

SPARTA POLICE DEPARTMENT

STANDARD OPERATING PROCEDURES



SUBJECT: PERSONNEL PERFORMANCE MANAGEMENT AND EARLY WARNING SYSTEM

EFFECTIVE DATE: March 21, 2023

NUMBER OF PAGES: 6

ACCREDITATION STANDARDS: 2.2.3

**BY THE ORDER OF:
Chief Jeffrey McCarrick**

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

POLICY: It is the policy of this department 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 in its Internal Affairs Policies and Procedures.

PROCEDURE:**I. GUARDIAN TRACKING® SOFTWARE**

- A. Guardian Tracking® Software allows supervisors the ability to document routine performance in one centralized location during the course of an evaluation period. This includes both positive and negative performance. As incidents are entered, 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 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.
- F. Commanders will periodically review entries in the Guardian Tracking® Software to ensure supervisors are using the software in accordance with this written directive.

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 the 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. 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 may include, but are not limited to, the following documented indicators:
 - 1. Motor vehicle stop data;
 - 2. Search and seizure data;
 - 3. Internal complaints, regardless of outcome;
(NOTE - This information is ONLY accessible to the Chief of Police and the Department's Internal Affairs Officer)
 - 4. Civil actions filed, regardless of outcome;
(NOTE - This information is ONLY accessible to the Chief of Police and the Department's Internal Affairs Officer)
 - 5. Incidents of force usage, including firearms discharges and use of non-deadly force;
 - 6. Claims of duty-related injury;
 - 7. Arrests for resisting arrest;
 - 8. Arrests for assault on a law enforcement officer;
 - 9. Criminal investigations or complaints made against the employee;
(NOTE - This information is ONLY accessible to the Chief of Police and the Department's Internal Affairs Officer)
 - 10. Vehicular pursuits;
 - 11. Vehicular collisions;
 - 12. Cases rejected or dismissed by the prosecutor;
 - 13. Evidence suppressed by the court;
 - 14. Attendance record.
- C. Generally, four (4) of the same instances of questionable conduct or flag indicators within the same six (6) month period would initiate the early warning review process.
- D. Additionally, ANY six (6) instances of questionable conduct or flag indicators within the same six (6) month period would initiate the early warning review process.

E. Early Warning Review

1. The early warning review process is primarily the responsibility of the Internal Affairs Unit, but any supervisor may initiate the early warning review process based upon his/her own observations. Emphasis should be placed on anticipating employee problems before it results in improper performance or conduct.
2. The Internal Affairs Unit shall be alerted by the Guardian Tracking® Software if an employee has the emergence of a pattern, practices or trend of inappropriate behavior or misconduct.
3. If the Guardian Tracking® Software indicates the emergence of a pattern, practices or trend of inappropriate behavior or misconduct, the Internal Affairs Unit Supervisor shall consult with the employee's supervisor and/or commander.
4. The Internal Affairs Unit Supervisor and the employee's supervisor and/or commander shall review the information provided by the Internal Affairs Unit 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.
 - a. If the Guardian Tracking® Software has returned an incorrect identification or "false positive," that conclusion should be documented.
 - b. If the Guardian Tracking® Software reveals that an employee may have engaged in misconduct in violation of the department rules and regulations or written directives, an internal investigation will be initiated.
 - c. If the Guardian Tracking® 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.

F. Supervisors

1. An employee's first line supervisor is usually the first member of the department to encounter and document specific incidents that affect an 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.
2. If a supervisor has initiated remedial/corrective intervention, Internal Affairs shall be formally notified of such efforts through the Guardian Tracking® Software. The incident narrative placed in the Guardian Tracking® Software may serve as adequate documentation.

G. 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 Guardian Tracking® Software.
2. 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 Guardian Tracking System.
 - 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.
3. Generally, personnel should expect to remain under intensive monitoring and supervision for six (6) months when an early warning flag is triggered.
4. Employee Performance Review Meetings
 - a. All employee Performance Review meetings shall be thoroughly documented in the Guardian Tracking® 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 Guardian Tracking® Software.

H. Remedial/Corrective Intervention

1. Supervisory or command personnel may initiate remedial/corrective intervention to correct behavior. Remedial/corrective intervention may include, but is not limited to:
 - a. Training;
 - b. Retraining;
 - c. Counseling;
 - d. Intensive supervision;
 - e. Fitness for duty examination;

- f. Employee Assistance Program, when warranted, if available;
 - g. Peer counseling.
2. 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 data is confidential and shall not be disclosed to the public or any unauthorized department employee. PPMS 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.
 1. No confidential medical information (i.e., nature of employee illness or names of treating physicians) shall be entered into PPMS.
 2. No internal affairs reports shall be entered into PPMS. However, the immediate supervisor shall enter early warning behaviors and briefly summarize the conduct or performance warranting the entry.
- C. The duplication or reproduction of any PPMS data/information for non-official department purposes not authorized by the Chief of Police is strictly prohibited.