OHIO COLLABORATIVE
LAW ENFORCEMENT AGENCY CERTIFICATION

GUIDELINES FOR SELF CERTIFICATION DOCUMENT SUBMISSIONS

The key to earning the Ohio Collaborative Provisional Certification is careful preparation of self-certification compliance documents. Compliance documentation must meet each element of the standard, be concise and specific. Below are guidelines to assist in preparing documentation. Questions pertaining to these guidelines may be directed to ohiocollaborative@dps.ohio.gov or by calling Kathy Mahl of Criminal Justice Services at 888-448-4842.

FOUR ELEMENTS OF A STANDARD - These elements shall be demonstrated through the submission of the agencies compliance documentation for each standard:

1) Policy / Procedure
2) Knowledge / Awareness (Read and Sign)
3) Proficiency (Roll-Call Training/Quizzes)
4) Compliance (Agency Activity and Accountability)

THREE TYPES OF SELF-CERTIFICATION DOCUMENTS - Self-certification submissions shall include three types of documentation to demonstrate agency compliance:

1) Standards Compliance Checklist - See Exhibit 1
2) Written Directive – See Exhibit 2
3) Compliance Documentation – See Exhibit 3

File Preparation - All documentation compiled for review should follow the outline of the Standards Compliance Checklist (Exhibit 1), be assembled consistently and labeled according to the applicable standard. Each submission should stand on its own to clearly demonstrate compliance with the applicable standard.

1) **Labeling:** Each written directive and related compliance document should be labeled with the applicable standard and bullet. Labels should be located in the top right corner of the page (See Exhibits 2 & 3). Electronic files should be named in the same manner, i.e. Standard 1_1.pdf, Standard 1_1_a.pdf, 1_1_b.pdf, etc.
2) **Highlighting:** Highlight the specific area(s) of the document to draw the assessor's attention to specific language within a directive that proves compliance with the standard. (See Exhibit 2)

3) **FILE ORGANIZATION:** Each submission shall contain the Standards Compliance Checklist, followed by agency directive(s) and lastly necessary compliance documentation supporting agency directives and Ohio Collaborative Standards.

COMPLIANCE DOCUMENTATION

WRITTEN DIRECTIVE

OHIO COLLABORATIVE
LAW ENFORCEMENT AGENCY CERTIFICATION

STANDARDS COMPLIANCE CHECKLIST

USE OF FORCE Employees may only use the force which is reasonably necessary to affect lawful objectives including: affecting a lawful arrest or overcoming resistance to a lawful arrest, preventing the escape of an offender, or protecting or defending others or themselves from physical harm.

USE OF DEADLY FORCE The preservation of human life is of the highest value in the State of Ohio. Therefore, employees must have an objectively reasonable belief deadly force is necessary to protect life before the use of deadly force. Deadly force may be used only under the following circumstances:
1. To defend themselves from serious physical injury or death; or 2. To defend another person from serious physical injury or death; or 3. In accordance with U.S. and Ohio Supreme Court decisions, specifically, *Tennessee v. Garner* and *Graham v. Connor*.

☒ 1.1 **Policy Statements**
A directive establishes the agency's use of force and use of deadly force policy statements and

☒ a. agency personnel are issued copies of the agency's use of force and use of deadly force policy statements.

☒ b. agency personnel are annually trained and tested on use of force and use of deadly force policy statements.

☒ c. agency provides documentation showing compliance.

☒ 1.2 **Training**
A directive states the agency's policy on use of force and use of deadly force training and

☒ a. agency personnel are issued copies of the agency's use of force and use of deadly force training policy.

☒ b. agency personnel are annually trained and tested on the agency's use of force and use of deadly force training policy.

☒ c. agency provides documentation showing compliance.

☒ 1.3 **Reporting**
A directive requires a written report be taken when there is a use of force or use of deadly force incident and

☒ a. agency personnel are issued copies of the agency's use of force and use of deadly force

Exhibit 1

OHIO COLLABORATIVE
LAW ENFORCEMENT AGENCY CERTIFICATION

STANDARDS COMPLIANCE CHECKLIST

Standard 1:
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A directive establishes the agency's use of force and use of deadly force policy statements and

☐ **a.** agency personnel are issued copies of the agency's use of force and use of deadly force policy statements.

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☐ **a.** agency personnel are issued copies of the agency's use of force and use of deadly force training policy.

☐ **b.** agency personnel are annually trained and tested on the agency's use of force and use of deadly force training policy.

☐ **c.** agency provides documentation showing compliance.

☐ **1.3 Reporting**

A directive requires a written report be taken when there is a use of force or use of deadly force incident and

☐ **a.** agency personnel are issued copies of the agency's use of force and use of deadly force reporting policy.

☐ **b.** agency personnel are periodically trained and tested on the agency's use of force and use of deadly force reporting policy.

☐ **c.** agency provides documentation showing compliance.

☐ **1.4 Reviews/investigations**

A directive requires each use of force and use of deadly force report is reviewed/investigated by a defined level of authority to determine compliance with agency policies and

☐ **a.** agency personnel are issued copies of the agency's use of force and use of deadly force reviews/investigations policy.

☐ **b.** agency personnel are periodically trained and tested on the agency's use of force and use of deadly force reviews/investigations policy.

☐ **c.** agency provides documentation showing compliance.

WRITTEN DIRECTIVE SAMPLE

Exhibit 2

ANY OHIO LAW ENFORCMENT AGENCY

Policy 100.01
Use of Force and Deadly Force

ELEMENT 1) Policy Statement(s) for Standard 1.1 as noted in Exhibit 1.

A. **STATEMENTS OF POLICY** <1.1>

1. USE OF FORCE Employees may only use the force which is reasonably necessary to affect lawful objectives including: affecting a lawful arrest or overcoming resistance to a lawful arrest, preventing the escape of an offender, or protecting or defending others or themselves from physical harm.

2. USE OF DEADLY FORCE The preservation of human life is of the highest value in the State of Ohio. Therefore, employees must have an objectively reasonable belief deadly force is necessary to protect life before the use of deadly force. Deadly force may be used only under the following circumstances:

1. To defend themselves from serious physical injury or death; or
2. To defend another person from serious physical injury or death; or
3. In accordance with U.S. and Ohio Supreme Court decisions, specifically, *Tennessee v. Garner* and *Graham v. Connor*.

3. **Limited Authority** - A primary goal of the Division is the protection of life and property while enforcing the traffic and criminal laws of the state. ORC Section 5503.02 requires that officers enforce criminal and traffic laws within our jurisdiction. Officers must understand and appreciate the limits of their authority when responding to resistance. It is not the intent of this policy to avoid that responsibility; rather the intent is to provide general guidelines that will help ensure apprehensions within the limits of safety.

Agency **policy statements** for 1.1-1.4 supporting compliance **for Element 2 Knowledge/Awareness (Read and Sign) and Element 3, Proficiency (Roll-Call Training/Quizzes)** (Bullets a and b) as noted in Exhibit 1.

B. TRAINING <1.1 a&b, 1.2 a&b, 1.3 a&b, 1.4 a&b>

a. **Sworn Officers** - Following release of a revision to this policy all sworn officers shall be assigned this policy, without delay, for review and electronic read and sign.

b. **Roll Call Training** - Whenever changes in this policy occur, all commanders shall schedule roll call training sessions to instruct officers on the changes.

c. **Annual Training** – At least annually each officer shall demonstrate proficiency in the use of all approved lethal weapons and electronic control weapons. Any officer failing to qualify with agency-approved lethal weapons shall immediately begin the remedial training process in accordance with policy. Training shall also include documented testing on the officer's knowledge of the agency's Use of Force directives.

d. **Annual Review** - All sworn officers will review this directive, in its entirety, at annual firearms qualification.

e. **New Hires** - Personnel shall provide all sworn new hires with specific training on the scope and contents of this policy.

WRITTEN DIRECTIVE SAMPLE

Exhibit 2

ELEMENT 1) Policy Statement(s) for 1.3
Reporting, as noted in Exhibit 1.

C. REPORTING <1.3>

RESPONSE TO RESISTANCE REPORTING - An officer shall notify a supervisor as soon as possible after responding to resistance to effect an arrest, detention, or mission. A case investigation shall be completed by a supervisor. Within ten working (14 calendar) days, the preliminary investigation shall be forwarded to the Administrative Investigations Unit Commander. Investigations above Level 2 on the Action - Response Continuum shall cause the officer's actions to be reviewed at all command levels.

1. **Less-Lethal Weapons** - The use of any less-lethal weapon shall result in a case investigation. Officers shall only carry less-lethal weapons authorized by the Division and only after receiving appropriate training in use of the less-lethal weapon.
   - With the exception of training, all instances of CEW usage, including accidental discharges, shall be reported to a supervisor and documented. All uses, except training, shall be entered on a Conducted Energy Weapon (CEW) – Cartridge Issuance and Use Log.
   - Use of the CEW is considered a response to resistance. As with other response to resistance cases, the same reporting requirements shall be followed, including a case investigation.
   - The investigating officer shall indicate in the report, in addition to other requested information, the serial number of the CEW used, the distance from the person from which the CEW was fired, locations of impact on the person and an evaluation of the CEW's effectiveness.
   - Accidental discharges shall be documented in accordance with Policy 103.19. First and second offenses shall only require an EIR entry to be forwarded to AIU with related correspondence.
2. **Discharge of Firearm** - Whenever a firearm is discharged on duty the incident shall be investigated and documented by a sworn Division officer not involved in the incident.
   - On all discharges of any firearm, an administrative investigation will be conducted. If the discharge was intentional, or an injury results from an accidental discharge, a case investigation shall be completed by a supervisor. The exception is an animal destroyed for humane purposes (Policy 203.06, Care of Animals Involved in Traffic Crashes, Incidents, or Arrests).
   - If the discharge was accidental, the officer may be required to undergo additional firearms certification training.
   - If a Division-issued firearm is discharged off-duty under any circumstance other than firearms practice, a written report (administrative investigation and/or case report) will be completed.

WRITTEN DIRECTIVE SAMPLE

Exhibit 2

ELEMENT 1) Policy Statement(s) for 1.4, Reviews/Investigation, as noted in Exhibit 1.

D. REVIEWS/INVESTIGATION <1.4>

1. **Post** - The following steps shall be taken when reviewing the case at the post level.
   - As soon as the preliminary investigation is complete, it will be first reviewed at the post level by the post commander, who will report the findings on a Response to Resistance Review Guide and Committee Findings and attach to a copy of the investigation.
   - The post commander will then forward the investigation to the district commander for review.

2. **District** - The following steps shall be taken when reviewing the case at the district level.
   - Every case will be reviewed by the district commander, who will report findings on the Response to Resistance Review Guide and Committee Findings.
   - **The district commander will decide if the investigation will be forwarded to the Response to Resistance Review Committee.**
   - The district and/or post commander may document potential policy violations, training needs, or special circumstances on an inter-office communication. Do not document these matters on the Response to Resistance Review Guide and Committee Findings. Upon completion of any required overview, forward the information to the Field Operations Commander. Forward a copy of the overview to the AIU. AIU shall be notified prior to initiating and administrative investigation of employee performance deficiencies or misconduct related to response to resistance incidents. This notification allows for coordination of the AI with the response to resistance review.

COMPLIANCE DOCUMENTATION SAMPLE

Exhibit 3

Compliance Document (Element 4) for ALL 1.1-1.4 Bullets A&C showing policy assigned to applicable agency personnel. **(ELEMENT 2, Read and Sign)**

Read and Sign Report for Policy <**Bullets A&C for ALL>**

Policy Nr.	Policy Name	Assigned	Read	User	Assignment	Standard
100.01	UOF	10/21/2015	10/30/2015	R. Fhelps	IS	1.1-1.4
100.01	UOF	10/21/2015	10/21/2015	K. Mahl	Admin	1.1-1.4
100.01	UOF	10/21/2015	10/27/2015	R. Jordan	IS	1.1-1.4
100.01	UOF	10/21/2015	10/29/2015	J. Beckam	IS	1.1-1.4
100.01	UOF	10/21/2015	10/29/2015	R. Smith	Admin	1.1-1.4
100.01	UOF	10/21/2015	10/29/2015	T. Smith	Ops	1.1-1.4
100.01	UOF	10/21/2015	10/30/2015	J. Martinez	IS	1.1-1.4
100.01	UOF	10/21/2015	10/25/2015	T. Jones	IS	1.1-1.4
100.01	UOF	10/21/2015	Unread	P. Yuhas	IS	1.1-1.4
100.01	UOF	10/21/2015	Unread	P. Cup	Ops	1.1-1.4
100.01	UOF	10/21/2015	Unread	R. Small	IS	1.1-1.4
100.01	UOF	11/22/2015	01/25/2016	A. Cline	Trainee	1.1-1.4
100.01	UOF	11/22/2015	01/25/2016	W. Brine	Trainee	1.1-1.4
100.01	UOF	11/22/2015	01/25/2016	P. Ellen	Trainee	1.1-1.4

Additional compliance sample that may be used for Bullet A & C.

Read and Sign Report by User **<Bullets A&C for user>**

User	Policy Nr.	Policy Name	Assigned	Read	Standard
R. Fhelps	100.01	UOF	10/21/2015	10/30/2015	1.1-1.4
	200.01	Body Cameras	11/01/2015	11/20/2015	1.1-1.4
	100.01	UOF	10/21/2014	10/21/2014	1.1-1.4
	401.02	Red Lights	10/21/2015	10/21/2015	1.1-1.4
	400.02	Ethics	01/01/2015	01/01/2015	1.1-1.4

COMPLIANCE DOCUMENTATION SAMPLE

Exhibit 3

Compliance Document (Element 4) for ALL 1.1-1.4 Bullet B&C showing Training and Testing **(ELEMENT 3, Proficiency)** administered to officer.

Roll Call Training by Employee **<Bullets B&C for ALL>**

User	Policy Nr.	Policy Name	Quiz Assigned	Passed	Score	Standard
R. Fhelps	100.01	UOF	10/21/2015	10/30/2015	75/100	1.1-1.4
	200.01	Body Cameras	11/01/2015	11/20/2015	9/10	1.1-1.4
	100.01	UOF	10/21/2014	10/21/2014	93/100	1.1-1.4
	401.02	Red Lights	10/21/2015	10/21/2015	100	1.1-1.4
	400.02	Ethics	01/01/2015	01/01/2015	100	1.1-1.4

COMPLIANCE DOCUMENTATION SAMPLE

Exhibit 3

Bullet C
1.3. UOF Report

Compliance Document (Element 4) for **1.3**, Bullet C, showing Agency **Reporting** of UOF.

MEMO

DATE: September 9, 2011

TO: Captain [redacted]
Police Department

FROM: Sergean[redacted]r
Police Department

SUBJECT: Response to Resistance Aggression (11-27749)

On 9/9/11 at 1826 hours, Officers were dispatched t[redacted] St. on a fight in progress call. Upon the arrival of Officer [redacted], he found a male [redacted]A. [redacted]o) with a bloody mouth standing on a chair in the front dining patio of the business. It was obvious he was involved in the altercation due to his injury so Officer [redacted] ordered him to step over the rail in order to speak to him. Once over the rail, the male attempted to flee the area on foot south. A manager for the business had grabbed [redacted]s shirt as Officer [redacted] grabbed his right arm and shoulder. [redacted]o was off balance and fell into a bicycle that was propped up against the building as he was taken to the ground. Officer [redacted] held his right wrist and ordered him to roll onto his stomach. I arrived at this time and knelt down on [redacted]'s back with my right knee and told him to stop resisting. Officer [redacted]e handcuffed him and we placed him into a police cruiser. He was later incarcerated at the Montgomery County Jail for obstructing official business.

A WTFD medic was requested to check the injuries [redacted] sustained from the altercation that occurred prior to our arrival. He was uncooperative with them and had no apparent serious injuries. I observed a long superficial scrape along his back which reportedly occurred when he fell onto the bicycle.

A review of the in car videos from Offi[redacted]nd myself revealed through the audio that [redacted] was caught within seconds of trying to run and he was secured within 25 seconds. Officer [redacted] captured 3 seconds of video which showed Officer [redacted]e rolling [redacted] onto his stomach and my arrival.

Physical Restraint
A review of General Order 1.3.1, Necessary Force, showed Officer[redacted]'s and my compliance with the written orders during the course of the above actions.

COMPLIANCE DOCUMENTATION SAMPLE

Exhibit 3

Bullet C
1.4, UOF INVESTIGATION

Compliance Document (Element 4) for **1.4**, Bullet C, showing Agency **Investigation** of UOF.

COMPLAINT

Type	Complainant	DOB	Sex	Race	Report Date	File #
308	[redacted] Police Department				04/30/12	12-12897

Address	Home# Work# Cell#
[redacted] OH 45458	[redacted]

Reportee	DOB	Sex	Race	Home# Work# Cell#
[redacted]	06/27/58	M	W	[redacted]

Address: [redacted]

FACTS OF OCCURRENCE

Type of Occurrence	Received By	How	Received	Dispatched	Arrived
Obstructing Official Business	Salmon	9-1-1	0159	0200	0203

Means of Offense: Purposefully prevent and delay officers acting upon their lawful duty

Object of Offense: Delay/prevent investigation

Location of Offense: [redacted]

OCCURRED
Day: Monday
Date: 04/30/12
Time: 0159 hours

Property ☐ Damaged ☐ Found ☐ Lost — Total Est. Value $ ☐ Property Book

Property ☐ Stolen ☐ Recovered ☐ Released — Total Est. Value STOLEN: $ — RECOVERED: $ ☐ Property Book

Vehicles Involved:

Year	Make	Model	Color	Registration	VIN

NARRATIVE

On 04/30/12 at 0200 hours, Officer F. Lauofo and I were dispatched to 1311-6 Hollow Run Rd. reference a domestic violence in progress.

☐ Unfounded ☐ Exceptionally Cleared
☐ Inactive ☒ Cleared by Arrest

☐ UI ☒ Det ☒ CP ☐ JO
☐ Other

[redacted]
Reporting Officer – Unit #
Supervisor/Typist #12 /apg

[redacted]

P3

COMPLIANCE DOCUMENTATION SAMPLE

Exhibit 3	**Bullet C** **1.4, UOF INVESTIGATION**	**Compliance Document (Element 4)** for **1.4**, Bullet C, showing Agency **Investigation** of UOF.

INVESTIGATIVE NOTES 2

Complainant: [redacted]	File #: [redacted]
Address: 1[redacted]	Type Code:

While en route, Dispatcher C. [redacted] advised that the reportee heard his neighbors, a male and female, arguing inside their residence for the past 15 minutes. The reportee also believed that the argument was getting physical.

Upon [redacted] ange hair covering, a light colored top and blue jeans, walking briskly through the main entry door of the building at [redacted] subsequently called out to the female, "ma'am wait." The female continued walking through the door and gave me no response. As I entered the building through the main entry door, I could see the lower half of the female standing at the front door to [redacted] Rd. She stated, "let me in, the police are coming." I then heard the door to the residence open and observed the female walk through the door. As I approached the front door of unit 6, I heard the deadbolt being locked on the door. I began knocking on the door, identifying myse[redacted] Police Officer, advising the female to answer the door. I repeatedly knocked on the door and received no response. I could not hear any talking inside the residence. The reportee then exited his residence and informed me that prior to my arrival, he heard the female crying and yelling "you hurt my back." The reportee informed me that the names of the subjects who reside in unit 6 are [redacted]

After s[redacted] purse lying in the hallway, approximately ten feet from the front door of unit 6, which appeared to have been abandoned. A check of the purse's contents revealed that there was a name badge inside for [redacted], along with a large amount of pills. I, along with Officer [redacted] continued knocking on the door to unit 6 and informing [redacted] at they needed to come to the door. We were given no response once again. Sgt. [redacted] was advised that the subjects were refusing to answer the door and subsequently responded to the scene. I informed [redacted] of the reportee's statements reference the female inside the residence complaining of physical abuse and informed him that I had not heard voices inside the residence. Sgt. [redacted] then began knocking on the front door to unit 6 and loudly announced that the occupants had 30 seconds to answer the door or we would be forcing entry. After 30 seconds had passed with no response, Sgt [redacted] proceeded to kick in the door, releasing the dead bolt. I then drew my department issued Sig Sauer 9mm handgun and Sgt. [redacted] and I entered the residence. I immediately observed a male standing in the living room of the residence. He was instructed by Sgt [redacted] place his hands in the air and to get on his stomach. I ap[redacted] stomach and handcuffed him without incident. He identified himself as [redacted] was secure, Sgt. [redacted] entered the southwest bedroom of the residence where they observed a female lying in bed. She identified herself as [redacted] W/F/51. [redacted] stated that she was fine and had no injuries. I also noted that [redacted] was the same fema[redacted] ly seen enter the residence. [redacted] was still wearing [redacted] nt orange hair cove[redacted]

At 0241 hours, [redacted] s place [redacted] nd [redacted] were both informed that they were under arrest for Obstructing Official Business due to them refusing to answer the door after numerous requests to do so and purposefully preventing, obstructing, and delaying the performance of the officers on scene to act with our official capacity.

Both M[redacted] e unsolicited statements reference everything being fine between them and that they just had an argument. Both confirmed that they were uninjured.

I searched [redacted] and placed her in the rear of my patrol car. [redacted] was read her Miranda warnings at 0250 hours and made the following responses to my questions [redacted]

[redacted]

☐ Unfounded ☐ Exceptionally Cleared
☐ Inactive ☐ Cleared by Arrest [redacted]

☐ UI ☐ Det. ☐ C.P. ☐ J.O.
☐ Other: _____

[redacted]

Supervisor / Typist _____

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