated			<input type="checkbox"/> Complete
Final compliance file review			<input type="checkbox"/> Complete
Assessment logistics confirmed			<input type="checkbox"/> Complete

## ► Foundational documentation

### WRITTEN DIRECTIVES & POLICIES

- Complete policy manual** - Current version with all general orders, special orders, and directives

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Policy index or table of contents** - Organized listing of all agency policies

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Policy issuance and distribution records** - Documentation showing policies were formally issued and distributed

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Policy acknowledgment records** - Signed acknowledgments from personnel confirming receipt and review

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Superseded policy archive** - Historical versions of policies covering the assessment period

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Policy revision log** - Tracking document showing all policy updates, dates, and approval authority

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

## STANDARD OPERATING PROCEDURES

- Operational SOPs** - Procedures for patrol, investigations, special operations, etc.

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Administrative SOPs** - Procedures for records management, property, facilities, etc.

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Emergency response procedures** - Critical incident protocols, disaster response, etc.

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Specialized unit procedures** - K-9, SWAT, traffic, detective division, etc.

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_



## ORGANIZATIONAL &amp; ADMINISTRATIVE DOCUMENTS

- Current organizational chart** - Showing chain of command and reporting relationships  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Agency mission, vision, and values statements** - Formally adopted and documented  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Job descriptions** - For all positions referenced in CALEA standards  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Administrative regulations** - Rules governing personnel conduct, leave, benefits, etc.  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Memoranda of understanding (MOUs)** - Agreements with external agencies, jurisdictions, or service providers  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Collective bargaining agreements** - Current labor contracts (if applicable)  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_

# ► Standards mapping and compliance tracking

## POLICY-TO-STANDARDS ALIGNMENT

- Complete standards crosswalk** - Document mapping each CALEA standard to corresponding agency policies  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
  
- Standards coverage verification** - Confirmation that every applicable standard is addressed by at least one policy  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
  
- Multi-component standards checklist** - Verification that all parts of complex standards are covered  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
  
- Policy-to-multiple-standards mapping** - Documentation showing which policies address multiple standards  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_



## GAP ANALYSIS & COMPLIANCE ASSESSMENT

- Initial gap analysis report** - Documentation of compliance gaps identified during self-assessment  
*Notes/Status:* \_\_\_\_\_
- Gap remediation plan** - Action plan for addressing identified compliance gaps  
*Notes/Status:* \_\_\_\_\_
- Gap closure documentation** - Evidence that identified gaps have been addressed  
*Notes/Status:* \_\_\_\_\_
- Current compliance status matrix** - Standard-by-standard compliance status tracker  
*Notes/Status:* \_\_\_\_\_
- Standards requiring additional attention list** - Identification of challenging or complex standards  
*Notes/Status:* \_\_\_\_\_

## TRACKING & MONITORING SYSTEMS

- Compliance monitoring schedule** - Calendar of ongoing compliance activities and reviews  
*Notes/Status:* \_\_\_\_\_
- Standards update tracking** - Documentation of CALEA standards changes and agency response  
*Notes/Status:* \_\_\_\_\_
- Compliance committee meeting minutes** - Records of compliance oversight meetings (if applicable)  
*Notes/Status:* \_\_\_\_\_

## ▶ Proof of compliance documentation

### TRAINING RECORDS & CERTIFICATIONS

- Training curriculum and lesson plans** - For all training programs referenced in standards  
*Notes/Status:* \_\_\_\_\_
- Training rosters with signatures** - Attendance records for all required training  
*Notes/Status:* \_\_\_\_\_
- Instructor qualifications** - Certifications and credentials for training instructors  
*Notes/Status:* \_\_\_\_\_
- Training test results and evaluations** - Documentation of comprehension and competency  
*Notes/Status:* \_\_\_\_\_
- Academy training records** - Basic training documentation for all sworn personnel  
*Notes/Status:* \_\_\_\_\_
- In-service training records** - Annual and ongoing training documentation  
*Notes/Status:* \_\_\_\_\_
- Specialized training certifications** - SWAT, K-9, crisis intervention, etc.  
*Notes/Status:* \_\_\_\_\_
- Supervisory and leadership training** - Management and command training records  
*Notes/Status:* \_\_\_\_\_
- Policy training documentation** - Records showing personnel were trained on new/updated policies  
*Notes/Status:* \_\_\_\_\_

## INSPECTION &amp; AUDIT RECORDS

- Vehicle inspection logs** - Regular inspection records for fleet vehicles  
*Notes/Status:* \_\_\_\_\_
- Equipment inspection records** - Firearms, protective equipment, communications equipment, etc.  
*Notes/Status:* \_\_\_\_\_
- Facility inspection reports** - Building safety, security, and maintenance inspections  
*Notes/Status:* \_\_\_\_\_
- Evidence room audit records** - Regular audits of property and evidence storage  
*Notes/Status:* \_\_\_\_\_
- Internal affairs inspection reports** - Reviews of complaint investigations and processes  
*Notes/Status:* \_\_\_\_\_
- Use of force reviews** - Supervisory and administrative reviews of force incidents  
*Notes/Status:* \_\_\_\_\_
- Pursuit reviews** - Analysis and review of vehicle pursuit incidents  
*Notes/Status:* \_\_\_\_\_
- Financial audits** - External audits of agency finances and asset management  
*Notes/Status:* \_\_\_\_\_
- Records management audits** - Reviews of records retention and security  
*Notes/Status:* \_\_\_\_\_

## PERSONNEL FILES &amp; RECORDS

- Background investigation files** - Complete background checks for all personnel  
*Notes/Status:* \_\_\_\_\_
- Medical examination records** - Pre-employment and periodic medical evaluations  
*Notes/Status:* \_\_\_\_\_
- Psychological evaluation records** - Pre-employment psychological assessments  
*Notes/Status:* \_\_\_\_\_
- Performance evaluation records** - Annual performance reviews for sample of personnel  
*Notes/Status:* \_\_\_\_\_
- Promotional process documentation** - Records of promotional exams, assessments, and selections  
*Notes/Status:* \_\_\_\_\_
- Disciplinary records** - Documentation of disciplinary actions and due process  
*Notes/Status:* \_\_\_\_\_
- Commendations and awards** - Recognition and achievement records  
*Notes/Status:* \_\_\_\_\_
- Personnel file audit** - Verification that files are complete and properly maintained  
*Notes/Status:* \_\_\_\_\_

## OPERATIONAL DOCUMENTATION

- Incident report samples** - Representative sample of reports covering assessment period  
*Notes/Status:* \_\_\_\_\_
- Arrest records** - Sample documentation showing proper procedures followed  
*Notes/Status:* \_\_\_\_\_
- Use of force reports** - All use of force incidents with complete documentation  
*Notes/Status:* \_\_\_\_\_
- Pursuit reports** - All vehicle pursuit incidents with supervisory review  
*Notes/Status:* \_\_\_\_\_
- Complaint investigation files** - Citizen and internal complaints with complete investigations  
*Notes/Status:* \_\_\_\_\_
- Critical incident reviews** - After-action reports for major incidents  
*Notes/Status:* \_\_\_\_\_
- Case file samples** - Criminal investigation files showing proper procedures  
*Notes/Status:* \_\_\_\_\_
- Traffic enforcement records** - Citations, warnings, and traffic operation documentation  
*Notes/Status:* \_\_\_\_\_

## EQUIPMENT &amp; INVENTORY RECORDS

- Weapons inventory** - Complete inventory of all agency firearms  
*Notes/Status:* \_\_\_\_\_
- Vehicle inventory and maintenance records** - Fleet documentation and service records  
*Notes/Status:* \_\_\_\_\_
- Communications equipment inventory** - Radios, computers, and communications systems  
*Notes/Status:* \_\_\_\_\_
- Protective equipment inventory** - Body armor, helmets, shields, etc.  
*Notes/Status:* \_\_\_\_\_
- Evidence and property inventory** - Current inventory of stored property and evidence  
*Notes/Status:* \_\_\_\_\_
- Technology and IT equipment inventory** - Computers, servers, software licenses, etc.  
*Notes/Status:* \_\_\_\_\_

## MEETING MINUTES &amp; COMMITTEE RECORDS

- Command staff meeting minutes** - Regular leadership meeting documentation  
*Notes/Status:* \_\_\_\_\_
- Labor-management meeting minutes** - Union/association meeting records (if applicable)  
*Notes/Status:* \_\_\_\_\_
- Community advisory board minutes** - Citizen oversight or advisory committee records  
*Notes/Status:* \_\_\_\_\_
- Safety committee meeting minutes** - Occupational safety and wellness committee records  
*Notes/Status:* \_\_\_\_\_

## ► Assessment preparation materials

### SELF-ASSESSMENT & MOCK ASSESSMENT

- Self-assessment results** - Complete self-assessment for all applicable standards  
*Notes/Status:* \_\_\_\_\_
- Mock assessment schedule and plan** - Timeline and methodology for internal mock assessment  
*Notes/Status:* \_\_\_\_\_
- Mock assessment team assignments** - Personnel assigned to conduct mock assessment  
*Notes/Status:* \_\_\_\_\_
- Mock assessment findings report** - Documentation of deficiencies identified during mock assessment  
*Notes/Status:* \_\_\_\_\_
- Corrective action plan** - Plan to address mock assessment findings  
*Notes/Status:* \_\_\_\_\_
- Corrective action completion documentation** - Evidence that deficiencies were corrected  
*Notes/Status:* \_\_\_\_\_
- Follow-up verification** - Confirmation that corrections were effective  
*Notes/Status:* \_\_\_\_\_

## COMPLIANCE FILE ORGANIZATION

- Master compliance file** - Complete organized file with all standards documentation  
*Notes/Status:* \_\_\_\_\_
- Working copies for assessors** - Multiple copies allowing simultaneous assessor access  
*Notes/Status:* \_\_\_\_\_
- Standard cover sheets** - Summary sheet for each standard listing contents and key information  
*Notes/Status:* \_\_\_\_\_
- Compliance file index** - Master index showing location of all documentation  
*Notes/Status:* \_\_\_\_\_
- Digital compliance file** - Electronic version of compliance documentation (if applicable)  
*Notes/Status:* \_\_\_\_\_
- Quick reference guide** - Guide to help assessors navigate the compliance file  
*Notes/Status:* \_\_\_\_\_
- Documentation gap verification** - Final check that all required proofs are present  
*Notes/Status:* \_\_\_\_\_

## PERSONNEL PREPARATION

- Assessment overview training** - Training for all personnel on assessment process

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Interview preparation sessions** - Training on how to respond to assessor questions

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Policy review sessions** - Refresher training on key policies personnel will be asked about

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Quick reference guides for personnel** - Summary documents of key policies by role

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Role-play interview practice** - Mock interview sessions to prepare personnel

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Key personnel identification** - List of personnel assessors should interview by role/function

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

## ► Continuous compliance records

### POLICY REVIEW & MAINTENANCE

- Annual policy review schedule** - Calendar showing when each policy is due for review  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Policy review completion records** - Documentation that scheduled reviews were conducted  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Policy update justification documents** - Explanations for policy revisions  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Legal review documentation** - Evidence that policies were reviewed by legal counsel  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_
- Version control system documentation** - Records showing policy version management  
*Notes/Status:* \_\_\_\_\_  
\_\_\_\_\_



## PERSONNEL PREPARATION

- Compliance monitoring reports** - Regular reports on compliance status  
*Notes/Status:* \_\_\_\_\_
- Quarterly compliance reviews** - Periodic assessments of compliance across all standards  
*Notes/Status:* \_\_\_\_\_
- Annual compliance report** - Comprehensive annual review of accreditation status  
*Notes/Status:* \_\_\_\_\_
- Compliance dashboard or tracking system** - Real-time compliance status monitoring tool  
*Notes/Status:* \_\_\_\_\_
- Alert and notification records** - Documentation of compliance alerts and responses  
*Notes/Status:* \_\_\_\_\_

## STANDARDS UPDATES &amp; CHANGES

- CALEA standards update notifications** - All bulletins and communications about standards changes  
*Notes/Status:* \_\_\_\_\_
- Standards change impact analysis** - Assessment of how standards updates affect agency policies  
*Notes/Status:* \_\_\_\_\_
- Policy revision tracking for standards updates** - Documentation of policy changes made in response to standards updates  
*Notes/Status:* \_\_\_\_\_
- Crosswalk updates** - Revised policy-to-standards mapping reflecting changes  
*Notes/Status:* \_\_\_\_\_

## ► Administrative and logistical preparation

### ASSESSMENT SCHEDULING & COORDINATION

- Assessment date confirmation** - Written confirmation of scheduled assessment dates

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Assessor team roster** - Names and contact information for assigned assessors

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Pre-assessment communication log** - Record of all communications with CALEA and assessors

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Assessment schedule/agenda** - Detailed schedule for assessment activities

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Personnel availability confirmation** - Verification that key personnel will be available during assessment

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

## FACILITY &amp; WORKSPACE PREPARATION

- Assessor workspace setup** - Dedicated workspace with tables, chairs, lighting, etc.

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Technology setup** - Computers, printers, internet access for assessors

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Compliance file accessibility** - Organized space for compliance file review

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Interview room preparation** - Private spaces for assessor interviews with personnel

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Facility tour planning** - Route and schedule for assessor facility tours

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Building access and security arrangements** - Visitor badges, parking, building access for assessors

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Signage and wayfinding** - Signs to help assessors navigate facilities

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

## ASSESSOR ACCOMMODATIONS & HOSPITALITY

- Hotel accommodations arranged** - Lodging for assessors (if required)

Notes/Status: \_\_\_\_\_

- Transportation arrangements** - Airport pickup, local transportation for assessors

Notes/Status: \_\_\_\_\_

- Meal planning** - Breakfast, lunch, dinner arrangements for assessment period

Notes/Status: \_\_\_\_\_

- Welcome packet preparation** - Information packet for assessors with local information, schedule, contacts

Notes/Status: \_\_\_\_\_

## PUBLIC COMMENT PERIOD

- Public notice published** - Legal notice of accreditation assessment and public comment period

Notes/Status: \_\_\_\_\_

- Public comment procedures established** - Process for receiving and documenting public input

Notes/Status: \_\_\_\_\_

- Public comment documentation** - Records of all public comments received

Notes/Status: \_\_\_\_\_

- Public comment response plan** - Procedures for addressing public comments during assessment

Notes/Status: \_\_\_\_\_

## COMMUNICATION &amp; COORDINATION

- Internal communication plan** - Strategy for keeping agency personnel informed during assessment

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- External communication plan** - Media relations and public information strategy

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Primary contact designation** - Accreditation manager or point person available throughout assessment

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Backup contact designation** - Secondary contact if primary is unavailable

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

- Emergency contact list** - Key personnel contact information for assessors

Notes/Status: \_\_\_\_\_  
\_\_\_\_\_

# ▶ Final pre-assessment review

Complete this section 2-4 weeks before your scheduled assessment as a final verification.

## DOCUMENTATION COMPLETENESS VERIFICATION

- All standards have written directives** - Verified that every applicable standard is addressed by policy  
*Verification Date:* \_\_\_\_\_
- All required proofs of compliance are present** - Confirmed all supporting documentation is in compliance file  
*Verification Date:* \_\_\_\_\_
- Documentation covers appropriate time period** - Verified all proofs cover the assessment period  
*Verification Date:* \_\_\_\_\_
- No documentation gaps identified** - Final gap check completed with no outstanding issues  
*Verification Date:* \_\_\_\_\_
- Superseded policies archived** - Historical policy versions available for assessment period  
*Verification Date:* \_\_\_\_\_



## QUALITY ASSURANCE REVIEW

- Compliance file organization verified** - File is logically organized and easy to navigate  
*Verification Date:* \_\_\_\_\_
  
- All documents are legible and complete** - No missing pages, illegible copies, or incomplete documents  
*Verification Date:* \_\_\_\_\_
  
- Cover sheets and indexes are accurate** - All reference materials correctly identify contents  
*Verification Date:* \_\_\_\_\_
  
- Digital files are accessible** - Electronic documents open properly and are organized  
*Verification Date:* \_\_\_\_\_
  
- Crosswalk accuracy verified** - Policy-to-standards mapping is current and correct  
*Verification Date:* \_\_\_\_\_



## READINESS CONFIRMATION

- Mock assessment deficiencies resolved** - All issues from mock assessment have been corrected  
*Verification Date:* \_\_\_\_\_
- Personnel training completed** - All staff have received assessment preparation training  
*Verification Date:* \_\_\_\_\_
- Facilities are prepared** - Assessor workspace and interview rooms are ready  
*Verification Date:* \_\_\_\_\_
- Logistics are confirmed** - All travel, accommodation, and hospitality arrangements are finalized  
*Verification Date:* \_\_\_\_\_
- Key personnel availability confirmed** - Critical personnel are available during assessment  
*Verification Date:* \_\_\_\_\_
- Public comment period requirements met** - All public notice and comment procedures completed  
*Verification Date:* \_\_\_\_\_
- Communication plan activated** - Internal and external communication strategies are in place  
*Verification Date:* \_\_\_\_\_

## FINAL SIGN-OFF

**Accreditation Manager Sign-off:**

I have reviewed this checklist and confirm that all required documentation and preparation activities have been completed. The agency is ready for CALEA assessment.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Agency Executive Sign-off:**

I have reviewed the accreditation preparation status and confirm the agency's readiness for assessment.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



