

THIN LINE SOFTWARE

AGENCY READINESS SELF-CHECK

Small Agency TCOLE Readiness Self-Check

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Printable take-away from Is Your Texas Police Department Ready for a TCOLE Review?

Small Agency TCOLE Readiness Self-Check

A practical operational self-review for small Texas law-enforcement agencies. It is not a TCOLE audit instrument, a compliance determination, a score, a certification, or a substitute for TCOLE guidance. Unchecked items are starting points for review, not findings of noncompliance.

How to use this self-check

Use those five questions in every category. Do not calculate a percentage, score, pass/fail result, color rating, or "TCOLE readiness score."

- Do we know what applies?
- Is someone responsible?
- Are we actually doing it?
- Can we find the record or evidence?

Policies

Do we know when it was last reviewed?

- ☐ We know which TCOLE model policies and current 37 TAC § 211.16(a)(5) policy subjects apply to this agency.
- ☐ The four TCOLE model policies, or substantively similar policies, have been adopted and submitted as current TCOLE guidance requires.
- ☐ The remaining § 211.16(a)(5) policy subjects have been adopted as applicable.
- ☐ We can identify the current version of each required policy.
- ☐ Policy adoption and revision dates are documented.
- ☐ Employees can access current policies.
- ☐ Someone is responsible for monitoring required policy changes, including TCOLE rule and model-policy updates.
- ☐ Policy review occurs on a defined agency schedule. This schedule is a practical control, not a TCOLE-prescribed form.
- ☐ Superseded versions are handled according to the applicable records-retention schedule.

Personnel records

Keep this high-level. Use the personnel-file and OTRR guide for classifications, upload roles, and the full checklist.

- ☐ Required hiring and background records are maintained under the current Hiring Procedures policy.

- ☐ Personnel-file and department-file categories are established for each appointed licensee.
- ☐ TCOLE credentialing records are organized.
- ☐ Performance and evaluation records are maintained as required for the personnel file.
- ☐ Misconduct and discipline records are handled according to the current Misconduct Allegations and Personnel Files policies.
- ☐ Separation records are handled according to current TCOLE and OTRR guidance, including the 30-day personnel-file submission.
- ☐ OTRR responsibilities have been assigned, with a backup.
- ☐ Applicable local retention requirements are known. Uploading to OTRR does not replace them.

[Open the Texas Law Enforcement Personnel Files & TCOLE OTRR Guide.](#)

Training and credentials

- ☐ Required continuing education is tracked against Occupations Code §§ 1701.351 and 1701.352 and current 37 TAC Chapter 218.
- ☐ Personnel orientation is documented and reported where 37 TAC § 211.29(k) applies.
- ☐ Field-training requirements and completion are documented and reported where § 211.29(k) applies.
- ☐ Annual firearms qualifications are current for each type of firearm carried, as 37 TAC § 218.9 requires.
- ☐ Expiring credentials and qualifications can be identified before they lapse.
- ☐ Training certificates and records can be located.
- ☐ Remedial training is documented where it occurs.
- ☐ Someone reviews upcoming training and qualification requirements.

Equipment and facilities

These checks mix TCOLE minimums with practical controls. An unchecked practical item is not, by itself, a TCOLE violation.

- ☐ Critical and required equipment under 37 TAC § 211.16(a)(3) has been identified for this agency's duties and creation date.
- ☐ Assigned equipment can be associated with the appropriate person or unit where that helps demonstrate availability.
- ☐ Vest warranty, compromise status, and other expiration, maintenance, or inspection information is tracked where applicable.
- ☐ Required protective equipment is available to officers on duty.
- ☐ Evidence storage is an evidence room or other acceptable secure storage if § 211.16(a)(4)(A) applies.
- ☐ Records and CJI storage and access are handled under applicable CJIS and agency rules.
- ☐ Known facility deficiencies have an owner and a remediation plan.

Evidence

- ☐ Evidence can be associated with the originating case.
- ☐ Collection and intake are documented.

- ☐ Current location can be determined without relying on one person's memory.
- ☐ Chain of custody can be reconstructed.
- ☐ Access is controlled.
- ☐ Transfers and releases are documented.
- ☐ Disposition or destruction follows applicable policy and law.
- ☐ Evidence responsibilities have a primary owner and a backup.

Records and reporting

NIBRS is a Texas DPS reporting duty. CJIS is a Texas DPS / FBI security program. TCOLE has its own reporting duties, including the § 211.16 annual report and Occupations Code § 1701.164 motor-vehicle-stop data. Know which system you are talking about.

- ☐ We know which recurring submissions apply to the agency, including the TCOLE annual minimum-standards report due between January 1 and March 1.
- ☐ Each submission has an owner.
- ☐ Deadlines are documented.
- ☐ Backup responsibility exists.
- ☐ Submission or completion can be demonstrated.
- ☐ Errors or rejected submissions have a correction workflow.
- ☐ Applicable records-retention requirements are known.

[Read NIBRS Reporting for Texas Police Departments.](#)

[Read the Texas CJIS Audit Readiness Checklist.](#)

Misconduct and supervision

- ☐ The current Misconduct Allegations policy, or a substantively similar adopted policy, is identifiable.
- ☐ Personnel know how allegations are handled.
- ☐ Responsibility for investigations is clear.
- ☐ Required reports, including Misconduct Investigation Reports, are created where the current policy and 37 TAC § 211.29 require them.
- ☐ Final actions and any licensee responses are retained in the appropriate personnel or department file.
- ☐ Required TCOLE reporting or OTRR submission occurs where applicable.

Not legal advice about a specific allegation

This category is an operational check on process and records. It is not advice about how to investigate or decide a particular complaint.

Administrative continuity

- ☐ Every critical recurring responsibility has a primary owner.
- ☐ Critical responsibilities have a backup.
- ☐ Important procedures are documented.

- ☐ Recurring deadlines are visible.
- ☐ Required records are stored somewhere the agency can access them.
- ☐ Leadership can identify outstanding compliance and administrative work.
- ☐ A leadership transition would not require reconstructing the agency's administrative processes from memory.

Self-check disclaimer

This self-check is a practical workflow aid. An unchecked box is a prompt to look closer. It is not a finding that the agency is out of compliance, and completing every box is not a determination that the agency is in compliance.

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