



Division of Law Enforcement and Security Services

12: Compliance Agent In-service

**Instructor: Chris McDonald Or
Orlando Irving**



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Performance Objectives

- At the completion of training, Compliance Agents will be able to:
 - Identify what a Compliance Agent does
 - Identify applicable VA Codes and Regulations
 - Identify processes for the DCJS compliance inspection
 - Identify key personnel within DCJS Law Enforcement and Security Services



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Updates

<http://www.dcjs.virginia.gov>

All current events and changes are located on the *What's New* area on our home page. You may find the additional updates as notices located as a pop up on our website.



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Virginia Administrative Code

- [6 VAC 20-172](#) REGULATIONS RELATING TO PRIVATE SECURITY SERVICES BUSINESSES
- [6 VAC 20-173](#) REGULATIONS RELATING TO PRIVATE SECURITY SERVICES TRAINING SCHOOLS
- [6 VAC 20-174](#) REGULATIONS RELATING TO PRIVATE SECURITY SERVICES REGISTERED PERSONNEL





Begin Section 1 Compliance Agent



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Compliance Agent

means a natural person who is an owner of, or employed by, a licensed private security services business. The compliance agent shall assure the compliance of the private security services business with all applicable requirements as provided in § 9.1-139 of the Code of Virginia.

Compliance Agent may also design or update internal policies to mitigate the risk of the company breaking laws and regulations, as well as lead internal audits of procedures. This however is not required for schools.



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Compliance Agent

- Note: as of 2013 you may be a compliance agent for more than one business.
- You may also be employed as a compliance agent only working on contract with multiple companies as long as each company lists you as a compliance agent.



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Thoughts

- What is your role as a compliance agent in your company entail?
- If you are a compliance agent you are a manager.
- Are you the Primary CA? If so who is your back up?
- Do the staff know who you are?
- Do you have new and updated forms?
- The compliance agent role is the same but, each job is different.



Responsibilities

- Know what forms each person should have (Covered in section 3)
- Know your employees roles and training needed (Definitions sec 2)
- Know your central meeting place for file audits.
 - Place of business
 - Lawyers office
 - CPA
 - Public meeting facility



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Responsibilities

- Know the policy and procedures for renewals and initial applications
- Know the fee structure and how it pertains to each type of personnel (Forms Section 3)
- Know the scope of the business
- Know how to read contracts pertaining to your company and/or businesses line of work



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§ 9.1-138. Definitions

- During this portion we will go over the definitions of private security as it is listed in the Virginia code.
- Input web address into your preferred browser and review all the definitions for Private Security Services. Read this code section in its entirety
- <http://law.lis.virginia.gov/vacode/title9.1/chapter1/section9.1-138/>



Course Codes

- Please review all course codes
- When deciding the necessary training for your staff it is important to know the course name and number.
- Without the proper training courses your staff cannot be certified by DCJS
- Course codes are not the numbers on the back of the card but, they may be similar.



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Training

- 01E Unarmed Security officer Basics
- 01I Unarmed In-service
- 02E Private Investigator
- 02I PI in-service
- 03E Armored Car Personnel
- 03I ACP in-service
- 04E Security Canine Handler
- 04I SCH in-service
- 05E Armed SO Arrest Authority



Training

- 07E Hand Gun Entry Level
- 75E Security Officer Handgun Basics
- 07R HG requalification
- 08E Shotgun Entry level
- 08R SG requalification
- 09E Advanced Handgun (need 07E)
- 09R AHG Requalification
- **Note 07R covers 75E and 07E renewal**



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Additional Notes

- Note: You must be 21 to buy a handgun in VA but, you can be 18 to be an armed officer in VA.
- Note: Concealed Weapons Permit is advised if you transport your firearm to and from jobsites, for more information contact your local jurisdiction.



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Training

- 10E Patrol Rifle
- 10R PR requalification
- 30E Electronic Security (21 ESA)
- 25E- Locksmith
- 25I- Locksmith Inservice
- 30I IS (30,35,38,39)
- 32E Personal Protection Specialist
- 32I PPS
- **Note PPS armed must have 07E,09E**



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Training

- 35E Electronic Security Tech
- 38E Central Station Dispatcher (UL waiver)
- 39E Electronic Security Sales
- **Note: ESA electronic security assistant takes 30E to qualify for registration. 30I to renew will be marked as RE21 on your hard card.**



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Additional Notes

- Note: 30E Electronic Security, (21 Electronic Security Tech Assistant), 35E Electronic Security Tech, 38E Central Station Dispatcher, 39E Electronic Security Sales Renewal are all covered under the 30I Electronic Security In-service course
- Code Course requirements for categories and fire arms are located here:
<http://lis.virginia.gov/000/reg/TOC06020.HTM.HTM#C0174>



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Hard Card Codes

- Begin with an RE but the description is the most important.
- Fire Arms will be listed separately on the back of the card with only a 2 digit number
- **Note: a person is not authorized to be armed unless they have a fire arms code in addition to their registration category**





End of Section 1



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Begin Section 2 Forms



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Forms

- You should update your forms once a year in July incase of changes or updates from legislation
- Every form has directions or information you need at the top of the page



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Forms

Virginia.gov Agencies | Governor Search Virginia.Gov

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Improving and promoting public safety in the Commonwealth

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About Regulatory Affairs **Forms & Applications**

Regulatory Programs

Training

How To Apply & Renew a registration, certification or license

How To Apply for a Business License

How To Apply for a Training School Certification

Online Services

Reciprocity Agreements

All Forms

Codes and Regulations

Training School License Verification

Business License Verification

Individual Verification

Publications & Links

Private Security Memorial

FAQ's

Bail Bondsman

- Bail Bondsman - Additional License Category Application [PDF](#) [DOC](#)
- Bail Bondsman - Duplicate/Replacement Photo ID Application [PDF](#) [DOC](#)
- Bail Bondsman - Firearms Endorsement Application [PDF](#) [DOC](#)
- Bail Bondsman - Firearms Endorsement Replacement/Additional Category Application [PDF](#) [DOC](#)
- Bail Bondsman - Initial License Application [PDF](#) [DOC](#)
- Bail Bondsman - Monthly Outstanding Report [DOC](#)
- Bail Bondsman - Property Collateral Verification [PDF](#) [DOC](#)
- Bail Bondsman - Recovery Authorization Form [PDF](#) [DOC](#)
- Bail Bondsman - Recovery Form [PDF](#) [DOC](#)
- Bail Bondsman - Renewal License Application [PDF](#) [DOC](#)
- Bail Bondsman - Title Certificate Report [PDF](#) [DOC](#)
- Fingerprint Form Instructions [PDF](#) [DOC](#)
- Fingerprint Processing Form [PDF](#) [DOC](#)

Bail Bondsman - Property

- DCJS Certificate of Partial Satisfaction [PDF](#) [DOC](#)
- DCJS Certificate of Satisfaction [PDF](#) [DOC](#)
- DCJS Control Agreement for Husband and Wife [PDF](#) [DOC](#)
- DCJS Control Agreement for Joint Tenants [PDF](#) [DOC](#)
- DCJS Control Agreement for Single Owner [PDF](#) [DOC](#)
- DCJS Deed of Trust - Husband & Wife [PDF](#) [DOC](#)
- DCJS Deed of Trust - Joint Tenants [PDF](#) [DOC](#)
- DCJS Deed of Trust - Single Owner [PDF](#) [DOC](#)
- DCJS Deed of Trust - Tenants in Common [PDF](#) [DOC](#)
- DCJS Special Power of Attorney [PDF](#) [DOC](#)

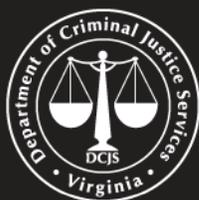


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Forms

- Please note the form is not complete unless payment has been remitted
- Do not piece mail applications it will increase your processing time
- DCJS does not accept payment via email



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Private Security Business

- Compliance Inspection
- Irrevocable Consent for Service
- Initial Business lic Application
- Business renewal
- Compliance Agent Designation/Removal form
- Add a Category
- Change of address



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Private Security Business

- Note: A company must notify DCJS in 10 days of termination or change of compliance agent.
- You must designate a new compliance agent whether certified or not
- Upon termination a business has 90 days to have the newly designated compliance agent certified by DCJS





Compliance Agent Forms

- Compliance Agent Initial application
- Compliance Agent Training Enrollment Initial
- Compliance Agent online
- Compliance Agent Renewal
- Compliance Agent training Enrollment In service



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General Registration Forms

- Initial Registration
- Renewal Registration
- Additional Category
- Fire Arms Endorsement



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Fingerprint Forms

- Fingerprint Form
- Legal presence Document
- Fingerprint Form Instructions
- Criminal History Supplemental form



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Miscellaneous Forms

- Fire Arms Discharge (24hrs to their company 10 Days to DCJS)
- Firearms Failure to Requalify Notification Form (NEW)
- Credit Card Auth form
- Partial Training exemption Entry
- Partial training exemption In service
- Change of Address
- Request for extension (90 days Prior to exp)





Forms

- Forms are located on our website at: <http://www.dcjs.virginia.gov/forms/sectionForms.cfm?code=8&program=ps>
- You must review all forms, type the link above into your preferred web browser and review the PDF or Word format of the forms.



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Practice Review

- Find the mistakes in the application
- It is purposely hard to read to simulate a real life scenario
- Please take out a blank piece of paper and pen or pencil
- Take a few minuets to find the errors
- Turn the answers in with Exam answers



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COMMONWEALTH OF VIRGINIA
 Department of Criminal Justice Services
 P.O. Box 1300 • Richmond, VA 23218
 Phone: (804) 786-4700 • Fax: (804) 786-6344 www.dcjs.virginia.gov/ps

Status Hotline
 (804) 786-1132
 1-877-9STATUS

Private Security Services – INITIAL REGISTRATION APPLICATION 2-YEAR REGISTRATION – FEE \$25.00			
IMPORTANT INFORMATION			
<p>> A <u>Fingerprint Application</u>, Fingerprint Card and \$50.00 non-refundable fee are also required in order to complete the initial registration process. If you have submitted a fingerprint application in the last 120 days, you do not have to submit another one. Please note, a criminal history records check may take up to 45 days to process.</p> <p>> A <u>Firearms Endorsement</u> Application is required if you are registering for Armored Car Personnel, Armed Security Officer or Armed Personal Protection Specialist categories.</p> <p>> Entry-level training must be completed within the 12 months prior to your application for a registration.</p>			
Applicant Information			
SSN or DCJS ID Number:	Last Name: <i>Roekerfolla</i>	First Name: <i>Stacey</i>	MI: <i>G</i>
Mailing Address (Street/Apt.#): <i>1100 Bank Rd</i>		City, State, Zip: <i>Richmond VA 23219</i>	
Physical Address (if different than mailing address):		City, State, Zip:	
Email Address:			
Home Phone: ()		Business Phone: ()	
		Fax: ()	
Employer Business Name: <i>A Criminal Justice School</i>		DCJS ID: 11-	
Registration Category (check all that apply) — * Armored Car Personnel, Armed Personal Protection Specialist and Armed Security Officers are required to maintain a firearm endorsement.			
<input type="checkbox"/> *Armored Car Personnel	<input type="checkbox"/> Security Canine Handler	<input type="checkbox"/> Electronic Security Technician Asst.	
<input type="checkbox"/> *Armed Security Officer/Courier	<input type="checkbox"/> Detector Canine Handler	<input type="checkbox"/> Electronic Security Technician	
<input type="checkbox"/> *Armed Personal Protection Specialist	<input type="checkbox"/> Alarm Respondent	<input type="checkbox"/> Electronic Security Sales Rep	
<input type="checkbox"/> Private Investigator	<input checked="" type="checkbox"/> Unarmed Security Officer/Courier	<input type="checkbox"/> Locksmith	
	<input type="checkbox"/> Unarmed Personal Protection Specialist	<input type="checkbox"/> Central Station Dispatcher	
Affirmation			
<p>I, the undersigned, certify that all information contained on this application is true and correct to the best of my knowledge and I have not omitted any pertinent information. I understand that any misrepresentation, falsification or omission of pertinent information may be cause for denial and may result in criminal charges. I understand that I am responsible for maintaining full compliance with Virginia Code Sections 9.1-138 through 9.1-150 and the Regulations Relating to Private Security Services 6 VAC 20-171.</p>			
Signature Required: <i>Stacey Roekerfolla</i>		Date: <i>5/5/15</i> mm/dd/yy	

All fees are non-refundable. Applications received without payment will be returned.

Submit a check or money order payable to the TREASURER OF VIRGINIA,
 or pay by credit card using the Credit Card form.
 —This form must be included with your application package when paying by credit card.



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Status Hotline
 (804) 786-1132
 1-877-9STATUS

FINGERPRINT PROCESSING FORM – FEE \$50.00

IMPORTANT INFORMATION

- To ensure a timely processing of a criminal history records check, the following must be submitted:
- A Fingerprint Form, fingerprint card, legal presence documentation, criminal history supplemental documentation if applicable and \$50.00 non-refundable form fee.
 - Please **DO NOT** bend, fold or hole-punch the fingerprint card and ensure that **ALL** vital information is filled out completely on the fingerprint card prior to submittal.
 - This Criminal History records check is only valid for 120 days from date of submittal. If applying for a credential under the regulation of the Virginia Department of Criminal Justice Services (DCJS), please ensure form is submitted within 120 days.

Applicant Information

SSN or DCJS ID: 123456789	Last Name: Rockerfella	First Name: Stacey	MI: G
Mailing Address (Street/Apt.#): 1100 Bank St		City, State, Zip: Richmond VA	
Physical Address (if different than mailing address):		City, State, Zip:	
Email Address:			
Home Phone: ()	Business Phone: ()	Fax: ()	
Employer Business Name: A Criminal Justice School		DCJS ID: 11-	

Reason for Fingerprinting

Private Security Services Virginia Code §§9.1-138-9.1-150 <input type="checkbox"/> Business License <input type="checkbox"/> Training School Certification <input checked="" type="checkbox"/> Individual Registration <input type="checkbox"/> Compliance Agent Certification <input type="checkbox"/> Instructor Certification <input type="checkbox"/> Electronic Security Personnel <input type="checkbox"/> Detector Canine Handler <input type="checkbox"/> Examiner Certification	Special Conservator of the Peace (SCOP) Virginia Code §§9.1-150.1-9.1-150.4 <input type="checkbox"/> SCOP Registration	Bail Bondsmen Virginia Code §9.1-185 (et seq.) <input type="checkbox"/> Property or Surety License Bail Enforcement Agent Virginia Code §9.1-186 (et seq.) <input type="checkbox"/> Bail Enforcement Agent License
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Legal Presence Verification Required (verification applicant is a U.S. citizen or legally authorized to be in the U.S.)

- Legal Documentation attached. Legal documentation may be a copy of a birth certificate, U.S. passport, INS Forms (N550, N560, N561, N570). A full list of acceptable documentation may be found on our website at www.dcjs.virginia.gov/forms/privatesecurity/listofacceptabledocs.pdf

***** Failure to provide legal documentation will result in your form being returned to you and will cause a delay in the processing of your form*****



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Criminal History Records Check

1. Are you currently under a Protective Order(s)? Yes No
 If yes, provide a copy of each Protective Order(s) and the Release Date: _____
 If more than one, provide information on a separate page for each additional Protective Order.
 Locality Information for Protective Order: State _____ County/City/Town of _____

2. Have you ever been convicted or found guilty of a felony or misdemeanor (not to include minor traffic violations) in Virginia or any other jurisdiction to include military court martial?
 Yes No ***If Yes, please complete the following Criminal History Supplemental Information**
***** Failure to provide review documentation will result in a delay in the processing of your form*****

Criminal History Supplemental Information Please list all convictions in detail and attach required criminal history documentation (Please attach an additional form if needed)

Felony Misdemeanor Date of Conviction: 5/10/2010
 Conviction: Domestic Violence Jurisdiction: York
 Are you currently on probation? Yes No
 Have you complied with all court sanctions? Yes No
 Have you included all required criminal history documentation for review? Yes No
 Statement containing conviction, date of offense, location and circumstances of conviction, a certified copy of all applicable criminal conviction(s), police and court records
 Statement and the current status of parole, probation, etc.; and
 Supporting documentation (i.e., reference letters, pardons, documentation of rehabilitation, restitution of rights, etc.).

Felony Misdemeanor Date of Conviction: _____
 Conviction: _____ Jurisdiction: _____
 Are you currently on probation? Yes No
 Have you complied with all court sanctions? Yes No
 Have you included all required criminal history documentation for review? Yes No
 Statement containing conviction, date of offense, location and circumstances of conviction, a certified copy of all applicable criminal conviction(s), police and court records
 Statement and the current status of parole, probation, etc.; and
 Supporting documentation (i.e., reference letters, pardons, documentation of rehabilitation, restitution of rights, etc.).

Affirmation

I, the undersigned, certify that all information contained on the form is true and correct to the best of my knowledge and I have not omitted any pertinent information. I understand that any misrepresentation, falsification or omission of the pertinent information may be cause for denial and may result in criminal charges.

I hereby give consent and authorize the Virginia State Police and the Federal Bureau of Investigations to process my fingerprints for a criminal history records check and report the results of such record to the Virginia Department of Criminal Justice Services (DCJS). I authorize the Virginia State Police to archive my fingerprints for the purpose of reporting any future criminal history information. I fully understand that if I am arrested this information may be reported to the DCJS.

Print Name: Stacey Gwen Rockerfella
 Signature: [Handwritten Signature] Date: 5/15/14
 mms0077y

All fees are non-refundable. Forms received without payment will be returned.
 Submit a check or money order payable to the TREASURER OF VIRGINIA,
 or pay by credit card using the [Credit Card form](http://www.dcjs.virginia.gov/forms/privatesecurity/ps_cc.pdf) available at www.dcjs.virginia.gov/forms/privatesecurity/ps_cc.pdf
 —this form must be included with your form package when paying by credit card.





APPLICANT FORM NO. 1-10, 11/03/08		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK LAST NAME FIRST MIDDLE INITIAL		FBI		LEAVE BLANK	
IDENTIFY DATE OF PERSON IDENTIFICATION		N/A		Rockafella Stracy Gorn		VAD0CJ50Z DEPT CRIM JUST SERV RICHMOND, VA		DATE OF BIRTH 12 8 1977	
EVIDENCE OF PERSON IDENTIFICATION 1100 Bank St		CITIZENSHIP USA		STATE VA		SEX M		HAIR BRN	
SIGNATURE OF OFFICIAL N/A		TYPE AND DCA		FBI NO. FBI		CLASS		RFA	
RESIDENTIAL ADDRESS 1100 Bank Street Richmond VA 23219		ARMED FORCES NO. N/A		SOCIAL SECURITY NO. SOC		DISCIPLINARY NO. N/A		LEAVE BLANK	
EMPLOYMENT Employment									
I. THUMB		I. R. INDEX		I. M. MIDDLE		I. R. RING		I. R. LITTLE	
O		O		O		O		O	
II. THUMB		II. R. INDEX		II. L. MIDDLE		II. L. RING		II. L. LITTLE	
O		O		O		O		O	
III. THUMB		III. R. INDEX		III. L. MIDDLE		III. L. RING		III. L. LITTLE	
O O O		O O O		O O O		O O O		O O O	
LEFT FOUR FINGERS (THUMB SEPARATELY)		L. THUMB		L. INDEX		RIGHT FOUR FINGERS (THUMB SEPARATELY)			



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Training completed by Stacey:
01E- Unarmed Security Officer
Entry Level

Fees paid by Stacey:

\$75.00 Paid to the School

\$50.00 to DCJS



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End of Section 2



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Begin Section 3

Wrap up



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Wrap up

- Review the subjects below in preparation for examination.
- DCJS History
- What a compliance Agent is
- Definitions
- Forms and Regulations



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Compliance, Enforcement, and Training Contact Information

@dcjs.virginia.gov

- Thomas Clarke – Manager
(804) 786-0813 [Thomas.clarke@](mailto:Thomas.clarke@dcjs.virginia.gov)
- Leon Baker – Northwest VA (NOVA)
(804) 840-4275 [Leon.baker@](mailto:Leon.baker@dcjs.virginia.gov)
- Bryan Carver – Tidewater
(804) 385-2945 [Bryan.carver@](mailto:Bryan.carver@dcjs.virginia.gov)



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Compliance, Enforcement, and Training Contact Information

@dcjs.virginia.gov

- Robbie Robertson Southwest VA
(804) 837-3774 [Robbie.Robertson@](mailto:Robbie.Robertson@dcjs.virginia.gov)

- Tim Haymore - Central VA
(804) 840-1382 [Timothy. Haymore@](mailto:Timothy.Haymore@dcjs.virginia.gov)



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Compliance, Enforcement, and Training Contact Information

@dcjs.virginia.gov

- Training Specialists
 - Orlando Irving - (804) 786-1018
 - Chris McDonald – (804) 786-1399

[PSSTraining@](mailto:PSSTraining@dcjs.virginia.gov)



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End of Section 3

End of Course



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- Please email the practice review answers to the training Division at PSStraining@DCJS.virginia.gov



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