16.111 EMPLOYEE TRACKING SOLUTION

Reference:
Memorandum of Agreement between the Cincinnati Police Department and the U.S. Department of Justice
Employee Tracking Solution Protocol
Procedure 19.145 – Employee Personnel Jackets
Procedure 15.115 – Corrective / Disciplinary Process and Documentation

Definitions:
Organizational Group - employees assigned to the same work group within the same district, section, or unit. Example: activity generated by second shift officers assigned to District One is compared to the activity of only those officers assigned to second shift in District One. Bureau Commanders will determine the composition and number of groups within their respective Bureau.

Personnel Service Record - information in the Personnel Service Jacket and the individual personnel file contained within the Employee Tracking Solution (ETS). The Personnel Service Record is just one of several tables within ETS and is used to provide the common dataset, e.g., Employee Identification Number, to link data in the other components of ETS.

Weighted Risk Assessment - all risk activities tracked in ETS are given specific weights to allow for a compilation scoring. This compilation score will be the basis for comparing employees within their organizational group based on variance from the mean. To view a specific weight assigned to a risk activity in ETS, click on the Inspections Section icon, then click on the Activity Assessment icon, and then click on the Activity Assessment Setting Document icon.

Threshold - values individually determined for each organizational group from the weighted aggregate risk activity and each individual activity measured by ETS. When used for analysis, thresholds will be defined in standard deviations above and below the mean.

Supervisory Observation - This is the initial phase of supervisory overview. This is accomplished in the daily tasks of first line supervisors through the observation of employees during their tour of duty and regular reviews of the activity logs and work products submitted by the employee. Employees who exceed the threshold in any category and no pattern of behavior exists, positive or negative, will be listed under Supervisory Observation.

Supervisory Monitoring - The second phase of supervisory overview. This is accomplished through Supervisory Observation in addition to the monitoring of specific activity, which in the supervisor’s opinion appears to be patterned behavior. Employees who exceed the threshold in multiple categories or any one category with multiple incidents and patterned behavior may be present, positive or negative, will be listed under Supervisory Monitoring.
**Supervisory Review** - The third phase of supervisory overview. This is accomplished through Supervisory Observation and Supervisory Monitoring in addition to a written summary of the employee’s activity in the commander’s quarterly Organizational Group Analysis covering the rating period dates. An employee who exceeds the threshold in any category with multiple incidents and patterned behavior does exist, positive or negative, will be listed under Supervisory Review.

**Supervisory Intervention** - The final phase of supervisory overview. This is accomplished through Supervisory Observation, Supervisory Monitoring, and Supervisory Review, in addition to an implemented course of action (intervention), designed to influence and prevent behaviors, which may lead to undesirable consequences. Employees who exceed the threshold in any category with multiple incidents and existence of a negative pattern of behavior will be listed under Supervisory Intervention.

**Purpose:**

The Employee Tracking Solution (ETS) is a tool to assist supervisors and managers in the assessment of overall employee performance and to serve as an early warning system for employees engaged in risk activities.

**Policy:**

Managing risk is an important factor in the success of an organization. Reviewing risk activities and patterns of risky behavior, as well as recognizing proper and ethical conduct is the responsibility of those supervisors and managers. ETS has been developed to assist supervisors and managers in identifying both high achieving employees and those employees in need of intervention.

When the intervention includes a referral to an outside agency (Public Employees Assistance Program (PEAP), police psychologist, etc.) only the name of the agency will be listed. The reason for the referral will be outlined in the employee’s medical jacket maintained at Personnel Management. Authorized employees may access the medical jacket by contacting Personnel Management.

**Information:**

ETS will capture and record information on the following areas:

- Uses of force
- Canine bite ratios
- Number of canisters of chemical spray used by officers
- Injuries to prisoners
- Instances in which force is used and a subject is charged with “resisting arrest”, “assault on a police officer”, “disorderly conduct”, or “obstruction of official business”
- Critical firearm discharges, on and off-duty
- Complaints and their dispositions
- Criminal proceedings initiated, civil or administrative claims filed, and all civil lawsuits served upon the City or its officers or agents, resulting from operations or the actions of Department personnel
- Vehicle pursuits
- Disciplinary action imposed on Department personnel
- Individual training information and records
- Injuries to personnel
- Auto accident information
- Court attendance
- Award/commendation information

ETS will compare the performance of employees assigned to similar organizational and/or peer groups. When used in conjunction with regularly scheduled reviews, supervisors will be able to use this system to assist in the evaluation of employee performance in addition to recognizing individual and group patterns which may warrant further review or intervention.

**Procedure:**

A. Bureau Commander Responsibilities

1. Define the organizational groups within their respective Bureau.
2. Review and make recommendations to the Police Chief regarding the quarterly reports submitted by district/section/unit commanders.
3. Compare Inspections Section’s quarterly audit to the reports compiled by district/section/unit commanders.

B. District/Section/Unit Commander Responsibilities

1. Ensure each officer is reviewed through ETS at the conclusion of each 28 day work period, or monthly, based on the work schedule of the organizational group and documented in the employee’s Evaluation Supplement Log (ESL).
2. Ensure supervisors transferred into their unit perform an ETS review for personnel under their command. Document the review in the supervisor’s Evaluation Supplement Log (ESL).
3. Ensure all supervisors in the employee’s chain of command perform an ETS review for personnel transferred into their unit. This review should be documented in the transferred employee’s Evaluation Supplement Log (ESL).
4. Prepare a report, routed through the Bureau Commander for presentation at the quarterly Command Review Session, identifying the following:
   a. Recommended action for those employees under their command identified as being above established thresholds as determined by the quarterly ETS Organizational Analysis. Recommended action will include which level of supervisory overview identified employees will be placed under.
b. Include a summary of the 12 month ETS Activity Assessment for those employees being placed under Supervisory Review or Supervisory Intervention. Establish and outline action plans for those employees placed under Supervisory Intervention.

c. At the discretion of district/section/unit commanders, employees can be placed under any level of supervisory overview, including Supervisory Intervention, even if they are not above any established thresholds as determined by the ETS Organizational Analysis.

d. Include an updated status of intervention plans which were initiated for employees during previous quarterly reviews. This status will include whether the employee will remain under the intervention plan, be removed from intervention, or be placed under a different level of supervisory overview.

5. Initiate appropriate intervention at the earliest possible time where intervention is appropriate based on any individual incident or accumulation of incidents.

C. Supervisor Responsibilities

1. Enter each type of report captured within ETS as a preliminary report except for Form 18NC, Noncompliant Suspect/Arrestee Report, and the Form 18CD, Use of Canine Field Deployment Report.
   a. Route Form 18NC to Inspections Section for entry. The Form 18CD is entered at the Canine Unit.

2. Complete and workflow all reports through ETS per current procedure.
   a. Route all original documents using the current use of force jacket and appropriate label.
   b. Fax Form 91SP, Supervisory Investigation of Employee Injury, to the City's current insurance carrier.

3. Take any intervention or disciplinary action required according to procedure or the Disciplinary Table of the Manual of Rules and Regulations and Disciplinary Process for the Cincinnati Police Department.
   a. Include specific rule violation(s) in the narrative section when making an Employee Supplemental Log (ESL) entry.

4. Outside of a procedurally mandated action related to an incident, the first review of an employee’s record in ETS will be performed by the first level reviewer who reviews the original incident report unless the incident triggers an automated system alert. This ensures the investigating supervisor is not influenced by information in the system during the incident investigation.

5. All supervisors having line authority over an officer being transferred into an assignment will review the officer’s ETS file at the time of transfer and document the review in the Evaluation Supplement Log (ESL).
a. Any supervisor transferred to another assignment will review ETS files on all officers assigned under their supervision.

6. Review individual officer activity at the end of each work period. Review activity in each category and the weighed risk assessment for determination of, and comparison with, the average organizational group activity levels.

   a. During scheduled reviews, supervisors will look at an entire 12 month period of activity.

   b. Document the review in the Evaluation Supplement Log (ESL) within ETS. If necessary, develop appropriate intervention strategies.

   c. Initiate appropriate interventions when required by procedure. However, interventions may be initiated at any time if deemed necessary to address actions or behavior.

D. Intervention Processes

1. The following activities are considered interventions and will be documented in the employee’s Evaluation Supplement Log (ESL):

   a. Supervisory Review

   b. Counseling

   c. Training

   d. Referral to outside services such as Public Employee Assistance Program (PEAP), Police Psychologist, etc. (list only the agency name)

   e. Monitoring plan – documented action plan with set reporting intervals

   f. Reassignment

   g. Discipline

   h. Other; or any combination of the above

2. Intervention is mandated as a result of an officer exceeding established thresholds at any of the following required review intervals.

   a. Based on current procedures or the Disciplinary Table of the Manual of Rules and Regulations and Disciplinary Process for the Cincinnati Police Department.

   b. The chain of command review process for each incident generated.

   c. Upon conclusion of supervisory review of individual officer activity for each 28 day or monthly work period.

   d. Upon conclusion of the quarterly Command Review Session.

   e. Upon conclusion of the Inspections Section quarterly audit.

   f. Result of administrative investigations.
E. Department Level Hearing Recommendations

1. Department Hearing Officers are to recommend an intervention plan as the result of a sustained Department Level Hearing or investigation. Once the intervention plan recommendation is approved:

   a. Internal Investigations Section will document the intervention plan recommendation on a Form 17 and route through channels to the member's district/section/unit commander and Inspections Section.

   b. Upon receipt of the Form 17, the district/section/unit commander will ensure implementation of the intervention plan and document the specifics of the plan via ESL notation in the member's ETS file.

   c. Inspections Section will provide any necessary assistance and will ensure the affected member is included in the Quarterly ETS Review process.

F. Quarterly Reports

1. Inspections Section will distribute an ETS Organizational Group Analysis spreadsheet to district/section/unit commanders each quarter listing employees exceeding established activity thresholds. This spreadsheet summarizes those employees to be reviewed based on quarterly ETS Organizational Group Analysis. District/section/unit commanders will then prepare a quarterly report after reviewing those listed employee’s activities for the preceding 12 month period ending on the following dates: March 31, June 30, September 30, and December 31. These reports are to be routed to the Bureau Commander within ten days following each reporting period. The Bureau Commander will review the reports and forward them to Inspections Section for their quarterly audit. The report must contain analysis and intervention information for each officer identified as exceeding the threshold in any risk category for the period.

   a. For each quarterly review, an employee is evaluated on eight risk categories. Each risk category is assigned a numerical weight used to figure the standard deviation. The Organizational Group Analysis will display the total numerical weight of all incidents of the specific risk category. The numerical value does not indicate the number of incidents.

   b. During a review, a risk category exceeding the established threshold will be displayed in green. A review of each risk category in green is required unless the risk category contains only a single incident. If three or more categories are displayed in green, regardless of whether or not they are single incidents, a review is required. To determine whether a category displayed in green represents a single incident, conduct an Assessment Records search in ETS.

   c. Supervisory use of the ETS system includes but is not limited to proper review of incidents contained in employee risk categories, intervention recommendations, intervention follow-up, and transfer reviews.
2. The Command Review Session will be held quarterly at the Police Chief’s direction. District/section/unit commanders will identify employees from the ETS Organizational Group Analysis spreadsheet to discuss at the command review. Priority will be given to those employees who are under higher levels of supervisory overview; i.e. Supervisory Review and Supervisory Intervention. Intervention plans for identified employees will be outlined and addressed during the command review. The progress of intervention plans already in place from previous quarters will also be addressed.

3. District/section/unit commanders will determine who will be addressed at the Command Review Session and forward this information to Inspections Section at least 10 days prior to the scheduled quarterly review.

G. Corrections to Reports

1. Once reports receive final approval they will be locked in ETS. Any locked report needing changes or correction requires approval from the Police Chief.
   a. Submit a Form 17 to the Police Chief, through the chain of command, requesting the change or correction.
   b. Upon approval, Information Technology Management and Systems will take the necessary action to correct or change the report.
   c. Revisions to weights as a result of an unfounded or exonerated finding will be handled according to Internal Investigations Section’s Standard Operating Procedure.
   d. Removal of discipline in the Personnel Module will adhere to current labor agreements.
   e. If a document has not been finalized, the original author or their supervisor can email Information Technology Management and Systems and request a modification such as redirecting the workflow or a deletion.