



FOCUSED ASSESSMENT OF THE RHODE ISLAND STATE POLICE

A REPORT TO COLONEL ANN C. ASSUMPICO

December 11, 2017

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I. Executive Summary

Today, there are a variety of challenges facing police services and police executives throughout the country. Because of those challenges it is more important than ever that police agencies and departments take a critical look at themselves in order to appropriately respond to those challenges. With that in mind Colonel Ann C. Assumpico, Superintendent, Rhode Island State Police, asked Terrance W. Gainer, LLC to assemble a Professional Working Group (“PWG”) and conduct a focused assessment of the Rhode Island State Police (“RISP”) policies, practices and procedures related to: recruitment, hiring and entry training; the promotional process; and, the management of citizen complaints, investigations and discipline practices.

First and foremost, the RISP has an undeniable proud and storied history. The scope and breath of its duties and responsibilities touches a myriad of law enforcement efforts throughout the State of Rhode Island. The agency is well led and maintains an outstanding international reputation. The RISP is a C.A.L.E.A.¹ certified agency which “...represents a commitment to professional excellence².” The recent accreditation included an Excellence Award based upon the “gold standard assessment.”

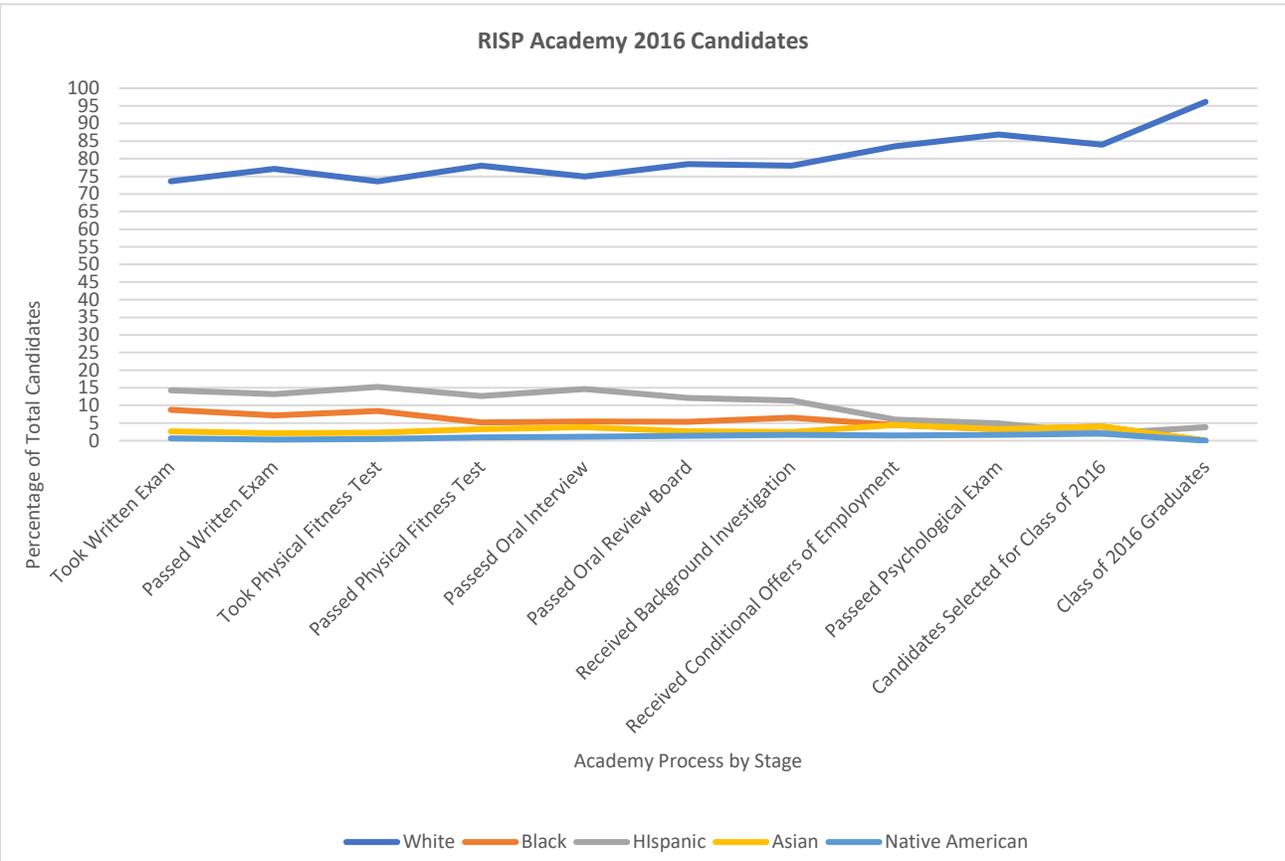
C.A.L.E.A. provides the clearest understanding of its mission, stating that their standards prescribe “what” agencies should be doing, but not “how” they should be doing it. The latter is left up to the individual agency and its chief executive officer.

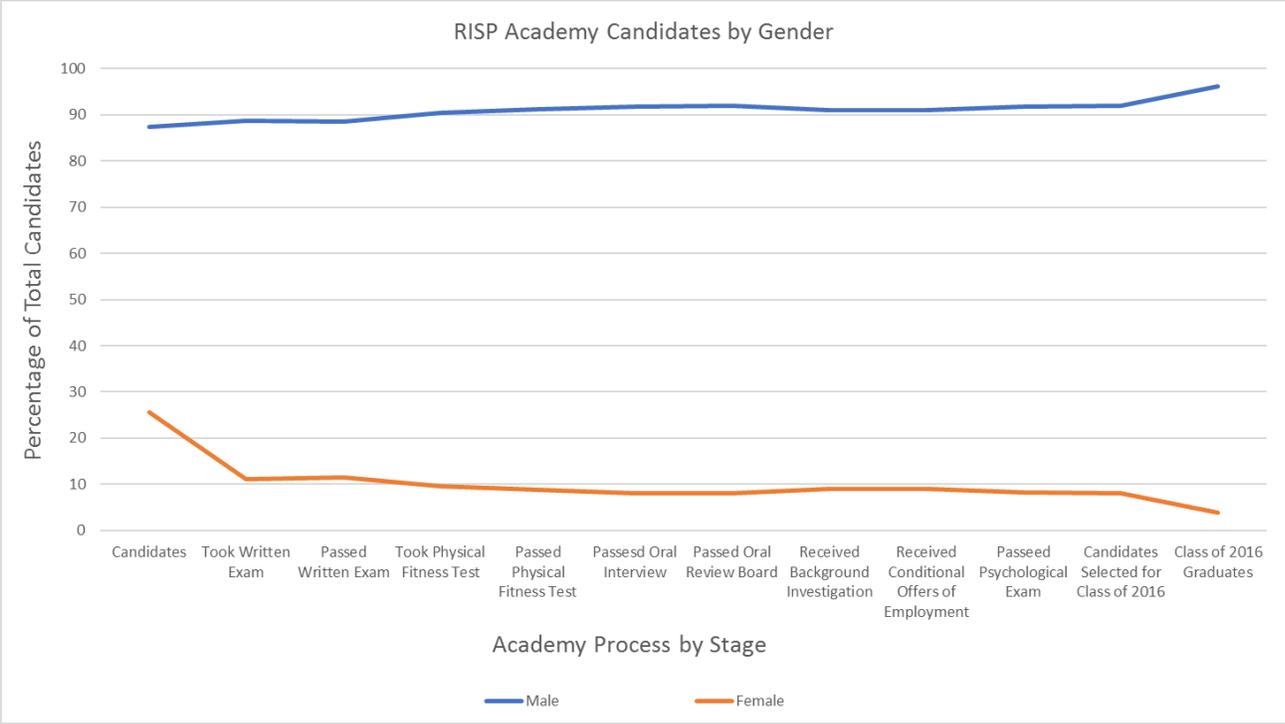
Collectively, the men and women of this statewide agency express the highest level of commitment to the mission and values of their organization. Those very values, along with a desire to exceed the expected, led to an independent assessment of “how” the agency performed in several focused areas.

Related to the first area of interest, Colonel Assumpico, along with the agency, celebrated the graduation of the newest and much-needed sworn members of the RISP on July 29, 2016; the first class in several years. Although everyone was excited to have a great group of new centurions, there was a general sense of disappointment given the underwhelming graduation rate of women and persons of color in the new class. The leadership of the RISP is well aware that the RISP must reflect the community it serves in order to gain the trust and confidence of the citizens. The agency was particularly disappointed with such an outcome given that established recruitment efforts sought to avoid such a result. An unexpected funding delay caused a significant delay in the start date for the 2016 Class and the RISP lost desired candidates to other law enforcement agencies. That notwithstanding, the graphs below illustrate the stark reality.

¹ The Commission on Accreditation for Law Enforcement Agencies, Inc., (CALEA®) was created in 1979 as a credentialing authority through the joint efforts of law enforcement's major executive association.

² Letter of Executive Director Hartley, Jr., C.A.L.E.A.





Secondly, and related to Colonel Assumpico’s concerns about promoting and achieving diversity in the RISP recruitment efforts, she wanted to examine diversity outcomes in the promotional process to make sure there are not any inherent flaws in the process or other holes that disparately impact the ability of women and persons of color to rise through the RISP ranks.

Colonel Assumpico’s third and final area of interest for purposes of this assessment relates to the citizen complaint process and the management, investigation and resolution of such complaints. The Colonel and the RISP understand very well that successful community policing efforts must be built upon the foundation of “promoting trust and ensuring legitimacy through procedural justice, transparency, accountability and honest recognition of the past and present obstacles.”³ Notwithstanding the understanding of this basic tenant of community policing, the Colonel wanted to examine opportunities to enhance RISP processes in an effort to achieve the optimal level of consistency and fairness.

Those who study law enforcement organizations indicate that there are several actions agencies can take to enhance human resource management and drive the agency to excellence in the areas of recruitment, hiring, training, performance management, promotion, discipline, both internal and external transparency, continuing education and rewards. In terms of these human resource functions the PWG found, overall, that the culture, policies and practices of the RISP are positive and consistent with many law enforcement agencies across the country.

³ The President’s Task Force on 21st Century Policing, May 2015

Having said that, there remains a need for meaningful and thorough discussions within the RISP about ways to improve. The key to successful improvement involves tailoring the recommended actions to the RISP's culture and organization.

Informing this report are a wide range of information sources that center on the three task areas of: 1) Recruiting and Diversity; 2) Promotion Processes and Procedures; and 3) Administrative Actions pertaining to Citizen Complaints, Internal Investigations, and Disciplinary Processes. Toward this end, RISP General Orders and other relevant agency documents were reviewed. Dozens of interviews of RISP personnel of varying ranks and positions were conducted. An anonymized employee survey on existing promotion and disciplinary processes was electronically administered. Issue-specific focus groups were convened and recruits who failed to graduate with the class of 2016 were interviewed. In all, more than 1,000 direct contact hours were consumed in the information collection process.

Consistent with the subject matter areas noted above, the report is organized into the three major task sections. Each section includes the PWG findings and provides detailed recommendations pertaining to those findings. In addition, each section provides brief supporting arguments for the recommendations. Overall, the PWG provides twenty-seven (27) recommendations for consideration. A summary of the core recommendations is as follows:

1. **Make a business case for stable state funding that supports annual Training Academy classes and a full-time recruiting department; include calculations of current and future personnel needs and assessments of RISP resources and recruiting needs.**
2. **Modify the "Recruitment Strategies and Recommendations Strategic Plan" to include statements of vision and purpose that clearly express an agency ethos committed to recruit and retain a highly qualified workforce that is diverse, well-educated, physically fit, and imbued with a commitment to public service. In addition, the revised plan should establish recruiting goals commensurate with contemporary and future needs of the RISP.**
3. **Review testing materials to identify and eliminate inherent biases; augment current testing to assess candidate critical thinking and problem-solving skills.**
4. **Implement anonymized candidate materials prior to the command officer reviews.**
5. **Review physical testing requirements to determine relevance to 21st Century Policing (i.e. consider replacing the vertical jump component).**
6. **Conduct an analysis of Training Academy regimens and curricula. Review such items for consistency with adult-learning principles and identify learning objectives in**

Training Academy practices and opportunities to incorporate critical thinking and problem-solving exercises.

7. Continue forward-recruiting programs that focus beyond current year positions to future Training Academy classes.
8. Staff a full-time recruiting team whose responsibilities would include marketing, website design and case management.
9. Assign Trooper mentors to candidates during the application process.
10. Institute formal exit interview procedures to document and analyze factors contributing to recruit resignations. Include the recruit's mentor and incorporate formal exit reports.
11. With the above-referenced data, conduct a failure analysis of previous applicant pools on an on-going basis to examine disqualification/drop-out rates. Analyze the characteristics of both successful and unsuccessful candidates, annually adjusting recruiting strategies.
12. Develop a transparent promotion system and process.
13. Explore the use of exams or exercises related to duties and responsibilities of specific ranks as an element of the promotional process.
14. Include the Professional Standards Unit ("PSU") and the Equal Opportunity Office ("EEO") when vetting candidates for promotion. Assign negative scoring values for disciplinary actions and substantiated EEO complaints.
15. Consider anonymizing the applications for promotional candidates prior to the first-level rating.
16. Review all RISP position descriptions on a regular basis and update as necessary.
17. Identify or create training programs that address duties and responsibilities of various ranks and positions within the agency.

18. Budget, as a specific line item, costs for professional development training for all ranks and agency positions. Prioritize training for members anticipating promotion.
19. Install an agency-wide mandatory continuing education program.
20. Modify RISP General Order 3C (Internal Investigation Procedure/Policy) to standardize the investigative process and emphasize that all complaints are to be taken seriously and will be investigated in a thorough, timely and transparent manner.
21. Develop a disciplinary policy which: (a) formalizes the process; (b) separates PSU investigative and recordkeeping functions from the imposition of penalties and corrective actions; (c) establishes, by offense, a matrix to align ranges of potential corrective actions to categories of sustained allegations; (d) increases command officer participation in corrective action decisions; and (e) incorporates the “Douglas Factors” in determining corrective actions.
22. Clarify RISP policy about the use of force, de-escalation, timely reporting, responsibilities, investigations, protocols, internal review processes and command responsibilities.
23. Create a quarterly use of force panel review process to identify gaps in policy, training or equipment.
24. Install a two-step use of force investigation process that requires: (a) a preliminary report within 24 hours through the chain of command; and (b) a completed investigation, within 30 days, that documents investigative efforts and proffers findings through the chain of command.
25. Assign management of the Personnel Early Warning System (“PEWS”) to a division or person other than PSU (e.g., Director of Personnel, etc.) to remove negative connotations associated with referrals and requests for assistance involving the Employee Assistance Program (“EAP”).
26. Include all available employee performance information in PEWS, provide employee counseling guidance and assign supervisor and command responsibilities for employees identified.

27. Expand General Order 27, Prohibition Against Harassment, Violence and/or Discrimination, to clarify definitions, include social media activities, establish reporting requirements and investigative responsibilities as well as to require annual training.

It should be noted that, consistent with the RISP ethos, throughout the assessment the appearance and demeanor of RISP personnel never varied. From the first interview, it was clear that pride and discipline drives the agency. The demeanor of RISP personnel was professional and accomplished; their uniforms were immaculate and there is no doubt that the men and women of the agency are committed to physical fitness. They were unfailingly gracious; responded candidly to questions; and expressed a deep interest in providing quality policing services for the state, and its citizens.

As stated above, each of the recommendations contained in this report pertains to various findings identified during the assessment. The findings, recommendations and supporting arguments for such recommendations are explained in full detail throughout the report. The recommendations contained in this report are intended to augment ongoing agency efforts to maintain excellence.

II. INTRODUCTION

The PWG conducting this review and assessment has more than 300 combined years of law enforcement experience and expertise both nationally and internationally. As more thoroughly described in the biographies attached to this report as **Attachment 1**, these professionals have extensive command and leadership experience in federal, state, and local law enforcement agencies. The team members are well-versed in agency assessment practices; participated in the President's 21st Century Policing Task Force; and currently provide subject matter expertise services for the National Public Safety Partnership of the U.S. Department of Justice, as well as multinational corporations.

In addition to a thorough review of existing RISP policies, the PWG: (1) conducted numerous interviews of RISP personnel of varying ranks and positions; (2) conducted an electronic and anonymized 38 question employee survey to gain the workforce perception of the current RISP diversity, recruitment, hiring, promotion and disciplinary practices; (3) convened issue-specific focus groups; and (4) interviewed recruits who resigned from the RISP Class of 2016; and (5) examined hundreds of internal investigative files. In all, more than 1,000 direct contact hours were consumed in the information collection process. A list of each of the general orders reviewed is provided in **Attachment 2**. An overview of the survey and a complete copy of the survey results are provided in **Attachment 3**.

By way of background, the RISP was created by statute on April 2, 1925, by an Act of the General Assembly. The intent of the legislation was to create a highly disciplined, mobile and visible law enforcement agency to deal with new and rapidly expanding enforcement issues,

particularly those exacerbated by an ever-increasing number of automobiles. The Act authorized the Colonel to establish a headquarters and barracks in various localities throughout the state to protect and serve all areas, including very rural areas.

The RISP is a full-service law enforcement agency providing traffic enforcement, criminal investigation and crime prevention in all areas of the state. Specialty units within the RISP include full-service K-9 Teams, a Marine Unit/Dive Team, and a Tactical Team.

The primary limitation of the RISP is that it is restricted from entering a city or town for riot control purposes unless explicitly ordered to do so by the Governor or at the request of the mayor or chief of police of the applicable municipality. The RISP is also involved in citizen outreach and education and assists allied law enforcement agencies and other organizations in various capacities.

The RISP has approximately 320 personnel, approximately 230 of whom are sworn members. For the purpose of this assessment, the PWG was directed to focus on sworn personnel only.

The RISP is comprised of three bureaus: Patrol, Detective, and Administration. A full-service agency with statewide authority, the RISP provides substantial forensic, investigative, and training services throughout the state. It operates the Municipal Police Training Academy, participates in the New England High-Intensity Drug Task Force Area program, and administers the Rhode Island Fusion Center. It provides major-event support and security for the Governor, as well as tactical and negotiation services during barricaded suspect or hostage-taking incidents. The Detective Bureau is housed at RISP headquarters and oversees the Fusion Center, located in Providence. Forensics, a part of the Detective Bureau, is overseen by a forensics committee, consisting of various individuals including the Colonel of the RISP.

Additionally, the RISP has oversight responsibility for the Department of Public Safety which consists of the 911 Uniform Emergency Telephone System, the Division of Sheriffs, the Capitol Police, the Division of State Fire Marshal, the Municipal Police Training Academy and the Public Safety Grant Administration Office.

As of the date this review and assessment was initiated, the RISP had 230 sworn personnel serving in eight separate ranks. By late summer of 2017, 4 Troopers resigned to join the Massachusetts State Police.

RISP Ranking	
Colonel	1
Lieutenant Colonels	2
Majors	3
Captains	7
Lieutenants	24
Sergeants	21
Corporals	26
Troopers	146

The Colonel, who is appointed by and reports directly to the Governor, serves as the head of the RISP, and is also the Director of the State's Department of Public Safety ("DPS"). The RISP is supported by Chief Legal Counsel, and there is Senior Counsel for DPS. Both are located at RISP headquarters. There are two Lieutenant Colonels, one who commands field operations, DPS, and training; and, the other Lieutenant Colonel has responsibility for the Detective and Administration Bureaus. There is a Major who is the Detective Bureau Commander, with a Captain as the Deputy Commander. A Major commands the Administrative Bureau, which, among other responsibilities, oversees planning, research and accreditation. The third Major commands the Inspectional Services. Each of the two Patrol Districts is commanded by a Captain, and each of the barracks is commanded by a Lieutenant with a Sergeant as Deputy Barracks Commander.

The Training Academy is in Foster, RI, approximately 15 minutes from Division Headquarters, and is commanded by a Lieutenant, reporting to a Captain who is the Director of Training. In addition to the Lieutenant (Commandant), there is a Sergeant (Deputy Commandant) and a Trooper assigned full time to the Training Academy.

The Professional Standards Unit ("PSU") which is responsible for the internal investigations and the promotional process, is commanded by a Captain. There are no other members assigned to PSU.

Those sworn members, who are part of the Patrol Bureau, all have multiple tasks. For example, a Sergeant, who is the Deputy Barracks Commander, also oversees the Marine Unit Dive Team. This is also true for the detectives who are assigned to various task forces along with their regular duties.

Throughout the years, other responsibilities have been assigned to the RISP. For example, there is a Lieutenant assigned to the Department of Motor Vehicles, and a Lieutenant assigned to the airport, notwithstanding that there is an airport police agency.

It should be noted that the Sergeants, Corporals, and Troopers are part of a collective bargaining unit - The State Troopers Association. Lieutenants and above are not unionized.

The Colonel is the final authority on all matters, including assignments, discipline, recruiting, and promotion. Unique to the RISP is the 3-year enlistment. Once a Trooper graduates the Training Academy, there is a one-year probationary period. Once complete, every Trooper enlists for 3 years, which must be renewed every 3 years, thereafter, for twenty-one years. Subsequently, continued service is at the pleasure of the Colonel.

III. Task 1: Recruitment, Hiring and Diversity

A. Recruitment/Hiring

- **Findings and Observations**

The RISP recruit training process appears to serve two broad purposes: (1) to provide recruits with the requisite skills and knowledge necessary to perform the job, and (2) to act as a “rite of passage” to test the mental and physical mettle of recruits. While recruit interviews suggest the rite of passage activities factored in their resignations, agency personnel view Training Academy graduation as a badge of honor reinforced by a sentiment of “if I did it, you have to do it.” Because the shared Training Academy experience is embedded in the organizational culture of the RISP, there is a risk of becoming prisoners of your own experience.

Diversity enhances group innovation, creative problem-solving, and critical thinking. Although some recruits will fail, efforts to graduate struggling but promising recruits should be considered. In these circumstances, mentoring, coaching, and remedial training—while preserving the resilience and discipline building activities—will increase graduation rates and work toward the RISP goal to “recruit, train, and retain a diverse workforce that reflects the citizens we serve.”⁴

Current employees can often be a good source of referrals. However, nearly half of those surveyed stated that they do not feel an obligation to act as a recruiter for the agency. Similarly, many in the focus groups questioned the need for organized proactive recruitment efforts; several sworn members commented to PWG members: “Those who want the job need to come to the RISP on their own.” This sentiment needs to change; every member of the RISP should be a recruiter.

Issues related to retention of recruits and Troopers appear to be linked again to the culture of the RISP. The RISP Training Academy, which has para-military level physical training requirements, has a very low success rate and a high drop-out rate. During the focus group interviews, one Trooper stated that they target military personnel when recruiting. The PWG also conducted interviews with individuals who had not completed the RISP Training Academy. The questions and responses are provided in **Attachment 4**.

The survey also indicated that another way in which the culture of the RISP impacts retention is through a lack of mentoring; it does not seem to be ingrained in the RISP culture. Mentoring could help advance Troopers in terms of their careers. Similarly, most of the respondents stated that they were not satisfied with the training programs in place to benefit them professionally. Putting a greater emphasis on both mentoring and training could lead to improved rates of retention.

⁴ Rhode Island State Police 2016 Annual Report, page 2.

Any consideration of policing effectiveness is incomplete without attention to who the Troopers are, as well as whether the agency reflects the community that it serves. Diversity “conveys a sense of equity to the public, especially to minority communities. Second, it increases the probability that the agency will be able to understand the perspectives of its racial minorities and communicate effectively with them. Third, it increases the likelihood that officers will come to better understand and respect various racial and cultural perspectives through their daily interactions with one another.”⁵

By 2044, according to the United States Census Bureau, more than half of all Americans will belong to a minority group (any group other than non-Hispanic White alone); and by 2060, nearly one in five of the nation’s total population is projected to be foreign-born⁶. Preparing today to meet the diversity of tomorrow will further RISP efforts to provide quality and equitable policing throughout the state.

In a market where two-thirds of American youth⁷ fail to qualify for military service, law enforcement recruiting is expensive and time-consuming. During the Assessment, it was clear that the RISP expended substantial sums in agency time, labor, and funds to identify the Class of 2016 candidates. Despite this expense, the process did not meet the staffing needs of the agency, nor did it measurably enhance agency diversity.

RISP recruiting is addressed in General Order (GO) 26 “Training and Recruitment” et seq. There is no full-time recruiting unit, however, the members of the Training Unit have undertaken the lead for recruitment. Current RISP Policy General Order 26B sets forth “the guidelines for the recruitment of qualified applicants for the position of State Trooper regardless of race, creed, color, age, sex, religion national origin and physical impairment.” The General Order provides defined terms, enlistment criteria, a recruitment program and the administration of the program. A U.S. Department of Justice/International Association of Chiefs of Police law enforcement tool kit suggests that when considering a recruiting plan, several impacting factors should be kept in mind, such as:

- Increased military deployment.
- Higher pay in private employment, especially large national corporations.
- Higher demand by federal agencies to recruit veterans.
- Less available applicants, due to the smaller age-related population (18-34), that was previously available in years past.

⁵ *Racially Biased Policing: A Principled Response*. Fridell, L. et.al; Police Executive Research Forum, Washington, D.C. 2008.

⁶ *Projections of the Size and Composition of the U.S. Population: 2014 to 2060*
www.census.gov/content/dam/Census/library/publications/2015/demo/p25-1143.pdf

⁷ *Recruits' Ineligibility Tests the Military*, Wall Street Journal <https://www.wsj.com/articles/recruits-ineligibility-tests-the-military-1403909945?mg=prod/accounts-wsj>, accessed on July 29, 2017

- Baby boomers are now retiring in higher numbers, therefore hiring cannot keep pace with retirements.
- 72% of American youth between the ages of 18-24 years old are not eligible for military service due to fitness, academic and law enforcement deficiencies.

The use of the internet is one of the most widely utilized and effective tools that can be used for recruiting. The RISP Strategic Plan seeks to utilize the RDW Group, Inc. for advertising. The Department of Labor and Training website provides a direct link to the RISP website and RISP social media accounts. In addition, they attempt to coordinate with the Rhode Island National Guard's recruiting efforts. The Strategic Plan specifically states that "official social media accounts for recruitment purposes and to announce recruiting events" will be a part of their efforts. Social media platforms such as Facebook, Instagram, YouTube and Twitter are to be utilized and should be accessible in both English and Spanish. In addition, the RISP should utilize publications such as the Military Times, the Army Times, the Navy Times, the Air Force Times and Police Beat. Job postings are to be posted at least at ten (10) colleges located in the state. English and Spanish advertisements are to be posted on the Providence Journal website in different sections such as news, sports, breaking and local news, and specific Spanish websites, such as Progressolatino.org, Diversityjobs.com and Hispanicjobs.com are also to be used. These guidelines were to be put in effect in July 2016, but have yet to be fully implemented. Although the reason is not clear, it is assumed that there were budgetary restrictions.

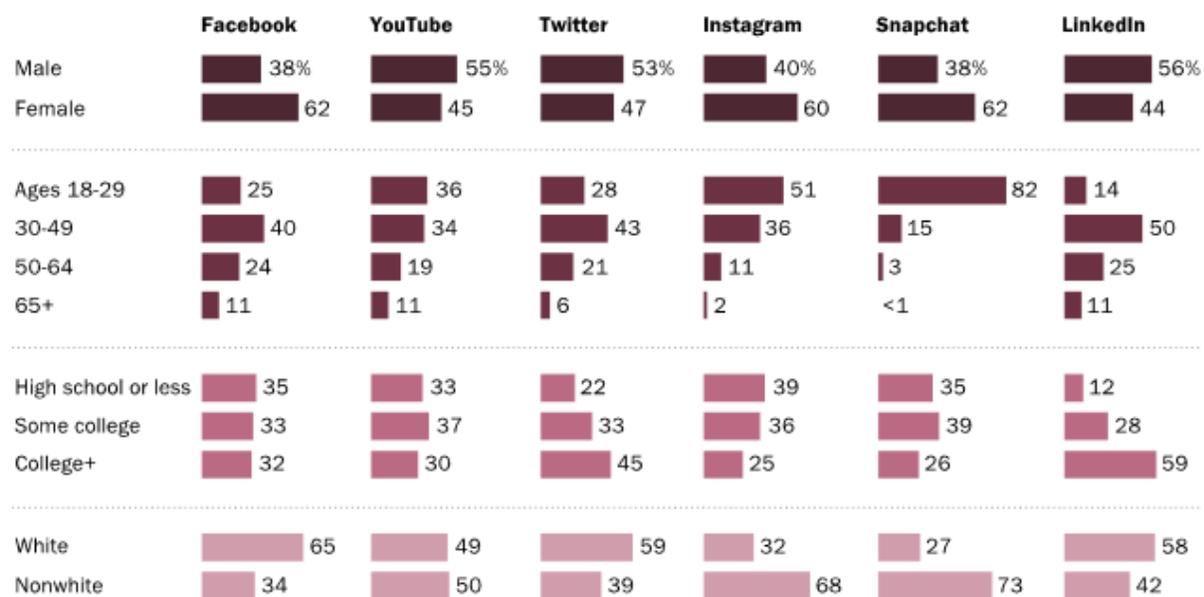
At the Bureau of Justice Assistance 2017 Strategies for Policing Innovation national meeting there was a panel discussion titled "Social Media Strategies for Police." Using social media as a force multiplier, police agencies can extend their messaging to build strong community relations and legitimacy while recruiting throughout diverse communities.

The recruitment message must be tailored to the social platform used and the "...demographic makeup of each site's news users." Further, according to the PEW Research Center, "Instagram and Snapchat news consumers are considerably more likely to be nonwhite and younger." This August 2017 research could be instructive in improving the RISP diversity recruitment strategy and where the message should be placed. Police recruiting through YouTube, Twitter, Instagram and Snapchat while not traditional increases the opportunity to enhance the diversity of RISP candidates. See the below chart.⁸

⁸ http://www.journalism.org/2017/09/07/news-use-across-social-media-platforms-2017/pi_17-08-23_socialmediaupdate_0-06/

Social media news user profiles

% of each social media site's news users who are ...



Note: Tumblr, Reddit, and WhatsApp not shown. Nonwhite includes all racial and ethnic groups, except non-Hispanic white.

Source: Survey conducted Aug. 8-21, 2017.

"News Use Across Social Media Platforms 2017"

PEW RESEARCH CENTER

RISP Policy establishes the criteria for becoming a Trooper. The primary criteria include requirements such as: a minimum age, US citizenship, valid driver's license, high school graduate, weight proportionate to height, vision standards and residency. A section of the RISP Strategic Plan is devoted to minority recruiting stating that current minority and female Troopers should be included in recruitment activities, when possible.

The recruitment program as set forth in the applicable General Order should be read in conjunction with the Minority Recruitment Activities Plan ("MRAP"). The MRAP has great potential. As currently proposed, it is comprehensive and sensitive to the characteristics of millennials. The MRAP supplements the undertakings and tasks particularly as it relates to minority recruiting. Although the MRAP has not yet been enacted, it does reflect many of the recruiting tasks and endeavors designed to provide a more comprehensive approach to minority recruiting. It also takes into consideration that the current generation being targeted for recruitment uses social media and other forms of electronic communication to get their information, communicate with one another, and share events, activities, and news.

General Order 26B outlines the application process, beginning with the job announcement and states that the Commandant of the Training Academy provide a progress report to the Director of Training "on all matters related to recruitment, selection and training."

General Order 26C sets forth the process by which candidates are vetted to become RISP Recruits. The General Order provides defined terms, policy, professional and legal requirements, occupational qualifications, administrative practice and procedures, recruit selection process phases including polygraph exams, and the probationary period. Importantly, the General Order directs, adverse impact “shall be minimized in the selection process.” Lateral entry for uniformed personnel is not permitted, however, lateral entry is permitted for non-sworn employees. Reapplication, retesting and reevaluation is permitted for entry into future training classes.

Advertising the announcement soliciting Trooper applicants for the last class (Class of 2016) was open for approximately 90 days, March 4, 2014 to May 31, 2014. During that time, numerous advertising sources were used including the internet, radio, television, printed media, meetings with community outreach leaders, including those from the minority community as well as visits with community organizations, colleges in Rhode Island, churches and community centers. All recruiting efforts were within the state. No tracking data was undertaken to identify the effectiveness of any of these recruiting activities, nor was there any information available showing how an applicant initially learned about the RISP employment opportunities and hiring process.

Prior to the commencement of the recruiting process for the Class of 2016, the RISP began accepting “Letters of Interest” that were submitted through the RISP website beginning in September 2013. This yielded 1618 responses, and all were advised of the recruiting process that was underway. At the end of the application period, May 31, 2014, there were 1,530 candidates, which is comparable to the 2010 minority demographics of the state. Females, although comprising about 52% of the state’s population, only totaled 12.55% of the applicants, which is slightly better than the 10% national average for females in law enforcement. The PWG recognizes the efforts of the Colonel to do better in this area. This effort and commitment was reinforced on September 27, 2017 when the Colonel announced a new recruiting drive with the goal of 40 Trooper positions and that a special effort would be made by the RISP to locate minority and female recruits. See **Attachment 5**.

A written exam prepared by CWH Management Solutions was administered to 868 prospective candidates, 56.73% of those who initially expressed formal interest in the RISP, including 229 minorities, 97 of whom were females.

The written test was followed by a physical exam consisting of a vertical leap, sit-ups, push-ups, 300-meter run, and a 1.5-mile run. 439 of the 612 recruits who passed the written exam, attended the physical exam. 214 successfully completed the physical exam. More than half of the 42 female candidates remaining after the written exam were disqualified by the fitness testing with the vertical leap proving to be the most difficult.

General Order 26B, Section IV, sets forth the “Enlistment Criteria” for each potential candidate. As part of General Order 26C. General Order 26 C, Section VIII C speaks to the Oral Review

Interview. Successful candidates proceeded next to oral interviews. Of the remaining 214 candidates, 187 participated in the Oral Review Board. Panel members, comprised of RISP sworn members, were selected based on diversity and experience. They received interview, scoring and rating training from a private firm.⁹ Ten (10) questions were asked of each candidate and were rated from 1 (low) to 7 (high) The average score was 60.29.

After scores were calculated by CWH Management Solutions, and a cut off score of 53.33% was established by the Colonel, a passing score was achieved by 149 applicants. The PWG was unable to evaluate the process or procedures of either the interview scoring or review by third parties as all records were destroyed. The PWG could not verify the reasons a candidate would not be offered a conditional offer of employment.

After 26 candidates voluntarily withdrew, 123 candidates were forwarded for background investigations. There was no follow up on the reason the twenty-six candidates who passed withdrew prior to the background investigation.

The RISP investigators who conduct background investigations receive a four-hour, Level I (Recruit Investigation) training course. The background investigation covers all aspects of a candidate's life. Investigations are reviewed at multiple levels including the Detective Captain, LTCs and the Colonel. Oftentimes reports are sent back to the investigator for additional information. The investigator is assigned background investigations on several candidates and must be completed within approximately 30 days while maintaining their other assigned duties.

Final reviews by the 2 LTC's and the Colonel were based on a letter grade from A-F. Multiple discussions took place along with several reviews of each of the 123 candidates resulting in the disqualification of another 58 applicants because of such factors as discrepancies between the application and what was stated during the interview with the investigator, lack of truthfulness, multiple motor vehicle violations or arrests. The candidates were also reviewed by the State Diversity Officer and the NAACP. Ultimately, 67 applicants were given Conditional Letters of Employment and were approved for medical examinations and psychological evaluations. The review records and scoring sheets conducted by the 2 LTCs and the Colonel were not made part of the candidates file, and were destroyed.

Of the 67 candidates, 61 received a positive psychological rating and moved onto the medical examination. One candidate did not pass the medical exam; therefore 60 candidates (40 primary and 20 alternate) were selected for the Class of 2016, which was to begin in September of 2015. Due to budget restrictions however, 50 candidates were admitted to the training Academy Class of 2016 in February 2016. Considering the delay, qualified candidates, including some minority recruits, withdrew from the process. Racial distribution of this class was: 42 White; 2 Black, 3 Hispanic; 2 Asian; 1 Native American. The gender distribution was: 4 females and 46 males.

⁹ Training included rating guidelines, common scoring errors, two review practices, and rating scripts.

Candidates Who Received Conditional Offers	Primary Candidates	Alternate Candidates	Breakdown by Minority		Notes:
Approved for Medical/Psych Exams	67	N/A	White	56	
			Black	3	
			Hispanic	4	
			Asian	3	
			NA	1	
			Male	61	
			Female	6	
			Total	67	
Administered Medical Exam	61	N/A	White	53	4 candidates did not pass the Psych exam 2 candidates withdrew before the medical exam
			Black	2	
			Hispanic	3	
			Asian	2	
			NA	1	
			Male	56	
			Female	5	
			Total	61	
Passed Medical Exam	60	N/A	White	52	1 candidate did not pass the medical exam
			Black	2	
			Hispanic	3	
			Asian	2	
			NA	1	
			Male	55	
			Female	5	
			Total	60	
Selected for the 2016 Academy Class	40	20	White	52	
			Black	2	
			Hispanic	3	
			Asian	2	
			NA	1	
			Male	55	
			Female	5	
			Total	60	
Entered the 2016 Academy Class	40	10	White	42	10 candidates withdrew before entering training academy Of the 50 total candidates, 15 primary candidates and 9 alternate candidates withdrew from training. Ultimately there were 26 graduates – 24 White males, 1 Hispanic male and 1 White female
			Black	2	
			Hispanic	3	
			Asian	2	
			NA	1	
			Male	46	
			Female	4	
			Total	50	

The recruit class was to report to the Training Academy in September 2015; however, the start date was delayed due to budgetary issues. Considering the delay, qualified candidates, including some minority recruits, withdrew from the process.

After 24 weeks of training, 26 of the 50 recruits graduated the RISP Training Academy, including 1 Hispanic male, 1 female, and 24 white males. This end result equated to an overall

completion rate of 52%. For comparison, the national completion rate for state police/highway patrol academies is 80%.¹⁰ Of the files pertaining to the 24 recruits who did not graduate, only 6 contained completed exit interview forms. Information on the reason for the other resignations was limited to brief emails from the Commandant to the Director of Training. Beyond brief notes, there was minimal follow up and/or documentation citing reasons for the resignations. The limited information available indicated the recruits were not physically or mentally prepared, had suffered an injury during training, or they resigned vaguely described as “in the best interest of the RISP”.

Of the 24 recruits who resigned, 19 were interviewed by telephone by a PWG member.¹¹ The interviewees were generally positive regarding the Training Academy experience, except several had reservations about the boxing requirements. Alternates, who had been selected to fill vacant positions of recruits who resigned after starting the Academy, felt as though they were never able to catch up; they were too far behind physically and academically.

If diversity was only about race and gender, other than for females, current recruiting activities initially create pools of candidates which are minimally consistent with the population demographics of the state. Diversity is far broader than that. “One of the things we have to do is try to recognize diversity comes in all shapes and sizes. It’s not just race, it’s background, it’s perspective. It’s the way you think. It’s your personality.”¹²

As candidates proceeded through the hiring process the gap widened between the demographics of the state and those who ultimately graduated and became RISP Troopers. The gap increased during the stages of the hiring process in which there was not clear transparency, decision rationale, documentation, or reviewable policy and process. Departures from consistency accelerated during the Command Officer reviews and continued through the Academy training.

The PWG conducted separate focus group sessions with Troopers, Detectives, Corporals, Sergeants, Lieutenants and Captains. Relative to recruitment, all the aforementioned believed that, generally speaking, the RISP had a system with which they were comfortable. Many of those interviewed believe that the RISP is more actively recruiting now than in previous years.

The overall opinion is that RISP wants to recruit the right people for the job and the Training Academy will weed out those who are not a fit for the RISP. The consensus was that the RISP

¹⁰ According to the Bureau of Justice Assistance, the average State Police/Highway Patrol Academy graduation rate is 80 percent. **State and Local Law Enforcement Training Academies, 2013**; www.bjs.gov/content/pub/pdf/slleta13.pdf; accessed on July 17, 2017

¹¹ For survey reliability, one assessor conducted the interviews and used a standard script of 11 questions.

¹² Scott Brabrand, https://www.washingtonpost.com/local/fairfax-new-schools-chief-focuses-on-diversifying-workforce-closing-gaps/2017/09/20/6f7df6ac-9c94-11e7-8ea1-ed975285475e_story.html?utm_term=.f3ddcbf5b66d

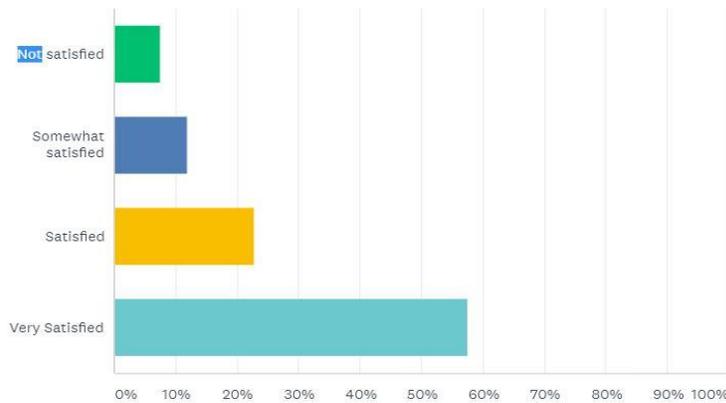
should not lower its standards. One individual stated that, “We should not look hard to find recruits; they need to come to us.”

Most interviewed were satisfied with the status quo concerning entry into the RISP; a weakness shared with other professions. In a recent Washington Post article, the Chief of the Fairfax County, Virginia, school system, Scott Brabrand, discussed the issues of hiring and diversity. It is essential, he said, that the “...district remains cognizant of a secondary informal hiring network in which employees connect family and friends with job openings.”

The next two survey questions graphics lend some support to understanding the challenges of broadening the reach for RISP candidates.

How satisfied are you with efforts made to recruit individuals from a range of backgrounds (i.e race, gender, religion, ethnicity, language, education or socioeconomic status)?

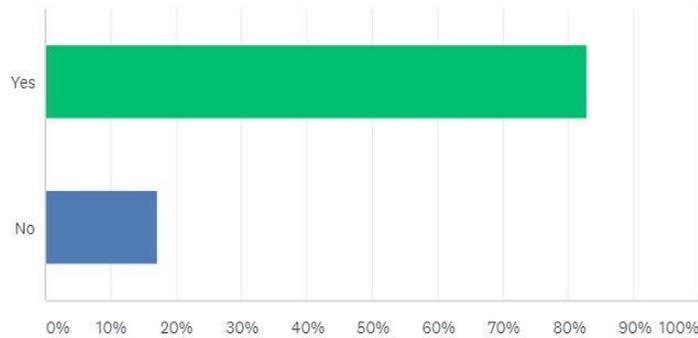
Answered: 92 Skipped: 6



ANSWER CHOICES	RESPONSES
Not satisfied	7.61% 7
Somewhat satisfied	11.96% 11
Satisfied	22.83% 21
Very Satisfied	57.61% 53

Do you believe the RISP adequately represents the people it serves?

Answered: 93 Skipped: 5



ANSWER CHOICES	RESPONSES
Yes	82.80% 77
No	17.20% 16
TOTAL	93

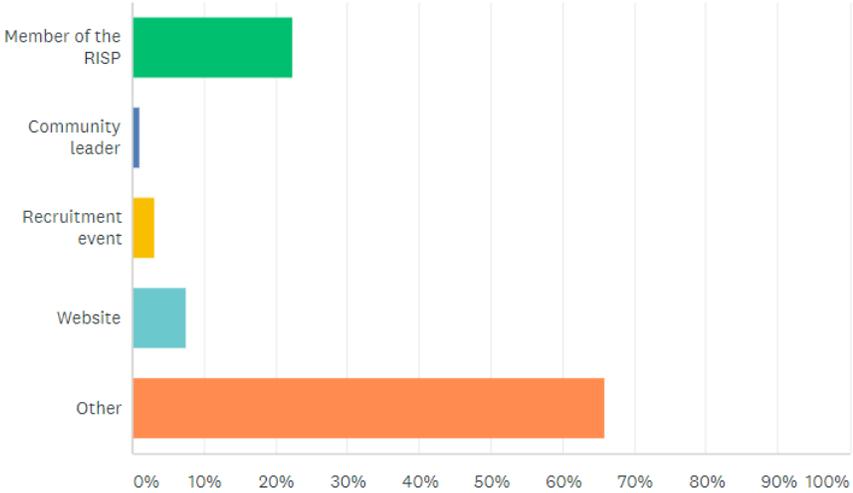
In terms of diversity, this recruitment section of the survey demonstrates that the RISP is primarily made up of Caucasian men. Of those surveyed, approximately 20% did not believe that the RISP adequately represents the people it serves, and around the same percentage felt that the RISP does not make an adequate effort to recruit officers from diverse backgrounds.

In addition, it was also the overall opinion of those interviewed that the RISP is at high risk of losing people to state and local departments where the compensation and retirement plans are superior to the RISP. Further, several of those interviewed believed that there is an overall distrust of law enforcement by minorities, which contributes to the lack of qualified minority applicants. The majority of those interviewed also believed that the most recent issue in lack of diversity was the delay in hiring the past class, as well as not having a specific strategic plan for hiring. Many questioned if RISP leadership had a general plan for recruitment and a more specific plan for attracting a more diverse workforce.

In addition to recruitment concerns related to diversity, the survey also indicated that about half of the RISP do not feel an obligation to act as a recruiter for the force. Additionally, when asked how they were recruited, 22% indicated that they were recruited by a member of the RISP, 1% recruited by a community leader, 3% at a recruitment event, 7.5% recruited via the website, and the other 66% indicated they were recruited by some other means. After conversations with focus groups and being in contact with members of the RISP, it is the opinion of the PWG that the majority of these 66% were drawn to the RISP by their desire to serve their community. This corresponds to a statement made by an individual in the focus group who indicated that they want people who want to serve their community and they “want them to come to us.”

How were you recruited?

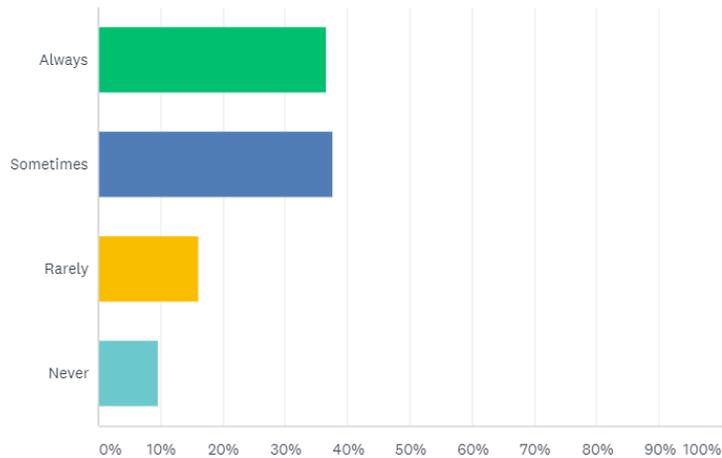
Answered: 94 Skipped: 4



ANSWER CHOICES	RESPONSES
▼ Member of the RISP	22.34% 21
▼ Community leader	1.06% 1
▼ Recruitment event	3.19% 3
▼ Website	7.45% 7
▼ Other	65.96% 62

Do you consider yourself to be a recruiter for the RISP?

Answered: 93 Skipped: 5

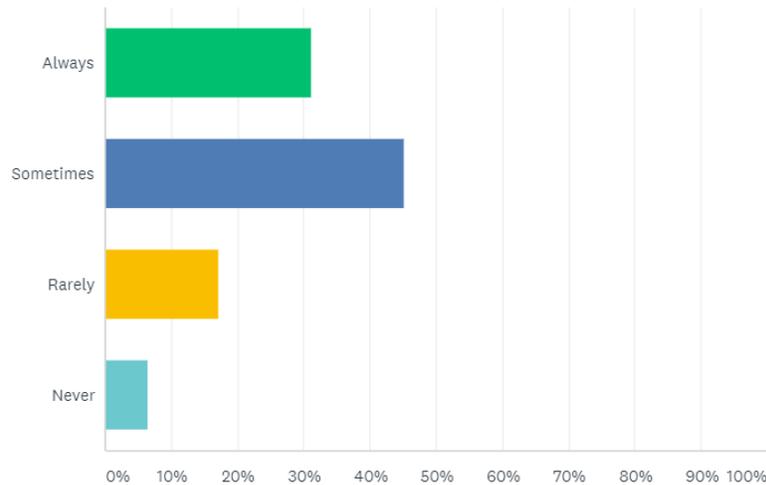


ANSWER CHOICES	RESPONSES
Always	36.56% 34
Sometimes	37.63% 35
Rarely	16.13% 15
Never	9.68% 9

RISP prides itself on its tradition of excellence of its people and its culture. Culture is important to every organization when it comes to recruitment efforts and subsequent retention. The survey results demonstrated that while 31% of the respondents felt that the RISP culture is always welcoming, 45% agreed that it is sometimes welcoming, while an additional 23% felt that it was rarely to never welcoming. This means that at some point in time, more than 68% of the force felt unwelcomed.

Is the culture of the RISP welcoming?

Answered: 93 Skipped: 5



ANSWER CHOICES	RESPONSES
Always	31.18% 29
Sometimes	45.16% 42
Rarely	17.20% 16
Never	6.45% 6

- **Recommendations**

- i. Make a business case for stable state funding that support annual Training Academy classes and a full-time recruiting function; Include calculations of current and future personnel needs and assessments of RISP resources and recruiting needs.
- ii. Modify the RISP Recruitment Strategies and Recommendations Strategic Plan to:
 - Include Statements of Vision, Purpose, and Recruiting Goals to clearly express an agency ethos committed to recruit and retain a highly-qualified workforce that is diverse, well-educated, physically fit, and imbued with a commitment to public service;
 - Establish recruiting goals commensurate with contemporary and future needs of the RISP.
 - Review testing materials to identify and eliminate inherent biases; augment current testing to assess candidate critical thinking and problem-solving skills.

- iii. Consider anonymizing candidate materials prior to the Command Officer reviews.
- iv. Continue forward-recruiting programs that focus beyond current year positions to future Training Academy classes such as:
 - Week-long youth academies mirroring an abbreviated RISP Training Academy week (in concert with Training Division);
 - Law Enforcement Exploring, Boy Scout Police Camporees, and cadet programs;
 - High school and college student internships;
 - Introductions to Law Enforcement sessions at local high schools; Bring a Trooper to School days at middle schools; and
 - Run with a Trooper and Coffee with a Trooper events.
- v. Staff a full-time recruiting team whose responsibilities include:
 - Developing a recruitment strategy for attracting the most qualified and diverse workforce.
 - Messaging to workforce the importance of diversity recruitment and make clear that recruitment is everyone's responsibility.
 - Canvassing existing personnel, e.g., focus groups, RISP intranet surveys, etc., for marketing and recruiting suggestions.
 - Installing and managing an electronic Administrative Information Center to ensure RISP sworn and civilian personnel are fully knowledgeable regarding recruiting efforts; emphasize "everyone is a recruiter".
 - Creating and maintaining a new currency of recruiting materials for placement in high-volume agency areas and other suitable marketing arenas.
 - Augmenting the current Training Academy website or creating a new recruiting website; ensure information is relevant and current.
 - Updating external recruiting assessments to identify community recruiting partners, e.g., Boy Scouts, Girl Scouts, faith-based youth nonprofit organizations, local universities and colleges, etc. Seek marketing opportunities with these community organizations. Schedule quarterly or semi-annual open houses at RISP Headquarters and the individual barracks.

- Identify, through conventional analysis processes, e.g., surveys, focus groups, peer-to-peer consultations, literature reviews, etc., marketing strategies and practices with specific appeal to various demographic populations.
 - Benchmark against other state police agencies who have been successful at recruiting women and minorities.
- vi. Review the candidate selection and hiring process to ensure that interview panel members and process evaluators are, to extent possible, reflective of diversity.
 - vii. Conduct meetings with Community Leaders. The RISP Recruiting Plan should be expanded to engage community leaders who are representative of the state's diverse population. These leaders should help identify recruitment state wide strategies.
 - viii. Develop diverse Trooper recruiters who are committed, respectful and sensitive.
 - ix. Conduct meetings with all female and minority RISP Troopers to identify recruitment ideas to attract female and other minority candidates.
 - x. Identify organizational groups where female and minority candidates may be found.
 - xi. Identify specific strategies to create awareness of career opportunities for women and minorities.
 - xii. Evaluate the criteria by tracking the number of women and other minorities who apply and are subsequently hired.
 - xiii. Identify best practices to keep qualified candidates in the process.
 - xiv. Provide ongoing mentoring of the applicants.
 - xv. Conduct career nights specifically towards applicants in the hiring process that:
 - Allow for applicants to receive status updates on the process;
 - Provide a forum for face-to-face communications; and
 - Maintain applicant interest and connectivity during a potentially long selection process.
 - xvi. Conduct a focused recruitment drive at the beginning of a class of recruits. A proactive community-based approach should be undertaken in pursuit of ideal diverse candidates.

There should be highly visible and saturated marketing at institutions of higher education, community and church events, veteran events, athletic and fitness events.

- xvii. The Recruitment Plan should be in two phases: (i) implementation of a strategic marketing plan that begins with the commencement of the recruiting drive and concludes post-recruitment, and (ii) post application Recruitment Drive that monitors the applicant pool for retention during the selection process. Although the RISP has done such monitoring as previously outlined for the Class of 2016, such monitoring should be done in conjunction with the strategic marketing plan. The monitoring should continue until the last day of recruit training.

- xviii. In addition to the Preliminary and Supplemental Application for Employment, a background investigation questionnaire should be provided to the candidate along with an accompanying letter stating the purpose of the questionnaire, and setting the deadline for the return of the questionnaire with required responses and information. This will allow for the additional information to be provided consistent with the RISP Level 1 Background Investigation. Additionally, should the recommended background investigation questionnaire be utilized, seminars should be conducted to “walk through” the questionnaire with the candidate. This will reduce any incomplete answers, address any questions regarding what is being asked, and further clarify information being sought. See **Attachment 6** for an example background investigation questionnaire.

- xix. Automatic disqualifiers should be established and provided to each candidate at the time of application. Such disqualifiers will reduce the number of ineligible potential candidates, as well as eliminate the loss of valuable investigative time on those candidates who would not be eligible for employment. **Attachment 7** is a sample list of disqualifiers.

- xx. Each candidate should be asked the same set of questions to allow for an assessment based on the same criteria. Additional questions may be asked regarding any possible disqualifiers, omitted information, contradictory responses, or other derogatory information within the candidate’s file. Possible standard questions for all candidates could be, but not limited to:
 - Tell us about yourself and why you think you are the best candidate for this position and identify some key attributes that demonstrates that this is the right career for you.
 - What did you do in your last job or in school to contribute toward a teamwork environment? Describe how you felt your contributions affected the team.
 - Tell us about a time that you demonstrated leadership skills.
 - Give me an example of when you could successfully communicate with another person even when you felt the individual did not value your perspective.

- Training Academy training is physically demanding and extremely rigorous. What steps, if any, are you taking to prepare yourself for training?
 - Are you aware you will be paid approximately XXX every XX weeks and live in a residential platform?
 - Will this present a financial burden to you?
 - Are you willing to remain and live on base Monday through Friday throughout 26 weeks of training?
 - What is the role of a Rhode Island State Trooper as it relates to community relations?
 - Tell us about a time when you had to adapt to a wide variety of people by accepting/understanding their perspective.
- xxi. A background investigation review committee should be established. The committee would review those background questionnaires that may have disqualifying or questionable responses. Mitigating factors could be identified that, without the information and without giving the candidate an opportunity to explain, would, otherwise eliminate a qualified candidate. Based on the review, the committee, could ask the background investigator to obtain further clarification, send the candidates file onto the Oral Review Board, or determine that the candidate not be recommended for further consideration.
- xxii. Preparation classes should be offered to the candidates who have been accepted into the recruit class. Topics should include military drills and commands to assist those who have little or no military experience, physical training demonstrating how to increase upper body strength and cardiovascular endurance, and basics of boxing. Other such preparation classes could be offered, with some classes being mandatory based on the needs as identified by the Training Staff.
- xxiii. An awareness weekend should be conducted from Saturday to Sunday, whereby the tasks of a daily routine of the actual Training Academy training is provided. This will allow the incoming recruit to experience what Training Academy life will be like, providing an opportunity to become better physically and psychologically prepared.

B. Training

• Findings and Observations

General Order 26D sets forth definitions and the policy, provisions and curriculum for recruit training to be developed by the Training Academy Commandant and Training Committee. The Committee membership is not defined in the General Order but at the time of this Assessment it was comprised of a good cross section of the RISP.

Included within the definitions are the “Knowledge, Skills and Abilities” that will be used in evaluating the recruit’s competencies in the required skills. The General Order also provides for the Training Academy Commandant to prepare and distribute an orientation handbook addressing Training Academy rules and regulations, RISP organizational structure, testing and evaluation system, physical fitness requirements and training schedules.

General Order 26D also provides the basis and mechanism by which recruit field training is to be developed and delivered, the actual training and methodology, to include what is to be taught and the number of hours to be devoted to any training topic is left to the Commandant and adjusted based on current requirements and needs.

As stated in General Order 26D, the RISP Training Academy is in Foster, RI, at an old Nike missile base. Buildings have been converted for training purposes. Additional facilities are also used, such as the indoor pool at a local community college and a National Guard site. Although stated in General Order 26D that Recruit training is 22 weeks long, the Class of 2016 participated in a 24-week long training. Recruits are in residence from Monday to Friday, departing on Friday afternoon and returning on Monday morning.

By way of additional background, the training staff (3 sworn Troopers) is supplemented by sworn instructors and others, such as a member of the Rhode Island Attorney General’s Office instructing various law courses. State Troopers from neighboring states, such as Massachusetts, also assist on the first days.

Currently, there are 103 topics that are covered during the 24 weeks. Length of instruction per topic ranges from 1 hour to 168 hours for physical training. There is 112 hours for firearms and rifle instruction which includes safety and proper firearms handling. 3 hours is allotted for use of force and deadly force.

Physical Training (PT) is demanding and the 168 hours of scheduled PT does not include other related physical activity, such as push-ups and running from time to time for infractions. In some limited candid discussions, there were questions raised by some members of the RISP about the emphasis of PT and its relationship to success as a Trooper.

Of the 24 recruits from the Class of 2016 who did not complete the training, most had resigned within the first weeks of the Training Academy (February – March). Too little information is documented about the reason for the resignations.

During discussions with the Training Sergeant and a retiring Lieutenant, both of whom had experience with municipal training as well as the state police training, they stated that the Training Academy training had improved. Previous recruit training focused more on the physical aspects and toughness and current training was less so. There have been improvements, the interviews revealed; recent classes provided some balance with the focus on the duties and responsibilities of a Trooper. However, documentation or comparisons of curriculum were not available.

Staff feels the current curriculum is balanced, designed to address the skills, training, and education needed for the demands faced by today's Trooper. Yet nearly every interview on the subject turned to physical fitness and boxing as key elements of the Training Academy, an enduring hallmark. As noted by those recruits who resigned from the Training Academy Class of 2016, more than 50% resigned because they were not physically prepared or due to injury, including boxing injuries.

The PWG constantly heard the refrain, "If I had to go through it, then you have to go through it." This really is inconsistent with the best practices of 21st century policing standards. The demands and expectations of today's law enforcement professionals have significantly changed in the past decade and more so in the last few years.

Adult education is more nuanced. Developing listening skills, communication techniques and de-escalation tactics needs to be thoroughly implemented. All physical activities, classroom and live exercises should have a relationship to the skills required of today's Trooper. Conducting training activities because they have "always been done that way" is no longer a sound training concept.

The PWG sensed through numerous conversations with RISP personnel that forcing a recruit to quit and/or resign was part of the deliberative process to only graduate those who could make it.

The RISP expends significant time, tax dollars and other assets to identify qualified recruits for the Training Academy. Although the recruits are challenged to assure that they are well qualified to perform the duties of a law enforcement officer, there appeared to be little interest in developing a process to help recruits overcome obstacles.

Focus group responses reinforced observations and individual conversations. The focus group discussions with respect to recruit training revealed overwhelmingly a sense that "If we did it, all new recruits need to do it." They all acknowledged that the training is difficult but that it is necessary, and it is this training that distinguishes the RISP from other law enforcement organizations. The majority of those interviewed do not believe that physical training should be altered or "watered down" and if the recruits cannot make it through training then they should not be a Trooper with the RISP. The majority of those interviewed believed that the substance and tone of the Training Academy contributes to the culture of the RISP.

The RISP is involved in both limited in-service training and mentoring. In-service training is offered to Troopers at least twice annually and topics are selected based on current needs. For example, in-service courses are provided for changes in the law and updates on practices and procedures. Annual In-Service, Shift Briefing and Advanced Training is addressed in General Order 26G.

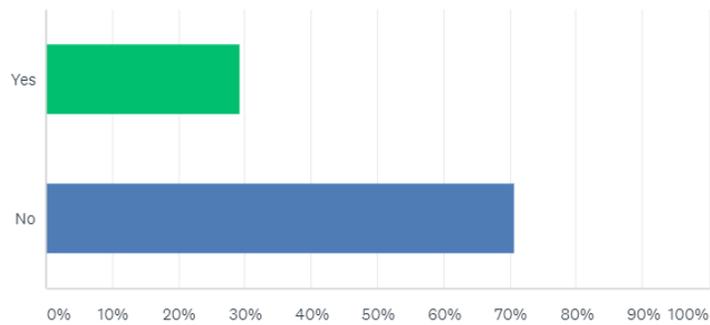
Despite the General Order, the majority of those interviewed stated that there is not much in-service training at the RISP. Most agreed that they would like to see a more proactive approach

to in-service training. Many believed that a more robust in-service training program would enhance all aspects of their performance.

The PWG focused on mentoring as a method to develop recruits and enhance careers of all personnel. Survey questions were designed to gauge the understanding and use of mentors in the RISP. The survey indicated that mentoring does not seem to be ingrained in the RISP culture to either assist career development or enhance 21st century law enforcement skills. Similarly, most of the respondents indicated that they were not satisfied with the in-service training programs that would be professionally helpful.

Do you have a mentor at the RISP?

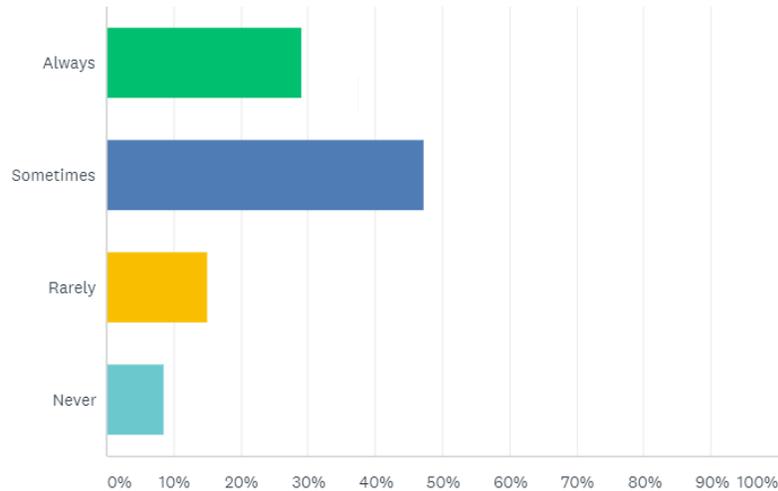
Answered: 92 Skipped: 6



ANSWER CHOICES	RESPONSES
Yes	29.35% 27
No	70.65% 65
TOTAL	92

Are you satisfied with the training programs in place to advance your career in RISP?

Answered: 93 Skipped: 5



ANSWER CHOICES	RESPONSES
Always	29.03% 27
Sometimes	47.31% 44
Rarely	15.05% 14
Never	8.60% 8

- Recommendations

- Explore the use of social media as a means for recruits to communicate while in the Training Academy only. This allows for the sharing a wide range of topics and information. It should not be accessible by the Training Academy Staff.
- The Training Academy staff should review their training schedule to ensure that each training block is interrelated. The RISP should conduct a substantive review of its Training Academy curriculum.
- During the Training Academy, the mentor program should be developed. With other departments, weekly meetings have proven to be beneficial and aid in retention. The recruit meets with his/her mentor to discuss the past week and look at the coming week's events. This allows the mentor to observe any challenges that may exist and address them as soon as possible. This approach should improve the physical and mental health of the recruit. There were members of the Class of 2016 who resigned because of personal problems; this approach may in the future retain recruits dealing

with personal problems. The program should also engage those from outside the department who can assist, such as community leaders, to speak with the recruit and be a valuable resource.

- iv. Remedial training for certain specific aspects of the Training Academy should be considered.
- v. A “concussion card” should be used. After every boxing match, each participating recruit be given a card that asks a series of basic questions. Answers would provide the Training Academy Staff of any potential concussion injuries warranting further evaluation by qualified medical staff.
- vi. Formal written exit interviews should be conducted as part of the resignation process designed to assess systemic problems. An example can be seen in **Attachment 8**.
- vii. RISP should consider implementing internal and external continuing education programs; in particular, programs with people from different backgrounds and disciplines.

IV. TASK 2: PROMOTIONAL PROCESS

A. Findings and Observations

Effective promotion processes accomplish four objectives. First, they are built with an eye toward succession. Second, they “...create a deep pool of internal candidates kept well-stocked by a leadership development process that reaches from the bottom to the top. Third, they install, then continually update and refine, a succession plan and have in place a thoughtful

“Law enforcement agencies should provide leadership training to all personnel throughout their careers.”

The President’s Task Force on 21st Century Policing: Final Report, Recommendation 5.3, May 2015

process for making decisions about candidates.”¹³ Finally, employees need to view the promotion process as fair, objective, performance-based, and relevant to specific positions.

In law enforcement agencies, leadership is not a position; it’s a continuous action, for good or bad, that starts when the Trooper conducts a traffic stop and continues through the organization to the superintendent establishing agency priorities. The public expects leadership from patrol personnel, the most visible face of law enforcement, when carrying out law enforcement activities. Supervisors set the tone for their squads and play a critical role in translating agency policies and rules into operational practice.¹⁴ According to a study of 56 change and innovation initiatives in Fortune 500 companies, the success or failure of those initiatives invariably turned on the active participation of middle management.¹⁵

Continuing education programs—like the requirements of the legal and medical professions—will improve the quality and equity of policing outcomes. Bernard Bass concluded that “born leaders” were unlikely; in his view, leaders are created in one of three ways: the Trait Theory - personality traits can lead people into leadership roles; the Great Event Theory - some people are forced into leadership by galvanic, tumultuous events; and, the most common and most relevant to law enforcement agencies, the Transformational Leadership Theory¹⁶, in which people choose to be leaders and develop the requisite skills and qualities as they grow in experience and knowledge.¹⁷ Taking Bass at his word, investments in professional development will pay lasting dividends by improving critical thinking and problem-solving skills of individuals within an organization.

General Order 28C establishes the promotional procedures and guidelines for sworn RISP members. The Order sets forth the policy, eligibility for promotion, written announcements, Command Staff and Lieutenants recommendations, published list of recommended candidates, Command Staff Promotional Committee, final approval and an appeal process. A written announcement is published by August 31st of each year and those eligible for promotion are given 15 days (September 1 – September 15) to submit a written request to be considered. The list is good for 1 year. If the request is not submitted by the cutoff date, requests cannot be submitted until the following year. No other sworn member can submit a promotional request for another sworn member. Superior officers may not submit a promotional request for any subordinate. Each step of the process is outlined including the criteria that will be considered. The process is administered by the OIC – Professional Standards.

¹³ *Ending the CEO Succession Crisis*, Charan, Ram; <https://hbr.org/2005/02/ending-the-ceo-succession-crisis>

¹⁴ *Research for Practice: How Police Supervisory Styles Influence Patrol Officers Behavior*, National Institute of Justice, <https://www.ncjrs.gov/pdffiles1/nij/194078.pdf>

¹⁵ *The Key to Change is Middle Management*, Tabrizi, B. Harvard Business Review, October 27, 2014

¹⁶ http://discoverthought.com/Leadership/References_files/Bass%20leadership%201990.pdf; accessed on September 1, 2016

¹⁷ http://changingminds.org/disciplines/leadership/theories/bass_transformational.htm, accessed on July 25, 2017

Each of the Lieutenants receives the list of all those who have submitted requests for promotion. The list is divided among the 3 ranks of Corporal, Sergeant and Lieutenant, and each Lieutenant must select their "top 10," listed in order of preference, for each of the 3 ranks. The Lieutenants meet as a group and discuss the merits of each of their selections. Each candidate receives a certain amount of points (10-1) from each Lieutenant. The top candidate receives 10 points, the second receives 9 points, and so on, with the last candidate or the 10th candidate receiving 1 point. Each Lieutenant votes on all candidates. For example, if the 24 Lieutenants each voted for the same candidate as the top choice, the candidate would receive 240 points (10 points for the top position x 24 Lieutenants).

The PWG interviewed several Lieutenants and was advised that some Lieutenants will inquire about a particular candidate, review or request background performance information about a candidate, or go on personal knowledge. Not all Lieutenants undertake such processes, therefore the available material for each candidate is not consistent, nor equally available to each reviewing Lieutenant.

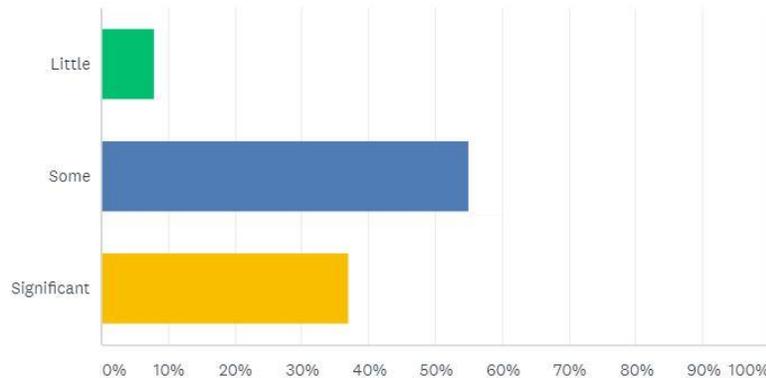
The 3 ranked lists are then submitted to the 12 members of the Command Staff for recommendation to fill vacant positions. The lists are by seniority with the scored rank next to each name. The Command Staff then submits its recommendations to the Colonel for final selection.

When asked what should be given consideration regarding promotions, the majority of RISP survey respondents stated that some consideration should be given to the following: a written exam, a performance evaluation and seniority, as well as an interview. Of all four options, seniority was given the most weight by the respondents.

Like the survey, the focus groups unveiled a strong preference for seniority. One officer stated, "When it's your time, it'll happen."

If changes were implemented, what weight might seniority be given in the promotion process?

Answered: 89 Skipped: 9



ANSWER CHOICES	RESPONSES
Little	7.87% 7
Some	55.06% 49
Significant	37.08% 33

Current RISP practice indicates that promoted members can go from investigative units directly back into Patrol, but that promoted Patrol members cannot or do not get promoted and assigned directly to investigative units. The current process documented in General Order 28C lacks transparency and relies heavily on a subjective rating system.

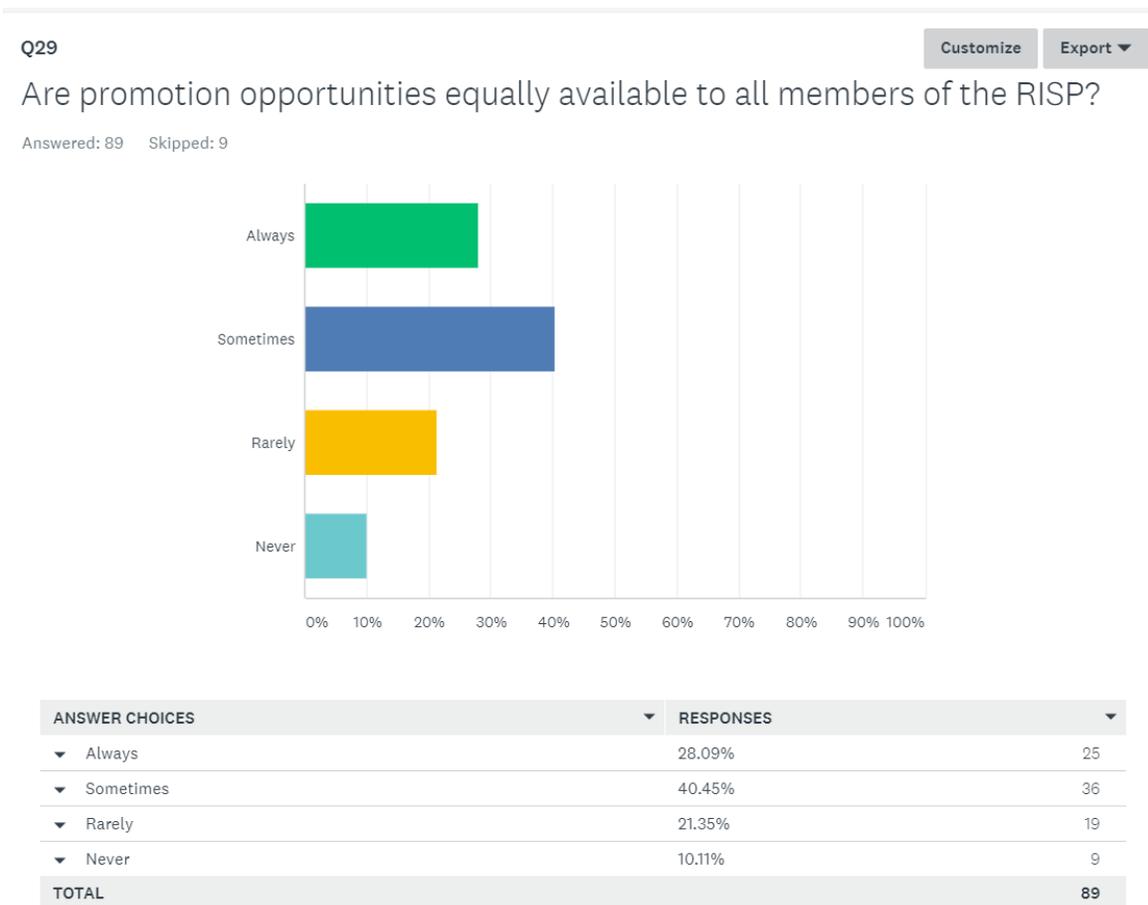
The decision process or criteria used by the Command Staff to make their selections and recommendations to the Colonel are not transparent. The process used by the Colonel to make the final promotion decisions also lacks transparency. Both important steps appear to be subjective.

Ratings are susceptible to distortion due to:

- Lack of uniform efforts by officials to collect and forward candidate information for review;
- Score skewing generated by differing levels of supervision between patrol and investigative functions;
- Lack of specific requirements for performance reviews and other documents supporting the request of individual candidates;
- Rater bias

Position descriptions are largely generic; many are outdated. Survey results document significant misgivings about the existing promotional process:

- Nearly eight out of ten respondents expressed concerns about the fairness and transparency of the promotion process. (Q18)
- Only 7 percent responded “always” if promotions were merit-based; 61 percent answered “sometimes” 23 percent marked “rarely,” and 9 percent said “never.” (Q16)
- More than half of the respondents said they were “always” or “sometimes” comfortable when seeking supervisor feedback about non-selections. (Q23)
- Slightly more than seven out of ten respondents expressed reservations when answering the question: “Are promotion opportunities equally available to all members of the RISP?” (Q29)



As a rule, no scheduled supervision or leadership training is provided to newly promoted personnel other than periodic random training available through police organizations. Survey results also disclosed concerns about access to professional development training programs. Of those responding to the survey, 48 percent answered “sometimes;” 13 percent said “rarely;” and, 9 percent marked “never” on the survey. A third responded “always.”

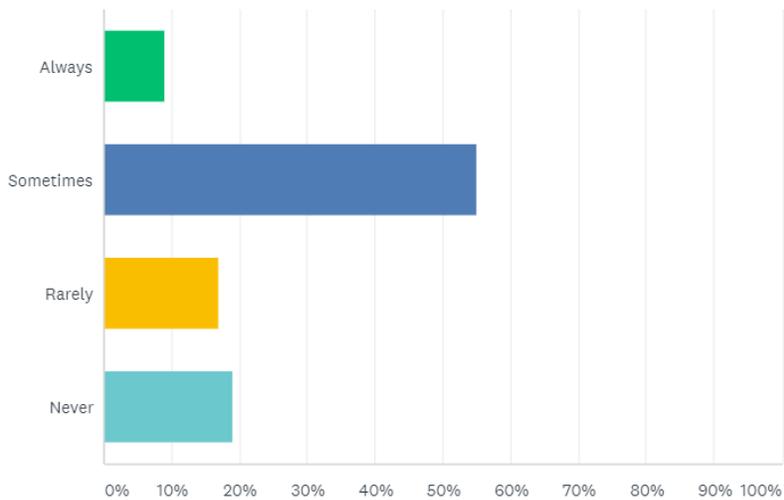
From the survey responses, it appears that the promotion process within RISP is unclear. Many stated that they are unaware of the basis of the promotion process. Respondents did not feel that the process is always fair and transparent, and many were unaware as to whether

guidance was available throughout the process. It is also important to note that most of the respondents stated that they sometimes feel comfortable approaching a supervisor for feedback after the promotion process, and a significant number of respondents indicated that favoritism plays a role.

In contrast to the survey, during the focus group sessions, the overwhelming majority of those interviewed indicated that they are content with the promotion system as it is. The majority were also in agreement that a written test should not be included in the promotion process.

Is the promotion process fair and transparent?

Answered: 89 Skipped: 9



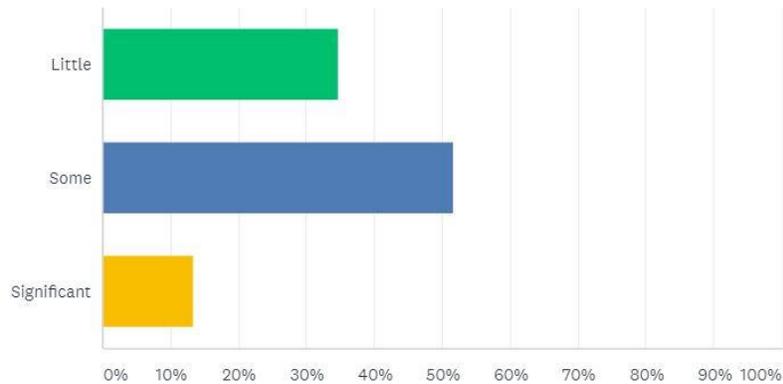
ANSWER CHOICES	RESPONSES
Always	8.99% 8
Sometimes	55.06% 49
Rarely	16.85% 15
Never	19.10% 17

The overall opinion of focus groups was that promotions should be based on seniority; as one individual indicated, Troopers “don’t want to see people getting jumped over for promotions who have seniority.”

The majority of those interviewed also indicated that they are strongly opposed to implementing a written test.

If changes were implemented, what weight might a written exam be given in the promotion process?

Answered: 89 Skipped: 9



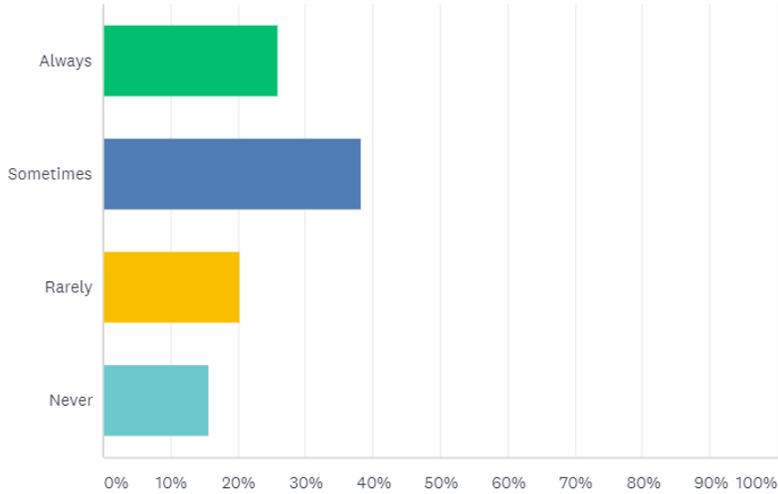
ANSWER CHOICES	RESPONSES
▼ Little	34.83% 31
▼ Some	51.69% 46
▼ Significant	13.48% 12

Specific concerns expressed in the focus groups included the following: differing shift times and unit assignments creates an unequal amount of study time available to officers; differing ages and levels of education could lead to a gap in successful studying techniques; and some individuals perform poorly on written exams despite familiarity with the information. The majority also indicated that the current promotion system based on seniority does not allow for poor performance at the RISP because peer pressure guarantees that every Trooper regardless of time on the force is performing at their full potential thus ensuring the equity of promotions. As one individual noted: “You will work harder if you see someone younger than you working harder.”

Those in the focus groups noted that there is a method to receive feedback within the promotion process, however, according to one individual, the overall culture at RISP is that “you don’t challenge your senior ranks.” As a rule, you accept the decision and wait your turn by seniority.

Are you comfortable approaching a supervisor for feedback if you are not selected for the promotion.

Answered: 89 Skipped: 9



ANSWER CHOICES	RESPONSES
Always	25.84% 23
Sometimes	38.20% 34
Rarely	20.22% 18
Never	15.73% 14

B. Recommendations

The PWG offers several recommendations as set forth below. Recognizing that the promotional process should consider multiple sources of information, the PWG offers alternative processes and criteria for promotional consideration. Specifically, while a written test is suggested, a proven promotional process, that does not include a written test but considers other criteria is offered for consideration. Both options are provided to give the RISP the broadest opportunities to consider what would achieve its objectives and goals.

- i. RISP should include measurable objectives in the promotional process. The process should include position descriptions with job qualifications, “dimensions” or statements of knowledge, skills and abilities which relate to the position. Sworn members vying for promotion should clearly understand the skills required for the position. The process must be transparent. The skills, knowledge and demonstrated experience must be objectively addressed in the process.

- ii. Provide the procedure for the promotion applicants to submit their own resumes and detailed statements of qualifications based on the rank description for the rank being sought. Develop policy, procedure and guidance on the form of the application. This process allows the employees direct input into their promotional efforts as they get a direct and personal chance to make arguments for their promotion. When making their own cases they can highlight their career and life experience, including their educational backgrounds, positions held, work accomplished and subject matter expertise. They can provide personal testimony about the impact that their work has had on the agency and its mission, employees and public safety in general. Providing the ability for the employees to have a voice in their promotional efforts is a valuable tool for morale. In addition, it helps the employees learn to articulate their value to the organization.
- iii. Avoid the appearance of impropriety of any rater due to such issues as: bias, personal friendships and family relationships.
- iv. Consider the use of assessors from outside the agency in evaluating applicants for promotions.
- v. Develop a transparent process for evaluating candidates. The evaluation might include factors such as:
 - written tests
 - candidate application package
 - interviews
 - performance evaluations
 - ranking by lieutenants
 - education
 - time in grade
 - seniority
- vi. The practice of limiting promotion assignments to only those newly promoted members who had served in those specialty units should be reconsidered. The leadership and management principles expected of newly promoted members should be designed such that the newly promoted member can manage nearly every group of subordinates. This would allow more movement of newly promoted members and provide more upward mobility as opposed to limiting the field to those who have served in those specialized positions. This relates back to the initial recommendation that promotions should be related to very detailed and articulated job position descriptions and the traits and skills desired for each rank. The specific knowledge base will come from a dedicated supervisor learning his or her position.

- vii. Consider reviewing the promotional approach similar to that used by the New Jersey State Police (“NJSP”). Because of a federal consent decree, the NJSP redesigned its entire promotional system to make it more transparent and to remove as much subjectivity as possible. See **Attachment 9** for more details.

V. **TASK 3: PROFESSIONALISM AND ADMINISTRATIVE ACTION**

As the RISP Division Creed states: “You are always to remember that you are in the Rhode Island State Police and in the service of the State. It is a call of honor. It requires unselfish devotion to duty, the highest type of honesty and downright courage.” During the hundreds of interactions throughout this assessment, the PWG noted that the appearance and demeanor of RISP personnel was unvaryingly consistent. Compliance with this aspect of the RISP ethos likely contributed to the low number of complaints. It is noteworthy that 129,910 citizen contacts during 2016 resulted in only twenty-seven complaints.¹⁸ These contacts included a wide range of conventional law enforcement actions, e.g., arrests, traffic stops, code enforcement, investigations, etc.

“A law enforcement agency is only as good as the aggregate of its membership and, in some cases, it is only as strong as its weakest or least professional officer.” Policing in America, Gaines and Kappeler

There will be complaints. While the number of complaints is relevant, how the complaints are addressed is critical. When citizens feel sufficiently aggrieved to make a complaint, that complaint should be investigated promptly and properly. In America— “where the police are the people and the people are the police¹⁹— the interests of the public and law enforcement are convergent. Based on trust and goodwill, the public grants power to law enforcement to maintain order and to ensure public safety. In turn, law enforcement agencies have “an appreciation and accommodation of the broad range of contributions to public safety that can be made by other parties are essential to quality policing services.”²⁰

Decades of research and practice support the premise that people are more likely to obey the law when they believe that those who are enforcing it have the right – the legitimate authority

¹⁸ Rhode Island State Police 2016 Annual Report.

¹⁹ Peel, Robert, 1829: Establishment of the Metropolitan Police Service of London

²⁰ Sparrow, Malcolm: *Handcuffed: What Holds Policing Back, and the Keys to Reform*: Brookings Institution Press, Washington, D.C. 2016

– to tell them what to do. In most cases, respect for authority is a stronger motivator than fear of formal punishment.

Research²¹ suggests that when citizens consider the police to be legitimate, they are more likely to cooperate with officers, defer to them in moments of crisis, and obey the laws they enforce. In a time when police-community relations are increasingly questioned, agency legitimacy can never be taken for granted; what can take years to build can be undone in an instant.

In many cases, complaints will prove unfounded; traffic stops, code enforcements, field interviews, etc. are, for the most part, adversarial. Rarely are these encounters enthusiastically received by citizens. Nonetheless, their complaints should be handled promptly and transparently. Complaints that lack substance but are made in goodwill should be viewed as opportunities to explain why and how enforcement actions take place.

Minor citizen complaints can serve as early warning systems and provide opportunities for coaching and counseling interventions. Serious misconduct and questionable use of force incidents, particularly in circumstances when social media acts as an accelerant, pose significant risks to agency authority and credibility. In these circumstances, the best defense is a visible, comprehensive, and documented investigation that makes factually supported findings.

Over the past several years, many law enforcement agencies in U.S. and the United Kingdom have increased efforts to install patrol vehicle video systems and equip their officers with body worn cameras (“BWCs”). Largely due to the inherent dangers of conducting law enforcement actions in isolated areas by one-trooper units, patrol vehicle video systems are commonplace in state police and highway patrol agency agencies.

BWCs are a more recent development. According to the Police Executive Research Forum²², BWCs work to:

- “Strengthen police accountability by documenting incidents and encounters between officers and the public.
- Prevent confrontational situations by improving officer professionalism and the behavior of people being recorded.
- Resolve officer-involved incidents and complaints by providing a more accurate record of events.
- Improve agency transparency by allowing the public to see video evidence of police activities and encounters.
- Identify and correct internal agency problems by revealing officers who engage in misconduct and agency-wide problems.
- Strengthen officer performance by using footage for officer training and monitoring.

²¹ Casserole, et.al, *Crime Prevention Research Review Police Legitimacy*; <https://ric-zai-inc.com/Publications/cops-p262-pub.pdf>; accessed on July 23, 2017

²² Implementing a Body-Worn Camera Program: Recommendations and Lessons Learned, https://cops.usdoj.gov/html/dispatch/10-2014/body_worn_camera_program.asp, accessed on July 30, 2017

- Improve evidence documentation for investigations and prosecutions.”

The reality is that public videotaping is now an element of the American law enforcement experience. Agencies can expect that their public activities will be taped and often with less than benign purposes. If they are not recording, they can be sure someone else is recording.

The absence of identification nameplates is inconsistent with PWG experience. While recognizing the obvious and justifiable pride in RISP uniform appearance, requiring uniform personnel to wear nameplates advances citizen perceptions of transparency.

Police officers, state troopers, and sheriff’s deputies are the most overt symbol of the criminal justice system in United States. They are a visible and daily representation of a legitimate source of authority in our free society. Given the widely accepted notion that police officers are often the most accessible and public face of our democratic government through their constant interaction with the public, the public’s view of police integrity is often how their assessment is made regarding the appropriateness, fairness, and quality of all criminal justice-related governmental actions. In states and cities across the country, the public views the police as not only the face of government, but more often specifically representing the entire criminal justice system.²³

Consequently, any unjust action on the part of the police is often viewed as a failure of the entire system. Likewise, any failure on the part of the police of any agency or department is often seen as a failure of police in general. This includes not only gross violations, such as excessive use of force, bribery or corruption, but also more subtle distortions of prejudice, bias, fraud and abuse. This also and most obviously includes how troopers and police officers enforce the law and treat people. What is equally or perhaps even more critical than the initial police action is the assurance and belief and acceptance by the public that whatever potentially inappropriate action took place or is alleged to have taken place will be properly investigated and addressed.²⁴

Police authority is provided by the Constitution and that power is given to the police by the people under the premise that this authority will be properly and appropriately used. This issue, while always paramount, has taken on heightened focus given today’s current events. Police professionals maintain that public trust by not violating it, and when it is violated, by ensuring that it is properly investigated and adjudicated. Consequently, it seems now, more than ever, the effectiveness of any public safety agency is greatly dependent on its internal integrity and external reputation in the community. Quality investigations into uses of force and citizen complaints of misconduct are necessary to protect the public as well as the reputation of the department and the integrity of the individual trooper. Such investigations, when done correctly, protect the integrity of the agency.

²³ Police Deviance, Third Edition, Thomas Barker and David L.Carter, Anderson Publishing Co. 1994

²⁴ Police Deviance, Third Edition, Thomas Barker and David L.Carter, Anderson Publishing Co. 1994

Given the considerable yearly number of interactions with residents and those who traverse the state of Rhode Island, citizen complaints and use of force incidents are very low. Given the professionalism of the RISP and its accreditation status, there currently exists a complaint investigation process, however, it appears that the process can be unclear at times.

To be sure, all disciplinary processes are adversarial. They produce “winners and losers” and no process is immune from complaint or criticism. The survey results, with allowance for the usual negative connotations of discipline, point to policy enhancement opportunities that are based on organizational justice principles.

Organizational justice (often referred to as procedural justice) is the employees’ opinion—for good or bad—about the fairness of their work environment. It is based on an employee’s perception of 1) the fairness of the distribution of resources; 2) the fairness of the organization’s procedures; 3) the fairness and respectful treatment of the employee; and 4) the timeliness and relevance of information provided to the employee.

These are troubling times for American law enforcement. A Pew Research Center²⁵ survey (released January 2017) of nearly 8,000 police officers reported that nine out of ten officers “have become more concerned about their safety²⁶” and 72 percent were “less willing to stop and question people who seem suspicious.” Officers feel increasingly threatened, are more reluctant to confront suspicious behavior, and are understandably unwilling to be the subject of the next viral video.

In law enforcement agencies, procedural justice is associated with numerous beneficial work-related outcomes. Recent research²⁷ suggests establishing management practices that are grounded in procedural justice principles reduces misconduct, fosters community engagement, and increases compliance with agency policies. The 21st Century Police Task Force, noting these findings, states “Internal procedural justice principles should be adopted for all internal policies and interactions.”

²⁵ *Behind the Badge*, Pew Research Center, <http://www.pewsocialtrends.org/2017/01/11/behind-the-badge>, accessed on July 27, 2017

²⁶ Nota Bene: The survey took place before ambushes of officers in Dallas (July 2016; 9 wounded, 5 slain), Baton Rouge (July 2016; 6 wounded, 3 slain), and New York City (July 2017, one officer slain) took place.

²⁷ *Why do ‘the law’ comply? Procedural justice, group identification and officer motivation in police organizations* <http://journals.sagepub.com/doi/abs/10.1177/1477370813491898>; *Overcoming cop culture? Organizational justice and police officers’ attitudes toward the public*; <http://www.emeraldinsight.com/doi/full/10.1108/13639511311329732>; *Organizational Justice and Police Misconduct*; <http://journals.sagepub.com/doi/abs/10.1177/0093854810397739>

A. Investigations

• Findings and Observations

General Order – 3C, provides for intake procedures, notification procedures and discusses internal investigations handled by the PSU and unit supervisors. The current policy provides definitions of internal investigations, interviews and personnel complaints. It outlines the recordation process as well. This directive also provides for disciplinary procedures.

This General Order provides for the opportunity to clearly state the position of the RISP in terms of integrity and service to the public that relates to the purpose and importance of internal investigations. As the integrity of any police agency is dependent upon the performance of its members and the integrity of the internal investigation procedures, this General Order starts out with the purpose of such internal investigations and provides clarity to all RISP employees as to the importance of these procedures. This General Order also provides the opportunity to clearly state the internal investigative procedure to the agency. Part of that process includes the handling of internal/external complaints that may potentially include some aspect of criminal conduct. The order also ensures that there is a clear process for complaint investigations regarding personnel. Clarity of those procedures leads to greater understanding, transparency and acceptance of the process, which generally will have a positive impact on agency morale.

Complaint case files and investigations for the past five years were reviewed and the quality of the investigations improved dramatically as those five years progressed. The PWG assessment of historical files indicated the following:

- Inconsistent organization of investigation files.
- Inconsistent and varying investigative efforts; while some files were complete, others were not and lacked documentation of steps ordinarily taken during complaint investigations.
- Incomplete case files lacking witness statements, documentation of the initial complaint and other materials typically available and relevant to complaint investigations.
- Inconsistent correspondence with complainants.
- Unsupported findings; some files included plausible, defensible arguments, others left investigative avenues open or offered ambiguous conclusions.

During this review process, as a result of an open dialogue, the Commander of the PSU made significant administrative improvements to continue to improve and standardize the quality of investigations.

Existing policy provides recordkeeping, investigation, and notification requirements but does not establish a formal, structured disciplinary and corrective action process. It is critical that the investigative process, to include the manner in which complaint case files are prepared, are

standardized so that there is a consistency to investigations and case file records. Disciplinary actions historically are imposed by the Colonel on an ad hoc basis. A lack of internal procedural justice contributes to employee mistrust of the agency disciplinary complaint process.

While a majority of the RISP members indicated that they understand the discipline process, about 30% indicated that they do not. Additionally, more than 40% of those surveyed indicated that they only sometimes have confidence in the discipline process, while 33% rarely or never have confidence in the process. Most responses indicated that the discipline process is unclear and many would favor a more structured and transparent process. Specifically, the respondents indicated that they would favor an internal review board, as well as clearly defined penalties for each infraction. Those interviewed during the focus group indicated a similar level of confusion with the discipline process, they expressed concern with the lack consistent penalties for what they perceive as similar misconduct.

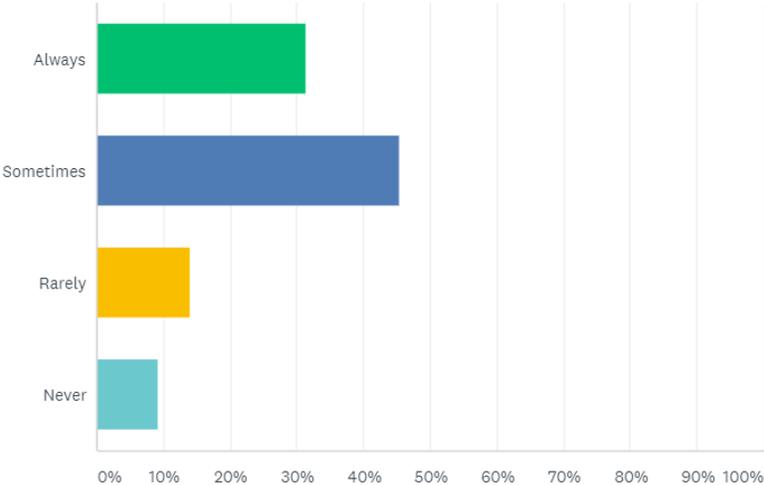
During the focus group, those interviewed who were corporals and above expressed no concerns with the discipline process. They indicated that there are not many complaints because they “have 94% public approval.” Those corporals and above also shared that in most instances RISP members “own up to offenses and accept punishments.” The overall opinion of those in higher ranks was that they have a good line of communication and successful behavioral correction policies.

With respect to the complaint process, investigation process and discipline process, the following results were of significant note:

- Seven out of ten respondents understood the citizen complaint process; the remainder did not.
- There are significant misgivings regarding the investigative process. For example, in response to the question 34 that asked, “Do you have confidence in the investigative process of a citizen’s complaint?”; 32% marked “always”; 44% said “sometimes”; 14% answered “rarely”; and 10% responded “never.”

Do you have confidence in the investigative process of a citizen's complaint?

Answered: 86 Skipped: 12



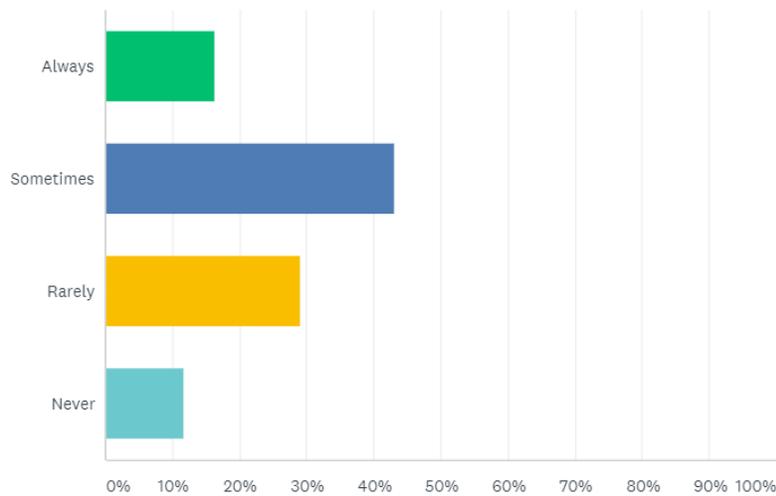
ANSWER CHOICES	RESPONSES
Always	31.40% 27
Sometimes	45.35% 39
Rarely	13.95% 12
Never	9.30% 8

Nearly seven out of ten (68%) respondents understand the discipline process (Question 33).

- Only 20% of the respondents had confidence in the process; the remainder of respondent expressed varying degrees of misgiving: 47% answered “sometimes,” 21% said “rarely” and 12% marked “never” on the survey (Question 34).
- Regarding favoritism influencing the investigative and discipline process, 12 percent said “never,” 30 percent marked “rarely”, 42 percent said “sometimes,” and 17 percent responded “always.” (Question 36)

Does favoritism have an influence on the investigative and discipline process?

Answered: 86 Skipped: 12

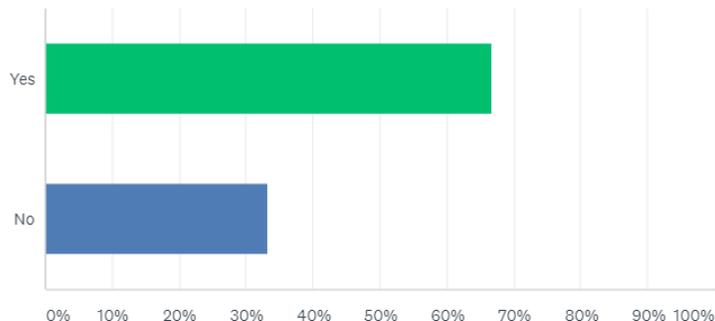


ANSWER CHOICES	RESPONSES
Always	16.28% 14
Sometimes	43.02% 37
Rarely	29.07% 25
Never	11.63% 10

- Three out of four respondents favored installation of an internal review board to review investigations and make corrective action recommendations (Question 37).
- Nearly seven out of ten (67%) respondents thought that a penalty matrix guideline to determine corrective actions was a good idea (Question 38). See **Attachment 11** for the Philadelphia Police Department Disciplinary Code.

Do you favor a disciplinary process which includes a matrix or table providing a range of penalties which may be used as one of the guidelines for determining the appropriate disciplinary action various offenses?

Answered: 87 Skipped: 11



ANSWER CHOICES	RESPONSES
Yes	66.67% 58
No	33.33% 29

- **Recommendations**

i. General Order 3C should be modified as follows:

- Reinforce the opening statement to emphasize that proper complaint handling is fundamental to maintaining agency credibility and authority.
- Mandate reporting of any misconduct by agency employees.
- Clarify the intake process to ensure all complaints are accepted and processed; establish clear requirements—absent exigent circumstances—to report complaints immediately, including those circumstances in which complainants refuse to submit a complaint in writing.
- Establish procedures that require notification to the PSU of all complaints; identify circumstances that require the Colonel to be notified, e.g., use of force, employee-involved domestic violence, allegations of criminal activity or serious misconduct, misuse of authority, etc.
- Provide specific instructions regarding complaint procedures, complaint case file preparation, and internal investigation processes; categorize complaints handled by the PSU and those to be addressed at the unit level. Some of this may be accomplished through the creation of a Handbook for the PSU which will codify the investigative processes to include case file preparation and related matters,

and also assist the agency and command personnel in consistency, continuity, succession planning, and agency resiliency regarding internal matters.

- Establish centralized recordkeeping of all complaints and investigative results; assign the PSU review responsibility of all unit-level investigations as a check on investigative thoroughness and factually supported findings; ensure receipt and finding letters are sent to complainants.
 - Ensure consistency of investigations and recordkeeping; use checklists and templates to establish specific agency expectations pertaining to investigative efforts, standards of proof and documentation (an example is at **Attachment 10**).
 - Require 24-hour preliminary reports to the Colonel for complaints involving alcohol, domestic violence, arrests of agency employees and instances where complainant reports injuries.
 - Assign investigative responsibility to the PSU for the following: use of firearms or any use of force that results in injury; internal domestic violence incidents; harassment, bias and discrimination complaints; criminal misconduct allegations; incidents, if verified by investigation, that could result in removal; and any matter determined by the Colonel.
- ii. Incorporate aggregate complaint statistics into the performance management review process.
- iii. Create an abbreviated process for traffic citation complaints.
- iv. Increase the staffing of the PSU with at least one investigative sergeant and one administrative employee.
- v. Assign exclusive responsibility for criminal conduct complaints to the PSU.
- vi. Explore installing in-car video systems and equipping Troopers with body-worn cameras.
- vii. Discuss equipping uniform personnel with nameplates in addition to their badge numbers.
- viii. General Order 3C should be further modified with respect to disciplinary matters or, in the alternative, a new order dedicated to the disciplinary process should be created to:
- formalize agency disciplinary processes;
 - separate PSU investigative and recordkeeping functions from the imposition of penalties and corrective actions;

- establish, by offense, a matrix to align ranges of potential corrective actions to categories of sustained allegations (see **Attachment 11** for the Philadelphia Police Department Disciplinary Code);
- increase command officer participation in corrective action decisions; and,
- incorporate “Douglas Factors” in determining corrective actions (see **Attachment 12.**

B. Use of Force

- **Findings and Observations**

The current RISP Use of Force policy includes the appropriate definitions and comports with 21st Century policing practices by including a policy statement regarding the value of human life. The policy provides use of force parameters and provides guidelines and parameters regarding training, first aid, qualification, less lethal force options, carrying firearms while off-duty, intentional and accidental discharges, notification and reporting procedures, etc. It is noted that General Order 77G addresses Investigations of Officer-Involved Shooting by Division Members and that investigative procedures are addressed more in depth in that policy.

As noted, this General Order critically includes mention of the value and sanctity of human life which is now considered a seminal statement in any use of force policy. As is not uncommon, RISP also uses several attendant orders regarding use of force and less lethal use of force weapons, and an additional directive regarding use of force investigations. Given the gravity and nature of use of force in any police organization, such policies are critical to ensuring adherence and performance, and ensuring the trust of the communities served. As it relates to Use of Force reports and investigations in this instance, the policy seems to support and allow for the chain of command review of the Use of Force report in most instances to essentially serve as the Use of Force investigation.

Very few of the arrest by the RISP involved the use of force. In fact, of the 4,962 arrests by RISP members in 2016, 29 involved the use of force.²⁸ The current policy mirrors Graham V. Conner, 490 U.S. 386 (1989) deadly force requirements and limitations. Before the end of the tour of duty, RISP personnel are required to report any Use of Force on the Response to Resistance/ Non-Compliance form. Copies of the arrest/incident report and applicable statement are attached to the Use of Force report. The form, with attachments, is forwarded through the chain of command to the PSU. PSU reviews the report to determine whether “division rules, policy or procedures were violated; current policy is understandable and effective to cover the situation;” and if division training is adequate. PSU findings are forwarded to the Colonel.

²⁸ RISP Annual Report for 2016

- Recommendations

- i. Modify General Order 51 and 77 to:
 - reinforce the sanctity of human life and state that lethal force is authorized only in extreme circumstances;
 - broaden agency policy beyond the requirements of *Graham v. Conner*; accentuate tactical repositioning, crisis negotiating, and de-escalation when circumstances permit (completed on 5/16/2017);
 - consolidate Use of Force and Less Lethal Use of Force policies; change “Less than Lethal” to “Less Lethal” to maintain consistency with contemporary professional usage (completed by agency on May 16, 2017); and
 - define display of service firearms (during enforcement activities) as a Use of Force and subject to reporting and investigation requirements (completed by agency on May 16, 2017).
- ii. Provide crisis intervention, de-escalation, scenario-based exercises and tactical repositioning training to all sworn members who have frequent contact with the public.
- iii. Assess Police Executive Research Forum’s Critical Decision-Making Model for incorporation in recruit and in-service training programs.
- iv. Modify General Order 77G to:
 - change the term “Less than Lethal” to “Less Lethal;”
 - assign 24-hour preliminary reporting responsibilities to Division Commander;
 - modify procedures for placing involved members on administrative leave to provide for consultations between the PSU commander and the relevant Division Commander;
 - strike “if time allows” from Part IV, Procedure, B-9 to ensure that photographs are taken and scenes are diagrammed;
 - modify Part I, Release of the Shooting/Incident Scene, Number 2 to reinforce that Use of Force scenes should not be released until chain of custody rules of evidence are met; and,
 - incorporate all use of service weapon investigations into the General Order.
- v. Create a quarterly Use of Force panel review process to identify policy changes, training requirements and equipment deficiencies. Involve representatives from patrol, training, administration and the PSU in these reviews.

- vi. Install a two-step Use of Force investigation process that requires: (1) preliminary report, within 24 hours through the chain of command (see example at **Attachment 13**); and (2) a completed investigation within 30 days that documents investigative efforts and proffers findings resulting from an actual Use of Force investigation, which includes but is not limited to a review of the Use of Force report, through the chain of command (see example at **Attachment 13**).

The RISP has modified its policy to include specific direction regarding de-escalation options. It is also noteworthy that of the 4,962 arrests by RISP personnel in 2016, only 29 involved some sort of use of force. This Use of Force ratio (.58%) is less than half the national average of 1.4%.²⁹ According to the United State Department of Justice, Use of Force policies should be based on four objectives: 1) increasing officer safety; 2) reducing injuries; 3) protecting citizens' rights; and 4) providing officers with the tools to perform their duties more effectively."³⁰ As the current RISP policies generally address these objectives, the policy and procedures recommendations seek to clarify and enhance these objectives.

C. Officer Involved Shootings

- **Findings and Observations**

Current RISP policy provides investigative protocol to be followed in the event of officer-involved shootings or where any lethal force is used resulting in death or serious bodily injury. The policy provides definitions and protocols to be used in these instances to include on scene responsibilities and supervisory responsibilities.

It is essential for law enforcement agencies to have clear and detailed guidelines and instruction for the handling of police involved shootings or in any incident involving Use of Force where death or serious bodily injury results. Consistent and standardized procedures are critical so that members of the agency know what to expect, supervisors know how to proceed, and the public has the utmost confidence in the outcome of these investigations.

- **Recommendations**

- i. Under definitions, letter B, change to Less Lethal Force (versus current definition of Less than Lethal Force). This change comports with the definition used in General Order 51 – Use of Force. In addition, strengthen the circumstances under which deadly force can

²⁹ Bureau of Justice Assistance Contacts **between Police and the Public, 2008**
<https://www.bjs.gov/content/pub/pdf/cpp08.pdf>

³⁰ National Institute of Justice, <https://www.ncjrs.gov/pdffiles1/nij/grants/183648.pdf>

be used as well as requirements to maximize time and distance to avoid putting the member at risk.

- ii. Under Part IV, Procedure, B-9, Memorialize the Scene, strike “If time allows” from the sentence so that photographs are always taken and diagrams are produced.
- iii. Require the Captain assigned to the PSU to submit a preliminary report to the Colonel that outlines the preliminary circumstances of any such incident within twenty-four (24) hours.
- iv. Clarify the policy regarding the necessity of administrative leave for sworn members involved in use of force incidents. The policy minimally needs to identify appropriate command personnel involved in the decision and its implementation.
- v. Under Part I, Release of the Shooting/Incident Scene, Number 2, modify the current language “If the scene is to be abandoned” to indicate that the scene is never to be abandoned unless the scene no longer requires a chain of custody of control, which we believe was the intent of the language.
- vi. Merge all Use of Force investigations of less lethal weapons such as batons, electronic control devices, etc., as attendant parts of this policy so that all such policies are housed in the same place under the same directive and to ensure additional uniformity of the handling and investigation of such matters.
- vii. Create a Use of Force Review Board to meet quarterly to review all incidents of use of force to assist the RISP in tracking, identifying, and addressing any trends regarding use of force incidents which may require changes in training, policy, equipment, etc. The Commander of the PSU would provide the data and information to the Board and convene the Board. The recommended structure is: Captain of Training and the two Lieutenant Colonels with rotating majors, or as defined and determined by the Colonel.
- viii. To assist in standardizing and ensuring a uniform initial response to such incidents, consider using some form of a preliminary check off report to assist supervisors in ensuring consistent reporting of such critical incidents. We believe such a tool may assist agency supervisors by standardizing and outlining critical initial steps to ensure proper investigation as well as assist the multi-agency teams who respond to such matters. Likewise, the capturing of this initial basic information will help ensure that the Colonel and the chain of command is fully apprised of critical information during the initial phases of the investigation, which are often the most challenging. Secondly, as noted, the current process in most instances seems to provide for the chain of command review of the Use of Force reports to serve as the review and assessment/investigation

of the use of force. We believe this process needs to be expanded to mirror any such investigative effort to ensure that all evidence is collected and assessed, to include statements taken from Troopers and civilian witnesses, photo, videos, etc., so that each Use of Force is fully investigated *prior to* chain of command review. As such, a two-step process should be used in Use of Force instances, to include:

- Step One: completion of the Use of Force report, use of force check-off sheet, and preliminary report through the chain of command.
- Step Two: completion within thirty (30) days of a Use of Force investigation into the facts and circumstances surrounding the use of force and analysis and assessment of the Use of Force which would be forwarded for final review by the chain of command and the captain assigned to the PSU. This full investigation would include Trooper and witness statements and all relevant evidence as part of the investigatory package. The proposed initial check-off report is provided on **Attachment 13** for consideration.

D. PERSONNEL EARLY WARNING SYSTEM

- Findings and Observations

Collecting and analyzing employee data, early warning systems (also called early intervention systems) help agencies intervene quickly when an employee's performance is slipping or he or she is involved in questionable incidents. The team notes that the RISP recently acquired an employee tracking system from Guardian Tracking, Incorporated. The success of this initiative will largely depend of two factors: removing negative connotations associated with EAP referrals, and providing counseling and coaching training to supervisors.

"The wellness and safety of law enforcement officers is critical not only for officers, their colleagues, and their agencies but also to public

The President's Task Force on 21st Century Policing Final Report, May 2015

Current RISP policy provides for an early warning system designed to assist supervisors in identifying employees who may require some form of intervention efforts. Current policy provides for the Captain of the PSU to oversee this program.

General Order 3E provides for some form of an early warning mechanism to assist supervisors in identifying employees who may warrant some level of intervention. These types of processes often take on a negative connotation depending on the title or name of the program and based on who oversees it. It is often productive to include a more holistic approach so that positive behavior is also captured. Likewise, for those incidents which may be captured, some form of algorithm or equation may be helpful to apply as to how the system works in terms of identified conduct. The RISP recently purchased and implemented a Guardian Tracking System which will address some of these noted recommendations.

Although it is too soon to evaluate the compliance and effectiveness of this new tracking system, it is designed to correlate and track performance evaluations, commendations, complaints and other related critical matters relevance to the employee's performance, health and welfare.

- **Recommendations**

- i. Continue to move forward with the purchase and implementation of the Guardian System to create a holistic and comprehensive approach to capturing critical personnel information. Such a system should collect and connect information, to include: performance evaluations, commendations, thank you letters from residents, use of force incidents, civil actions against the member, all complaints-internal and external, indebtedness, lateness, on duty injuries, canine bites if dog handler, at fault accidents.
- ii. The title of the General Order should be written to describe this positive holistic approach due to the potentially negative connotation often associated with such a program. Likewise, consideration should be given to having a personnel director oversee this program versus the Captain of the PSU. This level and positioning of oversight also assists in combatting negative connotations about the purpose and use of this program. We assume once this program is designed that it will also provide for some additional clarity as to what type of point system, equation or algorithm might be applied in terms of when the system generates a review of and interview with the employee. First and foremost, this system should also apply to and be aggressively used for commendations and positive letters from citizens which may trigger some form of employee award for sustained excellence. When such a review is generated, it should include an initial discussion with the employee of the issues which triggered the review by his or her first-line supervisor.

E. Prohibition Against Harassment, Violence and/or Discrimination

- **Findings and Observations**

Current RISP policy General Order -27A provides for the definitions and prohibitions regarding harassment and discrimination. The directive appropriately provides for detailed definitions of discrimination, harassment, sexual harassment, discrimination based on disability, assault, battery, threat of violence, violent actions, formal action and informal action.

- **Recommendations**

- i. Revise this General Order to provide greater clarity as to the fact that all such allegations of discrimination, harassment, sexual harassment, etc., will be reported to and investigated by the PSU. Behaviors defined as harassment by the United States Equal Opportunity Employment Commission include: “offensive jokes, slurs, epithets or name calling, physical assaults or threats, intimidation, ridicule or mockery, insults or put-downs, offensive objects or pictures.”³¹ This clarifies specific investigative responsibility and ensures that the PSU will maintain a complete list of such complaints and ensure standardization of such investigations. This language and this approach helps obviate any misunderstanding that all such matters will in fact be investigated and that the PSU will handle such investigations, thus providing clarity and removing any doubt as to the responsibility for these investigations and how seriously RISP takes any such complaints. Allegations of bullying, harassment and discrimination must be promptly and thoroughly investigated. Promptly investigated complaints helps defend agencies from hostile workplace civil actions, establishes a zero-tolerance ethos and deters future misconduct. Activities such as these interfere with work performance, undermine agency credibility and create a gross affront to organizational justice values. These behaviors violate Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967 (ADEA) and the Americans with Disabilities Act of 1990, (ADA).
- ii. Include a definition of “bullying” and add to this General Order that any such complaints of bullying, whether online, in person, through written documentation, or in any other form would also be appropriately investigated by the Captain of the PSU.
- iii. Modify the social media policy so that these principles are also reflected in that policy. Ensure that employees are fully aware of the social media policy and understand what will be deemed acceptable by the RISP.

³¹ <https://www.eeoc.gov/laws/types/harassment.cfm>; accessed on July 25, 2017

VI. Next Steps

Colonel Assumpico and her staff have already embarked on a collaborative effort to internalize this report as part of an ongoing initiative to improve their performance, eliminate gaps, increase diversity, strengthen training at every level and enhance transparency of the promotion process while improving the complainant and disciplinary processes.

Many of the recommendations, if implemented, require shifts in the RISP organizational culture. All of the recommendations, even those which on first blush might seem more administrative in nature, have value only if they are fully embraced by both internal and external stakeholders.

Changes in historical promotion systems in general are difficult at nearly all law enforcement agencies. The RISP has a long and proud tradition and members at every level are emotionally invested in their current processes.

Equally ingrained in the DNA of a proud, successful organization like the RISP is the development of a prospective candidate through its own Training Academy. One of the findings in Task 1 cautioned about the risk of being captive of your own experience. Nowhere is this more relevant than in conversations about who is selected to take the first step towards a commission or how the training will be conducted along the path. The RISP has begun the process to change recruitment, hiring selection and training standards.

That said, our observations and recommendations, based upon experience and best practices, are for consideration, evaluation and discussion. Some might not work for the RISP now or ever; for many there are significant budget implications and personnel capacity issues. None, not one, can be meaningfully implemented by a mere policy rewrite or broad pronouncement. Adoption and sustainability of change requires a professional commitment, moral courage and willing attitude.

The PWG strongly encourages RISP leadership to designate a champion for each of the tasks and the recommendations associated with those tasks. That champion must have stature and experience within the RISP, possess strong collaboration skills, communicate effectively, manage multiple issues and perspectives, be available and flexible while avoiding preconceived opinions. The champion must be able to anticipate and navigate obstacles effectively, honestly, while being open to change both personally and professionally.

The champion will convene and coordinate meetings with working groups, broad in thought and experience, to encourage and facilitate discussion and collaboration while welcoming respectful dissent. Ultimately, with the champion's guidance, the work of the group, that is its recommendations will be offered to the Colonel.

These next steps belong to the entire RISP family and the community it serves. This must be an all hands-on deck evolution. No individual or group should abstain. Each RISP employee, sworn

or not, needs to step forward, suspend some disbelief and be comfortable in looking to the future while honoring the legacy of the RISP.

VII. List of Attachments

Attachment 1: Team Bios

Attachment 2: List of General Orders

Attachment 3: Survey Monkey Results

Attachment 4: Former Recruit Questions & Responses

Attachment 5: RISP September 27, 2017 Press Release

Attachment 6: Background Investigation Questionnaire

Attachment 7: List of Disqualifiers

Attachment 8: Sample Exit Interview Questionnaire (New Jersey)

Attachment 9: New Jersey State Police Promotional Process

Attachment 10: Citizen Complaint Investigation Summary Checklist

Attachment 11: Philadelphia Police Department Disciplinary Code

Attachment 12: Douglas Factors

Attachment 13: Use of Force Investigation Summary Checklist

Attachment 1: Team Bios

Terrance W. Gainer

Mr. Gainer began his law enforcement career as a police officer in Chicago in 1968, and rose through the ranks as a homicide detective, sergeant and executive assistant in the Administrative Services Bureau. An accomplished attorney who was admitted in Illinois, Federal District Court and U.S. Supreme Court, he served as the chief legal officer of the Chicago Police Department from 1981 through 1984. In this capacity, he assisted in negotiating the city's first labor contract with the police union.

Mr. Gainer entered the Illinois state government in 1987, serving as Deputy Inspector General. He next served as Deputy Director of the Illinois State Police before moving to the U.S. Department of Transportation as Special Assistant to the Secretary and Director for Drug Enforcement and Compliance. In March 1991, Governor Jim Edgar appointed Mr. Gainer Director of the Illinois State Police. In May 1998, Mr. Gainer moved to Washington D.C. to become Executive Assistant Chief of the Metropolitan Police Department, where he served as second-in-command of the 4,200-member department.

In 2002, Mr. Gainer was sworn in as Chief of the United States Capitol Police, where he commanded a force of nearly 2,000 sworn and civilian personnel who provide comprehensive law enforcement, security, and protective operations services for the United States Congress, its staff, and more than 11 million annual visitors. He subsequently served as the United States Senate Sergeant at Arms, the chief law enforcement officer for the Senate.

Mr. Gainer was born in Chicago and received his Bachelor's degree in Sociology from St. Benedict's College in Atchison, Kansas. His Master of Science in Management of Public Service and Juris Doctor Degrees were awarded by DePaul University of Chicago. In May 2009, Mr. Gainer received an Honorary Doctorate of Humane Letters from Benedictine College in Atchison, Kansas. A graduate of the FBI National Executive Institute, Mr. Gainer was an Adjunct Professor at the University of Illinois Chicago and Springfield campuses.

Mark Sullivan

Mark Sullivan was a Federal law enforcement agent for nearly 35 years. Prior to becoming a Principal at the consulting firm GSIS, Mr. Sullivan was the Director of the United States Secret Service (USSS), beginning as an entry-level field agent and ultimately serving in a variety of leadership roles in the organization for nearly 30 years. As an effective and strategic chief executive, Mr. Sullivan led high-impact initiatives in criminal investigations and protective operations, strategic planning, threat assessment and risk management, human capital management, technology deployment, IT modernization and budget development and execution. Mr. Sullivan also conducted EEO inquiries, background investigations, employee

misconduct, and internal investigations for the Office of Inspector General and the U.S. Department of Housing and Urban Development.

Mr. Sullivan also chaired a panel of security experts, convened by the US Department of State, which was charged with identifying best security practices when operating in high threat areas. Mr. Sullivan is a graduate of St. Anselm College, Manchester, NH. He is a graduate of the Senior Executive Fellows program at Harvard's John F. Kennedy School of Government.

Bray Barnes

Bray Barnes served as Director, (Senior Executive Service) U.S. Department of Homeland Security, First-Responder Program, and chaired the DHS Law Enforcement and the DHS First Responder Councils. He also held the position of Acting Chief Human Capital Officer, where he directed all aspects of human resources management, recruiting, diversity, training and education for 210,000 DHS employees, and was the DHS representative member of the Intelligence Community Human Resources Council, Office of the Director of National Intelligence. Mr. Barnes served on the US Dept. of Justice, COPS, Law Enforcement Recruitment in the 21st Century Committee and was a panelist at the Forum on Training, Certification and Diversity in Law Enforcement Task Force implementing The President's Report on 21st Century Policing

Mr. Barnes, a former US Army Officer, served in law enforcement for eleven years, and as an attorney for 25 years, representing various police unions, including the New Jersey State Police Fraternal, Sergeants and Superior Officers Associations. He earned a Bachelor's Degree summa cum laude and Master's Degree from John Jay College of Criminal Justice, and a Doctorate in Jurisprudence from Seton Hall University School of Law.

Kim C. Dine

Kim C. Dine, is a forty-year veteran of federal, major city, and local policing and a former Chief of Police of the United States Capitol Police (USCP) and the Frederick (Maryland) Police Department. Dine began his policing career in 1975, with the Metropolitan Police Department (MPD) in Washington, DC, where he rose to Assistant Chief. From 2002 to 2012, Dine was Chief of Police in Frederick, Maryland. Dine was Chief of the USCP from 2012 to 2016.

As Assistant Chief, he commanded Internal Affairs, the Force Investigation Teams, the Disciplinary Review Division, the Office of Equal Employment Opportunity, where Dine managed and supervised the Memorandum of Agreement MPD created with the Department of Justice to institute agency wide use of force reforms which are now followed nationally by many agencies.

In Frederick, by building bridges, marshaling resources, problem solving, intelligent use/acquisition of technology, extensive crime analysis, aggressive acquisition of grants, and maximization of resources, the agency was able to effectively combat crime, build bridges with the Frederick's African-American, GLBTQ, Muslim, Deaf, and Latino communities, and build a

mental health task force working with the mental health community through effective partnerships to improve service and minimize use of force issues.

As the United States Capitol Police Chief, Dine revamped hiring, recruiting and recruit training, re-engineered the public information process, completed a 100-million-dollar state of the art radio system, attained CALEA's Gold Standard Accreditation, and produced a new strategic plan for the USCP.

Dine holds a BA from Washington College, in Chestertown, MD and an MS from American University in Washington, DC. Dine is a graduate of the FBI National Academy and is a member of the Police Executive Research Forum and the International Association of Chiefs of Police.

Charles H. Ramsey

Charles H. Ramsey was appointed Police Commissioner of the Philadelphia Police Department on January 7, 2008, by Mayor Michael A. Nutter. He retired in January 2016 after serving 8 years as Commissioner and leading the fourth largest police department in the nation with over 6,600 sworn members and 830 civilian members. Commissioner Ramsey brings over forty-six years of knowledge, experience and service in advancing the law enforcement profession in three different major city police departments, beginning with Chicago, then Washington, DC, and now Philadelphia.

Commissioner Ramsey served as the Chief of the Metropolitan Police Department, District of Columbia (MPDC) from April 21, 1998 to January 1, 2007. Under Chief Ramsey's leadership, the Department regained its reputation as a national leader in urban policing. Crime rates declined by approximately 40 percent during Ramsey's tenure, community policing and traffic safety programs were expanded, and MPDC recruiting and hiring standards, training, equipment, facilities and fleet were all dramatically upgraded.

Commissioner Ramsey holds both Bachelor's and Master's degrees in criminal justice from Lewis University in Romeoville, Illinois. He is a graduate of the FBI National Academy and the National Executive Institute. He completed the Executive Leadership Program at the Naval Postgraduate School, Center for Homeland Defense and Security in February 2008.

Kathy O'Toole

Chief O'Toole is a career police officer and lawyer who has earned an international reputation for her principled leadership and reform strategies.

In 2012, Ms. O'Toole completed a six-year term as Chief Inspector of the Gardia Síochána Inspectorate, an oversight body responsible for bringing reform, best practice and accountability to the 17,000-member Irish national police service.

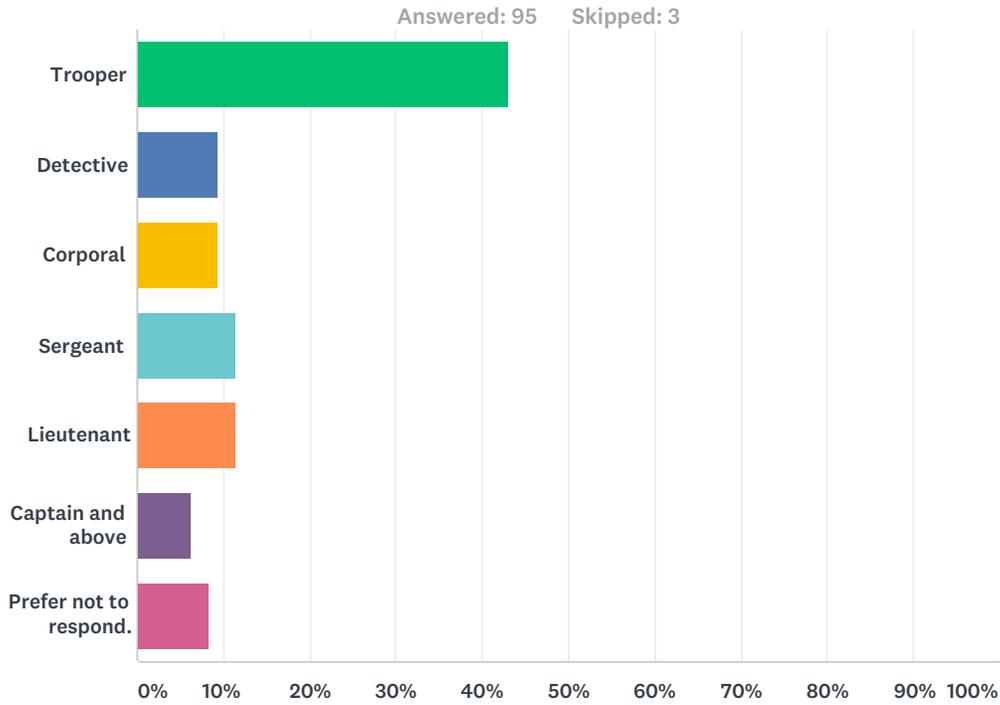
Prior to serving in Ireland, Ms. O'Toole rose through the ranks of local and state policing in the United States. During her police career, she was assigned to numerous patrol, investigative,

undercover, supervisory and management positions. She served as Superintendent (Chief) of the Metropolitan District Commission Police and Lieutenant Colonel overseeing Special Operations in the Massachusetts State Police. She was later appointed Massachusetts Secretary of Public Safety (1994) and Boston Police Commissioner (2004).

Attachment 2: List of General Orders

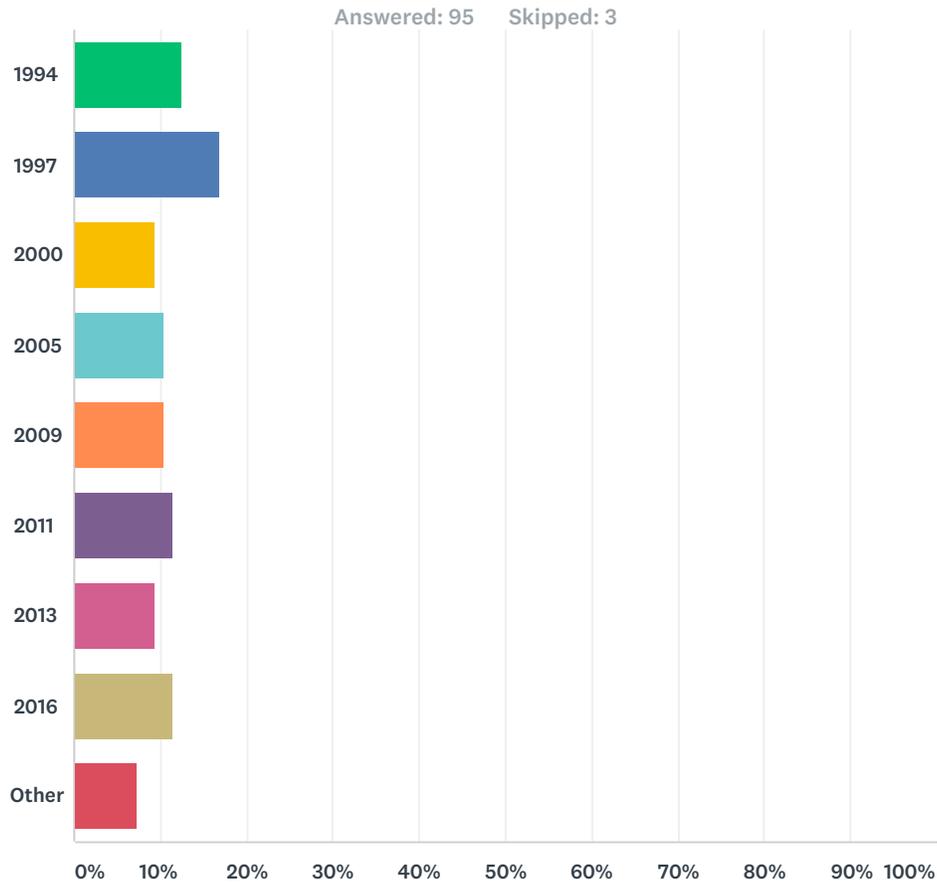
- General Order 1C, Employee Nepotism and Fraternization
- General Order 3C, Internal Investigation Procedure/Policy
- General Order 3E, Personnel Early Warning System
- General Order 26A: Training, Organization and Administration
- General Order 26B: Recruitment
- General Order 26C: Recruit Selection Process
- General Order 26D: Recruit Training
- General Order 26F: Selection and Training of Academy Instructors
- General Order 26G: In-Service, Shift Briefing and Advanced Training
- General Order 27A, Prohibition Against Harassment, Violence, and/or Discrimination
- General Order 28C: Administration – Personnel: Career Enhancement
- General Order 51A, Use of Force
- General Order 51B, Pursuit Driving
- General Order 56A8, Prohibition Against Bias-Based Policing
- General Order 58B, Injuries While On Duty
- General Order 77G, Investigation of Officer-Involved Shootings by Division Member(s)
- General Orders pertaining to use of less lethal weapons

Q1 What is your rank with the Rhode Island State Police?



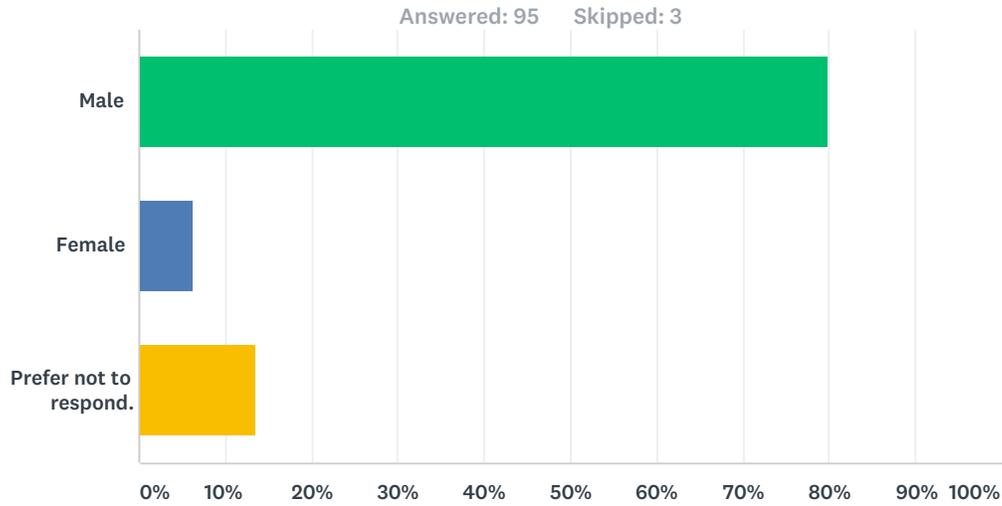
Answer Choices	Responses
Trooper	43.16% 41
Detective	9.47% 9
Corporal	9.47% 9
Sergeant	11.58% 11
Lieutenant	11.58% 11
Captain and above	6.32% 6
Prefer not to respond.	8.42% 8
TOTAL	95

Q2 What class year did you graduate from Rhode Island State Police?



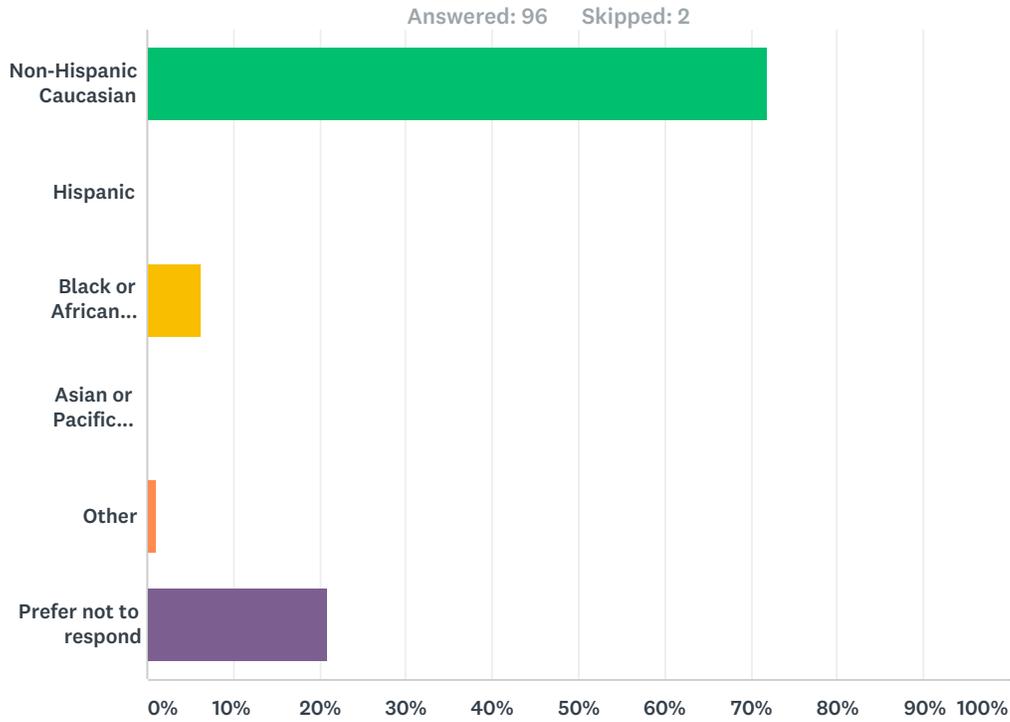
Answer Choices	Responses
1994	12.63% 12
1997	16.84% 16
2000	9.47% 9
2005	10.53% 10
2009	10.53% 10
2011	11.58% 11
2013	9.47% 9
2016	11.58% 11
Other	7.37% 7
TOTAL	95

Q3 What is your gender?



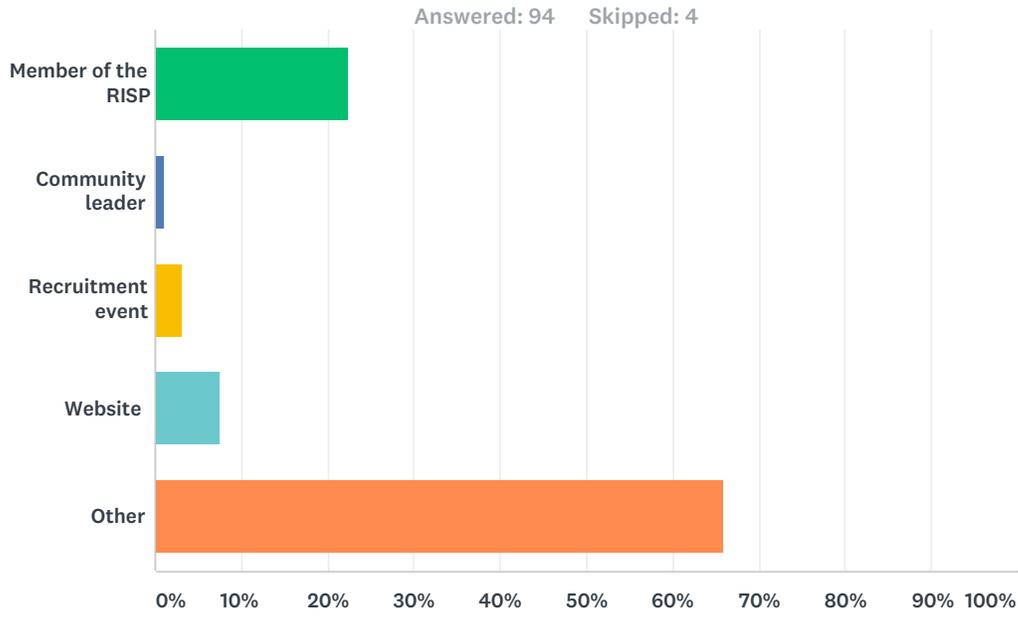
Answer Choices	Responses	
Male	80.00%	76
Female	6.32%	6
Prefer not to respond.	13.68%	13
TOTAL		95

Q4 Please specify your ethnicity:



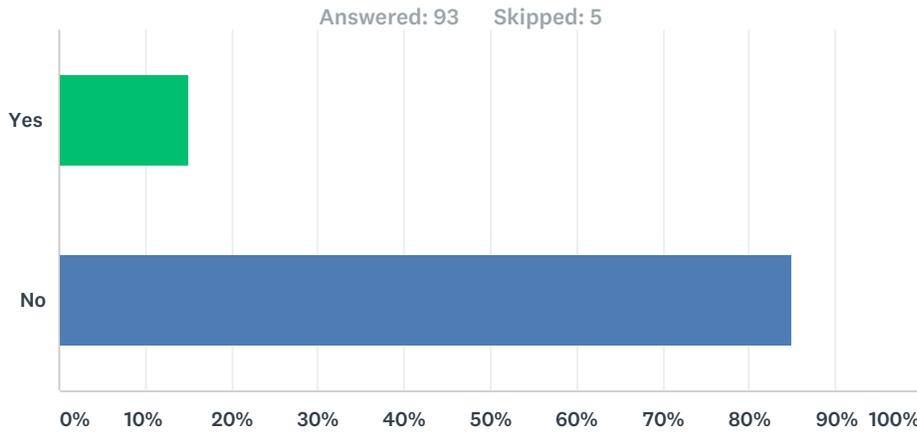
Answer Choices	Responses	
Non-Hispanic Caucasian	71.88%	69
Hispanic	0.00%	0
Black or African American	6.25%	6
Asian or Pacific Islander	0.00%	0
Other	1.04%	1
Prefer not to respond	20.83%	20
TOTAL		96

Q5 How were you recruited?



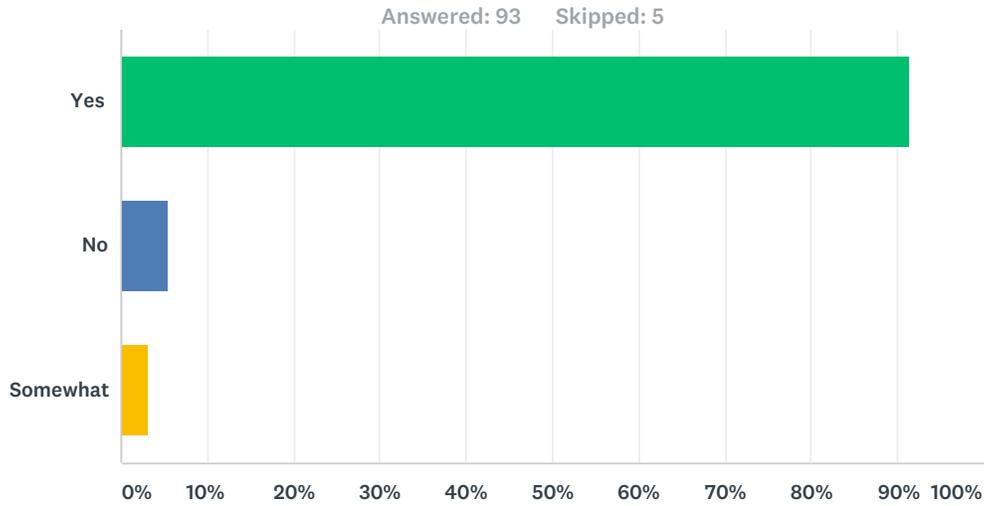
Answer Choices	Responses	
Member of the RISP	22.34%	21
Community leader	1.06%	1
Recruitment event	3.19%	3
Website	7.45%	7
Other	65.96%	62
TOTAL		94

Q6 Are any of your family members past or current employees of the RISP?



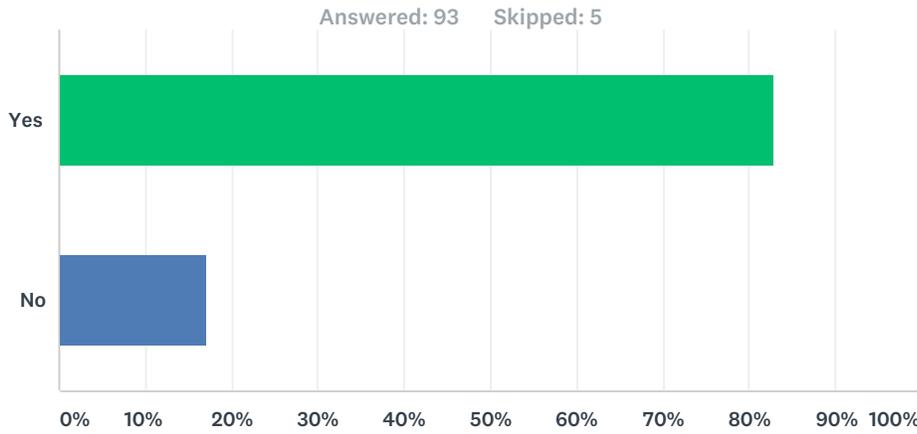
Answer Choices	Responses	
Yes	15.05%	14
No	84.95%	79
TOTAL		93

Q7 Are recruitment eligibility requirements clear?



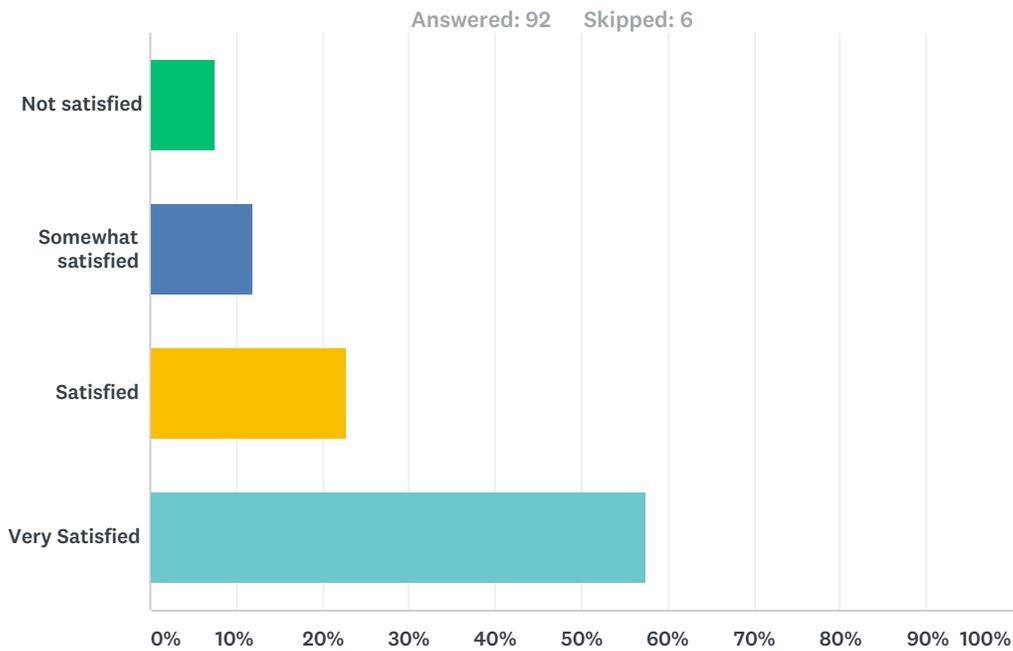
Answer Choices	Responses	
Yes	91.40%	85
No	5.38%	5
Somewhat	3.23%	3
TOTAL		93

Q8 Do you believe the RISP adequately represents the people it serves?



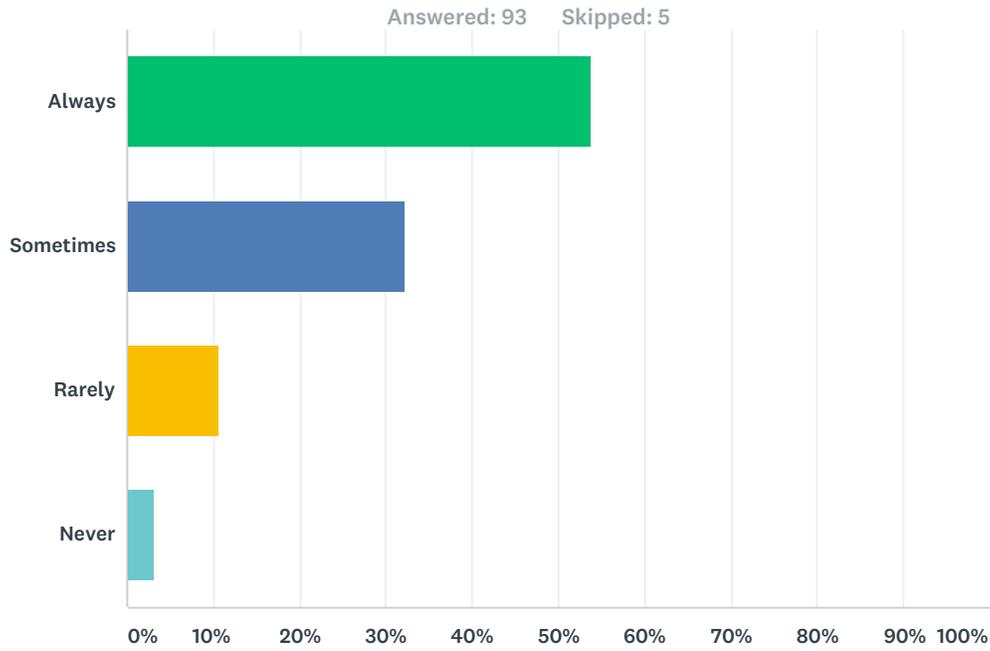
Answer Choices	Responses
Yes	82.80% 77
No	17.20% 16
TOTAL	93

Q9 How satisfied are you with efforts made to recruit individuals from a range of backgrounds (i.e race, gender, religion, ethnicity, language, education or socioeconomic status)?



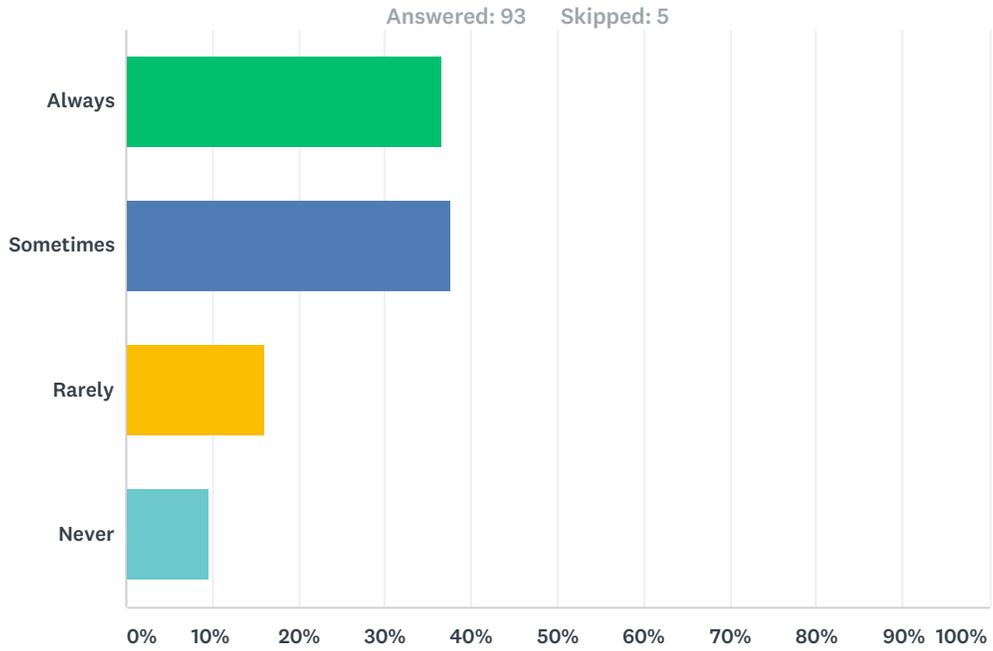
Answer Choices	Responses
Not satisfied	7.61% 7
Somewhat satisfied	11.96% 11
Satisfied	22.83% 21
Very Satisfied	57.61% 53
TOTAL	92

Q10 Do you feel responsible to recruit and prepare candidates suitable for the RISP?



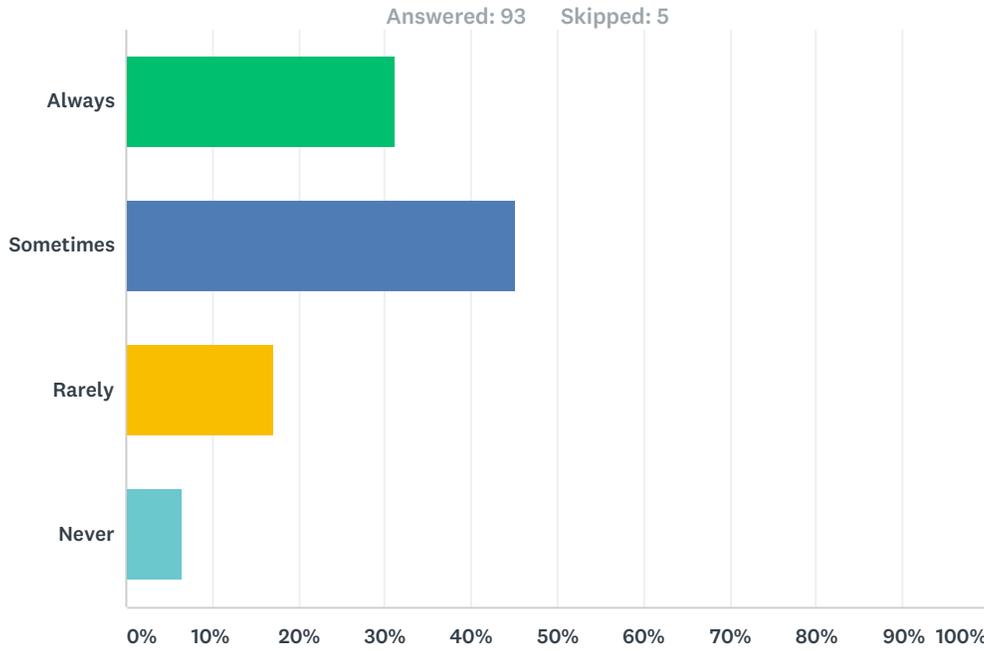
Answer Choices	Responses
Always	53.76% 50
Sometimes	32.26% 30
Rarely	10.75% 10
Never	3.23% 3
TOTAL	93

Q11 Do you consider yourself to be a recruiter for the RISP?



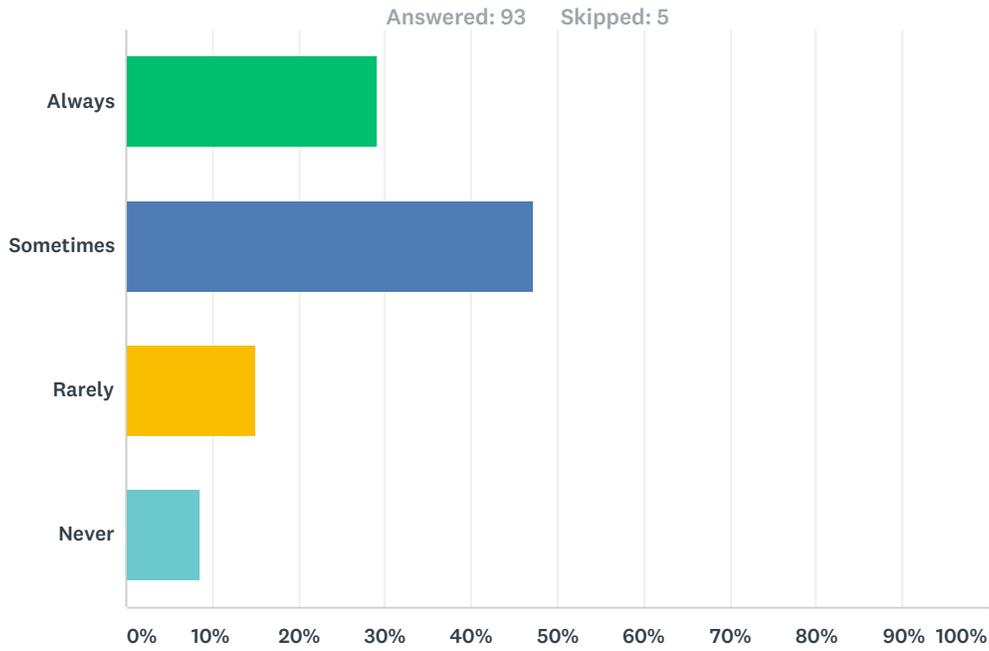
Answer Choices	Responses	
Always	36.56%	34
Sometimes	37.63%	35
Rarely	16.13%	15
Never	9.68%	9
TOTAL		93

Q12 Is the culture of the RISP welcoming?



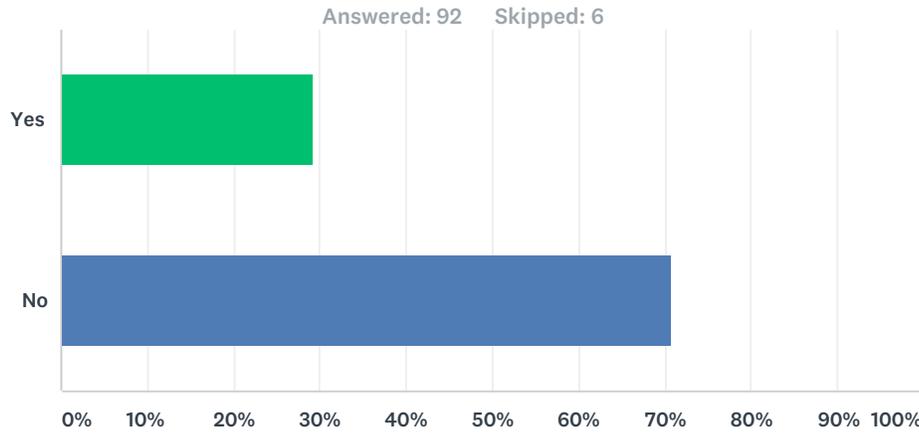
Answer Choices	Responses
Always	31.18% 29
Sometimes	45.16% 42
Rarely	17.20% 16
Never	6.45% 6
TOTAL	93

Q13 Are you satisfied with the training programs in place to advance your career in RISP?



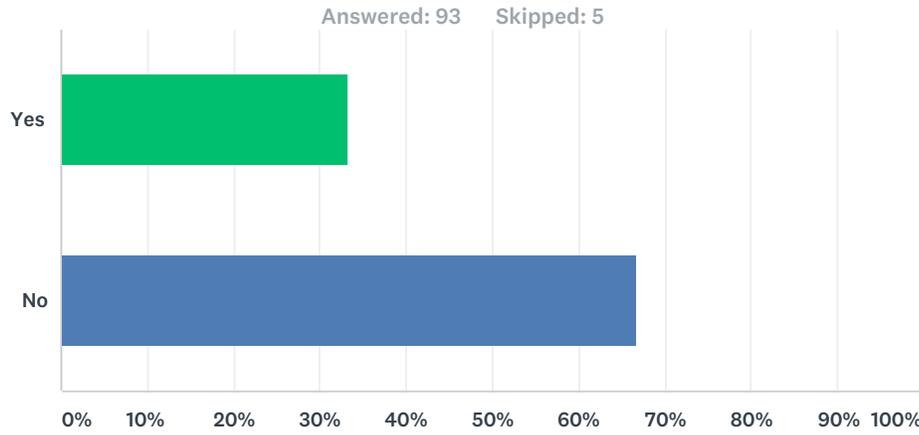
Answer Choices	Responses
Always	29.03% 27
Sometimes	47.31% 44
Rarely	15.05% 14
Never	8.60% 8
TOTAL	93

Q14 Do you have a mentor at the RISP?



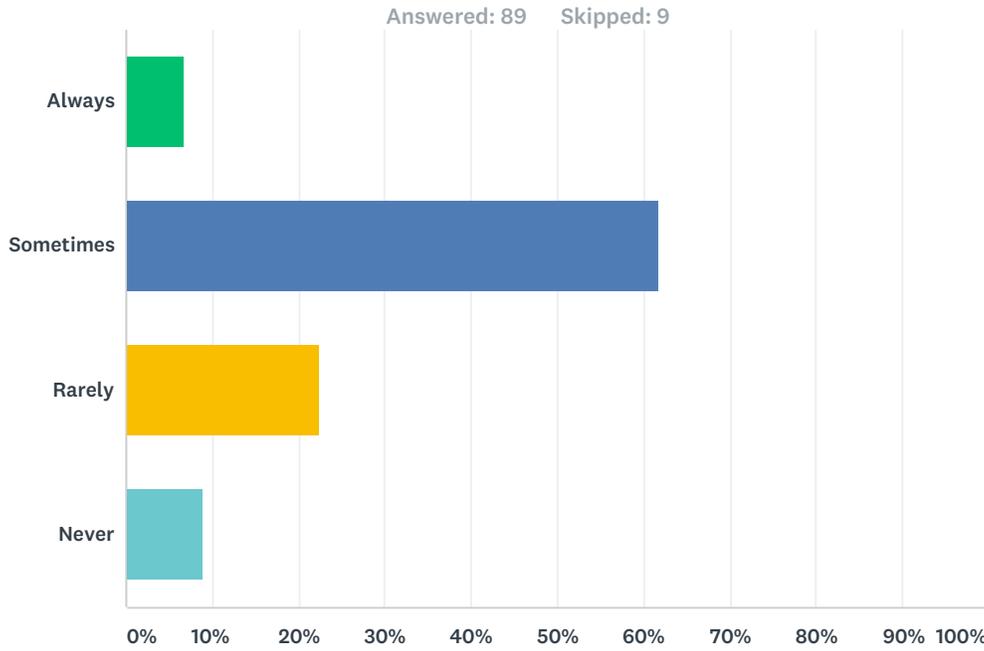
Answer Choices	Responses
Yes	29.35% 27
No	70.65% 65
TOTAL	92

Q15 Are you mentoring anyone at the RISP



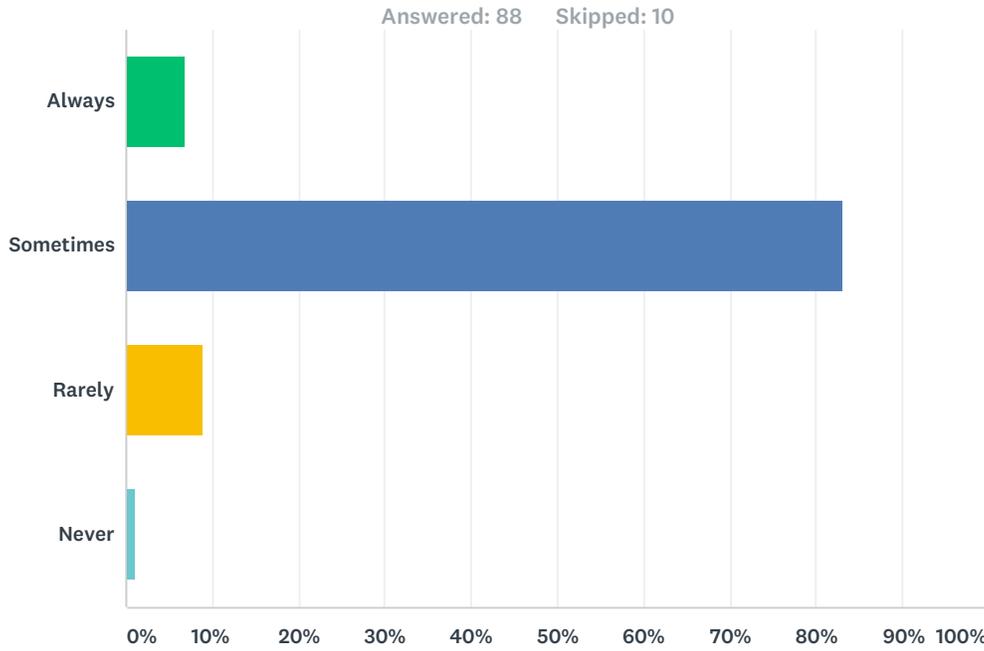
Answer Choices	Responses
Yes	33.33% 31
No	66.67% 62
TOTAL	93

Q16 Are promotions based on Performance/Merit?



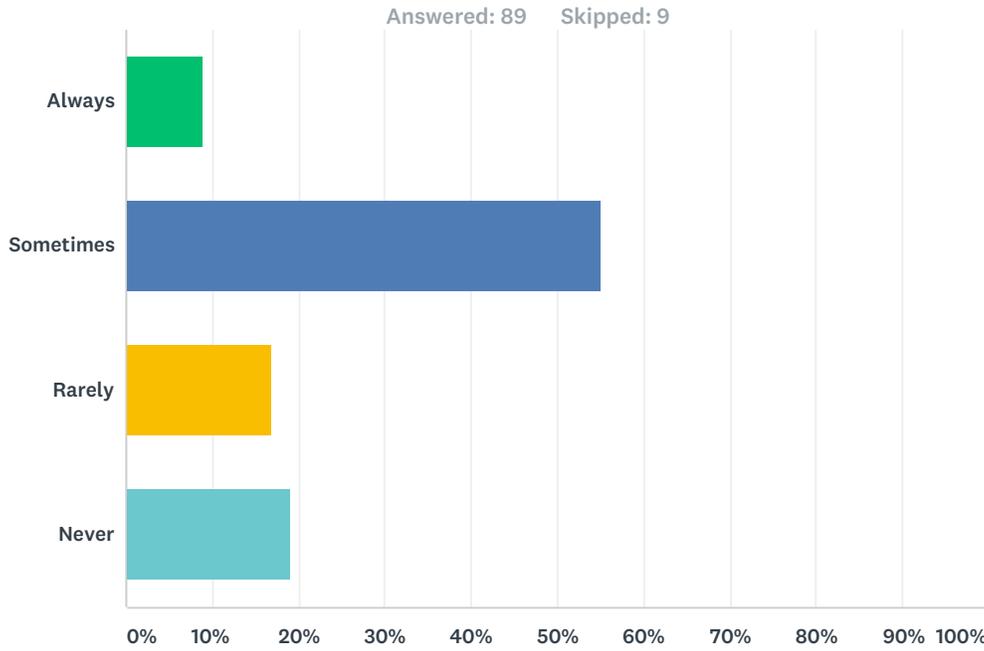
Answer Choices	Responses
Always	6.74% 6
Sometimes	61.80% 55
Rarely	22.47% 20
Never	8.99% 8
TOTAL	89

Q17 Are promotions based on seniority?



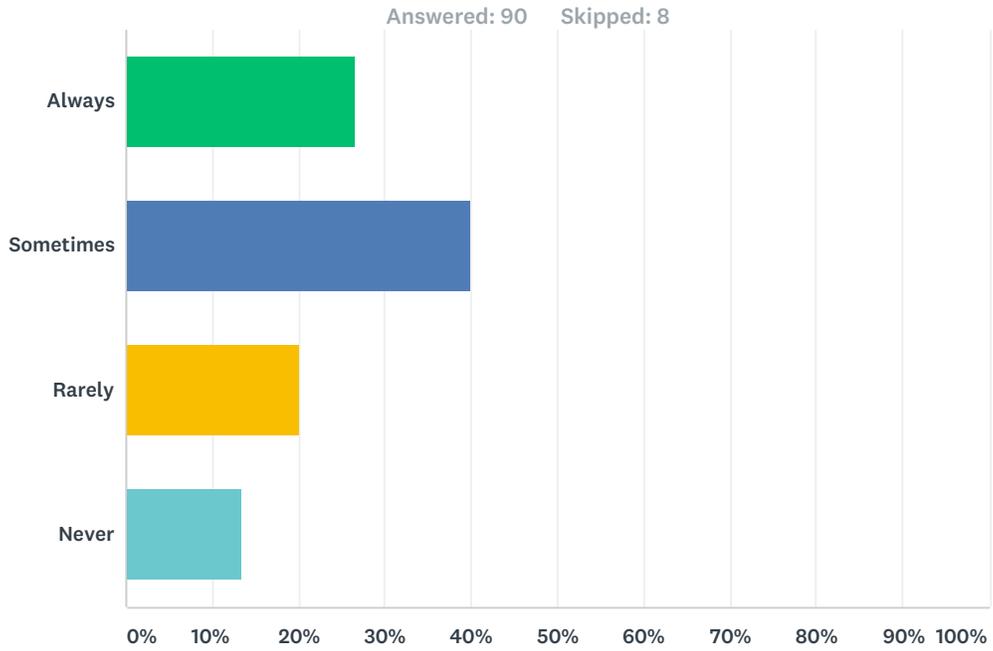
Answer Choices	Responses
Always	6.82% 6
Sometimes	82.95% 73
Rarely	9.09% 8
Never	1.14% 1
TOTAL	88

Q18 Is the promotion process fair and transparent?



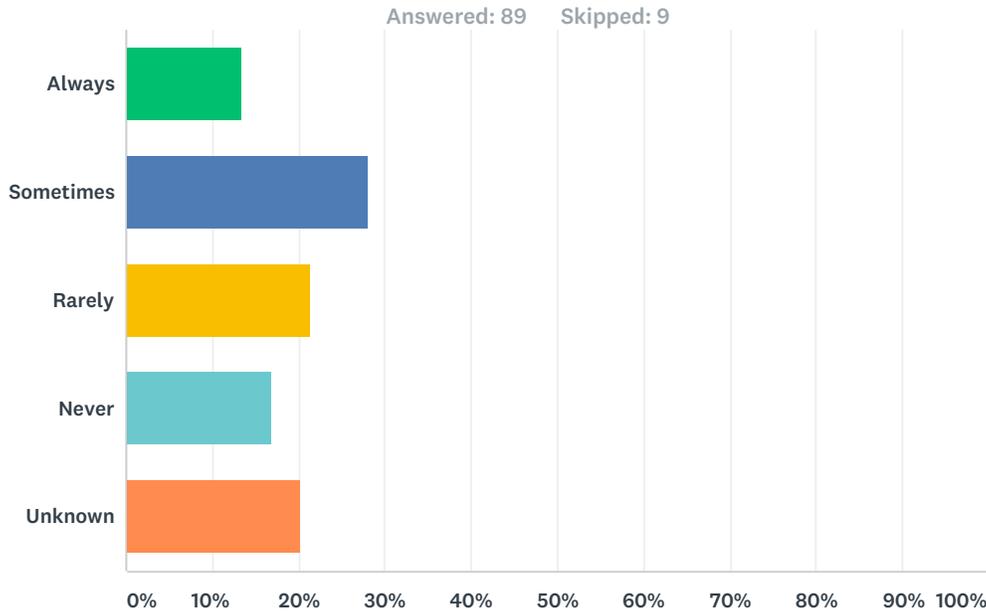
Answer Choices	Responses
Always	8.99% 8
Sometimes	55.06% 49
Rarely	16.85% 15
Never	19.10% 17
TOTAL	89

Q19 Do you understand the promotion selection process?



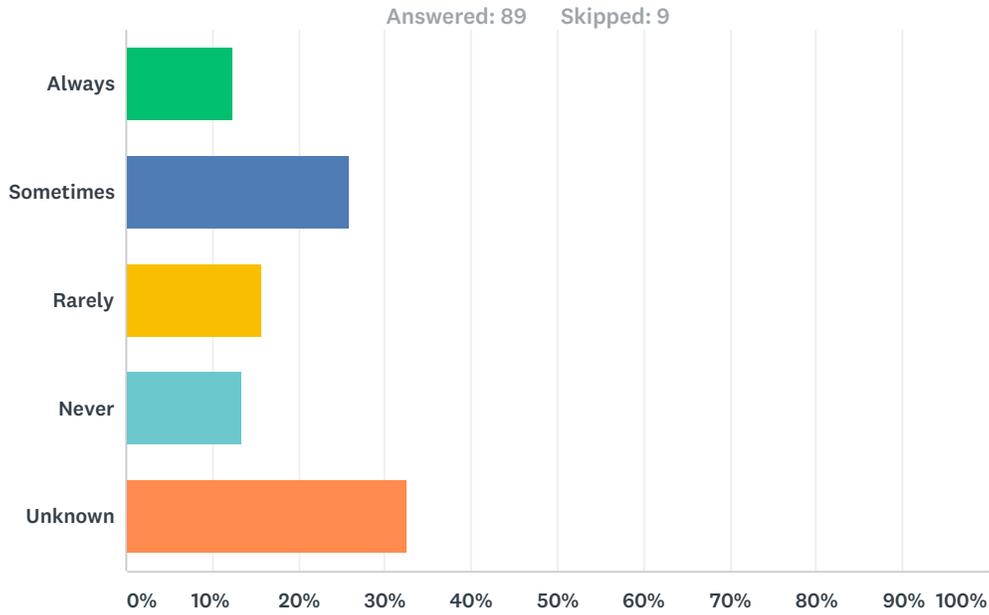
Answer Choices	Responses	
Always	26.67%	24
Sometimes	40.00%	36
Rarely	20.00%	18
Never	13.33%	12
TOTAL		90

Q20 Is there guidance available for the promotion process?



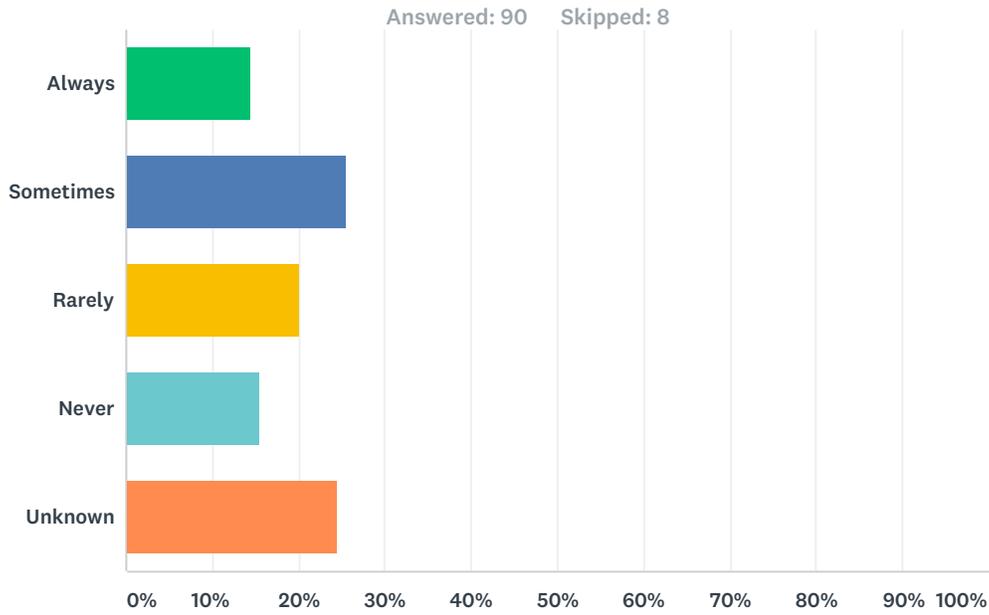
Answer Choices	Responses	Count
Always	13.48%	12
Sometimes	28.09%	25
Rarely	21.35%	19
Never	16.85%	15
Unknown	20.22%	18
TOTAL		89

Q21 Are performance reviews considered for promotions?



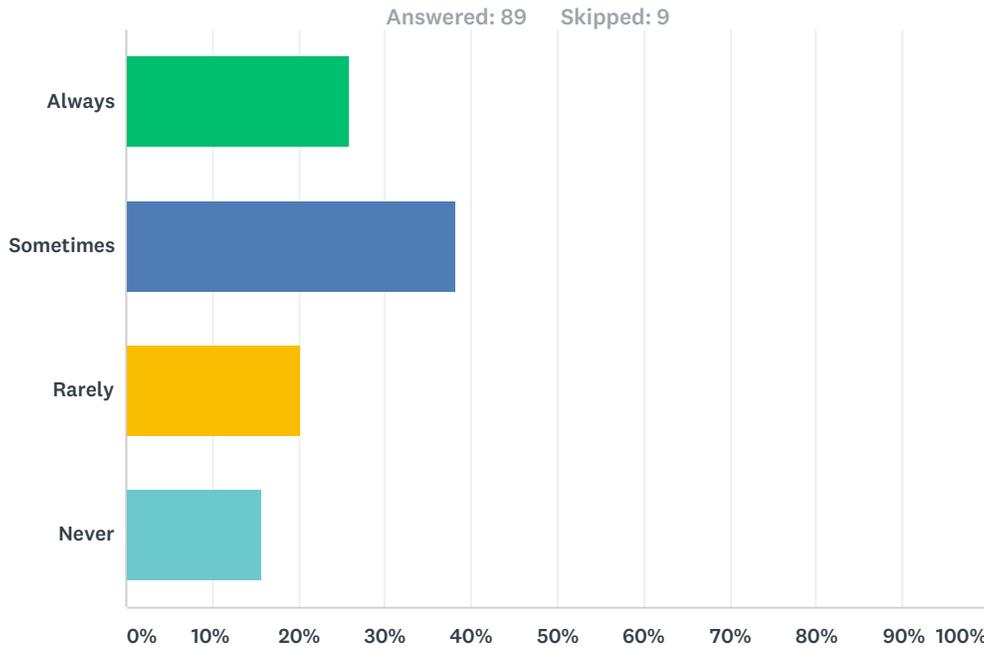
Answer Choices	Responses
Always	12.36% 11
Sometimes	25.84% 23
Rarely	15.73% 14
Never	13.48% 12
Unknown	32.58% 29
TOTAL	89

Q22 Are there opportunities to receive feedback after the promotion process?



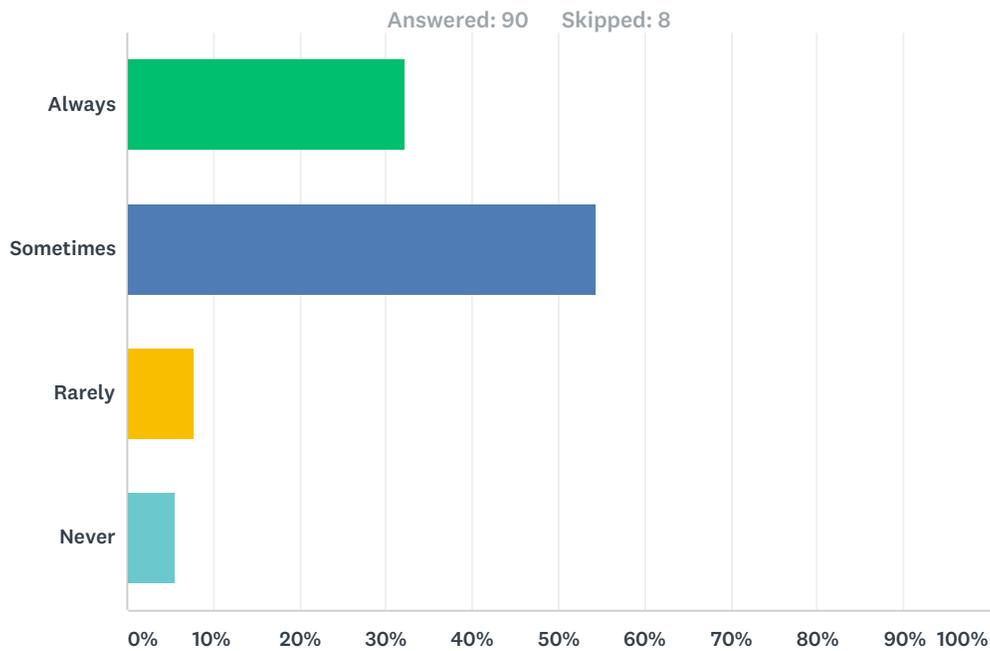
Answer Choices	Responses	
Always	14.44%	13
Sometimes	25.56%	23
Rarely	20.00%	18
Never	15.56%	14
Unknown	24.44%	22
TOTAL		90

Q23 Are you comfortable approaching a supervisor for feedback if you are not selected for the promotion.



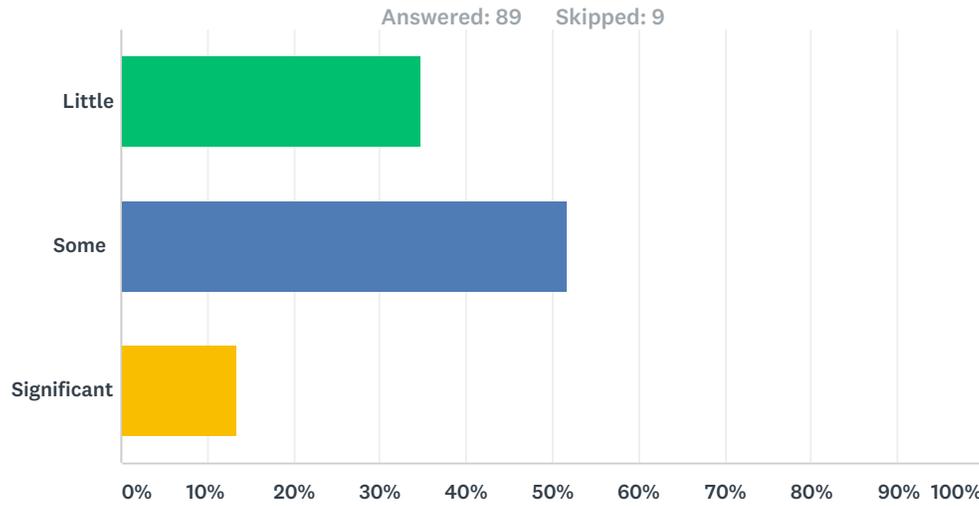
Answer Choices	Responses
Always	25.84% 23
Sometimes	38.20% 34
Rarely	20.22% 18
Never	15.73% 14
TOTAL	89

Q24 Does your performance reflect your accomplishments and work throughout the year?



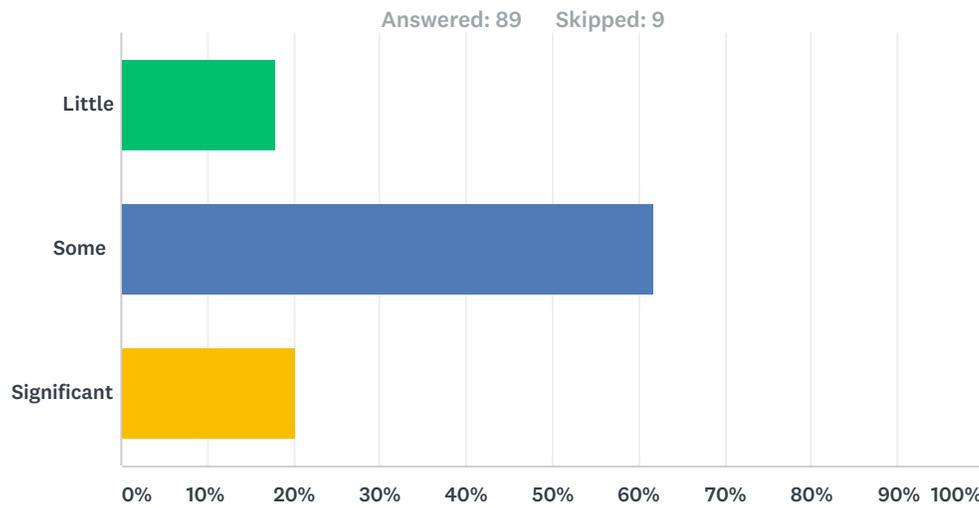
Answer Choices	Responses
Always	32.22% 29
Sometimes	54.44% 49
Rarely	7.78% 7
Never	5.56% 5
TOTAL	90

Q25 If changes were implemented, what weight might a written exam be given in the promotion process?



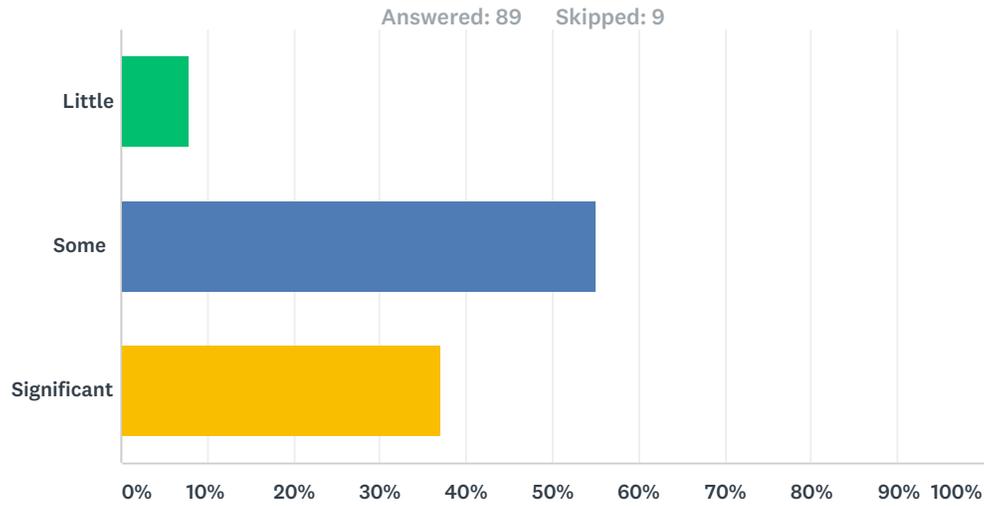
Answer Choices	Responses
Little	34.83% 31
Some	51.69% 46
Significant	13.48% 12
TOTAL	89

Q26 If changes were implemented, what weight might a numerically ranked performance evaluation be given in the promotion process?



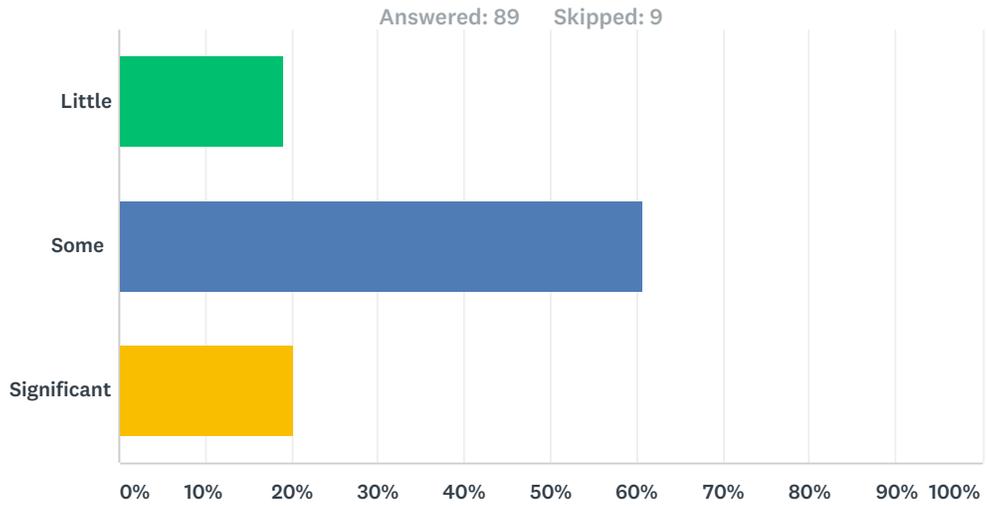
Answer Choices	Responses	Count
Little	17.98%	16
Some	61.80%	55
Significant	20.22%	18
TOTAL		89

Q27 If changes were implemented, what weight might seniority be given in the promotion process?



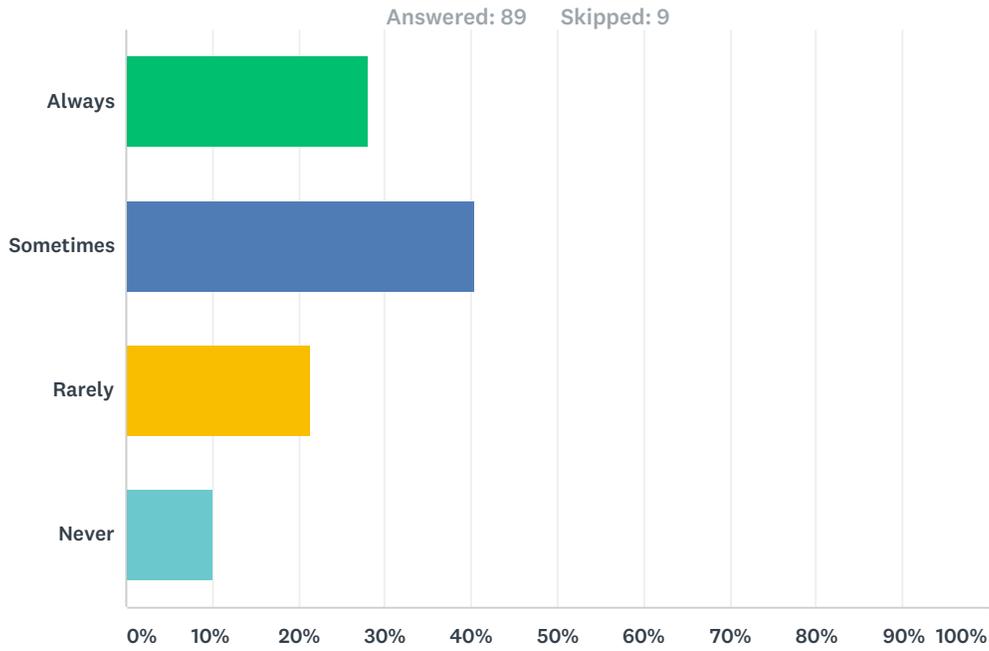
Answer Choices	Responses
Little	7.87% 7
Some	55.06% 49
Significant	37.08% 33
TOTAL	89

Q28 If changes were implemented, what weight might an interview be given in the promotion process?



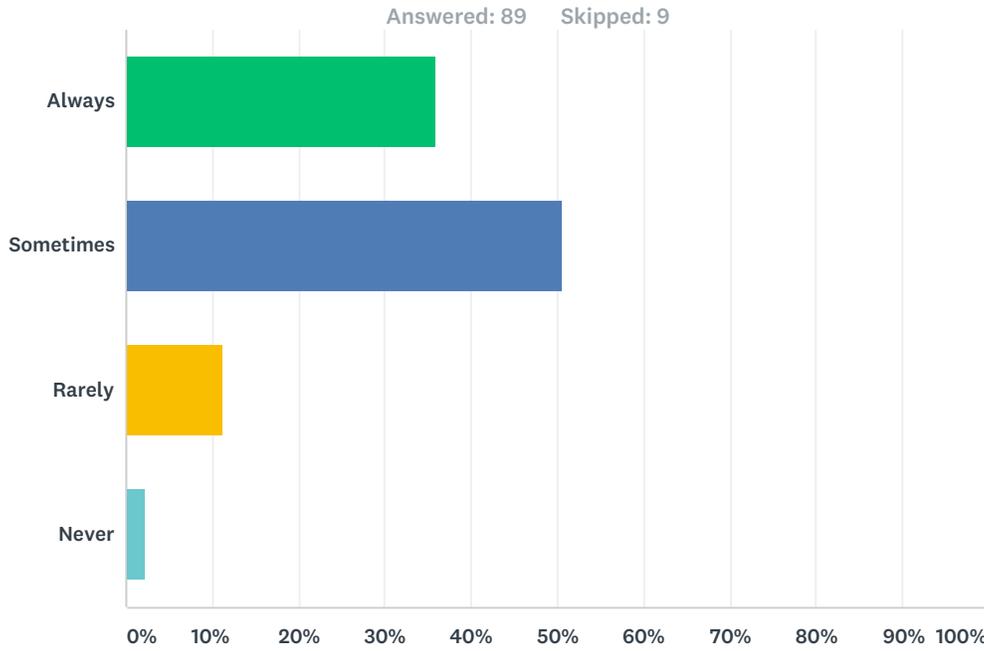
Answer Choices	Responses
Little	19.10% 17
Some	60.67% 54
Significant	20.22% 18
TOTAL	89

Q29 Are promotion opportunities equally available to all members of the RISP?



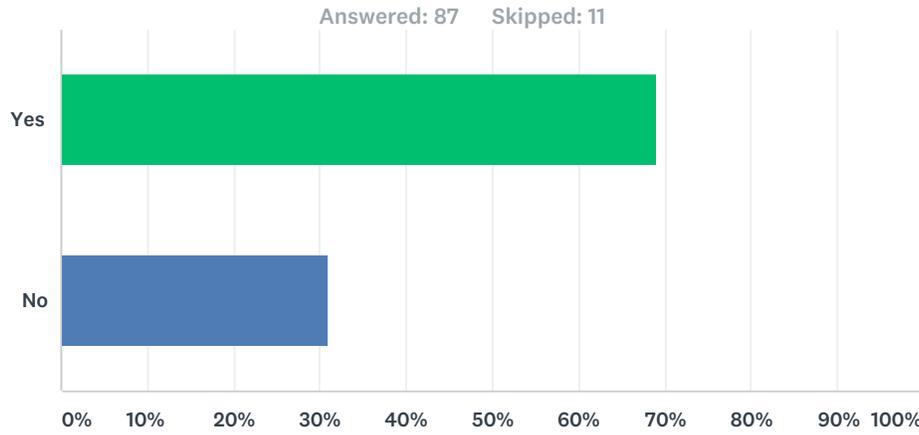
Answer Choices	Responses
Always	28.09% 25
Sometimes	40.45% 36
Rarely	21.35% 19
Never	10.11% 9
TOTAL	89

Q30 Does favoritism play a role in the promotion process?



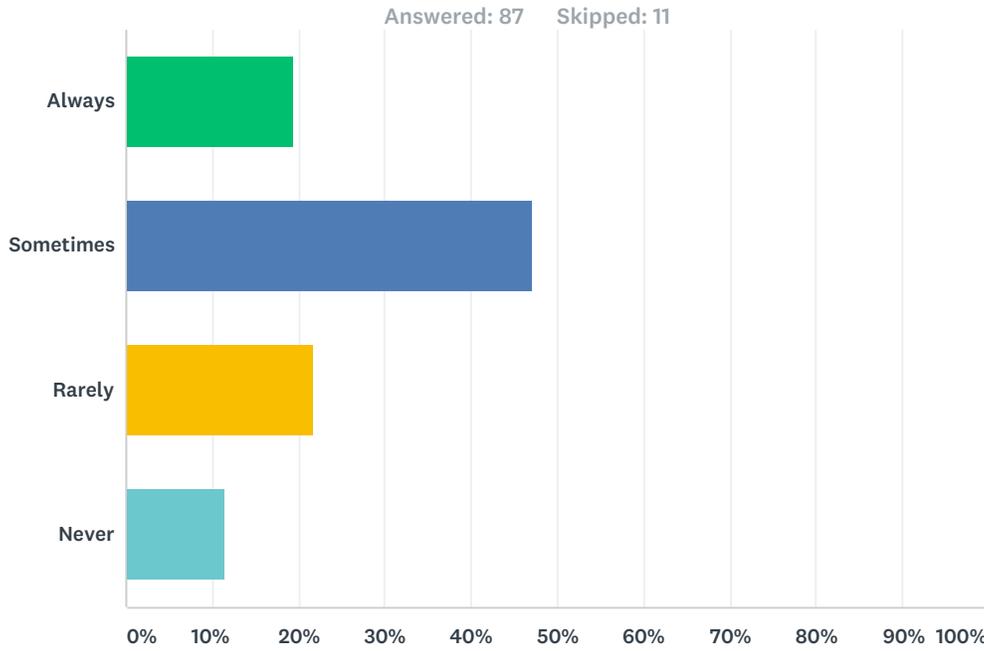
Answer Choices	Responses
Always	35.96% 32
Sometimes	50.56% 45
Rarely	11.24% 10
Never	2.25% 2
TOTAL	89

Q31 Do you understand the discipline process?



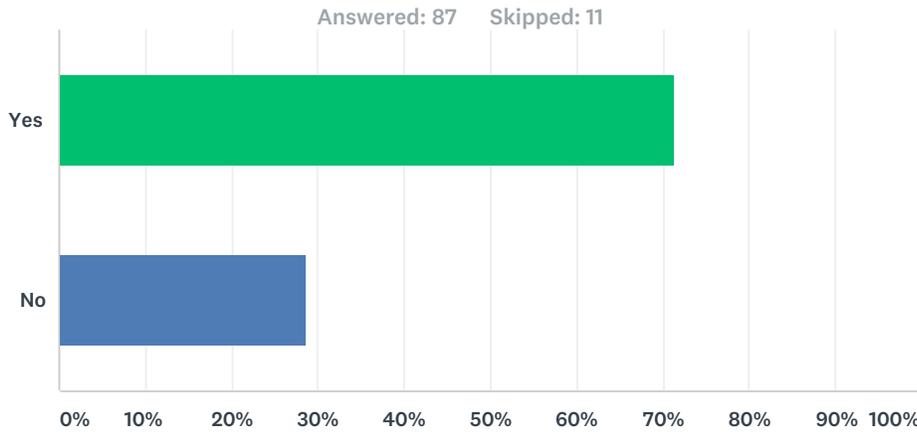
Answer Choices	Responses
Yes	68.97% 60
No	31.03% 27
TOTAL	87

Q32 32 Do you have confidence in the discipline process?



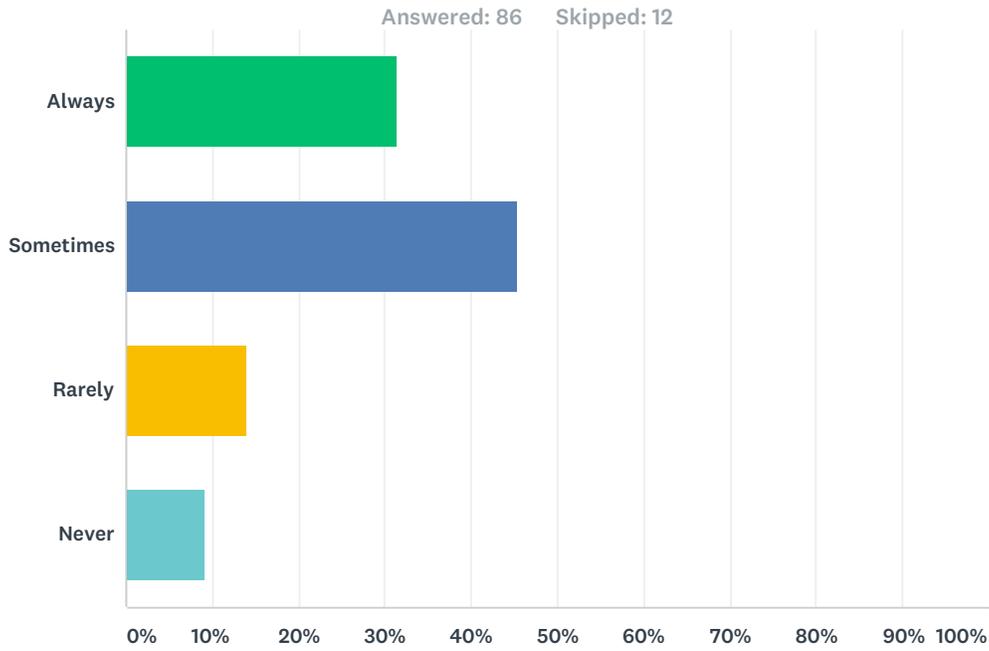
Answer Choices	Responses
Always	19.54% 17
Sometimes	47.13% 41
Rarely	21.84% 19
Never	11.49% 10
TOTAL	87

Q33 Do you understand the investigative process of a citizen's complaint?



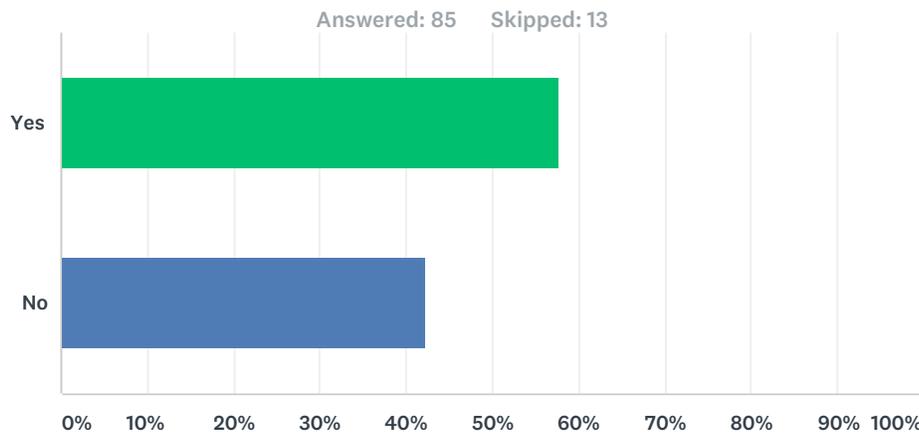
Answer Choices	Responses	
Yes	71.26%	62
No	28.74%	25
TOTAL		87

Q34 Do you have confidence in the investigative process of a citizen's complaint?



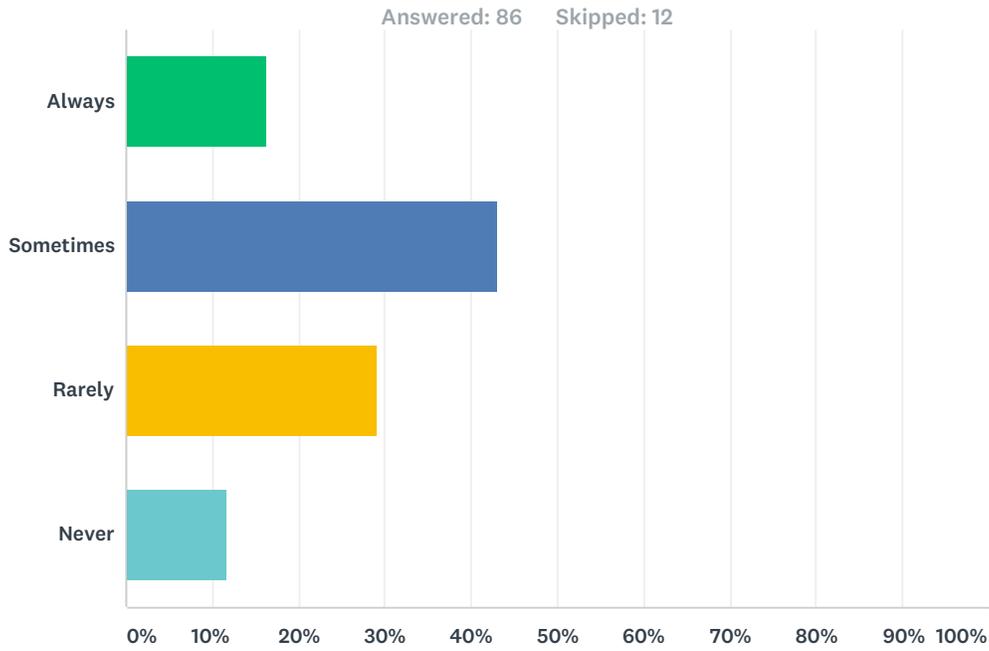
Answer Choices	Responses
Always	31.40% 27
Sometimes	45.35% 39
Rarely	13.95% 12
Never	9.30% 8
TOTAL	86

Q35 Do you believe the appropriate noncommissioned and commissioned officers are involved in the investigation and the final decision?



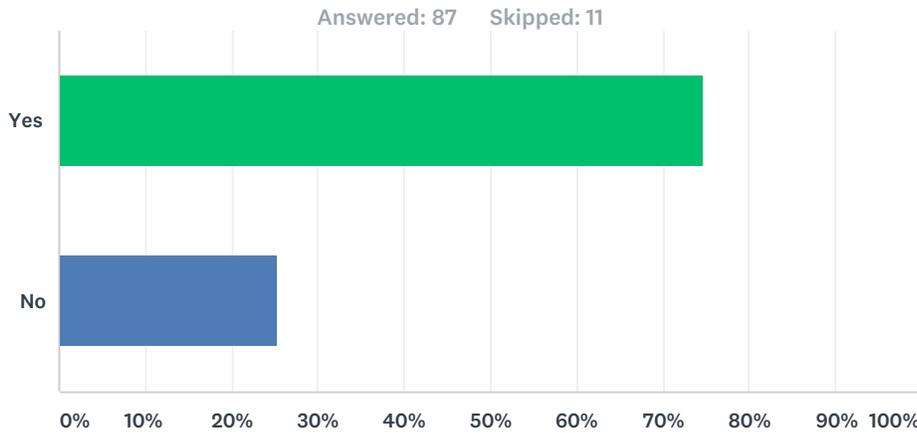
Answer Choices	Responses
Yes	57.65% 49
No	42.35% 36
TOTAL	85

Q36 Does favoritism have an influence on the investigative and discipline process?



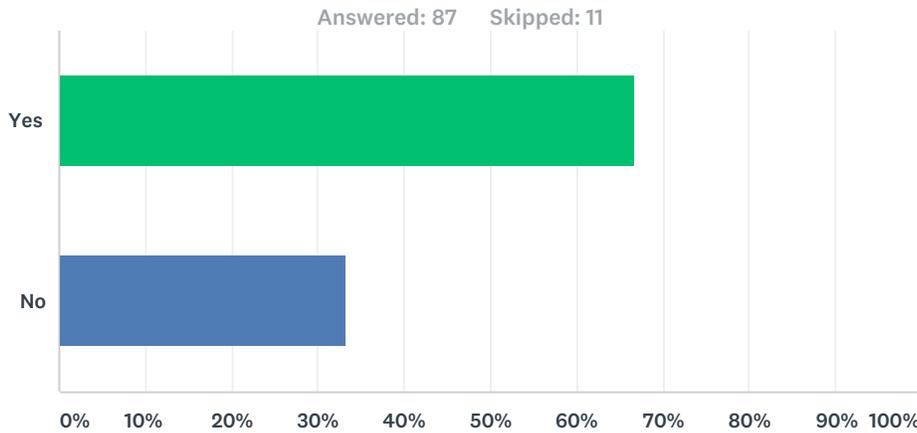
Answer Choices	Responses
Always	16.28% 14
Sometimes	43.02% 37
Rarely	29.07% 25
Never	11.63% 10
TOTAL	86

Q37 Do you favor a RISP complaint process where an internal discipline board hearing is held to review the results of the investigation and make recommendations concerning what level, if any, of discipline should be imposed?



Answer Choices	Responses
Yes	74.71% 65
No	25.29% 22
TOTAL	87

Q38 Do you favor a disciplinary process which includes a matrix or table providing a range of penalties which may be used as one of the guidelines for determining the appropriate disciplinary action various offenses?



Answer Choices	Responses
Yes	66.67% 58
No	33.33% 29
TOTAL	87

Attachment 4: Former Recruit Questions & Responses

Recruit Questions

Name: _____ Resignation Date _____

1. Why did you want to join the RISP?
2. How did you learn about them?
3. What was the best part of the recruiting experience? Academy experience?
4. Were you treated fairly during the process? In the Academy?
5. Did you have a mentor during the process? In the Academy?
6. Based on your observations, do you believe that all the recruits were treated equally?
7. Why did you resign from the RISP Academy? Specifically?
8. Was enough information provided to you before entering the Academy that helped you to prepare?
9. What could have been done better to prepare you?
10. Are you continuing to pursue law enforcement as a career?
11. Would you recommend the RISP to others?
12. Anything you want to add?

Interviewed on: _____

RISP Class of 2016 Responses

The Assessment Team, via telephone interviews, was able to contact 19 (79%) of the 24 recruits who resigned from the 2016 RISP Training Academy Class. 13 questions were asked (**Exhibit A**) of each of those interviewed, and the results are attached hereto.

As noted from the responses:

1. The RISP maintains a positive reputation for being a premier law enforcement agency.
2. Being a law enforcement officer is a strong career interest, and being a member of the RISP is of particular interest to those recruited.
3. Social media was most effective in recruiting promotion, therefore resonates with those who would be of eligible age (18-34).
4. The influence of a RISP member, or a family member in law enforcement also was a good source of promoting recruiting.
5. The recruiting process from the announcement through the written, physical, psychological, oral and medical exams was very positive and as several stated: "It was very well done and professional."
6. Each respondent had positive comments when asked about their academy experience.
7. 18 of the 19 respondents felt they were treated fairly during the recruiting process and while in the academy. The one negative comment was from a minority recruit who filed an appeal that was later dismissed.
8. There was no formal mentoring during the recruiting or the academy process.
9. Resignations were primarily for injuries or the inability to meet the physical demands, although each said there was sufficient information provided to them prior to entering the academy. Other than the previously mentioned recruit that filed an appeal, each of the respondents placed the reason for the resignation on themselves, not on the academy staff, nor did they state that the staff forced them to resign.
10. Many of the respondents stated that they felt they were prepared and received ample information about the rigors of the academy and what to expect.
11. Many respondents stated they will look to continue to entire into law enforcement, some stating they hoped to return to the next RISP class.
12. Overwhelmingly, the respondents would recommend the RISP to others.
13. Two respondents stated that the process took too long, over two years. As a result, they knew of others who would have been good candidates but took other law enforcement positions elsewhere as the opportunities presented themselves.
14. The RISP uses an alternate process whereby they fill vacancies in the recruit class. Six of the respondents stated that they felt they would have had a better chance of graduating

if they started with everyone else. Most entered 10 days to 2 weeks after the start of the class and “never caught up.”

15. Three respondents stated that they would have liked to have more information about the boxing and the expectations.

16. Several respondents stated that the orientation was good, and those who missed it felt they were at a disadvantage.

Attachment 5: September 27, 2017 Press Release

RI State Police Announces Recruitment Campaign for 2018 Training Academy

Colonel Ann C. Assumpico, Superintendent of the Rhode Island State Police and Director of the Department of Public Safety, today announced the start of a recruitment campaign for the 2018 Rhode Island State Police Training Academy.

Colonel Assumpico's top priority since being appointed as Superintendent of State Police has been to recruit and promote a gender- and racially diverse mix of men and women who reflect the ethnic and cultural diversity of the communities they serve.

She already has promoted 10 women and members of minority groups – nearly a third of the 36 people she has promoted so far. This will be the first State Police Training Academy of her tenure and her goal is to have a large pool of highly qualified diverse candidates when the Class of 2018 begins next June.

Colonel Assumpico has been working closely her Training Staff and Chief Terrance Gainer and his team of nationally recognized law enforcement experts to review past practices and policies and develop specific tactics to improve recruitment and retention of all candidates.

"There is no magic wand when it comes to increasing diversity among our ranks," Colonel Assumpico said. "However, we believe we now have a better understanding of what works, what doesn't work and what we need to do better when it comes to recruiting and retaining a diverse pool of candidates."

Some of the new recruitment efforts include:

- Holding orientation sessions throughout the state to provide specific information applicants need to physically, mentally and emotionally prepare for the recruitment process;
- Hosting panel discussions with female troopers who can address the specific questions and concerns women may have about a career in law enforcement;
- Establishing a Recruit Mentorship Program in which each candidate and alternate will be teamed with a mentor who will work with them as a group and individually to prepare mentally and physically for the recruitment process and Training Academy;
- Adopting a more universally accepted method of recruitment and screening that meets the national standards for law enforcement agencies.

"We remain firmly committed to recruiting and retaining a highly-qualified workforce that is diverse, well-educated, physically fit and committed to public service," Colonel Assumpico said.

Colonel Assumpico also thanked Governor Raimondo and members of the General Assembly for authorizing the new Training Academy, noting that state leaders recognize the need to replenish the staff as a result of current and anticipated vacancies. She also thanked Office of

Diversity, Equity, and Opportunity (ODEO) Associate Director Cheryl Burrell for her support during the upcoming recruitment campaign.

“These are opportunities, not only to serve in the law enforcement profession, but to serve the community directly in a meaningful way,” Director Burrell. “We need to embrace the talents and diversity that exist in all communities, and that is what today is all about. Governor Raimondo knows the importance of ensuring that our ranks reflect the makeup of our state and is committed to strengthening the ties between law enforcement and our communities through teamwork and appreciation of each other’s cultural differences.”

For more information or to apply for the 2018 Rhode Island State Police Training Academy, please visit our website at <http://risp.ri.gov/academy/>.

Attachment 6: Background Investigation Questionnaire

LEVEL I:

**BACKGROUND SOURCE OUTLINE FOR
Rhode Island State Police Trooper Candidate**

DATE:

- I. **INTRODUCTION:**
- II. **INTERVIEW WITH CANDIDATE:** *(Be sure to touch on siblings, current spouse, past spouse, children and stepchildren).*
- III. **EDUCATION:**
- IV. **PREVIOUS EMPLOYMENT** *(If applicable)*
- V. **MILITARY BACKGROUND** *(If applicable)*

A. If your applicant has been discharged from the Military or has retired from any Branch of Military service for more than two (2) years:

1. Use Standard Form 108
2. Routine or non-urgent requests FAX to (314) 801-9195
3. If there is a deadline associated with request, please provide this information in the "**Purpose**" section of the **SF-180** and **fax to Customer Service Team at (314) 801-0764**. All urgent requests are attempted to be completed within two working days.
4. Ten (10) days after routine request you may check the status of request by e-mail to NPRC Customer Service Center at mpr.status@nara.gov. Provide the request number if you have one, the name, address and phone number of the requester and the veteran's branch of service to aid in finding request in the system. You will receive a return e-mail with a projected completion date for request.

B. If your applicant has been discharged from the Military for less than two (2) years contact the specific Branches of Service below:

1. US Navy: Personnel Command, Millington, TN (901)874-4885
2. US Marines: Marine Headquarters, Quantico, VA 1-800-268-3710
3. Marine Forces Reserve: New Orleans, LA 1-800-255-5082
4. US Air Force: Personnel Center, Randolph AFB, TX 1-800-525-0102
5. US Air Force Reserve: Air Reserve Personnel Center, 1-800-525-0102
6. US Army: Human Resources Command, Fort Knox, KY 1-800-318-5298
7. US Coast Guard: Personnel Command, Arlington, VA 1-866-634-0574

- VI. **CRIMINAL HISTORY INVESTIGATION** (See control)
- A. **NCIC-National Crime Information Center** (RISP NCIC Unit)
 - B. **TRIPLE-I(III)-Interstate Identification Index**: (RISP NCIC Unit)
 - C. **RI Bureau of Criminal Identification**
 - D. **RISP Criminal Identification Unit**
 - E. **Records Management System RMS**: Cross Agency Check
 - F. **N-Dex**: Fusion Center Check
 - G. **RISP BCI/Intelligence Files**: Send request for information via e-mail to OIC.
 - H. **Federal Bureau of Investigation (FBI)**: Fax DOJ Form 361
Phone (540) 868-4391.
 - I. **Secret Service**: Office phone (401)331-6456. Send Fax request to the attention of Duty Agent in Charge/Debbie Heaney
PHONE (401) 331-6456 (FAX) 528-4394
 - 1. **DEA**: Agent David Carnevale, PHONE (401)732-2550 X128
FAX (401)732-3310
Email: David.j.carnevale@usdoj.gov
 - J. **Local Police Department Inquiries**: (current address and past addresses).
 - K. **College Security checks (if applicable)**

VII. **LICENSE/REGISTRATION INQUIRIES**

- A. **LICENSE**: Check through RISP NCIC Unit
- B. **RITT Inquiries**:
 - a. Driver's History:
Contact: Operator Control #462-0804 (provide name, license number, and/or DOB and info will be mailed to you).
- C. **REGISTRATION**: Check through RISP NCIC Unit. (Note: Be sure to check all vehicles registered to the individual)

VIII. **COURT HISTORY**: *To include District Court, Family Court, Superior Court, Supreme Court, and Civil Court.*

- A. **UNITED STATES FEDERAL/DISTRICT COURT**
Address: One Exchange Terrace, Providence, RI
Contact: Clerk on the desk
Ms. Paula Farrell-Pletcher Office #752-7207, FAX #752-7247
- B. **RHODE ISLAND SUPREME/SUPERIOR COURT**
Address: 250 Benefit Street, Providence RI

Superior Court

General Chief Clerk Stephen Burke Phone #222-3339, FAX #222-2701

Email sburke@courts.ri.gov

*Check for any civil cases as well.

Supreme Court

1 Prin. Deputy Clerk Kimberly Perez, Phone #222-8643, FAX #222-3599

2 Ms. Lauren Ezovski - Email lezovski@courts.ri.gov

*Information: Standing, payment of dues

C. RHODE ISLAND FAMILY COURT

Address: Garrahy Judicial Complex, One Dorrance Street, Providence RI

Contact: Executive Secretary to Chief Judge

1 Chief of Staff Ronald Pagliarini #458-5320, FAX #458-5360 OR

2 Richard Scarpellino #458-3307, FAX #458-5335

IX. FINANCIAL CHECKS:

A. INTERNAL REVENUE SERVICE (IRS) (use specific forms)

IRS Form 4506t Request for Transcript of Tax Return – follow instructions on page 2-if married have spouse sign and include social security # for spouse

FAX #816-292-6102

B. FEDERAL BANKRUPTCY COURT

Address: 380 Westminster Street, Providence RI

Lt. Dougherty will run the name and social security number through the PACER Federal Bankruptcy web site.

C. RI SECRETARY OF STATE/CORPORATIONS

Address: 100 North Main Street, Providence RI

Contact: **Ms. Jeanne Marie DiMasi**, PHONE #222-3040, FAX #222-1309

Email jdimasi@sos.ri.gov

D. RI DIVISION OF TAXATION:

Address: One Capitol Hill, Providence, RI

Contact: Chief Revenue Agent Leo Lebeuf, PHONE #574-8983

FAX #574-8919

Email Leo.lebeuf@tax.ri.gov

E. RHODE ISLAND LOTTERY:

Contact: RISP OIC Sgt. Gerald McKinney (401) 305-6101

F. GAMBLING CASINOS IN CONNECTICUT:

1. CT State Police Foxwoods/MGM Resort Casino Office:

Phone: (860) 312-4411 Sr. Inv. Jeffrey DeClerck

Fax: (860) 312-4442. Request yearly summary (w/release)

Email: JDeClerck@mptn-nsn.gov

2. CT State Police Mohegan Sun Casino Office.

Phone: (860) 862-7584 Contact Supervisory Sr. Inv. Joseph Foehr

Fax: (860) 862-8305. Request yearly summary (w/release)

Email: JFoehr@moheganmail.com

G. **CREDIT INQUIRIES:**
Send e-mail request for credit check to Detective Administrative Office

H. **LOCAL CITY/TOWN HALL TAXES:** Detective to contact town hall

X. **LISTED REFERENCES:** Interview each reference listed and summarize, in paragraph form, the contents of the interview

XI. **NEIGHBORHOOD CANVASS:**
Information from three (3) neighbors, reference character inquiries. If the person has moved in the past five (5) years, interview three (3) neighbors from the previous address.

XII. **MENTAL HEALTH INQUIRIES**
Health Care Facilities:

A. **Roger Williams Medicine Treatment Center**
825 Chalkstone Avenue, Providence, RI 02908
Contact: Medical Records - Jesse M. Phone (401) 456-2129
FAX (401) 456-2081 (w/specific release)

B. **High Point Treatment Center, Inc.**
1233 State Road, Plymouth, MA 02360
Contact: Ms. Peg Masciulli, Phone (508) 224-7701 ext164
FAX: (508) 224-9528 (w/general release)

C. **Butler**
Address: 345 Blackstone Boulevard, Providence, RI 02906
Contact: Ms. Linda Martins PHONE (401) 455-6321
FAX (401) 455-6498 (w/Butler Hospital specific release form required)

D. **McLean Hospital:**
Address: 115 Mill Street, Belmont, MA 02178 Main #508-855-2000
Contact: Ms. Mary Lawson, Medical Records Specialist
PHONE (617)855-2458 FAX (617)855-2727 (w/specific McLean Hospital release)

E. **Arbour-Fuller Memorial Hospital**
Address: 200 May Street, South Attleboro, MA 02703
Contact: Ms. Marissa Hedquist
PHONE (508)838-2253 FAX (508)761-4240 (w/specific Arbor Fuller Hospital release)

F. **Eleanor Slater Hospital:**
Address: 111 Howard Avenue (PO Box 8269), Cranston RI 02920
Contact: Ms. Sharon Maynard

****Note: If your candidate is an Attorney in the State of Rhode Island or elsewhere, please perform the below listed checks in Section XIII. You are required to perform the below checks in the State(s) where the person has been admitted to the Bar.**

XIII. ATTORNEY checks only: The following checks are to be performed for Attorneys who have applied as a Trooper Candidate.

A. RI BAR ASSOCIATION

1. Address: 115 Cedar Street, Providence RI 02903

Contact: Executive Secretary, Ms. Susan Cavalloro, Officer Manager
PHONE (401)421-5740 FAX (401)421-2703

Information: Year of admission to bar, Law School attended, current employer

2. Contact: RI Supreme Court Clerk's Office, 222-3272

Information: Good standing, payment of dues

B. RI SUPREME COURT DISCIPLINARY BOARD

Address: 24 Weybosset Street 2nd Fl, Providence, RI 02903

PHONE (401)222-3270 FAX 401-222-1191

Contact: Deputy Disciplinary Counsel Ms. Barbara Margolis
Chief Disciplinary Counsel David D. Curtin

C. RHODE ISLAND ETHICS COMMISSION

Contact: Mr. Steven Cross, Chief of Investigations

PHONE (401)222-3790 X22 FAX (401)222-3382

Complaints and preliminary investigations

D. BOARD OF JUDICIAL TENURE & DISCIPLINE (*Judges Only)

Contact: Ms. Christina Nardi, Executive Assistant to the Chairperson

PHONE 401-222-1188 FAX 401-222-1493

XIV. SUMMARY: Reaffirm your earlier decisions. **Do not make recommendation.** Summary paragraph should read as follows:

*This detective has completed an extensive background investigation into the character, fitness, work history, and well being of **include name and address of individual and position for which he or she has applied.** The results of this investigation are contained within this report, which is being submitted for review.*

Signature Line

Detective ***

Detective Bureau

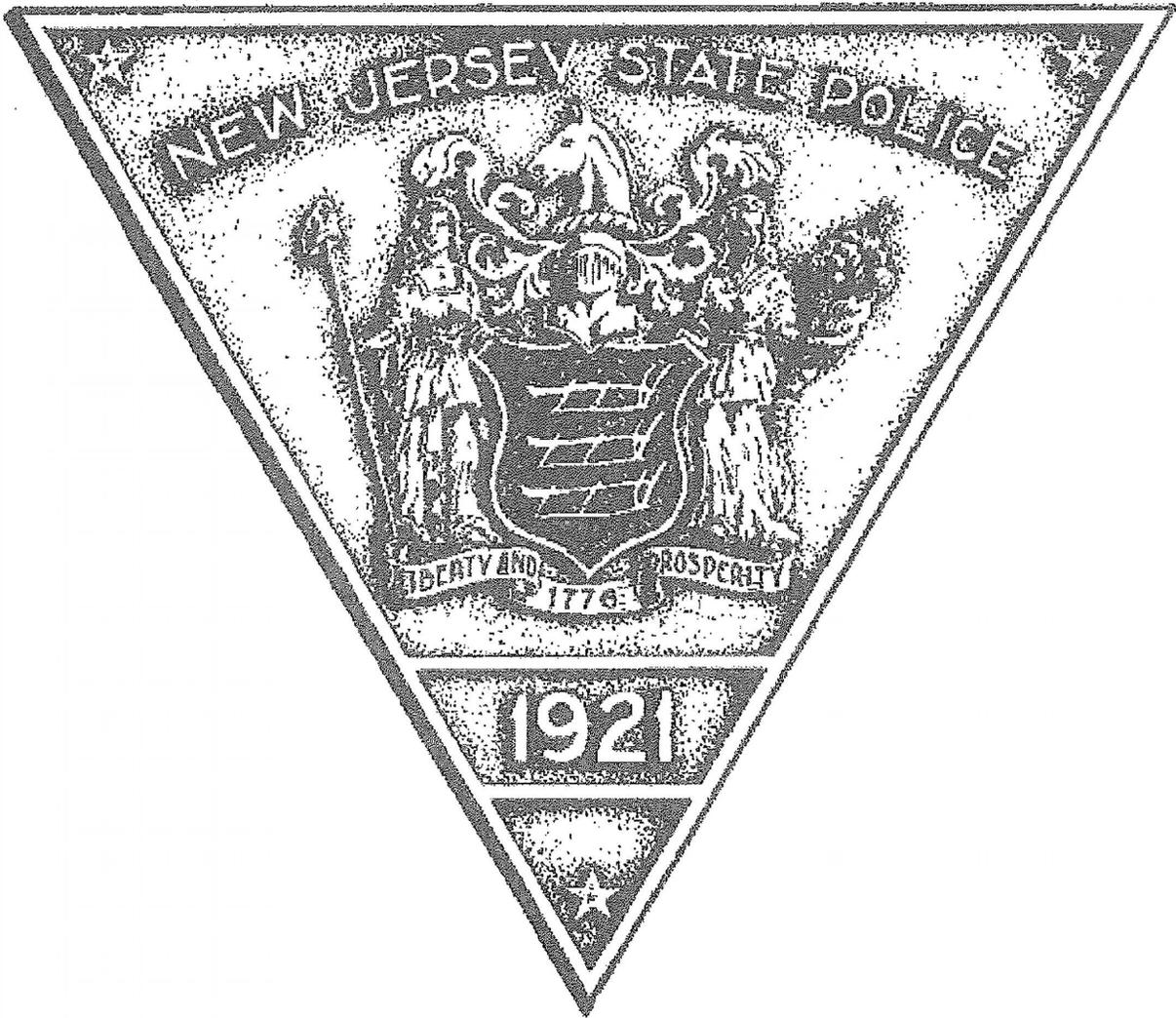
Attachment 7: List of Automatic Disqualifiers

- The applicant was convicted of an indictable offense or is presently under an indictment.
- The applicant was convicted of any offense involving domestic violence.
- The applicant was convicted of two or more offenses of driving while intoxicated within the last five years.
- The applicant is currently on probation or has been on probation at any time within the last 12 months.
- The applicant pleaded guilty or has been found guilty of any motor vehicle moving violation five or more times within the past two years.
- The applicant has been dishonorably discharged from any branch of military service or law enforcement agency.
- The applicant was adjudicated by a court or found by an employer to have violated any person's civil rights.
- The applicant was convicted of an offense involving or related to a previous public office, position or employment.
- The applicant, having been a citizen of the United States, has renounced his or her citizenship.
- The applicant is subject to a restraining order for harassing, stalking, or threatening, or a restraining order for any domestic violence related offense.
- The applicant sold, manufactured or distributed any illegal controlled substance in his or her life.
- The applicant engaged in the unauthorized usage of any illegal drug while employed in a position of public trust.

NEW JERSEY STATE POLICE

New Jersey State Police Training Bureau
Sea Girt, New Jersey

Exit Interview Questionnaire



The New Jersey State Police seeks to learn from your experience while part of the recruitment, selection and training process. As someone who was accepted into the academy and spent time in the program, your comments can contribute to our ongoing commitment to excellence in law enforcement training. The statements below concern specific aspects of the academy training program. Read each of the following questions and circle the number that most represents your reactions. Clearly print any comments you think are important and useful in the appropriate boxes. Circle Not Applicable (N/A) if you did not participate in a particular area of training, or were not in the Academy long enough to form an opinion.

DEMOGRAPHICS

1 Gender Male Female

2 Age 18-21 22-25 26-29 30-33 34-35

GENERAL

3 The New Jersey State Police Academy has had a positive impact on me. **Strongly Disagree** **Strongly Agree**

1	2	3	4	5	6	7	N/A
<input type="radio"/>							

4 What is the primary reason for your decision to leave the Academy?

- Not mentally prepared for training
- Not physically prepared for training
- No longer interested in a Law Enforcement Career
- No longer interested in the New Jersey State Police
- Financial Hardship
- Medical Separation
- Dismissal from training

If there is another reason, explain in detail. _____

- 6 What week of training have you completed? 1 2 3 4 5 6
 7 8 9 10 11 12
 13 14 15 16 17 18
 19 20 21 22 23 24

PREPARATION

- 7 Prior to the beginning of the training program you felt you adequately prepared yourself to meet the challenges that you would encounter. **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 8 Your duties as a recruit turned out to be what you expected them to be. **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 9 You were provided with adequate pre-employment information about the law enforcement profession. **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 10 You were provided with adequate pre-employment information about the New Jersey State Police. **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 11 You were provided with adequate pre-employment information about the academy experience. **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 12 The recruiting staff prepared me for what to expect at the training academy. **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 13 Did you participate in the Pre-Employment Preparation Program (PEPP) **Strongly Disagree** **Strongly Agree**
1 2 3 4 5 6 7 N/A

- 14 How many PEPP sessions did you attend? 1 2 3 4
 5 6 7 8
 9 10 11 12

CURRICULUM

- | | | | |
|----|--|---|---|
| 21 | The Para-Military style of training is a valuable part of the curriculum of a law enforcement academy. | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

The Para-Military style of training delivered at the academy was successful in promoting:

- | | | | |
|----|------------|---|---|
| 22 | Discipline | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

- | | | | |
|----|-------|---|---|
| 23 | Order | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

- | | | | |
|----|----------|---|---|
| 24 | Teamwork | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

- | | | | |
|----|---|---|---|
| 25 | The Adult Based Learning style of training is a valuable part of the curriculum of a law enforcement academy. | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

The Adult Based Learning Style of training delivered at the academy is successful in promoting:

- | | | | |
|----|--|---|---|
| 26 | Problem Solving & Critical Thinking Skills | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

- | | | | |
|----|--|---|---|
| 27 | Adequate Research Time to complete assignments | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

- | | | | |
|----|---------------------------------|---|---|
| 28 | A realistic Learning Experience | Strongly Disagree | Strongly Agree |
| | | 1 2 3 4 5 | 6 7 N/A |
| | | <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> | <input type="radio"/> <input type="radio"/> <input type="radio"/> |

29	The curriculum successfully combines both Para-Military, and Adult Based learning styles of training.	Strongly Disagree	Strongly Agree
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

TEAMWORK

Teamwork and cooperation are critical to police work. Please answer the following questions regarding the importance of teamwork during your academy experience.

30	The academy training philosophy required that you rely on your classmates to be successful.	Strongly Disagree	Strongly Agree
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

31	The academy staff encouraged and supported teamwork.	Strongly Disagree	Strongly Agree
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

32	Teamwork was evident among members of the academy staff.
----	--

INSTRUCTION

Please rate the instruction that you received in the following areas:

33	Physical Training	Poor	Excellent
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

34	Firearms	Poor	Excellent
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

35	Self Defense	Poor	Excellent
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

36	Water Safety	Poor	Excellent
		1 2 3 4 5	6 7 N/A
		○ ○ ○ ○ ○	○ ○ ○ ○

37 Criminal Law

Poor						Excellent	
1	2	3	4	5	6	7	N/A
<input type="radio"/>							

38 Military

Poor						Excellent	
1	2	3	4	5	6	7	N/A
<input type="radio"/>							

39 Traffic Science

Poor						Excellent	
1	2	3	4	5	6	7	N/A
<input type="radio"/>							

40 Basic Police Practice and Procedures

Poor						Excellent	
1	2	3	4	5	6	7	N/A
<input type="radio"/>							

41 Language / Communications

Poor						Excellent	
1	2	3	4	5	6	7	N/A
<input type="radio"/>							



REQUIRED SKILLS

42 Listed below are skills required to be successful at the New Jersey State Police Academy. Please select Three (3) that you feel are most important.

- | | | |
|---|--|--|
| <input type="radio"/> Physical Conditioning | <input type="radio"/> Self Discipline | <input type="radio"/> Dealing with Stress |
| <input type="radio"/> Communication with other recruits | <input type="radio"/> Communication with Instructors | <input type="radio"/> Military Drill |
| <input type="radio"/> Writing | <input type="radio"/> Problem Solving | <input type="radio"/> Following Directions |

COMMENTS

43 Please provide any comments you feel will be useful regarding the training academy:

Thank you for taking the time to share your comments and reaction to your Academy experience.

Recruit Exit Interview Data

Name (Last, First, Middle): _____

Home Address : _____

Contact Number : _____

Age : _____

Marital Status : _____

Social Security Number : _____

Time : _____

Day : _____

Date : _____

In an effort to continually provide individuals in the pre-service training program with the best preparation and training available, follow-up questions and / or contact will be made by civilian members of the Office of Public Affairs. Please provide them with any additional information they may request.

Signature of Recruit

Attachment 9: New Jersey State Police Promotional Process

Over the years, the New Jersey State Police (“NJSP”) had a promotional system that was not transparent, and relied on two factors: your badge number or seniority, and the “old boy network”. It was evident, as it has been expressed by members of the RISP, promotions are based more on who you know, than what you know.

Because of a federal consent decree, the NJSP redesigned its entire promotional system to make it more transparent, and to remove as much subjectivity as possible. Additionally, it retained an outside organization (Harvard) to evaluate the written based promotional exam versus a point system promotional system. The results showed a point basis system better identified qualified candidates than did the written examination. As such, a comprehensive point system is now utilized by the NJSP which, over the years, has proven to be extremely effective for the following reasons:

- The unions are engaged as part of the promotional system, thus reducing promotional grievances.
- Less internal investigations on allegations against supervisors, as they are much better qualified to provide competent leadership.
- More transparency
- Clear expectations
- Much more objective
- Seniority is but one of many factors that are considered
- Supervisory training is required.

The Promotional Process:

- All promotions for the entire organization are the responsibility of the Promotional Systems Unit. Because of the size of the NJSP, there are numerous job postings at different ranks at any given time.
- The process starts with the Branch which is commanded by an LTC, such as Field Operations, Investigations and Intelligence, Homeland Security, etc. identifying an open position with qualifications. Preferred criteria are established, reviewed by the unions and then verified. Criteria is somewhat broad, but specific enough to establish the need qualifications. For example, if a position at the Intelligence (Fusion) Centers posted, it states the qualifications, but is not so specific as to state that the candidate has to be currently stationed at the Intelligence Center. Preferred criteria can come from outside sources, such as specialized military training if related to the specific job posting. Technical qualifications are also stated. For example, Attorney General mandated requirements to teach at the Academy requires a Bachelor’s Degree and completion of the “Methods of Instruction” course.

- Once all agree on the criteria and it is verified, the job is posted on the Intranet website, along with:
 - Statement of Qualifications
 - Resume
 - Date of last promotion
 - Time of Service (Minimum time with the SP is 7 years before eligible for promotion)
 - Special Training
 - Education - credits and degrees
 - Assignment – Subject Matter Expertise
 - Awards
 - Other service such as Trooper/Coach, Mentor, Military
- Once compiled, the documents in support of promotion are electronically uploaded and sent to the Promotional Systems Unit. Once received, the Unit provides the candidate a randomly selected number that will identify them throughout the process thereby removing any specific names of candidates.
- At the time the job posting closes, the documents are then evaluated with points being assigned. For example, the Statement of Qualifications can receive a maximum score of 5 points. If a candidate is currently in the job, they can receive as much as 30 points.
- Candidates are vetted by the EEO and PSU Section for any previous discipline. There is a subtraction for any prior discipline matters. The results by score are then posted, with adjustments.
- Top candidates are then “tiered” by their random number, and posted. There are 3 tiers, with 3 candidates in each tier. In tier 1, which is the top tier, the three candidates are listed by name for the first time when sent to the LTC in charge of that branch. No scores are attached to the names, as each of the 3 candidates are considered equal. The Branch LTC then selects his/her choice. This is the only portion of the process that has some subjectivity. The reason for the selection by the LTC of one of three candidates, is that it allows for them to select the candidate they wish in the position.
- This process is used for all rank advancement below Lieutenant.

Command Staff Promotional Process

- In addition to the above process, those seeking promotion for the position of Lieutenant or Captain appear before an Oral Review Board. The questions are specific and each candidate answers the same set of questions. Questions will include leadership questions, behavioral questions, and conflict resolution questions.
- For the rank of Major and LTC, there is a second review board which includes those outside of the SP. (Note: The Superintendent of the NJSP reports to the NJ Attorney General, as such, the AG’s designee, a senior ranking member of the AG’s office such as

the First Assistant Attorney General, serves on the second oral review board, but the Colonel does not as he/she makes the final selection from the 3 candidates in tier one.)

Leadership School

Currently, once a trooper is promoted to the next rank, they are sent to a leadership school. The higher up the rank the more demanding the school, where senior ranks attend a command school which incorporates additional elements that are relevant to their particular job. The NJSP is going to change this part of the system as they are now training those who are eligible for promotion in the respective leadership courses as they have found the oral board questions regarding leadership are more relevant, and the candidate has a better understanding of what will be required of them in the next higher rank.

In considering such a promotional system, and as noted above, it should be kept in mind that the recommendation may need to be adjusted based on the needs of the RISP, however, it does address many of the concerns and drawbacks of the current system as were expressed to the Assessment Team by the members of the RISP. Additionally, whichever system is utilized, it will need constant review, evaluation and adjustment to meet the needs of the department.

Attachment 10: Citizen Complaint Investigation Summary Checklist

All citizen complaints will be logged in with the Professional Standards Unit and assigned a tracking case number. Each will be fully investigated. In addition to the Professional Standards Unit being notified, the Commanding Officer of the Trooper/member involved will be notified of any complaint or incident involving use alcohol, domestic violence, any arrest of any member sworn or civilian, and any complaint in which the complainant complains of injury. That commanding officer will ensure that the Superintendent is notified by apprising the immediate chain of command.

1. Preliminary Report:

Any incident as noted above will be documented in a preliminary report through the chain of command to the Superintendent within twenty-four hours of the incident. This preliminary report will contain:

1. Date, time, location of incident
2. Name, rank, assignment, and badge number of Trooper(s) involved
3. Date of appointment of the employee and whether or not they are a probationary employee
4. If result of a complaint, allegations listed
5. Name, date, and time of notification to IA
6. Name of investigating supervisor
7. Condition of Trooper(s)
8. Condition of complainant
9. Names of supervisors who responded to the scene
10. A brief summary of the incident
11. Status of investigation

A final investigative report will be submitted within thirty (30) days of the incident. If a final report is not able to be completed within that time frame, a brief summary status of the investigation, reason for extension, and request for extension will be submitted within the thirty-day period.

2. Evidentiary checklist (this investigatory checklist shall be used during the course of the investigation and a final and completed checklist should be included in the final report):

As early as possible in the investigation, the investigator shall:

- A. Determine the nature of the violations alleged;
- B. Identify the employee(s) involved;

C. Secure all sources of information, including, but not limited to:

1. Dispatch tapes
2. Camera footage or photographs from witnesses, bystanders, commercial establishments, surveillance recordings, etc.
3. Case reports
4. Arrest reports
5. Use of Force reports
6. Property/evidence reports
7. Injury reports
8. Names and contact information of witnesses
9. Photographs of scene, injuries, etc.
10. Computer information (i.e., emails, agency records)
11. In-car video
12. Body-worn camera video
13. Witness notes, statements or other relevant records
14. Phone records to include recordings and photographs
15. Other evidence

3. Investigative Checklist: (this investigatory checklist shall be used during the course of the investigation and a final and completed checklist should be included in the final report):

YES	NO	General Verifications
<input type="checkbox"/>	<input type="checkbox"/>	Was the Professional Standards Unit immediately notified, at least within 24 hours or next business day of RISP receiving this complaint/
<input type="checkbox"/>	<input type="checkbox"/>	Investigation completed by the assigned due date or approved extension date?
<input type="checkbox"/>	<input type="checkbox"/>	Was the investigating officer involved in the incident, or is there otherwise a conflict of interest with the investigating official?
<input type="checkbox"/>	<input type="checkbox"/>	Does the report include a summary of all relevant evidence gathered?
YES	NO	Citizen Complaints
<input type="checkbox"/>	<input type="checkbox"/>	Did the Supervisor document the date and time that he/she responded to the scene of the incident? Not Applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Was the injured subject and/or officer photographed? Not Applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Did the Supervisor document his/her interview with the subject and the results of the interview, even if the subject refused to be interviewed?
<input type="checkbox"/>	<input type="checkbox"/>	Was a Use of Force Report prepared, certified by the Supervisor and Commanding Officer and returned by the due date?
YES	NO	Conduct of Investigations
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer document the dates, times, and locations of all investigative activity?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer document all actions taken to seek out potential witnesses?

<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer document all attempts to contact and interview all potential witnesses identified?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer interview and take statements from all potential witnesses that were identified? (The results of untruthful interviews should also be included.)
<input type="checkbox"/>	<input type="checkbox"/>	Was a witness canvass conducted?
<input type="checkbox"/>	<input type="checkbox"/>	If a witness canvass was conducted, is there a report of the witness canvass included with the investigation?
<input type="checkbox"/>	<input type="checkbox"/>	If no witness canvass was conducted, does the investigator document the reason for not doing a witness canvass?
<input type="checkbox"/>	<input type="checkbox"/>	Were there any group interviews conducted?
<input type="checkbox"/>	<input type="checkbox"/>	Were all potential RISP Trooper/Supervisor witnesses interviewed?
<input type="checkbox"/>	<input type="checkbox"/>	Were sufficient efforts made to locate the complainant(s) and/or all witnesses?
<input type="checkbox"/>	<input type="checkbox"/>	Was all evidence preserved, collected, and analyzed in the report?
<input type="checkbox"/>	<input type="checkbox"/>	If the subject/arrestee was injured, were applicable reports and any other available, relevant medical records included in an attachment with the investigation? Not Applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Were inconsistencies among officers and witness statements documented and addressed?
<input type="checkbox"/>	<input type="checkbox"/>	Did the report adequately address the propriety of the conduct of all Troopers involved?
<input type="checkbox"/>	<input type="checkbox"/>	Was all apparent misconduct adequately addressed?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigator give preference to a Trooper's statement?
<input type="checkbox"/>	<input type="checkbox"/>	Does the report include proposed findings and analysis supporting the findings?
<input type="checkbox"/>	<input type="checkbox"/>	Were the findings based on a preponderance of the documented evidence?
<input type="checkbox"/>	<input type="checkbox"/>	Did all allegations of misconduct addressed in the report receive an appropriate finding, i.e., sustained, insufficient facts, exonerated, or unfounded?
<input type="checkbox"/>	<input type="checkbox"/>	Are all attachments referred to in the final report listed and included with the investigative report?
<input type="checkbox"/>	<input type="checkbox"/>	If the report revealed criminal allegations, were appropriate notifications made?
<input type="checkbox"/>	<input type="checkbox"/>	Did the member self-report this incident, if applicable? Not applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Did another member report this incident, if applicable? Not applicable <input type="checkbox"/>

Official completing form:

Name: Rank: Date:

PHILADELPHIA POLICE DEPARTMENT



DISCIPLINARY CODE

July 2014

Introduction

The intent of this Disciplinary Code is to instill and support the core values of the Philadelphia Police Department by establishing fair and consistent penalties for violations of Philadelphia Police Department rules, policies, and principles. The Articles herein are intended to direct the Police Board of Inquiry and all Commanders in administering such fair and uniform penalties. This code shall apply to all personnel of the Police Department. The core values of the Philadelphia Police Department are:

Honor - It is a privilege to serve as a member of the law enforcement community and especially as a member of Philadelphia Police Department. Each day when you pin on your badge, remember those who went before you and the sacrifices made in the name of this badge. Treat your badge with honor, respect, and pride. Do nothing that will tarnish your badge, for one day you will pass it to another Philadelphia Police officer to honor and respect.

Service - Service with honor means providing police service respectfully and recognizing the dignity of every person. We can demand that others respect and honor our work only when we respect them and their rights. We are in the business of providing police service with the highest degree of professionalism. Every day we come into contact with crime victims, residents afraid to enjoy their neighborhoods, and young people scared to stand up and do the right thing. Our job is to help them and to do so with courtesy and compassion.

Integrity - Integrity is the bedrock of policing and the foundation for building a successful relationship with our partners. Integrity means reflecting our values through our actions. It is not enough to espouse honor, service and integrity. Each of us must live these values in our professional and personal lives. We do this by being honest in our dealings and abiding by the laws and respecting the civil rights of all. Serving with integrity builds trust between the community and the police.

Members of the Philadelphia Police Department must be morally and ethically above reproach at all times regardless of duty status. All members shall respect the sanctity of the law and shall be committed to holding themselves to the highest standard of accountability. No member shall depart from standards of professional conduct or disobey the law.

The following code includes specific behaviors that have been identified as violating this standard. However, to the extent that an employee's actions are not specifically described in this code, but have the effect of impairing the employee's

ability to perform his or her duties, then the employee may be charged under the “Unspecified” Charges.

Penalties recommended by either the Police Board of Inquiry or commanders for offenses listed shall be within the prescribed limits. The Disciplinary Code shall in no way limit any penalty which the Police Commissioner may impose. The Police Commissioner is the final authority on all disciplinary matters.

Transfer may be imposed for all disciplinary infractions.

Demotion may be imposed for all disciplinary infractions.

The “reckoning period” as used in this code is that period of time during which an employee is expected to have a record free of the same type of offense. All reckoning periods shall be completed from the date the first offense was committed. For subsequent violations to apply, it must be shown that the employee was provided formal notice (75-18s) of the first violation. Second and subsequent violations of the same section committed during the relevant reckoning period shall be treated as second or subsequent offenses. The same type of offenses committed after the reckoning period expires counts as a first offense. If the individual is found not guilty of a first offense at a Police Board of Inquiry hearing; then a second offense charged would be considered a first offense within the reckoning period.

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ARTICLE I

CONDUCT UNBECOMING

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
1-§001-10	Unspecified	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	Duration of Employment
1-§002-10	Accepting bribes or gratuities for permitting illegal acts.	Dismissal	-----	-----	-----
1-§003-10	Failure to immediately report, in writing to their Commanding Officer, offers of bribes or gratuities to permit illegal acts.	10 days to Dismissal	Dismissal	-----	2 Years
1-§004-10	Failure to officially report corruption, or other illegal acts.	10 days to Dismissal	Dismissal	-----	Duration of Employment
1-§005-10	Failure to stop, or attempt to stop, an officer using force when that force is no longer required.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§006-10	Soliciting for attorneys, bondsman, tow operators or other unauthorized persons.	30 days or Dismissal	Dismissal	-----	2 Years
1-§007-10	Knowingly lying under oath to any material facts in any proceeding.	Dismissal	-----	-----	-----
1-§008-10	Failure to cooperate in any Departmental investigation.	10 days to Dismissal	30 days or Dismissal	Dismissal	Duration of Employment
1-§009-10	Lying or attempting to deceive regarding a material fact during the course of any Departmental investigation.	10 days to Dismissal	Dismissal	-----	Duration of Employment
1-§010-10	Knowingly and willfully making a false entry in any Department record or report.	5 days to Dismissal	15 days to Dismissal	Dismissal	5 Years

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
1-§011-10	Abuse of authority	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§012-10	Unauthorized and / or excessive use of force in your official capacity.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§013-10	Knowingly and intentionally associating, fraternizing or socializing with persons actively engaged in criminal conduct, or fugitives from justice, or others that compromises, discredits, prejudices or otherwise makes suspect an employee's authority, integrity, or credibility.	20 days to Dismissal	Dismissal	-----	Duration of Employment
1-§014-10	Fighting / quarreling with members of the Department while one or both are on duty.	Reprimand to 10 days	10 to 20 days	20 days to Dismissal	2 Years
1-§015-10	Engaging in threatening, Or harassing, intimidating, Or like conduct towards another member of the Police Department.	Reprimand to 10 days	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§016-10	Inappropriate language conduct or gestures to Police Department employees while on duty.	Reprimand to 10 days	10 to 15 days	15 to 20 days	2 Years
1-§017-10	Inappropriate language conduct, or gestures to the public while on duty.	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years
1-§018-10	Sexual behavior while on duty.	30 days or Dismissal	Dismissal	-----	Duration of Employment
1-§019-10	Sexual behavior in a City, state, or federally owned or leased vehicle or facility while off duty.	30 days or Dismissal	Dismissal	-----	Duration of Employment

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
1-§020-10	Repeated violations of any Departmental rules or regulations.	30 days or Dismissal	Dismissal	-----	5 Years
1-§021-10	Any incident, conduct, or course of conduct which indicates that an employee has little or no regard for his/her responsibility as a member of the Police Department.	30 days or Dismissal	Dismissal	-----	5 Years
1-§022-10	Any act, conduct or course of conduct which objectively constitutes discriminating or harassing behavior based on race, color, gender, religion, national origin, age, ancestry, sexual orientation, disability, or gender identity.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§023-10	Inappropriate communication(s) based on race, color, gender, religion, national origin, age, ancestry, sexual orientation, disability, or gender identity conveyed in any manner.	Reprimand to 15 days	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§024-10	Any act, conduct or course of conduct which objectively constitutes sexual harassment.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years
1-§025-10	On duty or job-related inappropriate sexually based communication(s) conveyed in any manner.	Reprimand to 15 days	Reprimand to Dismissal	Reprimand to Dismissal	5 Years

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
1-§026-10	Engaging in any action that constitutes the commission of a felony or a misdemeanor which carries a potential sentence of more than (1) year. Engaging in any action that constitutes an intentional violation of Chapter 39 of the Crimes Code (relating to Theft and Related Offenses). Also includes any action that constitutes the commission of an equivalent offense in another jurisdiction, state or territory. Neither a criminal conviction nor the pendency of criminal charges is necessary for disciplinary action in such matters.	30 Days or Dismissal	Dismissal	-----	Duration of Employment

ARTICLE II

ABUSE OF ALCOHOL/CONTROLLED SUBSTANCES / PRESCRIPTION DRUGS

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
2-§001-10	Unspecified	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	2 Years
2-§002-10	Drinking alcoholic beverages while on duty.	30 days or Dismissal	Dismissal	Dismissal	2 Years
2-§003-10	Odor of alcohol on breath while on duty.	Reprimand to 10 days	10 to 15 Days	30 Days or Dismissal	5 Years
2-§004-10	Impaired on duty.	30 days or Dismissal	Dismissal	-----	2 Years
2-§005-10	Intoxicated off duty in full or partial uniform.	5 to 10 days	10 to 20 days	25 to 30 days	2 Years
2-§006-10	“Driving under the influence” off duty.	30 days or Dismissal	Dismissal	-----	5 Years
2-§007-10	“Driving under the influence” pleas, convictions or ARD under one of the following circumstances: (a) second or subsequent DUI offense while employed by the City of Philadelphia within the reckoning period (regardless of whether or not off duty); (b) involving a hit and run of a person, vehicle or property; or (c) operating, driving or physically controlling a City, State, or Federally owned / leased vehicle.	30 days or Dismissal	Dismissal	-----	5 Years
2-§008-10	Operating, driving or physically controlling a City, State, or Federally owned / leased vehicle after imbibing in any amount of alcohol and / or illegal substance.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
2-§009-10	Socializing or drinking in an alcoholic beverage establishment in full or partial uniform while off duty.	Reprimand to 5 days	5 to 10 days	10 to 15 days	2 Years
2-§010-10	Constructive or actual possession of alcoholic beverages not related to the legal confiscation of same while on duty.	Reprimand to 10 days	10 to 20 days	20 to 30 days	2 Years
2-§011-10	Any use or ingestion of any illegal substances, prohibited under 35 P.S. §780-101 et seq.(Controlled Substance, Drug, Device and Cosmetic Act), or any substance that constitutes the commission of an offense under Federal law or in any other jurisdiction, State or Territory, either on or off duty.	Dismissal	-----	-----	-----
2-§012-10	Inappropriate use of a prescription drug.	10 days to Dismissal	Dismissal	-----	5 Years
2-§013-10	Constructive or actual possession of a controlled substance not legally prescribed or related to the legal confiscation of same.	30 days or Dismissal	Dismissal	-----	5 Years

ARTICLE III

ESSENTIAL REQUIREMENTS FOR DUTY

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
3-§001-10	Unspecified	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	Duration of Employment
3-§002-10	Inability to perform the essential duties of a sworn police officer as defined by the Municipal Police Officer Education and Training Commission (MPOETC); inability to legally operate a motor vehicle; inability to or failure to maintain state certification under the MPOETC	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	Duration of Employment
3-§003-10	Prohibited from accessing, inputting or otherwise acquiring information from any law enforcement system, database, or program.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	Duration of Employment
3-§004-10	Failure to maintain a bona fide residence in the City of Philadelphia or Commonwealth of Pennsylvania consistent with the current collective bargaining agreement/civil service regulations.	Dismissal	-----	-----	-----

ARTICLE IV

INSUBORDINATION

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
4-§-001-10	Unspecified	Reprimand to 30 days	Reprimand to 30 days	Reprimand to 30 days	2 Years
4-§-002-10	Refusal to promptly obey proper orders from a superior officer.	5 to 30 days	15 days or Dismissal	Dismissal	2 Years
4-§-003-10	Profane, insulting, or improper language, conduct, or gestures toward, in the direction of, or in relation to, a superior officer.	5 to 10 days	15 to 30 days	Dismissal	1 Year
4-§-004-10	Threatening to or using physical force against a superior officer when either is on duty.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	Duration of Employment
4-§-005-10	Omitting title when addressing any superior officer.	Reprimand to 5 days	5 to 10 days	15 to 20 days	5 Years
4-§-006-10	Reporting off sick in response to receiving an assignment.	5 to 10 days	10 to 20 days	30 days or Dismissal	2 Years

ARTICLE V

NEGLECT OF DUTY

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
5-§001-10	Unspecified	Reprimand to 15 days	15 to 30 days	30 days or Dismissal	2 Years
5-§002-10	Failure to take police action while on duty.	Reprimand to 10 days	10 to 30 days	15 days to Dismissal	2 Years
5-§003-10	Failure to properly patrol area of responsibility.	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years
5-§004-10	Failure to respond to an assignment by any means transmitted. (Use of personal cell phones shall not be required by officers).	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years
5-§005-10	Failure to make required written report.	Reprimand to 5 days	5 to 10 days	10 to 15 days	2 Years
5-§006-10	Failure to conduct a proper, thorough, and complete investigation.	Reprimand to 5 days	5 to 10 days	10 to 20 days	1 Year
5-§007-10	Asleep on duty.	Reprimand to 5 days	5 to 10 days	20 to 30 days	2 Years
5-§008-10	Unauthorized absence from assignment.	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years
5-§009-10	Absence without leave for less than one working day	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
5-§010-10	Absence without leave for a minimum of one working day, but less than five consecutive working days.	2 to 10 days	10 days to Dismissal	Dismissal	1 Year

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
5-§011-10	Failure to comply with any Police Commissioner's orders, directives, memorandums, or regulations; or any oral or written orders of superiors.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
5-§012-10	Failure to comply with the Department's Off Duty policy.	Reprimand to 10 days	5 to 15 days	15 to 20 days	2 Years
5-§013-10	Failure to comply with a court notice or subpoena.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
5-§014-10	Allowing prisoner to escape through carelessness or neglect.	Reprimand to 10 days	15 to 20 days	25 to 30 days	2 Years
5-§015-10	Failure to take reasonable efforts to provide for the safety of prisoners while in police custody.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
5-§016-10	Failure to remove keys from police vehicle when unattended.	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years
5-§017-10	Loss or damage to Police Department property resulting from negligence or from failure to properly care for same. (Excludes City owned weapons)	Reprimand to 5 days and restitution	5 to 10 days and restitution	15 to 20 days and restitution	2 Years
5-§018-10	Lost or stolen City owned weapon resulting from negligence or failure to restitution properly care for same.	Reprimand to 15 days and restitution	20 days to Dismissal and restitution	30 days or Dismissal and restitution	5 Years
5-§019-10	Failure to properly care for and maintain a police vehicle.	Reprimand to 5 days	5 to 10 days	10 to 20 days	2 Years

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
5-§020-10	Performing any activity on duty which does not relate to the duty assignment and which could interfere with the duty assignment.	Reprimand to 5 days	5 to 10 days`	10 to 20 days	1 Year
5-§021-10	Failing to submit form 75-350, Change of Personnel Data, as prescribed.	Reprimand to 5 days	5 to 10 days	10 to 20 days	1 Year

ARTICLE VI

DISOBEDIENCE

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
6-§001-10	Unspecified	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	2 Years
6-§002-10	Absence from official duties without proper authorization during a declared emergency in the City of Philadelphia by the Mayor, the Governor of Pennsylvania, the President of the United States or their designees.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	Duration of Employment
6-§003-10	Failure to immediately notify the Department about any involvement of which they are aware in criminal litigation as the defendant.	30 days or Dismissal	Dismissal	-----	5 Years
6-§004-10	Failure to notify the Law Department of involvement in any civil action (whether a plaintiff, defendant or witness) arising from police duty within 5 calendar days.	Reprimand to 5 days	5 to 10 days	15 days to Dismissal	2 Years
6-§005-10	Soliciting without proper authorization.	5 to 10 days	10 to 15 days	20 to 30 days	1 Year
6-§006-10	Failure to follow Departmental procedures for the handling of evidence, personal effects, and all other property taken into custody except narcotics, money, explosives, firearms, hazardous materials or forensic evidence.	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
6-§007-10	Failure to follow Departmental procedures for the handling of narcotics, money, explosives, firearms, hazardous materials, or forensic evidence.	Reprimand to 5 days	5 to 10days	30 days or Dismissal	2 Years
6-§008-10	Discharging, using, displaying or improper handling of a firearm while not in accordance to Departmental Policy.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	2 Years
6-§009-10	Improper or unauthorized use of Departmentally owned or leased equipment.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§010-10	Communicating or imparting local, state, or federal law enforcement information without authority or to unauthorized persons.	Reprimand to Dismissal	15 days to Dismissal	Dismissal	1 Year
6-§011-10	Having or operating private vehicle on beat or driving to or from a post without authorization.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§012-10	Failure to report on or off assignment as prescribed.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§013-10	Tardiness	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§014-10	Unauthorized persons in police vehicle.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§015-10	Carrying or possessing unauthorized equipment while on duty.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§016-10	Wearing awards or citations on the uniform that have not been awarded.	Reprimand to 5days	5 to 10 days	15 to 20 days	1 Year

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
6-§017-10	When in uniform, failure to properly salute the Police Commissioner or a uniformed superior officer.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§018-10	Failure to give prescribed identification when answering the telephone.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§019-10	Refusal to give name and badge number when requested.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§020-10	Failure to provide a member of the public with the procedure, information or form concerning a complaint against police.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
6-§021-10	Instituting a private criminal complaint as the result of dissatisfaction with the outcome of an official police action prior to notifying the Department about the action being taken.	Reprimand to 5 days	5 to 10 days	15 days to Dismissal	2 years
6-§022-10	No one shall, without being subpoenaed and previously notifying the Chief Inspector of the Office of Professional Responsibility, appear or give testimony as a character witness for any defendant in a criminal trial or inquiry.	5 to 15 days	15 to 30 days	Dismissal	2 years
6-§023-10	Unapproved outside employment.	Reprimand to 5 days	5 to 10 days	10 to 20 days	1 Year
6-§024-10	Prohibited outside employment.	5 to 10 days	15 to 20 days	25 to 30 days	1 Year

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
6-§025-10	Willfully damaging Police Department owned or leased property and /or equipment.	Dismissal	-----	-----	-----
6-§026-10	Interference with Police Radio broadcasting.	Dismissal	-----	-----	-----
6-§027-10	Intentionally providing inaccurate, misleading, or deceptive information to Police Radio regardless of how communicated, on or off duty.	Reprimand to Dismissal	Reprimand to Dismissal	Reprimand to Dismissal	5 Years

ARTICLE VII

MOTOR VEHICLE VIOLATIONS

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
7-§001-10	Unspecified	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
7-§002-10	Involved in a preventable motor vehicle accident.	Reprimand to 3 days	3 to 5 days	5 to 10 days	1 Year
7-§003-10	Failure to follow Departmental procedures involving safe operation of a police vehicle [excluding pursuits and / or emergency driving].	Reprimand to 5 days	5 to 10 days	10 to 15 days	1 Year
7-§004-10	Failure to follow Departmental procedures involving pursuit and / or emergency driving.	Reprimand to 5 days	5 to 10 days	15 to 20 days	1 Year
7-§005-10	Failure to notify Commanding Officer in writing whenever PA Operator's License has lapsed, or expired.	Reprimand to 5 days	5 to 10 days	15 to 20 days	2 Years

ARTICLE VIII

FAILURE TO SUPERVISE

Section	Charge	1 st Offense	2 nd Offense	3 rd Offense	Reckoning Period
8-§001-10	Unspecified	Reprimand to 5 days	5 to 10 days	15 to 20 days	5 Years
8-§002-10	Failure to review, approve, input, submit or distribute all required reports, forms, documents or notifications in any medium.	Reprimand to 5 days and/or demotion	5 to 10 days and/or demotion	15 to 20 days and/or demotion	2 Years
8-§003-10	Failure to properly supervise subordinates.	Reprimand to 5 days and/or demotion	5 to 10 days and/or demotion	15 to 20 days and/or demotion	2 Years
8-§004-10	Failure to take supervisory action.	Reprimand to 5 days and/or demotion	5 to 10 days and/or demotion	15 to 20 days and/or demotion	2 Years
8-§005-10	Supervisors shall not personally solicit subordinates in any manner for any item unless authorized by the Police Commissioner or their official designee.	Reprimand to 5 days and/or demotion	5 to 10 days and/or demotion	15 to 20 days and/or demotion	2 Years

BY COMMAND OF THE POLICE COMMISSIONER

Attachment 12: Douglas Factors

The Merit Systems Protection Board in its landmark decision, *Douglas vs. Veterans Administration*, 5 M.S.P.R. 280 (1981), established criteria that supervisors must consider in determining an appropriate penalty to impose for an act of employee misconduct. The following relevant factors must be considered in determining the severity of the discipline:

- (1) The nature and seriousness of the offense, and its relation to the employee's duties, position, and responsibilities, including whether the offense was intentional or technical or inadvertent, or was committed maliciously or for gain, or was frequently repeated;
- (2) the employee's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position;
- (3) the employee's past disciplinary record;
- (4) the employee's past work record, including length of service, performance on the job, ability to get along with fellow workers, and dependability;
- (5) the effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon supervisors' confidence in the employee's work ability to perform assigned duties;
- (6) consistency of the penalty with those imposed upon other employees for the same or similar offenses;
- (7) consistency of the penalty with any applicable agency table of penalties;
- (8) the notoriety of the offense or its impact upon the reputation of the agency;
- (9) the clarity with which the employee was on notice of any rules that were violated in committing the offense, or had been warned about the conduct in question;
- (10) the potential for the employee's rehabilitation;
- (11) mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others involved in the matter; and
- (12) the adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employee or others.

Attachment 13: Use of Force Investigation Summary Checklist

All Use of Force incidents will be immediately logged in with the Professional Standards Unit and assigned a tracking case number. In addition to the Professional Standards Unit being notified, the Commanding Officer of the Trooper/member involved will be notified of any incident involving Use of Force and/or use of service weapon.

1. Preliminary Report:

Any incident as noted above will be documented in a preliminary report through the chain of command to the Superintendent within twenty-four hours of the incident. This preliminary report will contain:

1. Date, time and location of incident
2. Name, rank, assignment and badge number of Trooper(s) involved
3. If result of a complaint, allegations listed
4. Name, date and time of notification to the Professional Standards Unit
5. Name of investigating Supervisor
6. Condition of Trooper(s)
7. Condition of complainant
8. Names of Supervisors who responded to the scene
9. A brief summary of the incident
10. Status of investigation

A final investigative report will be submitted to the designated official within thirty (30) days of the incident. If a final report is not able to be completed within that time frame, a brief summary status of the investigation, reason for extension, and request for extension will be submitted within the thirty-day time period.

2. Evidentiary Checklist (this investigatory checklist shall be used during the course of the investigation and a final and completed checklist should be included in the final report):

As early as possible in the investigation, the investigator shall:

- A. Determine the nature of the violations alleged;

- B. Identify the employee(s) involved;
- C. Secure all sources of information, including, but not limited to:
 1. Dispatch Tapes
 2. Camera footage or photographs from witnesses, bystanders, commercial establishments, surveillance recordings, etc.
 3. Case reports
 4. Arrest reports
 5. Use of Force reports
 6. Property/evidence reports
 7. Injury reports
 8. Names and contact information of witnesses
 9. Photographs of scene, injuries, etc.
 10. Computer information (i.e., emails, agency records)
 11. In-car video
 12. Body-worn camera video
 13. Witness notes, statements or other relevant records
 14. Phone records to include recordings and photographs
 15. Training records
 16. Other evidence

3. Investigative Checklist: (this investigatory checklist shall be used during the course of the investigation and a final and completed checklist should be included in the final report):

YES	NO	General Verifications
<input type="checkbox"/>	<input type="checkbox"/>	Was Professional Standards Unit notified within 24 hours or next business day of the Use of Force?
<input type="checkbox"/>	<input type="checkbox"/>	Was the investigation completed by the assigned due date or approved extension date?
<input type="checkbox"/>	<input type="checkbox"/>	Was the investigating officer involved in the incident, or is there otherwise a conflict of interest with the investigating officer?
<input type="checkbox"/>	<input type="checkbox"/>	Does the report include a summary of all relevant evidence gathered?

YES	NO	Use of Force and Allegations of Excessive Force
<input type="checkbox"/>	<input type="checkbox"/>	Did the Supervisor document the date and time that he/she responded to the scene of the incident? Not Applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Was the injured subject and/or officer photographed? Not Applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Did the Supervisor document his interview with the subject and the results of the interview, even if the subject refused to be interviewed?

<input type="checkbox"/>	<input type="checkbox"/>	Was a Use of Force Report prepared, certified by the Supervisor and Commanding Officer and returned by the due date?
YES	NO	Conduct of Investigations
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer document the dates, times, and locations of all investigative activity?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer document all actions taken to seek out potential witnesses?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer document all attempts to contact and interview all potential witnesses identified?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigating officer interview and take statements from all potential witnesses that were identified? (The results of untruthful interviews should also be included.)
<input type="checkbox"/>	<input type="checkbox"/>	Was a witness canvass conducted?
<input type="checkbox"/>	<input type="checkbox"/>	If a witness canvass was conducted, is there a report of the witness canvass included with the investigation?
<input type="checkbox"/>	<input type="checkbox"/>	If no witness canvass was conducted, does the investigator document the reason for not doing a witness canvass?
<input type="checkbox"/>	<input type="checkbox"/>	Were there any group interviews conducted?
<input type="checkbox"/>	<input type="checkbox"/>	Were all potential RISP Trooper/Supervisor witnesses interviewed?
<input type="checkbox"/>	<input type="checkbox"/>	Were sufficient efforts made to locate the complainant(s) and/or all witnesses?
<input type="checkbox"/>	<input type="checkbox"/>	Was all evidence preserved, collected, and analyzed in the report?
<input type="checkbox"/>	<input type="checkbox"/>	If the subject/arrestee was injured, were applicable reports and any other available, relevant medical records included in an attachment with the investigation? Not Applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Were inconsistencies among officers and witness statements documented and addressed?
<input type="checkbox"/>	<input type="checkbox"/>	Did the report adequately address the propriety of the conduct of all Troopers involved?
<input type="checkbox"/>	<input type="checkbox"/>	Was all Use of Force adequately addressed?
<input type="checkbox"/>	<input type="checkbox"/>	Did the investigator give preference to a Trooper's statement? If so, why?
<input type="checkbox"/>	<input type="checkbox"/>	Does the report include proposed findings and analysis supporting the findings?
<input type="checkbox"/>	<input type="checkbox"/>	Were the findings based on a preponderance of the documented evidence?
<input type="checkbox"/>	<input type="checkbox"/>	Did all allegations of misconduct addressed in the report receive an appropriate finding, i.e., sustained, insufficient facts, exonerated, or unfounded?
<input type="checkbox"/>	<input type="checkbox"/>	Are all attachments referred to in the final report listed and included with the investigative report?
<input type="checkbox"/>	<input type="checkbox"/>	If the report revealed criminal allegations, were appropriate notifications made?
<input type="checkbox"/>	<input type="checkbox"/>	Did the member self-report this incident, if applicable? Not applicable <input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	Did another member report this incident, if applicable? Not applicable <input type="checkbox"/>

Official completing form:

Name: Rank: Date: