



**WINFIELD POLICE DEPARTMENT**

	Date: 1/29/2021	No. of Pages: 10
Distribution: <b>ALL PERSONNEL</b>	Effective Date: <b>Immediately</b>	
General Order:	Special Order:	
<b>S.O.P.: 07-05</b>	Personnel Order:	
Sign Off: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Revised:	
	Issued By: <b>Chief Frank D. Mazzearella</b>	
Subject: <b>EARLY WARNING SYSTEM &amp; PPMS</b>		

**PURPOSE:**

The purpose of this written directive is to establish a personnel performance management and early warning system (PPMS).

**POLICY:**

It is the standard operating procedure to implement and utilize Guardian Tracking® Software as a personnel performance management and early warning system for maintaining, retrieving, and analyzing information regarding the performance of employees. The system will identify, reward, and promote professionalism, civil rights, integrity, best practices, as well as identify, intervene, and remediate potentially problematic behavior allowing for timely intervention consistent with the risk management procedures promulgated by the New Jersey State Attorney General in its Internal Affairs Policies and Procedures. This written directive is in accordance with the New Jersey Attorney General’s Law Enforcement Directive No. 2018-3.

This written directive shall apply to all employees of the Winfield Police Department.

**PROCEDURE:**

**I. GUARDIAN TRACKING® SOFTWARE**

- A. PPMS/Guardian Tracking® Software allows supervisors the ability to document routine performance in one central location during the course of an evaluation period. This includes both positive and negative performance. As incidents are entered, PPMS/Guardian Tracking® Software will monitor the frequency of specific incidents to determine if early intervention is warranted.

- B. Supervisors will not document routine performance in any other format. All performance documentation will be entered into the PPMS/Guardian Tracking® Software.
- C. Supervisors will have access to make entries and view all employees under their chain of command, with the exception to those areas identified in section three of this directive.
- D. Supervisors, who identify deficiencies with other personnel outside of their chain of command, will submit the nature of the performance deficiency directly to the employee involved. Supervisors within the chain of command will, by default, have access to this newly created documentation.
  - 1. This process does not relieve the documenting supervisors of the obligation to take immediate action to correct serious infractions that may result in liability injury and or disrepute.
- E. Supervisors, who identify and wish to document positive performance conduct on other personnel, outside of their chain of command, will submit the nature of the performance directly to the employee involved. Supervisors within the chain of command will, by default, have access to this newly created documentation

## **II. EMPLOYEE PERFORMANCE**

- A. The employees' supervisor shall make appropriate contemporaneous entries in PPMS regarding employees' performance under their command/supervision. These entries shall serve to enhance the documentation and quality of the performance evaluation reports completed by the supervisor on his/her subordinates.
- B. Entries in PPMS shall be consistent with the established behavior criteria in accordance with the department performance evaluation system.

## **III. EARLY WARNING SYSTEM**

- A. The Early Warning System is designed to detect patterns and trends before the conduct escalates into more serious problems. As such, employees must understand that the early warning system is not discipline. Although it is possible that disciplinary action may be taken as a result of evidence that rules and regulations were violated, this is not the sole or even primary intent of the system. The primary intent of an early warning system is to address potential poor performance through the use of appropriate management and supervisory strategies before discipline is warranted.

- B. At least every six (6) months, the Internal Affairs Officer shall audit the agency's tracking system and records to assess the accuracy and efficacy of the tracking system.
- C. An employee's first line supervisor is usually the first member of the department to encounter and document specific incidents that affect and employee. It is essential for the supervisor to speak with the employee, document these incidents and report findings to their commander and if warranted, the Internal Affairs Unit Supervisor. The success of this program relies heavily on the first line supervisor's participation and involvement.
  - 1. If a supervisor has initiated remedial/corrective intervention, Internal Affairs shall be formally notified of such efforts through the PPMS/Guardian Tracking® Software. The incident narrative placed in the PPMS/Guardian Tracking® Software may serve as adequate documentation.
- D. Command Personnel
  - 1. The commanders shall periodically review an individual employee's history. Using this information and his/her experience, the commander may be able to identify employees who may need remedial/corrective intervention even before such is indicated by the PPMS/Guardian Tracking® Software.
- E. "Early Warning System" Identification Process
  - 1. The below enumerated behaviors are required by the New Jersey Attorney General Directive 2008-3.
    - a. Many different measures of employee performance (actions or behaviors) can be regularly examined for patterns or practices that may indicate potential problems. These performance measures shall include, but are not limited to, the following documented indicators.
      - i. Internal complaints, whether initiated by another employee or by a member of the public and regardless of outcome; **(NOTE – This information is ONLY accessible to the Chief of Police and the Department's Internal Affairs Officer)**

- ii. Civil actions filed against an officer, regardless of outcome; **(NOTE – This information is ONLY accessible to the Chief of Police and the Department’s Internal Affairs Officer)**
- iii. Criminal investigations or complaints made against an employee; **(NOTE – This information is ONLY accessible to the Chief of Police and the Department’s Internal Affairs Officer)**
- iv. Any use of force by an officer that is formally determined or adjudicated (for example, by internal affairs or a grand jury) to have been excessive, unjustified, or unreasonable;
- v. Domestic violence investigations in which the employee is an alleged suspect;
- vi. An arrest of an employee, including on a driving under the influence charge;
- vii. Sexual harassment claims against an employee;
- viii. Vehicular collisions involving an officer that is formally determined to have been the fault of the officer;
- ix. A positive drug test by an officer;
- x. Cases or arrests by the officer that are rejected or dismissed by a court (The intent of this indicator is to cause an entry into the early warning system only when an officer’s lack of candor or misleading testimony results in a court’s suppression of evidence or rejection of the case. A case that rises to this level should lead to a formal internal affairs investigation);
- xi. Cases in which evidence obtained by an officer is suppressed by a court (The intent of this indicator is to cause an entry into the early warning system only when an officer’s lack of candor or misleading testimony results in a court’s suppression of evidence or rejection of the case. A case that rises to this level should lead to a formal internal affairs investigation);

- xii. Insubordination by an officer;
  - xiii. Neglect of duty by an officer;
  - xiv. Unexcused absences or sick time abuse.
- b. The Chief of Police may include any other performance indicators he deems to be appropriate. To the extent possible, supplemental performance indicators should be objectively measured and reasonably related to potentially escalating harmful behavior by an employee.
  - c. During the initiation of the *Early Warning System* review process at a minimum, three (3) separate instances of performance indicators detailed within any 12-month period shall trigger the *Early Warning System* review process.
    - i. If one (1) incident triggers multiple performance indicators, that incident shall not be double or triple counted, but instead shall count as only one (1) performance indicator.
    - ii. The Chief of Police may, at his discretion, determine that a lower number of performance indicators within a 12-month period can trigger the *Early Warning System* review process (i.e. one or two performance indicators).
2. In addition to the above, the Winfield Police Department requires the following reporting:
- a. Accountability
  - b. Citizen Complaint
  - c. Compliance with Rules and Regulations
  - d. Conduct
  - e. Court – Failure to Appear
  - f. Injury – On Duty
  - g. No Fault Vehicle Crash

- h. Police Violation
- i. Tardiness
- j. Use of Force
- k. Vehicle Operations
- l. Vehicular Pursuit
- m. Recognition Categories
  - i. Application of Leadership Skills
  - ii. Arrest – DWI
  - iii. Arrest – Narcotics
  - iv. Arrest – Indictable
  - v. Award Nomination
  - vi. Commendation
  - vii. Exceptional Performance
  - viii. Letter of Praise
  - ix. Recognition – Citizen
  - x. Recognition – Peer
  - xi. Recognition – Supervisor
  - xii. NARCAN Deployment

F. “Early Warning System” Review Process

1. The administration of the Early Warning System shall be the responsibility of the Internal Affairs Officer. Emphasis should be placed on anticipating employee problems before it results in improper performance or conduct. However, all supervisory officers should also be directly involved in the Early Warning System review process.

Supervisory officers should report their own observations of any of the performance indicators detailed above.

2. The internal Affairs Officer shall review an officer's history any time a new complaint is received with the intention of "flagging" any emerging behavioral patterns.
3. One an employee has displayed the requisite number of performance indicators necessary to trigger the Early Warning System identification process, the Internal Affairs Officers shall assign an appropriate supervisory officer to initiate the review process. When Early Warning System review process is initiated, the Internal Affairs Officer should formally notify the subject employee.
  - a. The Internal Affairs Officer shall be alerted by the PPMS/Guardian Tracking<sup>®</sup> Software if an employee has the emergence of a pattern, practices, or trend of inappropriate behavior or misconduct.
  - b. If the PPMS/Guardian Tracking<sup>®</sup> Software indicates the emergence of a pattern, practices, or trend of inappropriate behavior or misconduct, the Internal Affairs Officer shall consult with the employee's supervisor and/or commander.
  - c. The Internal Affairs Officer and the employee's supervisor and/or commander shall review the information provided by Internal Affairs along with any other relevant information from department records for the purpose of initiating a course of intervention designed to correct/interrupt the emerging pattern, practice, or trend.
    - i. If the PPMS/Guardian Tracking<sup>®</sup> Software has returned an incorrect identification or "false positive," that conclusion should be documented.
    - ii. If the PPMS/Guardian Tracking<sup>®</sup> Software reveals that an employee may have engaged in misconduct in violation of department rules and regulations or written directives, an internal investigation will be initiated.
    - iii. If the PPMS/Guardian Tracking<sup>®</sup> Software reveals that the employee has engaged in conduct, which indicates a performance deficiency or lack of understanding or inability to comply with accepted procedures, the

supervisor shall consult with the Internal Affairs Unit Supervisor to determine the appropriate course of remedial/corrective intervention.

4. Any statement made by the officer in connection with the early warning system review process may not be used against them in any disciplinary or other proceeding.

G. *“Early Warning System” Remedial/Corrective Action/ Monitoring Process*

1. When under early warning system monitoring, the internal Affairs Officer shall meet with the employee and supervisor to discuss the situation in depth to accomplish the following and thoroughly document the substance of these meetings in the PPMS/Guardian Tracking<sup>®</sup> Software.
  - a. Identify problems or potential problems;
  - b. Determine short and long-term goals for improvement;
  - c. Come to a consensus commitment on a plan for long-term improved performance;
  - d. Advise of the monitoring process and the repercussions of future sustained transgressions.
2. Generally, personnel should expect to remain under intensive monitoring and supervision for at least three (3) months when early warning flag is triggered or until the supervisor concludes that the employee’s behavior has been remediated (whichever is longer).
3. Employee Performance Review Meetings
  - a. All employee performance review meetings shall be thoroughly documented in the PPMS/Guardian Tracking<sup>®</sup> Software, which will automatically be forwarded to the Chief of Police and the Internal Affairs Officer. The affected employee and supervisors shall meet on a regular basis, minimally monthly, to discuss progress towards the agreed upon goals and objectives.
  - b. All regular monthly progress/status reports shall be submitted via the PPMS/Guardian Tracking<sup>®</sup> Software.
4. Remedial/Corrective Intervention

- a. Supervisory or command personnel may initiate remedial/corrective intervention to correct behavior. Remedial/corrective intervention may include, but is not limited to:
  - i. Training;
  - ii. Retraining;
  - iii. Counseling;
  - iv. Intensive Supervision;
  - v. Fitness for duty examination;
  - vi. Employee Assistance Program, when warranted, if available;
  - vii. Peer Counseling
- b. Internal disciplinary action, remedial/corrective intervention, and fitness for duty examinations are not mutually exclusive and should be jointly pursued if and when appropriate.

#### **IV. CONFIDENTIALITY OF PPMS DATA/INFORMATION**

- A. PPMS/Guardian Tracking® Software data is confidential and shall not be disclosed to the public or any unauthorized department employee. PPMS/Guardian Tracking® Software data will not be disclosed to any person not authorized by law or regulation to have access to such information, except governmental representatives acting in connection with their official duties.
- B. Information deemed confidential and/or protected by federal or state statute, or regulation shall not be recorded in PPMS/Guardian Tracking® Software.
  1. No confidential medical information (i.e., nature of employee illness or name of treating physicians) shall be entered into the PPMS/Guardian Tracking® Software.
  2. If Internal Affairs reports are entered into PPMS/Guardian Tracking® Software, the entry must be marked "Confidential". The immediate

supervisor shall enter early warning behaviors and briefly summarize the conduct or performance warranting the entry.

3. Any other entry believed to be sensitive in nature must be marked "Confidential".
- C. The duplication or reproduction of any PPMS/Guardian Tracking® Software data/information for non-official department purposes not authorized by the Chief of Police is strictly prohibited.

#### **V. NOTIFICATION TO SUBSEQUENT LAW ENFORCEMENT OFFICER**

- A. If any officer who is or has been subject to an Early Warning System review process applies to or accepts employment at a different law enforcement agency than the one where he or she underwent the Early Warning System review process, it is the responsibility of Winfield Police Department to notify the subsequent employing law enforcement agency of the officer's Early Warning System review process history and outcomes.
- B. Upon request, the Winfield Police Department shall share the officer's Early Warning System review process files with the subsequent employing agency.

#### **VI. NOTIFICATION TO COUNTY PROSECTOR**

- A. Upon initiation of the Early Warning System review process, the Chief of Police or his/her designee shall make a confidential written notification to the County Prosecutor or his/her designee of the identity of the subject officer, nature of the triggering performance indicators, and planned remedial program.
- B. Upon completion of the Early Warning System review process, the Chief of Police or at his/her discretion, the Internal Affairs Officer shall make a confidential written notification to the County Prosecutor or his/her designee of the outcome of the Early Warning System review, including any remedial measures taken on behalf of the subject officer.

#### **VII. PUBLIC ACCESSIBILITY AND CONFIDENTIALITY**

- A. This Early Warning System policy and procedure shall be made available to the public upon request and shall be posted on the Winfield Police Department's web page, if applicable.

All written reports created or submitted to this Early Warning System policy and procedure which identify specific officers shall be confidential and not subject to public disclosure