



ROCKFORD POLICE DEPARTMENT

GENERAL ORDER

NUMBER: 30.04

TITLE: Personnel Early Warning System

SERIES NUMBER: 30

SERIES TITLE / SUBJECT: Personnel Process

TOPICS/ REFERENCE: Early Warning System, EWS, Personnel, Use of Force Review Report, Vehicle Pursuit Review Report

APPENDICIES: A, B, C

ORIGINAL EFFECTIVE / ISSUE DATE: March 27, 2007

DATE OF LAST REVISION: May 01, 2013

THIS ORDER REMAINS IN EFFECT UNTIL REVISED OR RESCINDED

CALEA STANDARDS: 1.3.7 - 22.2.6 - 35.1.9 - 41.2.2

Policy:

It is the policy of the Rockford Police Department to attempt to identify, evaluate and assist Department employees, sworn and civilian, who appear to exhibit signs of performance and/or stress related problems requiring intervention. All information obtained through the Personnel Early Warning System shall be maintained in a discrete and confidential manner.

Purpose:

This General Order and/or System will not be used for purposes of discipline as defined by any current Collective Bargaining Agreement, but for corrective remedial action, as defined in section V, C of this order.

The purpose of this Order is to establish an early warning and intervention system designed to examine certain events and help to identify patterns that may alert supervisors and commanders of employees experiencing performance and/or stress related problems. The system is designed to assist Department employees in their efforts to perform their duties in an effective, efficient and professional manner as well as ensure employee accountability.

This Order is comprised of the following numbered sections:

- I. DEFINITIONS
- II. MANAGEMENT OF THE PERSONNEL EARLY WARNING SYSTEM
- III. PERSONNEL EARLY WARNING SYSTEM INCIDENTS AND DOCUMENTATION
- IV. REVIEW OF PERSONNEL EARLY WARNING SYSTEM INCIDENT REPORTS
- V. CORRECTIVE PLANS OF ACTION
- VI. EFFECTIVE DATE
- VII. REVIEWS, REVISIONS AND CANCELLATIONS

Appendices:

- A. Personnel Early Warning System Incident Report – Form A
- B. Personnel Early Warning System Incident Report – Form B – Use Of Force Review Report
- C. Personnel Early Warning System Incident Report – Form C – Vehicle Pursuit Review Report

I. Definitions:

- A. Personnel Early Warning System: A time-sensitive system designed to effectively identify early indicators of performance and/or stress related problems.
- B. Respondent – Order of Protection: A person served with and/or having an order of protection filed against them.
- C. First Level Supervisors – Immediate supervisors responsible for initiating the Personnel Early Warning System by completing Personnel Early Warning System Incident Reports. Depending on the employee involved, a first level supervisor may be a sergeant, lieutenant, Commander or a civilian supervisor.
- D. Second Level Supervisors – Supervisors responsible for reviewing Personnel Early Warning System Incident Reports and/or maintenance of the system. Second level supervisors will be of a commander rank.

II. Management of the Personnel Early Warning System:

- A. The Commander of the Office of Professional Standards is responsible for administrating the Personnel Early Warning System.
- B. The administrative duties of the Personnel Early Warning System include, but are not limited to:
 - 1. Maintaining the Department’s Personnel Early Warning System files;
 - 2. Conducting the monthly review, per section IV, B, 1 of this order, of all Personnel Early Warning System Incident Report files, and;
 - 3. Assisting the Commander of Administrative Services with an annual evaluation of the Personnel Early Warning System.
- C. The Commander of Administrative Services will submit a report to the Chief of Police, annually, with an overall appraisal of the Personnel Early Warning System. The report should include an evaluation of the system’s significance and effectiveness and detail any recommended changes.

III. Personnel Early Warning System Incidents and Documentation:

- A. First level supervisors who become aware of an employee being responsible for one or more of the incidents outlined in sections C, D and/or E below (through review of a case report or other means) shall complete a Personnel Early Warning System Incident Report (Appendices A, B and C).
- B. The Personnel Early Warning System utilizes three different forms. In most cases only one of the three forms will be required. Depending on the nature of the incident(s), the reporting first level supervisor must choose and complete the proper form(s). The proper forms required to document the different types of incidents are explained in sections C, D and E below.
- C. The following incidents must be documented on the Personnel Early Warning System Incident Report Form A:
 - 1. All formal complaints lodged against an employee;

2. Disciplinary actions taken by a supervisor against an employee without formal complaints. This includes documented oral reprimands and corrective action 'green slips';
 3. Significant change (-5 points or more) in 12-month performance evaluation;
 4. Being named as a respondent in an order of protection;
 5. When an employee is at fault in a traffic crash while driving a Department vehicle.
 6. Any use of force causing or likely to cause death or great bodily harm.
 - a. Incidents involving use of force causing or likely to cause death or great bodily harm do not require a first level supervisor to complete a Use of Force Review Report (Form B) because all incidents of this nature are automatically reviewed by the Use of Force Review Board – See General Order 10.04 – *Firearms and Use of Force Review Board* for additional information.
 - b. For the purposes of this Order, causing death or great bodily harm does not include using a firearm, or any other means, to kill a dangerous animal if the animal poses a threat to the officer or to others, or as a humanitarian measure when the animal is seriously injured.
- D. The following incidents must be documented on the Personnel Early Warning System Incident Report Form B - *Use of Force Review Report*:
1. Tactical use of any weaponless (empty-handed) physical control technique against any person that causes an injury requiring treatment at a medical facility;
 2. Tactical use of a TASER[®], chemical control spray (OC), expandable or wooden baton, firearm or any other weapon (not causing or likely to cause death or great bodily harm) against any person.
- E. Incidents involving vehicle pursuits, as defined in General Order 40.07 – *Vehicle Pursuits*, must be documented with Personnel Early Warning System Incident Report Form C – *Vehicle Pursuit Review Report*:
- F. When proper documentation of an incident requires more information and/or space than is available on form A, B or C, the reviewing commander or supervisor will also complete an Officer's or Civilian Employee's Report detailing the additional information and submit it with the other required documents.
- G. Once the required report(s) is/are completed, the commander or supervisor shall retain a copy (copies) and forward the originals, along with a copy (copies) of any applicable case report(s), to the affected employee's Bureau Commander.

IV. Review of Personnel Early Warning System Incident Reports:

- A. Bureau Commander Review (Second level supervisor)
The Bureau Commander responsible for the employee named in the Personnel Early Warning System Incident Report shall review all of the documents forwarded to him/her, sign the Personnel Early Warning System Incident Report form(s) in the appropriate place(s) and forward all of the documents to the Commander of the Office of Professional Standards.
- B. Office of Professional Standards Review (Second level supervisor)
1. The Commander of the Office of Professional Standards shall review all of the documents forwarded to him/her, sign the forms in the appropriate place(s) and place them in the respective employee's file.

- a. If the Commander of the Office of Professional Standards receives a Personnel Early Warning System Incident Report and determines the incident did not require an Early Warning System report, he or she shall discuss the incident and report with the Commander of Administrative Services to determine whether or not the report should be placed in the employee's file or discarded.
 2. The Commander of the Office of Professional Standards shall complete and forward a report, to the Commander of the Administrative Services Bureau, when a Personnel Early Warning System Incident requires further review.
 3. The Commander of the Office of Professional Standards will review the Personnel Early Warning System files each month. If, during the monthly review, the Commander of the Office of Professional Standards believes an employee has an inordinate number of reported incidents or incidents of increasing severity in their file, he or she will forward a report of the situation to the Commander of the Administrative Services Bureau. Included in the report will be a list of the total incidents and a brief outline and/or description of the incidents.
 - C. Commander of Administrative Services Review (Second level supervisor)
 1. After review of the report from the Commander of the Office of Professional Standards, the Commander of Administrative Services will determine whether intervention is warranted.
 2. If no intervention is necessary, the report will be filed in the employee's Personnel Early Warning System file. No further action will be taken based on that report.
 3. If intervention is to be taken, the Commander of Administrative Services will meet, as soon as possible, with the involved employee, the employee's Bureau Commander, and the employee's immediate supervisor and/or commander to devise a corrective plan of action for the employee.
 - a. The Commander of Administrative Services shall complete a report of the meeting and any plan of action devised and submit the report to the Chief of Police.
- V. Corrective Plans of Action:
- A. Corrective plans of action will be flexible enough to permit easy modification when necessary.
 - B. A corrective plan of action may include but is not limited to:
 1. A review of the behaviors identified that are adversely affecting the performance of the employee;
 2. Specific actions required by the employee, their supervisor or other involved parties;
 3. Notice that participation is mandatory.
 - C. Recommendations of the Commander of Administrative Services may include, but are not limited to, these corrective remedial actions:
 1. Supervisory counseling;
 2. Peer support and counseling;
 3. Referral to the City of Rockford Employee Assistance Program;
 4. Training.
 - D. The employee's supervisor will review and discuss the plan of action with the affected employee.

- E. The employee's supervisor will closely monitor the employee's performance for a period of six (6) months following the beginning of the corrective action plan and submit a report to the employee's Bureau Commander, Commander of Administrative Services, Office of Professional Standards and the Chief of Police.
- F. Significant progress or continued problems may dictate modification of the plan or additional measures.

VI. Effective Date:

- A. The Department policy on the Personnel Early Warning System became effective March 27, 2007.

VII. Reviews, Revisions and Cancellations:

- A. This General Order will be reviewed annually by the Commander of Administrative Services Bureau and, when necessary, revised or cancelled in accordance with the procedures for reviewing written directives established in General Order 10.01 – *Written Directives*.
- B. Any employee with suggestions for revisions and/or improvements to this order are encouraged to submit their ideas to the Commander of the Administrative Services Bureau.

BY ORDER OF

_____ /_____/_____

Chet Epperson
Chief of Police

APPENDIX B ROCKFORD POLICE DEPARTMENT

Personnel Early Warning System Incident Report – Form B - Use of Force Review Report -

CASE #: _____

This review report must be completed by a supervisor when an officer:

- uses any weaponless (empty-handed) physical control technique causing an injury that requires treatment at a medical facility but not causing nor was likely to cause death or great bodily harm.
- uses a TASER®, chemical control spray (OC), expandable or wooden baton or firearm but did not cause, nor was likely to cause, death or great bodily harm.
- **NOTE:** This *Review Report* will not be used for any use of force incident involving any action taken by an officer that caused or was likely to cause death or great bodily harm. All such Incidents are automatically referred to and reviewed by the Department's *Use of Force Review Board*.

I _____ have reviewed the use of force incident reported in case # _____
Supervisor's Rank – Name – Star # Case Report #

submitted by _____ on _____, and determined the following:
Rank – Name – Star # Date report was submitted

Please place an X in the box or boxes next to **all applicable** items.

- The officer's use of force was within Department policy. See the **attached Officer's Report** for details on my determination.
 - No issues regarding policy, training, equipment or discipline need to be addressed regarding this use of force incident.
-
- I believe a minor policy violation occurred during this use of force incident and I provided counseling and/or remedial training to the officer involved. See the **attached Officer's Report** for details.
 - I believe a policy violation may have occurred during this use of force incident which requires further review. I have completed and attached an Officer's Report with a detailed explanation of my review and the potential policy violation.
 - After reviewing the report of this use of force incident I believe a policy, training, equipment or disciplinary issue should be addressed. I have completed and attached an Officer's Report with a detailed explanation of my review and the issue or issues.

In addition to reviewing the case report for this incident: *(Please place an X in the box or boxes next to all applicable items.)*

- I was on scene and witnessed the incident I spoke with the officer or officers involved in the incident
- I was directly involved in the incident Other _____

The supervisor submitting this report is required to:

- 1 **Complete an Officer's Report detailing their determinations on the officer's Use Of Force during this incident.** Done
- 2 **Attach a copy of all police reports concerning this incident.** Done

SUPERVISOR _____
COMPLETING AND _____
SUBMITTING FORM **SIGNATURE** **DATE**

SECOND LEVEL SUPERVISORS' REVIEW	EMPLOYEE'S BUREAU COMMANDER	_____ NAME	_____ SIGNATURE	_____ DATE
	COMMANDER OF PROFESSIONAL STANDARDS DIVISION	_____ NAME	_____ SIGNATURE	_____ DATE

APPENDIX C

ROCKFORD POLICE DEPARTMENT

Personnel Early Warning System
Incident Report - Form C
- Vehicle Pursuit Review Report -

CASE #: _____

This review report must be completed by a supervisor when an officer is involved in a vehicle pursuit, as defined in General Order 40.07 - Vehicle Pursuits

I _____ have reviewed the vehicle pursuit incident reported in case # _____
Supervisor's Rank - Name - Star # Case Report #

submitted by _____ on _____, and determined the following:
Rank - Name - Star Date report was submitted

Please place an X in the box or boxes next to all applicable items.

- The vehicle pursuit was within Department policy. See the attached Officer's Report for details on my determination.
No issues regarding policy, training, equipment or discipline need to be addressed regarding this vehicle pursuit.
I believe a minor policy violation occurred during this vehicle pursuit and I provided counseling and/or remedial training to the officer involved. See the attached Officer's Report for details.
I believe a policy violation may have occurred during this vehicle pursuit which requires further review. I have completed and attached an Officer's Report with a detailed explanation of my review and the potential policy violation.
After reviewing the report of this vehicle pursuit I believe a policy, training, equipment or disciplinary issue should be addressed. I have completed and attached an Officer's Report with a detailed explanation of my review and the issue or issues.

In addition to reviewing the case report for this incident: (Please place an X in the box or boxes next to all applicable items.)

- I was on scene and witnessed the incident I spoke with the officer or officers involved in the incident
I was directly involved in the incident Other _____

The supervisor submitting this report is required to:

- 1 Complete an Officer's Report detailing their determinations on the officer's Vehicle Pursuit during this incident. Done
2 Attach a copy of all police reports concerning this incident. Done

SUPERVISOR
COMPLETING AND
SUBMITTING FORM

SIGNATURE

DATE

Table with 2 rows and 3 columns for 'SECOND LEVEL SUPERVISORS' REVIEW'. Rows are for 'EMPLOYEE'S BUREAU COMMANDER' and 'COMMANDER OF PROFESSIONAL STANDARDS DIVISION'. Columns are 'NAME', 'SIGNATURE', and 'DATE'.