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| DOUGLAS COUNTY SHERIFF'S OFFICE | | Policy and Procedure |
| Specific Personnel / Administrative Policies | | P&P-D-116 |
| Personnel Files & Records – Guardian Tracking | | |
| Effective Date: 05-04-17 Supersedes: 09-15-16 | Approval: Sheriff | Number of Pages: 3 |
| References: | Reevaluation Date: Annually or as needed | Standards: CALEA 17.5.2, 82.3.5 COM 2.4.9 ACA 4-ALDF-7B-04, 7E-02 |

I. POLICY

The following standard practices and procedures have been established for the placement, retention, review and access of personnel documents. <82.3.5>

II. OFFICE PERSONNEL FILES

All files regarding a member's documented performance, hiring, training, and other personnel matters will be maintained in Guardian Tracking (GT). Each supervisor is responsible to document employee performance, both negative and positive, within the appropriate categories of Guardian Tracking. All negative or corrective entries will be discussed with the employee before being published. All documentation should be information and documents that are helpful in completing upcoming evaluations and useful in monitoring member performance.

III. Specific Documentation Categories

1. Evaluations: All evaluations will be reviewed with the employee and attached to an "Evaluation" category entry in GT for approval through the chain of command.
2. Personnel Action Forms (PAFs): All completed PAFs will be attached to a PAF entry in GT.
3. Personnel File: All information and forms that are gathered by the hiring unit will be attached to the employee's file in GT by completing a confidential entry under the personnel file category. This will include applications, resumes, Oath of Office, W-4, I-9, emergency information, fingerprints, background checks, personal history and integrity interview reports, etc. These documents are considered confidential and will not be viewable except by staff assigned to hiring and command staff.
4. Prior LE or Military Experience: Documentation obtained during the hiring process used to establish prior military or law enforcement experience will be stored under this tab. This will include the worksheet used to establish the member's tier level.
5. Training: All training certificates will be attached to the appropriate training category by the member and approved by the member's supervisor. This includes POST certificates and college transcripts.
6. Commendations: All commendations that are not intended to be formal awards can be loaded into the appropriate recognition file.
7. Authorized Weapons: Employees wishing to carry handguns other than a Glock are required to submit a memo to Professional Standards pursuant to P&P B-106 (appendix A). The authorized weapons category will be used to start the request

and the approval process. This request has an approval process up to the member's division commander. Once approved by the division commander, he will create an action item assigning the request to the Chief Deputy of Professional Standards for review.

8. Secondary Employment: All letters requesting permission to participate in secondary employment will be entered under the secondary employment authorization category. These requests will be approved by the member's chain of command within Guardian Tracking.
9. Discipline: All letters of reprimand will be attached to the appropriate one or two year discipline category. The letters will be set to purge automatically after their expiration in one or two years.
10. Modified Duty Forms: When an employee is on modified duty, the personnel coordinator will load the modified duty agreement with the work restrictions as a confidential entry under the modified duty category. This entry will then be made available to the member and the member's supervisors while they are on modified duty. In this way, the member and their supervisors can review and manage the member's modified duty status. Once the member is cleared for full duty, the modified duty entry will be made confidential.
11. Confidential Medical Files: This category is to be used for confidential medical information only. Examples of this are, pre-employment physical and psychological evaluations or subsequent exams as needed. Entries into this category are only to be made by hiring personnel assigned to Professional Standards. The entry shall be made confidential and will not be viewed by or shared with any member or other party without prior approval by the Sheriff, Undersheriff or Professional Standards Chief Deputy. <7B-04><7E-02>
12. Equipment Issue Log: Accounts for property and equipment items assigned to the employee. Once an employee is assigned to an area, the following procedure will take place for issuing/re-issuing agency property and equipment:
 - The supervisor will review and correct, if necessary, the employee's equipment issue log.
 - The equipment issue log will be reviewed for accuracy during the annual evaluation process.<17.5.2>

IV. Early Interventions

Within GT are early intervention categories. These are set by the system administrator and are designed to alert supervision to repeated negative behaviors of members as documented by their supervisors. These categories are created by selecting documentation categories to be weighed against frequency of occurrence during a set time period. When an early intervention alert is generated the member's supervisor will receive notice of the alert in GT. This alert will require the supervisor take action that is designed to correct the behavior. In most cases this will require more formalized discipline documented in Blue Team.

V. Recognitions

Recognition flags are created by GT when an employee has been commended repeatedly. These are set by the system administrator and are designed to alert supervision to

repeated positive behaviors of members as documented by their supervisors. These categories are created by selecting documentation categories to be weighed against frequency of occurrence during a set time period. This alert will require the supervisor take action that designed to recognize the behavior.

VI. Confidential Files

Certain types of documentation will be kept confidential. Examples of this may include hiring or personnel related documents. These documents will only be visible to members who have been given access as a part of their organizational responsibilities. Members who have access to confidential information within Guardian Tracking will only access this information when necessary to perform their assigned duties.