


UNION COUNTY SHERIFF'S OFFICE			
STANDARD OPERATING PROCEDURES			
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SUBJECT: PERSONNEL PERFORMANCE MANAGEMENT AND EARLY WARNING SYSTEM			
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BY THE ORDER OF: SHERIFF PETER CORVELLI	November 21, 2018	1-7	

PURPOSE:

The purpose of this written directive is to establish a Personnel Performance Management System (PPMS) and Early Warning System (EWS).

POLICY:

It is the policy of Union County Sheriff's Office (UCSO) 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, and 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. This written directive is in accordance with the New Jersey Attorney General's Law Enforcement Directive No. 2018-3.

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 of 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.

III. Early Warning System (EWS)

- A. The EWS is designed to detect patterns and trends before the conduct escalates into more serious problems. As such, employees must understand that the EWS

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 EWS 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 shall include, but are not limited to, the following documented indicators:
1. Internal complaints, whether initiated by another employee or by a member of the public and regardless of outcome (*NOTE: This information is only accessible by the UCSO Internal Affairs Unit*);
 2. Civil actions filed against an officer, regardless of outcome (*NOTE: This information is only accessible by the UCSO Internal Affairs Unit*);
 3. Criminal investigations or complaints made against an employee (*NOTE: This information is only accessible by the UCSO Internal Affairs Unit*);
 4. Any use of force by an officer that is formally determined or adjudicated to have been excessive, unjustified or unreasonable;
 5. Domestic violence investigations in which the employee is an alleged subject;
 6. An arrest of an employee, including on a driving under the influence charge;
 7. Sexual harassment claims against an employee;
 8. Vehicular collisions involving an officer that is formally determined to have been the fault of the officer;
 9. A positive drug test by an officer;
 10. Cases or arrests by the officer that are rejected or dismissed by a court;
 11. Cases in which evidence obtained by an officer is suppressed by a court;
 12. Insubordination by the officer;
 13. Neglect of duty by the officer;
 14. Vehicular pursuits;
 15. Unexcused absences or sick time abuse.

- C. Generally, three (3) instances of questionable conduct or performance indicators (as listed in section B, above) within a 12-month period would initiate the EWS process.
- D. If one incident triggers multiple performance indicators, that incident shall not be double or triple counted, but instead shall count as only one performance indicator.
- 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 UCSO 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 U 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. At least every six (6) months, internal affairs personnel shall audit the agency's tracking system and records to assess the accuracy and efficacy of the tracking system.

G. Supervisors

1. An employee's first line supervisor is usually the first member of the UCSO 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.

H. 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 EWS 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 at least three (3) months when an early warning flag is triggered or until the supervisor concludes that the employee's behavior has been remediated (whichever is longer).
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 Internal Affairs Unit. 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.

I. Any statement made by the officer in connection with the EWS review process may not be used against them in any disciplinary or other proceeding.

J. 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. referral (voluntary or involuntary) to Employee Assistance Program (EAP), when warranted, Refer to Volume I, Chapter 33, Employee Assistance Program;

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 UCSO 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 UCSO purposes not authorized by the Sheriff is strictly prohibited.

V. Notification to Subsequent Law Enforcement Employer

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

VI. Notification to County Prosecutor

- A. Upon initiation of the EWS review process, the Sheriff or a designee shall make a confidential written notification to the County Prosecutor or his/her designee of the identity of the subject officer, the nature of the triggering performance indicators, and the planned remedial program. Upon completion of the EWS review process, the Sheriff shall make a confidential written notification to the County Prosecutor or his/her designee of the outcome of the EWS review, including any remedial measures taken on behalf of the subject officer.

VII. Public Accessibility and Confidentiality

- A. The EWS policy shall be made available to the public upon request and shall be posted on the agency website.