


SURF CITY POLICE DEPARTMENT GENERAL ORDER			
VOLUME: 3	CHAPTER: 15	# OF PAGES: 6	
SUBJECT: EARLY WARNING SYSTEM – GUARDIAN TRACKING			
EFFECTIVE DATE: January 22, 2020		ACCREDITATION STANDARDS:	SUPERSEDES ORDER #:
BY THE ORDER OF: CHIEF JOHN N. CASELLA JR.			

PURPOSE: The purpose of this written directive is to establish a personnel early warning system.

POLICY: It is the policy of the Surf City Police Department to implement and utilize Guardian Tracking® Software as an early warning system for tracking and reviewing incidents of risk and provide timely intervention consistent with Attorney General Guidelines. This written directive is in accordance with the New Jersey Attorney General’s Law Enforcement Directive No. 2018-3.

PROCEDURE:

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 identical to the disciplinary process. 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 problems through the use of appropriate management and supervisory strategies before formal 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 affairs complaints against an employee, whether initiated by another employee or by a member of the public;
 - 2. Civil actions filed against the officer;
 - 3. Criminal investigations of or criminal complaints against an employee;
 - 4. Any use of force by the officer that is formally determined or adjudicated (for example, by internal affairs or a grand jury) to have been excessive, unjustified, or unreasonable;

5. Domestic violence investigations in which the employee is an alleged subject;
 6. An arrest of the employee, including on a driving under the influence charge;
 7. Sexual harassment claims against an employee;
 8. Vehicular collisions involving the officer that are formally determined to have been the fault of the officer;
 9. A positive drug test by the officer;
 10. 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 EWS 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.)
 11. 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 EWS 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.)
 12. Insubordination by the officer;
 13. Neglect of duty by the officer;
 14. Unexcused absences by the employee;
 15. Vehicular pursuits.
- 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 early warning system 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. The Ocean County Prosecutor's Office will track those cases and/or investigations that are processed/prosecuted/reviewed by this agency that meet the criteria set forth in #4, #10, and #11 and formal notifications to the respective agency will be made by the Supervisor of the OCPO Internal Affairs Unit.

ACCESSING GUARDIAN TRACKING SYSTEM AND RECORDS

- A. Supervisors shall have access to the Guardian Tracking system via an assigned login and personal password.
- B. All personnel will receive an individually assigned login and personal password.
 - a. Personnel are required to check their Guardian Tracking accounts at least once during their tour of duty to review any newly added and/or updated information and incidents.
 - b. Individual personnel may be required to upload any and all training information and certificates.

- c. No member shall document behavior of a peer or superior. This information shall be brought to the attention of their supervisor.
- C. Employees who have not been issued a login are not authorized to access the system.
- D. All personnel will ensure that all documentation within Guardian Tracking will remain confidential. Unauthorized sharing of information may result in disciplinary action.

ADMINISTRATION OF EARLY WARNING SYSTEM

- A. The early warning system is primarily the responsibility of the internal affairs unit, but any supervisor may initiate the early warning process based upon their own observations. Emphasis should be placed on anticipating employee problems before it results in improper performance or conduct.
- B. Internal affairs 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. In addition, the internal affairs supervisor shall query the Guardian Tracking® Software and review an individual employee's history any time a new complaint is received.
 - 1. Using this information and their experience, internal affairs investigators may be able to identify employees who may need remedial/corrective intervention even before such is indicated by the Guardian Tracking® Software.
- C. If Guardian Tracking indicates the emergence of a pattern, practices or trend of inappropriate behavior or misconduct, the internal affairs supervisor shall consult with the employee's supervisor(s) and/or Chief of Police.
- D. The internal affairs supervisor and the employee's supervisor(s) 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.
 - 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 has violated department rules and regulations or written directives, the supervisor in consultation with the internal affairs unit should proceed with an internal investigation and possible disciplinary action.
 - c. If the Guardian Tracking® Software reveals that the employee has engaged in conduct which indicates a lack of understanding or inability to comply with accepted procedures, the supervisor shall consult with the internal affairs unit to determine the appropriate course of remedial/corrective intervention.
- E. At least every six (6) months, internal affair's personnel shall audit the agency's tracking system and records to assess the accuracy and efficacy of the tracking system.

SUPERVISORS

- A. An employee's first line supervisors are usually the first members of the department to encounter and document specific incidents that affect an employee. It is essential for first line supervisors to speak with the employee, document these incidents and report findings to the Chief of Police and

if warranted, internal affairs. The success of this program relies heavily on the first line supervisors' participation and involvement.

B. If a supervisor has initiated remedial/corrective intervention, the internal affairs unit 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.

C. Guardian Tracking® Software

1. Guardian Tracking® Software allows supervisors the ability to document routine performance in one centralized location. As incidents are entered, Guardian Tracking® Software will monitor the frequency of specific incidents to determine if early intervention is warranted.
2. Supervisors will not document routine performance in any other format. All performance documentation will be entered into the Guardian Tracking® Software.
3. Supervisors will have access to make entries and view all employees under their chain of command.
4. Supervisory personnel, who identify deficiencies with other personnel outside of their chain of command, will submit the notice in the Guardian Tracking® Software to the employee's direct supervisor indicating the nature of the deficiency.

D. This process does not relieve supervisors of the obligation to take immediate action to correct serious infractions that may result in liability, injury, and/or disrepute. Supervisors who fail to document incidents as required by this policy will be subject to disciplinary action.

E. Supervisors are encouraged to document all positive performance by employees. Examples of positive performance may include, but are not limited to: Exceptional duty (CPR Save, successful resolution of a complex investigation); Letter of thanks from a citizen; Commendation (Internal/External).

- a. Supervisors who identify and wish to document positive performance will submit the nature of the performance directly to the employee involved. All supervisors within the chain of command will, by default, have access to this newly created documentation.

CHIEF OF POLICE

A. The Chief of Police shall periodically review an individual employee's history. Using this information and their experience, the Chief of Police may be able to identify employees who may need remedial/corrective intervention even before such is indicated by the Guardian Tracking® Software.

B. When under early warning system monitoring, the employee's supervisor(s) and Chief of Police shall meet with the employee to discuss the situation in depth to:

- 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.

- C. 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(s) or Chief of Police concludes that the employee's behavior has been remediated (whichever is longer).
- D. Supervisor/Employee Meeting
 - a. All supervisor/employee meetings shall be thoroughly documented in the Guardian Tracking® Software, which will automatically be forwarded to the Chief of Police or his designee. The affected employee and supervisor(s) 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.
 - c. An additional six (6) months of documented monitoring is required following removal from the early warning system. Monthly monitoring reports from the direct supervisor are required.
- E. 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.

REMEDIAL/CORRECTIVE INTERVENTION

- A. Supervisors or the Chief of Police may initiate remedial/corrective intervention to correct behavior. Remedial/corrective intervention may include, but is not limited to:
 - 1. Training;
 - 2. Retraining;
 - 3. Counseling;
 - 4. Intensive supervision;
 - 5. Fitness for duty examination;
 - 6. 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.
- C. When remedial/corrective intervention has been undertaken, the Chief of Police shall ensure that such actions are documented in writing. No entry should be made in the employee's personnel file, unless the action results in a sustained investigation. If the remedial/corrective intervention is a training program, attendance and successful completion of that program should be noted in the employee's training record.
- D. All reports shall be forwarded to the Chief of Police through the Guardian Tracking® Software for review. These reports have the same confidential status as Internal Affairs documents and are subject to the same disclosure and retention regulations and guidelines.

NOTIFICATION TO SUBSEQUENT LAW ENFORCEMENT EMPLOYER

- 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 the prior or current employing law enforcement agency to notify the subsequent employing law enforcement agency of the officer's Early Warning System review process history and outcomes. Upon request, the prior or current employing agency shall share the officer's Early Warning System review process files with the subsequent employing agency.

NOTIFICATION TO COUNTY PROSECUTOR

- A. Upon initiation of the Early Warning System review process, the Chief of Police or a designee shall make a confidential written notification to the Supervisor of the OCPO Internal Affairs Unit using the OCPO Early Warning System Review Reporting Form. It should be noted, if an agency tracks other performance indicators not included in the AG Directive, (for example, "equipment damage", "justified use of force", sick time, "civil suits", etc.) there is no need report the EWS initiation to the Prosecutor's Office. The notice shall identify the subject officer, the nature of the triggering performance indicators, and the planned remedial program. Upon completion of the Early Warning System review process, the Chief of Police shall make a confidential written notification to the Supervisor of the OCPO Internal Affairs Unit using the OCPO Early Warning System Review Reporting Form of the outcome of the Early Warning System review, including any remedial measures taken on behalf of the subject officer.
- B. On January 5th of the calendar year, the Chief of Police or a designee shall report, in writing, to the County Prosecutor the total number of Early Warning reviews that were undertaken for the previous year.

PUBLIC ACCESSIBILITY AND CONFIDENTIALITY

- A. The Early Warning System policy shall be made available to the public upon request. However, all written reports created or submitted that identify specific officers are confidential and are not subject to public disclosure.