

Risk Management in Law Enforcement:

A Model Assessment Tool

by

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Abstract

Purpose: The purpose of this research is threefold. The first purpose is to establish a practical ideal model to assess risk management practices in law enforcement agencies. Second, using case study, current risk management practices at the Austin Police Department will be assessed. The third purpose is to provide recommendations for improving the risk management practices at the Austin Police Department. A review of the literature has identified four key components of effective risk management programs. These components are program development, risk assessment, solution analysis, and program administration.

Methodology: The components of an effective risk management program identified in the literature are used to construct the conceptual framework. A practical ideal type model assessment tool for law enforcement agency risk management programs is created from the framework. The assessment tool is used in a case study of the Austin Police Department to gauge for the presence of an effective risk management program. The case study uses document analysis and survey research to perform the assessment.

Findings: The Austin Police Department exists in a high-risk environment. Many of the policies and procedures the Department has in place are designed to mitigate or eliminate risk. The newly formed Risk Management Bureau of the Austin Police Department has been created to formalize many of the policies and procedures into a more comprehensive policy. At this time, the major shortcomings in the program are in the areas of training and communication. There has been limited training for the managers and administrators outside the Risk Management Bureau. Likewise, even though the Department is making progress towards a professional, innovative, risk management program, the communication to those in the organization about what is being done is lacking.

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Chapter I

Introduction

Law enforcement agencies and their personnel engage in a variety of activities on a daily basis which involve, and sometimes create, a multitude of hazardous situations. These hazards are both physical and financial. The potential impact of these hazards is not just to the individuals but to the organization as well. The liability is not limited to those associated with the agency but also extends outward to the agency's external clients. The overarching authority of the organization (local, state, or federal government), the people, those working within the organization, and those served by it, are potential victims.

Research Purpose

The purpose of this research is threefold. The first purpose is to establish a practical ideal model to assess risk management practices in law enforcement agencies. Second, using case study, current risk management practices at the Austin Police Department will be assessed. The third purpose is to provide recommendations for improving the risk management practices at the Austin Police Department.

When we think of risk, we often equate the term with some type of monetary loss. Although the financial world is one area where we encounter terms of risk with which we are familiar, economics is by no means the exclusive domain of risk. When we dabble in the stock market, we are exhibiting financially risky behavior (when compared to protected, guaranteed mediums). However, it is also true that if we choose to ride a motorcycle as our primary means of transportation, we are engaging in behavior that carries a substantially higher degree of risk

than travelling in an automobile. As individuals, we seek to *manage* risks such as these and reduce the likelihood of injury or monetary loss through various forms of mitigation. Possible strategies to reduce the risk in the first example might include seeking the counsel of a trained and competent financial advisor before investing in the market. Legitimizing and documenting the skills needed to operate a motor vehicle, such as taking a defensive driving course or motorcycle safety course may also serve the purpose of ameliorating risk.

Organizations seek to manage risk as well. For example, an insurance company utilizes the best actuarial information available to limit its *risk*. Organizations also seek to limit their exposure to risk generated by misfeasance or malfeasance by their employees. Therefore, risk management is “an iterative process that leads to better decision making by contributing greater insight into risk and its consequences. Importantly, it focuses attention on the proactive management of risk. It does so by identifying and assessing those factors that create risk” (Paton 2003, 203). This information is then used to develop risk reduction strategies to facilitate adaptive response or to minimize loss when exposed to adverse, unpredictable circumstances.

Chapter II

Model Assessment Tool

Chapter Purpose

The purpose of this chapter is to identify and describe the components of an ideal risk management program model assessment tool for law enforcement agencies. A review of the literature has revealed a variety of different forms the processes of risk management takes as well as the necessary components in an ideal risk management model. There is a commonality across the various models of a few key elements. By collating these key elements into a new model, law enforcement agencies are able to assess the strengths and deficiencies of their risk management programs. The key elements found in the literature comprise a list of best practices that risk management programs should have in order to attain the organizations' goals.

Even though law enforcement agencies may face risks to their organization that are of a unique nature, the focus is the same as in any other organization: the mitigation or management of negative outcomes (IRM 2002).

Introduction to the Model Assessment Tool

All endeavors involve hazard in one form or another; in this respect law enforcement is no different. Progressive law enforcement agencies have recognized this and are seeking ways to manage their hazards. This has been spurred in no small part by an increasingly sophisticated citizenry demanding more from their police services. "Citizens continue to demand that officers be held accountable for their behaviors and they insist that police organizations be accountable for reducing crime in their communities" (Novak 2003, 365). The private sector has for many

years worked to mitigate the hazards particular to their operations. This has been accomplished by a program that recognizes their hazards and liability, also known as *risk*, and then dealing with them in a formulaic manner; *risk management*. Merriam-Webster online defines risk as:

1. Possibility of loss or injury.
2. Someone or something that creates or suggests a hazard.
3. a: The chance of loss or the perils to the subject matter of an insurance contract; also the degree of probability of such loss,
b: A person or thing that is a specified hazard to an insurer <a poor *risk* for insurance>,
c: An insurance hazard from a specified cause or source <war *risk*>.
4. The chance that an investment (as a stock or commodity) will lose value.

This common definition illustrates the dual nature of defining risk. Risk can be thought of as a physical peril, a likelihood of some harm to one's self or another, either through action or inaction. Risk is also the tangible (or sometimes intangible) harm to the profit or other product of an organization. It should be pointed out that risk is not just the actions of ones self but sometimes stems from the actions of another. It is this creation of risk or the possibility of an inherently risky environment or mode of operation and the *management* of this type of risk that most interests organizations. This type of risk management is often referred to as enterprise risk management. According to Altemeyer (2004, 30), enterprise risk management:

- Is a *process* – it's a means to an end, not an end in itself
- Is *affected by people* – it involves people at every level of an organization
- Is *applied in strategy setting*
- Is *applied across the enterprise*, at every level and unit, and includes taking an entity level portfolio view of risks

- Is designed to identify events potentially affecting the entity and manage risk within its *risk appetite*
- Provides *reasonable assurance* to an entity's management and board
- Is geared to the *achievement of objectives* in one or more separate but overlapping categories.

Good risk management practices should be proactive, not reactive. The recognition of a risk environment is critical, followed by steps to correct or eliminate it (Slahor 2006, 32).

All organizations, public sector, non-profit, and private sector, seek to engage in practices that limit negative impacts on whatever their intended product or service is. For-profit entities are, by definition, profit driven. Any practice or action that causes them to be less profitable is a risk to be managed. The impact of poor risk management practices concerning not for-profit, or charitable organizations is more difficult to quantify. If an organization of this type is inhibited in its ability to render services to its clients or if poor management of its organizational risks takes assets away from the intended purpose, the harm of poor risk management practices is felt.

Public sector agencies are not driven (in most cases) by profit, but have the responsibilities to use their resources prudently. Governmental agencies are responsible for their risky behavior (Ross 2006). If found at fault through a regulatory process, government agencies are often sanctioned in some manner. This often leads to an after the fact assessment that seeks ways to manage the identified risk(s). Another consideration is that public entities do not have the luxury of profit to offset liability claims, and engage in services or activities that the private sector would never get involved in. Coupled with this is the realization that public entities are most often held to a much higher standard than organizations in the private sector (Rowe 2004). Formal risk management programs at the organizational (or enterprise level) are a process which not only aids in identifying potential risk, but helps to reduce liability and loss (Archbold 2005).

In the broadest sense, it is the examination of the management of organizational risk and the determination of the critical elements of that risk management process to develop a model for assessment that is the purpose of this research. One researcher has pointed out that “Planners need to recognize risk, prioritize risk, and decide how to act. You mobilize by the standardization of best practices” (Slahor 2006, 32). The ultimate goal is to construct an assessment model of risk management’s best practices against which law enforcement agencies can be measured. Administration of public organizations does not always yield an easily measurable product. This lack of a readily quantifiable product can cause unease on the part of those who are evaluating the program or organization. By establishing guidelines for operation and performance goals that are clearly defined, this unease can be mitigated. Standards that can serve as a way of assessing effectiveness are one way of reassuring the public (Shields 1998, 215). In order to examine how well an organization has prepared itself to manage the risks associated with its operation, it first becomes necessary to ascertain the critical elements of a risk management process.

In 2004, Lynn Altemeyer completed an applied research project at Texas State University on the subject of enterprise risk management and its applicability to State of Texas governmental agencies. A sound risk management strategy is seen as critical for good governance and according to Altemeyer, “the lack of a formal risk management policy is the most important risk for Texas state agencies to address” (Altemeyer 2004, 7).

A logical place to begin an examination of the literature is with one of the two major international commissions that has established benchmark criteria in the risk management field; The Committee of Sponsoring Organizations of the Treadway Commission or COSO. COSO identifies eight components in an ideal risk management program. Lynn Altemeyer (2004) used

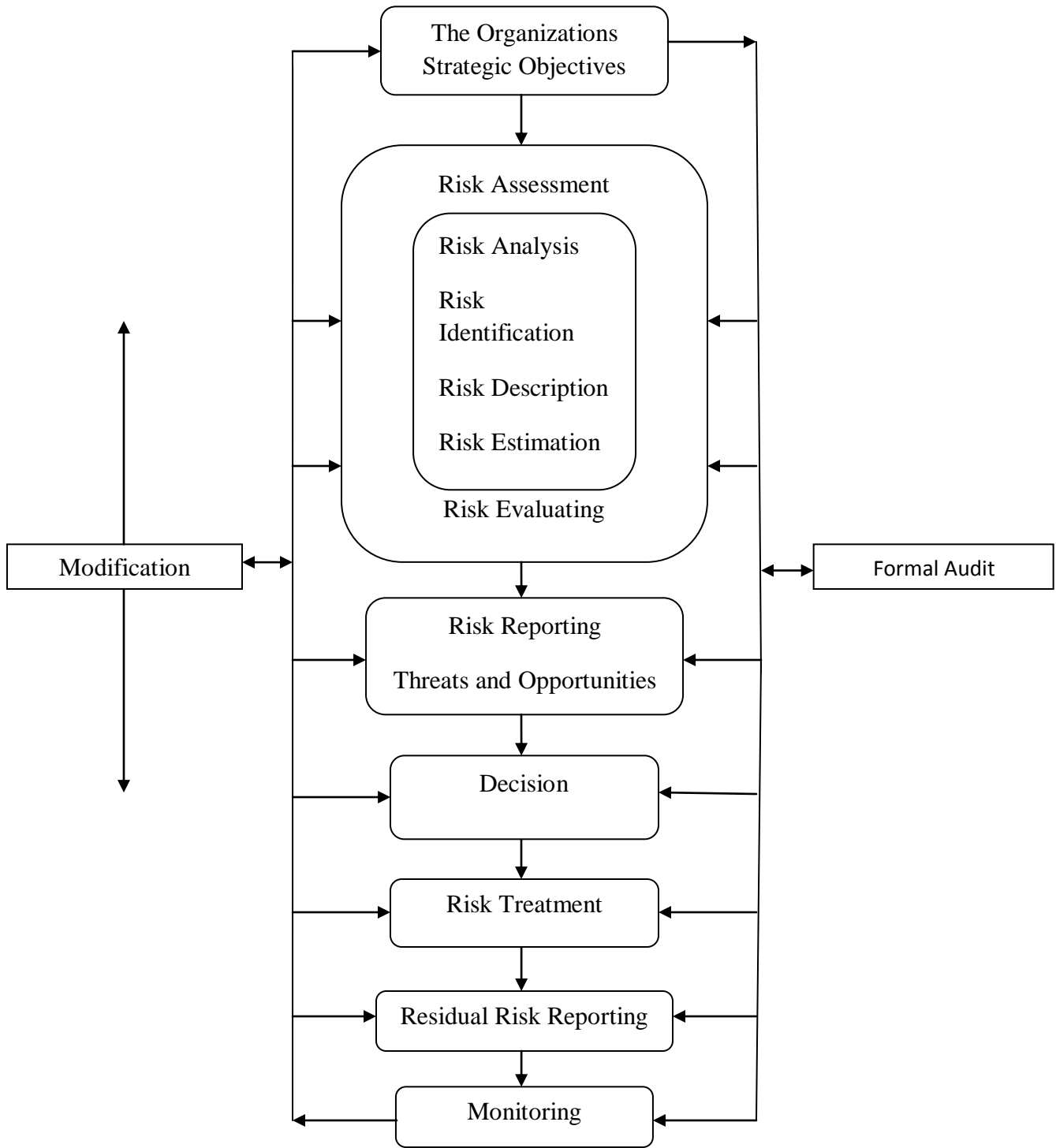
these components in her applied research project as her conceptual framework to assess the state of enterprise risk management in the government agencies studied. The critical components identified by COSO are:

- Internal Environment
- Objective Setting
- Event Identification
- Risk Assessment
- Risk Response
- Control Activities
- Information and Communication
- Monitoring

These components of a risk management program serve as the first example of the many component models in the literature. COSO grew out of a need to establish standards for financial reporting and the discouragement of fraudulent practices in public companies (Altemeyer 2004). The foundational elements and critical components of COSO's model have gained wide acceptance. One of the sponsors of COSO is the American Institute of Certified Public Accountants (AICPA). "Major accounting firms world-wide have adopted COSO, as a result of AICPA having incorporated COSO into its standard" (Kallman and Maric 2004).

In the United Kingdom another consortium tackled many of the same risk issues that had promoted the formation of COSO. The Institute of Risk Management (IRM), The Association of Insurance and Risk Managers (AIRMIC), and Alarm, the public risk management association, in 2002 combined and published *A Risk Management Standard*. The publication presented a flow chart of necessary steps of an ideal risk management program. Figure 2.1 illustrates the flowchart.

Figure 2.1 The Risk Management Process



Source: A Risk Management Standard 2002, 4.

The similarities between the elements contained in figure 2.1 and COSO are apparent as these organizations attempt to codify and standardize the industry's practices in terms of managing their risk. There are numerous other examples in the literature of what different researchers see as the critical elements of risk management. However, they all share many common elements. For example, Ross and Bodapati (2006) describe the process of controlling risk as having the steps of risk identification, risk evaluation, selecting management alternatives, implementing appropriate strategies, and monitoring the results of the implemented strategies.

James William Kallman and Romy Violette Maric (2004) examined much of the scholarly work to date on the various models of risk management. The purpose of their study was to propose a new risk management paradigm that incorporated many of the components of the earlier works. The table provided by Kallman and Maric (2004) serves to summarize many of the existing risk management models that have been proposed (see Appendix I).

The conceptual framework of this paper is based upon an interpretation of the best practices or critical elements of a risk management program or model as found in the literature and summarized (to a large degree) by Kallman and Maric's work. The conceptual framework of this research illustrates a practical ideal type against which other risk management programs may be assessed. The interest is in developing a model or practical ideal type that covers the management of risk at the enterprise or whole organization level. The practical ideal type helps determine "how close a situation is to the ideal standard" and how the current situation can be improved (Shields 1998, 203). The proposed risk management model assessment tool is composed of four major categories (or steps) and eleven sub-categories. The model is presented

in the conceptual framework **Table 2.1**. The remainder of this chapter reviews the existing literature on elements of this conceptual framework.

Program Development

Program development is the first step in the management of risk at the organizational level. There are three sub-categories of program development that should be present in a risk management program.

- 1. Planning,**
- 2. Staffing, and**
- 3. Policy Development.**

A risk management model should, as a part of program development, have a mechanism for **planning** the risk management goals, identifying **staffing** within the organization to fulfill the organizational mission, and having clearly developed risk management **policies** to legitimize the program. Program development is where the “big picture” is formed. Enterprise risk management is designed to look at this “big picture”. “For ERM (enterprise risk management) to be implemented successfully, it must be ‘built into’ rather than ‘bolted onto’ management’s planning and decision-making processes. If ERM is seen solely as another initiative, it will fail. ERM must be perceived as management’s way of doing business successfully. Better anticipation and management of risk is bound to improve organizational performance” (Funston 2003, 63). Woven into this step is the individual character and culture of the organization. The program is developed with the unique needs and challenges of the subject organization in mind.

Planning is a critical element of a successful risk management program. Planning should be both strategic and tactical, long and short term, and should address the needs of the organization (Kallman and Maric 2004, 59-60). Good planning establishes realistic and

achievable goals. Different organizations have different risks and therefore have different needs in terms of managing that risk. “The ERM (enterprise risk management) process begins with an evaluation of the context or environment in which the organization operates its strategy for achieving its objectives, its organizational culture, and its appetite for risk” (Funston 2003, 60). COSO describes this step of program development where the internal environment of the organization is considered as one which “encompasses the tone of an organization, and sets the basis for how risk is viewed and addressed by an entity’s people, including risk management philosophy and risk appetite, integrity and ethical values, and the environment in which they operate” (COSO 2004). Key to the development of a risk management program is its integration into all aspects of the organization from top to bottom. Cukier (2007) referencing Bender and Graham (2004), also argues that integrated risk management is most likely to be successful when it is a part of the organizations “tool-kit”.

Staffing is the next component of program development that should be examined. Successful risk management programs are not limited to an isolated subset of the organization but rather viewed as being integral to the entire operation. However, staffing of administrative positions and oversight of the enterprise risk management program are essential elements of program development. Law enforcement agencies, for example, traditionally have a paramilitary organizational structure with a hierarchical chain of command. In order to ensure a top to bottom environment of risk management awareness, all levels of the organization must be exposed to the concepts. Successful risk management models also recognize the value of informal leaders to foster the desired environment (Hall 2002). Most law enforcement agencies have divisions such as a legal department or an internal affairs division that address issues of risk to the organization. Agencies that have embraced enterprise risk management formalize the

process of looking at risk to the organization and clarifying responsibility and accountability (Ceniceros 1998).

Policy development forms the framework around which everything else revolves when developing the risk management program. Policies must be clearly written and every function of the agency must be held up to the lens of the risk management policy. For example, even items such as off-duty conduct of police officers fall under the purview of an agency's liability and therefore must be scrutinized (Martinelli 2007). In order to receive both internal and external support, an agency's risk management policies must be clearly defined, written, and distributed to all stakeholders (Kallman and Maric 2004, 62). The most successful risk management policies are those that have been created with the input and participation of individuals at every level of the organization. For example, in a police agency this would be the executives, supervisors, as well as the officers (Ashley and Pearson 2008). A piecemeal approach that does not involve all relevant personnel does not send the right message of commitment (Cooper 2000). Risk management policies should make it clear that the functions associated with the management of risk are not hit or miss propositions or ones that are done sporadically. Risk management should be practiced every day of the year as an ongoing process (Corbett 2004). The director of training in most organizations is the person responsible for seeing that the policies developed under all programs, including risk management, are appropriately disseminated. It is critical that the director of risk management and the training director meet regularly (Scott 2005).

Risk Assessment

Risk assessment is the second critical component of an ideal risk management model. There are two critical sub-components of risk assessment:

1. **Identify risks,** and
2. **Prioritize risks.**

The ideal risk management model should be capable of **identifying** the organizational risks as well as the individuals associated or affected by those risks. Some models treat the identification of risk separately from assessment (COSO 2004). This model, however, considers it as an integral part of assessment. While the various models of risk management that were examined had many common elements, assessment or analysis of the risk in some form or another is perhaps the most prevalent (Kallman and Maric, 2004). It stands to reason that no risk may be managed unless it is first identified.

Risk in many ways involves the unknown, “risk identification sets out to identify an organization’s exposure to uncertainty” (IRM 2002, 5). **Identifying** the risk inherent to the operation of an organization can be accomplished in a variety of ways. Analysis of every aspect of day to day operations provides the most salient data. By examining tasks carried out by the members of the organization, a clear picture of potential risks and liabilities can emerge. Organizations that have the most success in managing risk involve the individuals that perform the job function in order to help identify the potential of any risk associated with it (Ashley and Pearson 2008). Historical data kept by the organization should also be used as a method of identifying risk. Chances are, at some point in the organization’s history, a similar event, or potential event, led to a risky outcome. Organizations that are capable of learning from experiences and incorporating those experiences into future planning set themselves up for success. Examination of the risk situations encountered in similar organizations should be done as well. Often another agency has already dealt with the very problem being faced. Certain professional associations or organizations can assist and lend expertise in identification of risk.

For example, the Commission on Accreditation for Law Enforcement Agencies (CALEA) can be a good source of learning about risks that are associated with the law enforcement profession.

CALEA provides standards of risk management for law enforcement agencies. As part of their accreditation process, law enforcement agencies are required to examine potential areas of risk in the operation (CALEA 2008).

In addition to identification, the other critical sub-components of the risk assessment process are the ability to **prioritize** the risk and to assess the potential for harm to the organization (Paton 2003). In the interest of efficiency, establishing criteria for prioritization of the risk is of critical importance. Without prioritization, an organization might find itself expending resources on identified risks that ultimately do little good, or worse, cause a more pressing situation to go unresolved.

Not all risks have equal potential for harm. Using this logic, the identified risk with the capacity of doing the most harm should receive the highest priority. This is not always the case; high risk/low frequency events sometimes do not receive the necessary organizational attention (Funston 2003). In law enforcement organizations, the potential use of deadly force carries the greatest potential for harm. These situations, though relatively rare, can be devastating to the organization, the organization's people, and the public at large. This raises the question of risk frequency and how it should be treated. Should one plan for or dedicate more resources to those relatively rare events (such as the use of deadly force) that carry huge liabilities (Ashley 2008)? Or, should the bulk of the resources be dedicated to risk events that are more common but carry less liability (such as minor vehicle accidents)? The answer falls back to the organizations' responsibilities and priorities as resources are always scarce and have to be intelligently allocated (Ashley and Pearson 2008; Kallman and Maric 2004).

Solution Analysis

Solution analysis is where the entire risk management process begins to come together and is the third identified critical element in this practical ideal type assessment tool. A risk management program should be able to take the information gleaned from risk assessment, the identification, and prioritization of a risk environment, and accomplish three things that are the sub-components of solution analysis. These three areas are;

1. **Identify solutions,**
2. **Evaluate solutions,** and
3. **Implement solutions.**

Identifying possible **solutions** to a problem can be quite complex. Generating alternative solutions may require both internal and external expertise. The organizational goal should be to select the most prudent action from among the choices. Generally, the choice of solutions falls into one of three broad areas. These areas are; control or mitigation of the risk, avoidance of the risky behavior, or in some manner, transferring the risk to another entity (IRM 2002).

Solution evaluation will result in the determination, from among the identified, prioritized solutions, the most appropriate course of action. Multiple solutions to a problem may exist. This does not mean that all of the *possible* solutions are practical, or equally worthy. This is why solution evaluation is vital to the process. The policies and infrastructure support mechanisms of an organization play an important role in choosing the appropriate solution. Other factors to be considered in solution evaluation are the potential impacts of the solution on the affected individuals and the organization. Cost must be considered as well as the practicality of the solution in terms of what will be required from the organization. Are the resources in place? Is it necessary to go outside the agency to obtain what is needed? Risk can occur from

any level in an organization. It is not limited to the lowest levels (Altemeyer 2004). As risk is distributed throughout the organization, solutions should consider every level of the organization as well.

The final component of solution analysis in the practical ideal type assessment tool for risk management is **solution implementation**. At this stage, the risk has been assessed through identification and prioritization and possible solutions have been identified and vetted for effectiveness. The implementation of risk solutions is the point at which much of the work from step one of the model, program development, comes back into play. It is during this phase that the written policies and procedures of the agency that have been designed to address risk are put into practice.

Another major area of implementation involves training. Training is where the philosophies of the organization are made part of the culture. It is also the venue where aberrant behavior can be addressed and corrected. In addition, training provides a measure of risk management in its very purpose. Training involves preparing for the unknown and standardizing the response. Simulation of techniques and practicing tactics help to lessen liability and diminish injuries (Ashley 2008).

An example of the use of policy and procedure implementation and training to address risk in law enforcement agencies is vehicle operations. A comprehensive risk management plan should have vehicle operation policies and provide for practical driving instruction. “As many as 40 percent of all motor vehicle police pursuits end in collisions and some of these result in nearly 300 deaths each year of police officers, offenders, or innocent third party individuals. Because many police pursuits result in accidents and injuries, agencies and officers become subjects of

civil lawsuits” (Pipes 2001, 16). Training for high-speed pursuit and collision avoidance also helps prevent injuries and reduce liabilities (Ashley 2008; Gonzalez 2005).

Program Administration

A practical ideal type model assessment tool for risk management should have program administration as one of its critical components. There are three sub-components to program administration. They are;

1. **Monitoring,**
2. **Assessing,** and
3. **Communicating**

The function of **monitoring** in this context refers to a system-wide culture of responsibility. No one area of the risk management program operates in a vacuum (Cooper 2000). It is vital that every step, from program development to solution implementation be monitored for effectiveness. Another component of monitoring is accountability. The literature stresses the importance of assigning the appropriate authority and responsibility for program success (Ceniceros 1998; Hughes and Andre 2007). Those charged with program success rely on information systems and data collection for the information needed to assure that the established parameters are being met (IRM 2002, 11). Administration and accountability of risk management policies, for example, should be among the duties assigned to a law enforcement agency’s formal leaders. Feedback of information is critical for success.

During the **assessment** phase of program administration, the gathered data and information should be analyzed to ensure it is meeting program goals. A successful risk management program should be flexible and adaptive. It is expected that an effective risk management program will be able to implement a different solution to a risk problem if the one initially tried proves to be ineffective. The information utilized during the assessment phase of

risk management involves feedback that should provide any necessary information for making changes.

The need for feedback is the final step of program administration – **communication**. Communication in a successful risk management program should be cyclical in nature. Information or actions that are sent down from the administrators to the practitioners should come back in a feedback loop which allows for needed adjustments. All that is learned from the beginning of risk management program development to the realized product resulting from policy implementation should be filtered through the organization to those responsible (Ceniceros 1998). In addition, communication allows those who have engaged in risky activity to see progress when that activity is modified. Communication about risk management organizational practices should be both macro and micro.

An organization-wide annual report that details how the organization has done in managing its risk should be made available. In addition, specialized or individualized tracking reports should be done in order to address risks while still manageable in size. Early warning systems is one way that these types of reports may be generated (Hall 2002). In order to be effective, early warning systems must have their variables clearly defined. The selection of variables is done with the intent of selecting those actions or inactions that could carry negative risk consequences. In law enforcement agencies, early warning systems should be used to track these types of variables. Variables that meet these criteria include complaints to internal affairs, abuse of sick leave, and excessive collisions. The potential for substantial risk management through early warning systems is great. For example, it is estimated by some that ten percent of the officers cause ninety percent of the problems (Hughes and Andre 2007).

Conceptual Framework for a Risk Management Model Assessment Tool

Table 2.1 presents components of an ideal risk management model. It also includes scholarly literature associated with each of these categories.

Table 2.1 Conceptual Framework

Risk Management Program Practical Ideal Type Categories	Literature
<p align="center"><u>Program Development</u></p> <ul style="list-style-type: none"> • Planning <ul style="list-style-type: none"> ➤ Strategic and tactical ➤ Short term and long term ➤ Addresses organizational needs • Staffing <ul style="list-style-type: none"> ➤ Chain of command ➤ Adequate personnel • Policy Development <ul style="list-style-type: none"> ➤ Written policies ➤ Training/policy distribution 	<p>Kallman, Maric, 2004 Ashley, Pearson, 2003 Cooper. 2000 Corbett. 2004 COSO. 2004 Cukier, et al., 2007 Funston, 2003 Hall. 2002 Institute of Risk Mgmt., 2002 Martinelli, 2007 Scott, 2005 Cenicerros, 1998</p>
<p align="center"><u>Risk Assessment</u></p> <ul style="list-style-type: none"> • Identifying Risks <ul style="list-style-type: none"> ➤ Defining risk • Prioritizing Risks <ul style="list-style-type: none"> ➤ High frequency/low risk events versus low frequency/ high risk events. 	<p>Kallman, Maric, 2004 Ashley, Pearson, 2003 COSO. 2004 Funston. 2003 Institute of Risk Mgmt., 2002 Paton, 2003 CALEA, 2008</p>

Table 2.1 Continued

Risk Management Program Practical Ideal Type Categories	Literature
<p style="text-align: center;"><u>Solution Analysis</u></p> <ul style="list-style-type: none"> • Identifying Solutions <ul style="list-style-type: none"> ➤ Internal versus external solutions. • Evaluating Solutions <ul style="list-style-type: none"> ➤ Criteria • Implementing Solutions <ul style="list-style-type: none"> ➤ Policy ➤ Training 	<p>Altemeyer, 2004 Gonzalez. 2005 Institute of Risk Mgmt., 2002 Scott, 2005 Ashley, 2008 Pipes, 2001</p>
<p style="text-align: center;"><u>Program Administration</u></p> <ul style="list-style-type: none"> • Monitoring <ul style="list-style-type: none"> ➤ Mechanisms ➤ Accountability • Assessing <ul style="list-style-type: none"> ➤ Goal analysis • Communicating <ul style="list-style-type: none"> ➤ Mechanisms ➤ Feedback. 	<p>Ceniceros. 1998 Cooper. 2000 Hughes, Andre, 2007 Institute of Risk Mgmt., 2002 Hall, 2002</p>

Chapter Summary

A review of the literature associated with risk management has revealed multiple frameworks that detail the critical steps necessary for an effective risk management program. Further analysis has revealed that while there are many models, they cover similar components. The majority of the scholarly literature on the subject has been written with the management of economic risk in mind. In addition, most of the literature, at least until recently, has dealt with the risks faced by private sector organizations. The purpose of this review is to establish the critical elements of an assessment model for risk management programs that can be used in law enforcement agencies.

Virtually every function undertaken by law enforcement agencies carries with it some degree of risk. This risk is manifested toward the individuals employed by the agency, the citizens served by the agency, the agency itself, and the local, state, or federal governmental entities involved in administering the agencies. Financial liability due to malfeasance or misfeasance of the police is not the only risk involved. Although financial considerations cannot be ignored, “the increasing costs resulting from payouts in police litigation cases and liability claims, coupled with increased pressure from public insurance pools to cut losses, are a few of the reasons that some US law enforcement agencies are beginning to implement risk management programs” (Archbold 2005, 30-31). There is genuine concern in law enforcement agencies for risks such as bodily injury or even death. All elements of an organization’s risk management model can be assessed using the model assessment tool developed from the criteria found in this literature review and summarized on **Table 2.1**, the conceptual framework table.

Assessment of law enforcement risk management is not simply looking for a single policy or document that states risk management principles. It is instead, the systematic examination of such areas as operations, documentation, training, hiring practices, wellness programs, early warning systems (for potentially problematic employees), management, etc. The model assessment tool will provide the framework for examining these individual areas for the required elements of an effective enterprise risk management program.

Chapter III

Methodology

Chapter Purpose

This chapter describes the methodology used to assess the risk management program of the Austin Police Department. This research is a case study that specifically focuses on the risk management policies and practices of the Department. The four categories and eleven sub-categories of an ideal type model from the reviewed literature will be used as the framework for data collection. The research design is a combination of document analysis and survey. This combination approach has been chosen, as some of the identified elements are perceptual and qualitative in nature. Some elements, though possibly mentioned in document form, require an opinion from individuals within the organization. “The distinctive need for case study arises out of the desire to understand complex social phenomena. In brief, the case study method allows investigators to retain the holistic and meaningful characteristics of real-life events” (Yin 2003, 2). Slahor (2006, 32-33) referencing Graham stated that “two kinds of risk management exist – organizational (such issues as getting and keeping good personnel, having an effective field policy manual, training, supervision, and discipline) and operational (looking at specific tasks and events, and managing the risks associated with them”. This case study will examine both of these risk management types. An overview of the Austin Police Department’s organizational structure will examine for the desired elements administratively. In addition, task based operations will be examined for responses to specific actions which promulgate risk within the organization. While risk is pervasive throughout the operation of a law enforcement agency, there are certain types of risk as well as certain issues associated with them that an effective

policy should address. Some of these are; issues associated with the use of force, vehicle operations, arrest/search/seizure, and officer injuries.

Table 3.1 depicts the operationalized relationship between the conceptual framework, survey questions, and examined documents.

The documents to be analyzed are all associated with the Austin Police Department and include departmental general orders, individual unit standard operating procedures, internal correspondence, memorandums, and developmental presentations. Examined document examples are provided in the appendices of this paper.

The survey will be given to managers and administrators at the Austin Police Department. This includes all Commanders and Lieutenants and represents a population of eighty-five individuals. Descriptive statistics will be used to summarize the results obtained from the survey. A copy of this survey can be found in Appendix I.

Table 3.1 Operationalization Table

Program Development			
Ideal Type Categories	Research Methods	Evidence	Sources
Planning	-Document analysis	-Elements of risk mgmt. infrastructure present in organization's documents. -Risk mgmt. principles are diversified throughout the organization.	-General Orders & Unit S.O.P.'s -CompStat data
	-Survey	-Clear mission and purpose articulated to administrators/managers. (Question #2) -Organizational needs are met and goals are clearly understood by Lieutenants and Commanders. (Questions #3, 4, 5, 6, 7)	-Department administrators & managers.
Staffing	-Document analysis	-Clear chain of command with dedicated personnel to administer program.	-Departmental org. chart. -General Orders & Unit S.O.P.'s
Policy Development	-Document analysis	-Risk mgmt. policy clearly defined in written format.	-General Orders & Unit S.O.P.'s

Table 3.1 Continued

Risk Assessment			
Ideal Type Categories	Research Methods	Evidence	Sources
Identifying Risks	-Document analysis	-Mechanism for identification of risk should be present. -Training for risk identification should be formal.	-General Orders & Unit S.O.P.'s -CompStat data
	-Survey	-Administrators/Managers should be able to recognize sources of risk. (Questions # 8, 9,10)	-Department administrators & managers.
Prioritizing Risks	-Survey	-Administrators/Managers should have established guidelines for risk prioritization. (Question #11)	-Department administrators & managers.
Solution Analysis			
Identifying Solutions	-Document analysis	-There should be identified risk solutions present in the organizations documents.	-General Orders & Unit S.O.P.'s -CompStat data

Table 3.1 Continued

Solution Analysis (continued)			
Ideal Type Categories	Research Methods	Evidence	Sources
Identifying Solutions (continued)	-Survey	-Administrators/Managers should participate in identifying solutions. (Question #12)	-Department administrators & managers.
Evaluating Solutions	-Survey	-Administrators/Managers should participate in evaluating solutions. (Questions #13, 14, 15, 16)	-Department administrators & managers.
Implementing Solutions	-Document analysis	-Implemented solutions should be documented and tracked.	-General Orders & Unit S.O.P.'s -CompStat data
	-Survey	-Management of risk is incorporated in the training curriculum. (Question #17)	-Department administrators & managers.
Program Administration			
Monitoring	-Document analysis	-Documentation should provide for monitoring risk management mechanisms.	-General Orders & Unit S.O.P.'s -CompStat data
	-Survey	-APD's risk management program has mechanisms for monitoring risk. (Question #18)	-Department administrators & managers.

Table 3.1 Continued

Program Administration (continued)			
Ideal Type Categories	Research Methods	Evidence	Sources
Monitoring (continued)	-Survey	-Administrators/Managers should all participate in monitoring. (Question #19) -Accountability for program administration should lie with Administrators/Managers.(Question #20)	-Department administrators & managers.
Assessing	-Survey	-Administrators/Managers should all participate in assessing risk mgmt. actions (solutions) for effectiveness and are responsible for making necessary changes to achieve goals. (Question #20)	-Department administrators & managers.
Communicating	-Document analysis	-All aspects of the risk mgmt. program should be clearly communicated up and down the organizational chain. (Question #21, 22)	-General Orders & Unit S.O.P.'s -Internal correspondence. -CompStat data
	-Survey		-Department administrators & managers.

Document Analysis

This case study utilizes two research methods: survey and document analysis. According to Yin (2003, 87), “the most important use of documents is to corroborate and augment evidence

from other sources”. Law enforcement agencies are paramilitary organizations in terms of the construct and hierarchy of their command systems. Organizations of this type rely heavily on written policy to address day-to-day operations. The Austin Police Department is no exception. The overarching operational guide for the Austin Police Department is a document known as the “general orders”. Contained within this document are the rules, regulations, and procedures by which the department operates.

Most units or subdivisions within the department also have a written “standard operating procedures”, or “s.o.p’s”. The purpose of the s.o.p’s is to provide guidance and regulation to functions that may be unique to that individual unit that are not necessarily applicable to the department at large. Standard operating procedures should never be in conflict with general orders. As a final point, both general orders and standard operating procedures are considered living documents that are subject to review and change in response to determination of best practice or a change in statute that regulates the departmental action.

In addition to general orders and standard operating procedures, there are other documents available from the Austin Police Department that can be analyzed for the presence of desired elements of an effective risk management program. For example, during program development, memorandums and presentations were stored in databases and provide background information for the framework of the final product. The policies of the Austin Police Department provide safeguards and documentation of variances from set standards. The documents associated with the variances will be analyzed for congruence with the identified required elements of a practical ideal type.

Data from a graphical presentation called “CompStat” (see appendix IV) is also examined. CompStat is the vehicle by which the Austin Police Department presents many of the dimensional elements tracked for the four categories of an ideal risk management model (program development, risk assessment, solution analysis, and program administration).

Table 3.2 provides the list of documents analyzed in this study. In addition, samples of many of the examined documents are in the appendices.

Table 3.2 List of Documents Used

- Austin Police Department General Orders and Procedures.
- Austin Police Department Standard Operating Procedures (select units).
- CompStat – risk management data.
- Austin Police Department organizational charts.
- Austin Police Department – Risk Management Bureau executive briefing.
- Risk specific documentation associated with compliance or variance in relation to standards.

Criteria for Support

In order to determine if the evidence collected from the documents examined supports the model assessment tool, criteria must be established. Four levels of support will be used (Vaden 2007, 45; O’Neill 2008, 55-56). The levels of support are strong support, adequate support, limited support, and no support. Strong support indicates that substantial attention is given to the item in a document. Adequate support indicates that the item is addressed and nominally fulfills the documented purpose. Limited support indicates presence of the element but falls short of reaching adequate status. A finding of no support indicates an absence of the desired element.

Although assigning criteria in this manner is somewhat subjective, the use of a second research method, survey, will help legitimize the findings.

Survey

The second research method chosen for this assessment utilizes a survey presented to the administrators and managers of the Austin Police Department. This population was comprised of eighty-five individuals (nineteen Commanders and sixty-six Lieutenants). The survey instrument was sent to all of them. Babbie (2004, 243) suggests “surveys may be used for descriptive, explanatory and exploratory purposes.” The data obtained from this survey will serve two purposes. First, concerning those elements present in document form, the survey will serve to confirm (or refute) institutional knowledge about the absence or presence of a risk management practices in the organization. Second, the survey will help determine the effectiveness of those elements that are more difficult to confirm through document examination. Examples of this include items that are more qualitative in nature, such as effectiveness of communication, but are nonetheless essential elements of an effective risk management program. All survey questions, excepting the first, are in a five-point Likert scale where (1) represents strongly disagree and (5) represents strongly agree.

Procedures

Descriptive statistics will be used by the researcher to summarize the data obtained from the survey. The data obtained from the examination of the documents will be coded as described earlier when discussing the criteria for support.

Human Subjects Protection

This research does not pose any problem that would trigger an issue upon review for Human Subjects Protection. The survey instrument being used will be anonymous, with the only breakdown being delineation by rank. All survey participation will be voluntary and all responses will be kept confidential. Application number 2009J7085 was granted exemption from review by the Institutional Review Board in the Office of Research Compliance at Texas State University-San Marcos via email on February 16, 2009 (Appendix IV).

Chapter Summary

The methodology used for this research has been presented in this chapter. Document analysis and survey research have been used in this case study to collect data. The results of the research assessing the risk management program of the Austin Police Department are presented in the next chapter.

Chapter IV

Results

Chapter Purpose

The purpose of this research is to assess the risk management program of the Austin Police Department as a case study, compared to the components of an ideal risk management model. Document analysis and survey research were used to gather the data for this comparison. This chapter provides a summary of the data gathered in comparing the Austin Police Department's risk management program with the ideal type derived from the literature.

The model assessment tool identifies four components that should be present in an effective risk management program. These are program development, risk assessment, solution analysis, and program administration. Contained within each of these components are several categories that further define the ideal type. In general, the Austin Police Department conforms to the model in terms of results. It differs is in the formality of identification of the risk management function. The primary areas of attention need to be in communication and training.

Program Development

Program development is the first component of a practical ideal model risk management program. Elements of program development that should be present include planning, staffing, and policy development. **Table 4.1** details the results of document analysis in the category of program development.

Document Analysis: Planning

Documents associated with the Austin Police Department (**Table 4.1**) were examined for evidence of the planning category that the literature states as a necessary element of program development. The framework of the organization's risk management infrastructure should be detailed in the documents. The literature, (COSO, 2004) states that effective risk management programs should have principles which can be found throughout the organization. The Austin Police Department's documents deal with management infrastructure in general and the risk management organizational structure specifically. In addition, several examples of risk management can be found in documents that deal with day to day operations of the Department. The Austin Police Department's risk management program is still under development. As a result, the documentation associated with planning lacks completeness.

Document Analysis: Staffing

Staffing is another component for which the documents were analyzed. No program can be effective unless adequate personnel are assigned to administer it, as well as to conduct the necessary functions. The Austin Police Department has a permanently staffed risk management division or bureau. The organizational chart of this bureau is available in the documents of the Department.

Document Analysis: Policy Development

The Austin Police Department has clearly defined written policies that deal with risk management issues. Some examples of these policies are the GAP (early-warning program), the

random drug testing policy, and an employee assistance program. The policy component of program development in the Austin Police Department’s risk management program is not fully realized. Although there are numerous functions within the Department that represent risk management, the organization has not categorized all of them as such. This lack of definition or assignment of function to the risk management bureau is directly related to the fact that this is a developing program at the Austin Police Department. With time, it is expected that more programs will be tied directly to the risk management function and formalized as such in the written documents.

Table 4.1 Program Development Results – Document Analysis

Program Development		
Component	Method	Evidence
Planning: Elements of risk mgmt. infrastructure present in organization’s documents.	Document analysis	Limited Support
Planning: Risk mgmt. principles are diversified throughout the organization.	Document analysis	Limited Support
Staffing: Clear chain of command with dedicated personnel to administer program.	Document analysis	Strong Support
Policy Development: Risk mgmt. policy clearly defined in written format.	Document analysis	Limited Support

Survey: Planning

The survey sent to all the Lieutenants and Commanders of the Austin Police Department addressed several areas of the planning function of program development. These planning

functions include the presence of a clearly articulated risk management program mission and purpose, clearly defined organizational needs and goals, and differentiation between short and long term issues. As **Table 4.2** shows, the respondents are neutral on the questions of mission/purpose and whether long term goals and issues are addressed. Most respondents agreed that short term goals and issues are adequately covered by the program. In general, the respondents felt that the risk management program of the Austin Police Department does not adequately address the needs of the organization.

Table 4.2 Program Development Results – Survey

Program Development					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Planning	The Austin Police Department’s risk management program has a clearly defined mission and purpose.	35	34	34	Neutral
Planning	The risk management program of the Austin Police Department has specific long term goals.	35	25	23	Neutral
Planning	The risk management program of the Austin Police Department has specific short term goals.	35	25	46	Agree

Table 4.2 Continued

Program Development					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Planning	The risk management program of the Austin Police Department addresses strategic (long – term) issues.	35	37	34	Neutral
Planning	The risk management program of the Austin Police Department addresses tactical (short –term) issues.	35	34	46	Agree
Planning	The risk management program of the Austin Police Department adequately addresses the needs of the organization.	35	40	14	Disagree

Risk Assessment

The second component of an effective risk management program is risk assessment. The ideal type categories of risk assessment are the identification of risks and the prioritization of risks.

Document Analysis: Identifying Risks

Several types of documents from the Austin Police Department were analyzed for mechanisms of risk identification. These included the Department's general orders, standard operating procedures, and CompStat reports. It was found that many of these documents contain information on risk behaviors that enable the Department's managers and administrators to identify risk. As shown in **Table 4.3**, documentary support for formal risk identification training for the Department's leaders is not adequately supported. Training is provided for a wide range of issues, some of which address risk management, but at this time there is no provision for ongoing, specific risk management training in the documents examined.

Table 4.3 Risk Assessment Results – Document Analysis

Risk Assessment		
Component	Method	Evidence
Identifying Risk: Mechanism for identification of risk should be present.	Document analysis	Strong Support
Identifying Risk: Training for risk identification should be formal.	Document analysis	Limited Support

Survey: Identifying Risks

Perceptions on the state of risk identification among the administrators and managers of the Austin Police Department were gauged using a survey. The Department’s Lieutenants and Commanders were asked if organizational risks had been clearly defined for them, whether or not they felt they were provided with information needed to identify risks, and whether there was adequate training for management in risk identification. As **Table 4.4** shows, in all three cases, management’s responses were predominately negative.

Survey: Prioritizing Risks

The survey, as shown in **Table 4.4**, asked management if the Austin Police Department’s risk management program provides guidelines for prioritizing risk and the differentiation between high frequency and low frequency risk events. Most respondents indicated that it does not.

Table 4.4 Risk Assessment Results – Survey

Risk Assessment					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Identifying Risks	Organizational risks have been clearly defined for managers and administrators at the Austin Police Department.	35	71	23	Disagree

Table 4.4 Risk Assessment Results – Survey (Continued)

Risk Assessment					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Identifying Risks	Managers and administrators at the Austin Police Department are provided with the information they need to identify sources of risk within the organization.	35	49	37	Disagree
Identifying Risks	Managers and administrators at the Austin Police Department are provided with the training they need to identify sources of risk within the organization.	35	63	17	Disagree
Prioritizing Risks	The Austin Police Department’s risk management program has clearly established guidelines for prioritizing identified risk(s). This includes the difference between high frequency and low frequency risks.	35	57	17	Disagree

Solution Analysis

Solution analysis is the third category of the ideal type risk management program.

Solution analysis should consist of identifying internal and external solutions and evaluating and implementing them, which involves associated policy and training.

Document Analysis: Identifying Risks

Austin Police Department documents were analyzed for evidence of risk solution. As with many of the other categories, the Austin Police Department has many practices and policies which fit the definition of risk management but are not identified clearly as such. Examples of this lack of association to risk management include policies associated with pursuit driving, use of force policies and reporting, and mandated training on a variety of topics. **Table 4.5** reflects the lack of association between practice and risk management definition with a finding of limited support for risk management solutions in the Department's documents. However, the emerging risk management program at the Department has begun to generate documents that directly and clearly address risk issues and solutions. CompStat reporting of risk management categories is an example of this type of documentation.

Document Analysis: Implementing Solutions

Solutions that have been implemented should be tracked in some manner in the available documentation. The Austin Police Department requires a variety of reports and follow-up on actions that have been determined as necessary. As shown in **Table 4.5**, documentation and tracking of implemented solutions have adequate support in the Department's documents. The risk management bureau of the Department is where many of these documents are stored. In

addition, the CompStat report provides a running report of the effectiveness of many implemented solutions.

Table 4.5 Solution Analysis Results – Document Analysis

Solution Analysis		
Component	Method	Evidence
Identifying Solutions: There should be identified risk solutions present in the organizations documents.	Document analysis	Limited Support
Implementing Solutions: Implemented solutions should be documented and tracked.	Document analysis	Adequate Support

Survey: Identifying Solutions

Austin Police Department management personnel were surveyed concerning their perceptions of their participation in identifying solutions to both internal and external sources of organizational risk. Most respondents felt, as shown in **Table 4.6**, that they are not involved in the process.

Survey: Evaluating Solutions

The Lieutenants and Commanders surveyed generally have a negative opinion concerning their participation in the evaluation process. Most feel that resources outside the department are not available to them. In addition, most of the administrators and managers surveyed responded that they are not allowed to have adequate input on the possible courses of

risk solution. Last, the Department’s Lieutenants and Commanders responded that solutions to managing risk are not detailed in Department policy (**Table 4.6**).

Survey: Implementing Solutions

As shown in **Table 4.6**, management at the Austin Police Department is slightly more optimistic concerning the role of training in implementing risk management solutions. The respondents were nearly evenly split when asked if training appropriately incorporated risk solutions.

Table 4.6 Solution Analysis Results – Survey

Solution Analysis					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Identifying Solutions	Austin Police Department’s Lieutenants and Commanders participate in identifying solutions to both internal and external sources of risk.	35	54	31	Disagree
Evaluating Solutions	Resources outside the Austin Police Department are presented to Lieutenants and Commanders as possible risk solutions.	35	43	29	Disagree
Evaluating Solutions	Austin Police Department’s Lieutenants and Commanders participate in evaluating proposed risk solutions.	35	60	14	Disagree

Table 4.6 Continued

Solution Analysis					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Evaluating Solutions	Austin Police Department's Lieutenants and Commanders provide input on possible courses of action to address the risk.	35	51	34	Disagree
Evaluating Solutions	The solutions to managing risks are detailed in Austin Police Department policy.	35	57	34	Disagree
Implementing Solutions	Where appropriate, training incorporates risk solutions. (Cadet & Ofc. continuing education.)	35	26	29	Neutral

Program Administration

Program administration is the last critical element that should be in a risk management program. Program administration categories include monitoring, assessing, and communicating. Monitoring includes the mechanisms for ensuring the risk management program is functioning as intended. Monitoring also ensures accountability for program success by assigning

responsibility appropriately. The assessment component, referenced under program administration, differs from the earlier concept of evaluation. Assessment at this point refers to looking at the entire program for effectiveness and goal achievement. Last, communication is a critical component of an effective risk management program. There should be mechanisms for communicating risk management throughout the entire organization as well as those which encourage and heed feedback from all those involved. **Tables 4.7** and **4.8**, show the results of document analysis and survey on the element of program administration.

Document Analysis: Monitoring

An analysis of the documents associated with the risk management program of the Austin Police Department shows limited support for monitoring the program as a whole. The standard operating procedures for the risk management bureau are not complete at this time. Accountability for program success is addressed in a variety of places throughout the Department's documents. Managers and administrators are held accountable within their areas of responsibility for those aspects of risk management that have been identified. Examples of this localized responsibility include attendance at mandatory training, administration of performance improvement plans, and responding to the GAP early warning system.

Document Analysis: Communicating

Document analysis reveals very limited support for the critical component of communication of risk management issues within the organization. Although the Department does a good job in terms of data reporting, such as the risk management report done for CompStat, overall, the pertinent information is not disseminated effectively to all the members of the organization. Without a communication mechanism that reaches everyone exposed to risk,

the possibility of meaningful two-way communication and feedback is limited. At this time, the Department is not taking full advantage of the technological resources it has to enhance communication.

Table 4.7 Program Administration Results – Document Analysis

Program Administration		
Component	Method	Evidence
Monitoring: Documentation should provide for monitoring risk management mechanisms.	Document analysis	Limited Support
Communicating: All aspects of the risk mgmt. program should be clearly communicated up and down the organizational chain.	Document analysis	Limited Support

Survey: Monitoring

The Lieutenants and Commanders of the Austin Police Department who comprised the survey respondents generally agreed that the risk management program of the Department has the appropriate mechanisms in place for the monitoring of risk. The respondents disagreed, however, that they participated in the monitoring process. The managers and administrators also felt that they are not held accountable for administering the program.

Survey: Assessing

When surveyed about their perceptions of accountability in assessing the Department’s risk management program, the managers and administrators felt that they are not held accountable.

Survey: Communicating

The Lieutenants and Commanders of the Austin Police Department overwhelmingly feel that the mechanisms for feedback and communication in the Department’s risk management program are inadequate. Likewise, they feel the Department is not adaptive and fails to use the information obtained from communication and feedback to evaluate effectiveness of the risk management program.

Table 4.8 Program Administration Results – Survey

Program Administration					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Monitoring	The risk management program of the Austin Police Department has mechanisms for monitoring identified risks.	35	29	37	Agree
Monitoring	Austin Police Department’s Lieutenants and Commanders participate in the monitoring of organizational risk.	35	46	40	Disagree

Table 4.8 Continued

Program Administration					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Monitoring	Austin Police Department's Lieutenants and Commanders are held accountable (within their respective areas of responsibility) for administering the organization's risk management program	35	37	31	Disagree
Assessing	Austin Police Department's Lieutenants and Commanders are held accountable (within their respective areas of responsibility) for administering the organization's risk management program	35	37	31	Disagree

Table 4.8 Continued

Program Administration					
Category	Question	N	% Strongly Disagree or Disagree	% Strongly Agree or Agree	Mode
Communicating	The risk management program of the Austin Police Department has mechanisms which allow for feedback and communication between all involved.	35	54	23	Disagree
Communicating	The risk management program of the Austin Police Department is adaptive and uses the information from feedback and communication to evaluate effectiveness of the action.	35	37	26	Disagree

Chapter Summary

This chapter presented the results from an analysis of operational documents of the Austin Police Department. The results of a survey that was given to the managers and administrators of the Department were presented as well. The next chapter will draw conclusions and make recommendations based on these findings.

Chapter V

Conclusion and Recommendations

Chapter Purpose

The purpose of this research was threefold. The first purpose was to establish a practical ideal model to assess risk management practices in law enforcement agencies. Second, using case study, current risk management practices at the Austin Police Department were assessed. The third purpose was to provide recommendations for improving the risk management practices at the Austin Police Department.

Chapter 2 was a review of the scholarly literature available concerning risk management. From this literature, a conceptual framework was developed which outlined the essential components of an ideal type risk management program. These ideal components formed the model assessment tool used to gauge the risk management program of the Austin Police Department. Chapter 3 detailed the methodology used to conduct this research. Results of the research were presented in chapter 4.

This research was a case study of the Austin Police Department and used document analysis and survey to obtain the data. The purpose of this chapter is to present the conclusions drawn from the research and to make recommendations for change that will improve the risk management program of the Austin Police Department.

The risk management program of the Austin Police Department, in its relative infancy, is experiencing growing pains. The organization as a whole has historically done a good job of managing many of the areas that have traditionally generated risk in law enforcement agencies.

Communication and education are the main areas of challenge as the Austin Police Department continues to develop an effective risk management program. When the documents of the Department are examined for risk management practices, there are many policies and practices that meet the criteria, as established in this model, for the effective management of risk. Communication and education are needed to retrain the managers and administrators to ensure that they think about these policies and practices as risk management. This lack of communication and training explains the disparity, in some areas, between what was available in the documents and the survey results. Management is not yet thinking fully in risk management terms. Additionally, the organizational responsibility for risk management should be further formalized with a clear chain of command and assigned responsibilities.

A paradigm shift must occur in the way that the organization addresses risk. No longer should events be viewed as isolated incidents, but occurrences that can affect the entire organization. The Austin Police Department is moving in the right direction. An important first step has occurred: a new bureau has been formed within the Department to administer the risk management program and integrate it fully into every aspect of the agency's operations.

Table 5.1 summarizes the findings of this research and is based on the document analysis and the survey results. Recommendations based on the findings are found in **Table 5.2**. Both the findings and recommendations are results of the conceptual framework of this research.

Table 5.1 Findings

Program Development			
Ideal Type Categories	Research Methods	Evidence	Findings
Planning	-Document analysis	-Elements of risk mgmt. infrastructure present in organization’s documents. -Risk mgmt. principles are diversified throughout the organization.	<ul style="list-style-type: none"> • Analysis yielded limited documentary support for the risk management program plan at this time.
	-Survey	-Clear mission and purpose articulated to administrators/managers. (Question #2) -Organizational needs are met and goals are clearly understood by Lieutenants and Commanders. (Questions #3, 4, 5, 6, 7)	<ul style="list-style-type: none"> • Survey respondents were generally neutral regarding the presence of desired planning components. • Respondents did agree, by a slight margin, that the program had short-term goals and addressed short-term issues. • Overall the respondents felt the risk management needs of the organization were not met.
Staffing	-Document analysis	-Clear chain of command with dedicated personnel to administer program.	<ul style="list-style-type: none"> • Analysis of the documents shows a well organized chain of command with personnel specifically dedicated to the unit indicating strong support.
Policy Development	-Document analysis	-Risk mgmt. policy clearly defined in written format.	<ul style="list-style-type: none"> • Limited support found for risk management policy development.

Table 5.1 Continued

Risk Assessment			
Ideal Type Categories	Research Methods	Evidence	Findings
Identifying Risks	-Document analysis	<p style="text-align: center;">-Mechanism for identification of risk should be present.</p> <p style="text-align: center;">-Training for risk identification should be formal.</p>	<ul style="list-style-type: none"> • Department documents address a variety of risk environments indicating strong support. • There is limited support based on document analysis for formal risk identification training.
	-Survey	<p style="text-align: center;">-Administrators/Managers should be able to recognize sources of risk. (Questions # 8, 9,10)</p>	<ul style="list-style-type: none"> • The survey respondents indicated they did not receive adequate training or resources for identifying risk in the organization.
Prioritizing Risks	-Survey	<p style="text-align: center;">-Administrators/Managers should have established guidelines for risk prioritization. (Question #11)</p>	<ul style="list-style-type: none"> • The survey respondents stated they have no clear guidelines for prioritizing risk, nor is there an adequate discussion of risk frequency. • Formal training in these areas was insufficient as well.

Table 5.1 Continued

Solution Analysis			
Ideal Type Categories	Research Methods	Evidence	Findings
Identifying Solutions	-Survey	-Administrators/Managers should participate in identifying solutions. (Question #12)	<ul style="list-style-type: none"> Survey respondents stated that that APD’s risk management program does not adequately provide either internal or external risk solutions.
Evaluating Solutions	-Survey	-Administrators/Managers should participate in evaluating solutions. (Questions #13, 14, 15, 16)	<ul style="list-style-type: none"> The survey respondents indicated that they were not participating in evaluating proposed risk solutions. Respondents also stated that they were not exposed to outside resources as possible risk solutions. The respondents said that the Department’s Lieutenants and Commanders do not provide input on courses of action to address risk. Survey respondents said that the solutions necessary to evaluate risk in order to manage it were not present in APD policy.
Implementing Solutions	-Document analysis	-Implemented solutions should be documented and tracked.	<ul style="list-style-type: none"> There is adequate support for documenting and tracking implemented solutions.
	-Survey	-Management of risk is incorporated in the training curriculum. Question #17)	Respondents were neutral concerning whether or not training adequately incorporated risk solutions.

Table 5.1 Continued

Program Administration			
Ideal Type Categories	Research Methods	Evidence	Findings
Monitoring	-Document analysis	-Documentation should provide for monitoring risk management mechanisms.	<ul style="list-style-type: none"> Limited support is present in the analyzed documents analyzed for effective monitoring of the risk management program at APD.
	-Survey	-APD’s risk management program should have mechanisms for monitoring risks and the Administrators and Managers should participate in the monitoring and be held accountable for the program (Questions #18, 19, 20)	<ul style="list-style-type: none"> The respondents generally agreed that the Department has mechanisms for monitoring identified risks. Respondents disagreed that they participate in the monitoring of organizational risk. The survey respondents also felt that they were not for administering the Department’s risk management program.

Table 5.1 Continued

Program Administration (continued)			
Ideal Type Categories	Research Methods	Evidence	Findings
Assessing	-Survey	-Administrators/Managers should all participate in assessing risk mgmt. actions (solutions) for effectiveness and are responsible for making necessary changes to achieve goals. (Question #20)	<ul style="list-style-type: none"> Survey respondents did not feel that they were held responsible for making changes to achieve organizational risk management goals.
Communicating	-Document analysis	-Documents should show mechanisms for communication of risk management issues throughout the organization.	<ul style="list-style-type: none"> Document analysis showed limited support for communication of risk management issues within the department.
	-Survey	-All aspects of the risk mgmt. program should be clearly communicated up and down the organizational chain. (Question #21, 22)	<ul style="list-style-type: none"> The survey respondents indicated that there are not adequate mechanisms for feedback and communication. The respondents also stated that the Department was not adaptive and did not use information from feedback and communication to evaluate the effectiveness of risk management actions.

Table 5.2 List of Recommendations

Program Development	
Component	Recommendations
<ul style="list-style-type: none"> • Planning <ul style="list-style-type: none"> ➤ Strategic and tactical ➤ Short term and long term ➤ Addresses organizational needs 	<ul style="list-style-type: none"> • APD needs to quantify the risk management plan more thoroughly in the agency’s documents and communicate the plan to the organizations managers and administrators.
<ul style="list-style-type: none"> • Staffing <ul style="list-style-type: none"> ➤ Chain of command ➤ Adequate personnel 	<ul style="list-style-type: none"> • No recommendations for change.
<ul style="list-style-type: none"> • Policy Development <ul style="list-style-type: none"> ➤ Written policies ➤ Training/policy distribution 	<ul style="list-style-type: none"> • Risk management bureau S.O.P.’s need to be completed. • Items that fall under the purview of risk management in other Department policies need to be identified as such. • More training is needed for managers and administrators to define and refine risk management throughout the Department.

Table 5.2 Continued

Risk Assessment	
Component	Recommendations
Identifying Risks <ul style="list-style-type: none"> ➤ Defining risk 	<ul style="list-style-type: none"> • It is recommended that all identified risk within the organization be evaluated and addressed as risk management.
<ul style="list-style-type: none"> • Prioritizing Risks <ul style="list-style-type: none"> ➤ High frequency/low risk events versus low frequency/ high risk events. 	<ul style="list-style-type: none"> • It is recommended that formal risk management training be provided and that the risk management policy address the role of frequency and severity in the management of risk.
Solution Analysis	
Component	Recommendations
<ul style="list-style-type: none"> • Identifying Solutions <ul style="list-style-type: none"> ➤ Internal versus external solutions. 	<ul style="list-style-type: none"> • It is recommended that solutions should be presented along with identification and that, where appropriate, resources outside the Department are considered.
<ul style="list-style-type: none"> • Evaluating Solutions <ul style="list-style-type: none"> ➤ Criteria 	<ul style="list-style-type: none"> • In order to be effective it is recommended that they given a more active role in solution evaluation.
<ul style="list-style-type: none"> • Implementing Solutions <ul style="list-style-type: none"> ➤ Policy ➤ Training 	<ul style="list-style-type: none"> • It is recommended that training clearly indicates when curriculum is changed to address an item of identified risk. • Likewise policy changes should indicate to all in the organization when they are being done in response to risk management.

Table 5.2 Continued

Program Administration	
Component	Recommendations
<ul style="list-style-type: none"> • Monitoring <ul style="list-style-type: none"> ➤ Mechanisms ➤ Accountability 	<ul style="list-style-type: none"> • While there are individual programs that function very well there needs to be a cohesive, global look at the program for overall effectiveness. • Accountability for program success should reside with those tasked with carrying it out.
<ul style="list-style-type: none"> • Assessing <ul style="list-style-type: none"> ➤ Goal analysis 	<ul style="list-style-type: none"> • The program should be assessed for goal achievement and changes made accordingly. • Goals should be clearly communicated to the managers and administrators so that they can perform an assessment of effectiveness.
<ul style="list-style-type: none"> • Communicating <ul style="list-style-type: none"> ➤ Mechanisms ➤ Feedback. 	<ul style="list-style-type: none"> • Communication needs to be improved. • The risk management program needs to take advantage of the technology that s available and send more training out electronically. • There also needs to be a better feedback mechanism in place so that the programs and policy changes can be evaluated for effectiveness on an ongoing basis.

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Appendix I



MEMORANDUM **Austin Police Department** **South Bureau - Patrol**

To: All Lieutenants and Commanders
From: Cmdr. John Hutto
Date: April 10, 2009
Subject: **Risk Management Survey**

All,

I am completing the final paper for my Masters degree in Public Administration from Texas State University. Briefly, my research examines risk management in law enforcement agencies. Specifically, I have researched the existing scholarly literature on the topic of risk management and determined the key elements necessary for an effective program. Using that information, I have developed a model assessment tool and I am examining the Austin Police Department and our risk management program as a case study. I will draw conclusions and make recommendations about our program and how it compares to the practical ideal type.

As a part of this research I need the opinions of the managers and administrators of our department about the current state of APD's risk management program. Please complete the attached survey. You can either return it to me via email by using the "highlight" function to mark your responses and then saving it as an attachment or you can print it out and leave a hard copy in my box on the 5th floor. Regardless of the method you choose to return it, your responses will be known only to me and no identifying information will be made a part of the paper. I am only interested in the statistics related to your answers. Once I have collated the numbers your original responses will be deleted/shredded.

Thanks in advance for your help in completing this and returning it to me ASAP.

John

1= Strongly Disagree 2= Disagree 3=Neutral 4=Agree 5= Strongly Agree

1. What is your current rank?	Lieutenant			Commander	
2. The Austin Police Department's risk management program has a clearly defined mission and purpose.	1	2	3	4	5
3. The risk management program of the Austin Police Department has specific long term goals.	1	2	3	4	5
4. The risk management program of the Austin Police Department has specific short term goals.	1	2	3	4	5
5. The risk management program of the Austin Police Department addresses strategic (long – term) issues.	1	2	3	4	5
6. The risk management program of the Austin Police Department addresses tactical (short – term) issues.	1	2	3	4	5
7. The risk management program of the Austin Police Department adequately addresses the needs of the organization.	1	2	3	4	5
8. Organizational risks have been clearly defined for Lieutenants and Commanders at the Austin Police Department.	1	2	3	4	5
9. Lieutenants and Commanders at the Austin Police Department are provided with the information they need to identify sources of risk within the organization.	1	2	3	4	5
10. Lieutenants and Commanders at the Austin Police Department are provided with the training they need to identify sources of risk within the organization.	1	2	3	4	5

1= Strongly Disagree 2= Disagree 3=Neutral 4=Agree 5= Strongly Agree

<p>11. The Austin Police Department’s risk management program has clearly established guidelines for prioritizing identified risk(s). This includes the difference between high frequency and low frequency risks.</p>	<p>1 2 3 4 5</p>
<p>12. Austin Police Department’s Lieutenants and Commanders participate in identifying solutions to both internal and external sources of risk.</p>	<p>1 2 3 4 5</p>
<p>13. Resources outside the Austin Police Department are presented to Lieutenants and Commanders as possible risk solutions.</p>	<p>1 2 3 4 5</p>
<p>14. Austin Police Department’s Lieutenants and Commanders participate in evaluating proposed risk solutions.</p>	<p>1 2 3 4 5</p>
<p>15. Austin Police Department’s Lieutenants and Commanders provide input on possible courses of action to address the risk.</p>	<p>1 2 3 4 5</p>
<p>16. The solutions to managing risks are detailed in Austin Police Department policy.</p>	<p>1 2 3 4 5</p>
<p>17. Where appropriate, training incorporates risk solutions. (Cadet & Ofc. Continuing Ed.)</p>	<p>1 2 3 4 5</p>
<p>18. The risk management program of the Austin Police Department has mechanisms for monitoring identified risks.</p>	<p>1 2 3 4 5</p>
<p>19. Austin Police Department’s Lieutenants and Commanders participate in the monitoring of organizational risk.</p>	<p>1 2 3 4 5</p>

1= Strongly Disagree 2= Disagree 3=Neutral 4=Agree 5= Strongly Agree

<p>20. Austin Police Department's Lieutenants and Commanders are held accountable (within their respective areas of responsibility) for administering the organization's risk management program</p>	<p>1 2 3 4 5</p>
<p>21. The risk management program of the Austin Police Department has mechanisms which allow for feedback and communication between all involved.</p>	<p>1 2 3 4 5</p>
<p>22. The risk management program of the Austin Police Department is adaptive and changes in policy or practice are made based on information from feedback and communication.</p>	<p>1 2 3 4 5</p>

- **Thanks for your help!**
- **Please return the completed survey by placing a hard copy in my mailbox on the 5th floor or by email john.hutto@ci.austin.tx.us**

Appendix II
Frequency Distribution

Question	N	Lieutenant	Commander			
1. What is your current rank?	35	25	10			
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
2. The Austin Police Department's risk management program has a clearly defined mission and purpose.	35	2	10	11	11	1
3. The risk management program of the Austin Police Department has specific long term goals.	35	2	7	18	8	0
4. The risk management program of the Austin Police Department has specific short term goals.	35	1	8	10	15	1
5. The risk management program of the Austin Police Department addresses strategic (long-term) issues.	35	2	11	10	11	1
6. The risk management program of the Austin Police Department addresses tactical (short-term) issues.	35	2	10	7	15	1
7. The risk management program of the Austin Police Department adequately addresses the needs of the organization.	35	3	11	16	4	1

Appendix II
Frequency Distribution (Continued)

Question	N	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
8. Organizational risks have been clearly defined for managers and administrators at the Austin Police Department.	35	9	16	3	8	0
9. Managers and administrators at the Austin Police Department are provided with the information they need to identify sources of risk within the organization.	35	6	11	5	13	0
10. Managers and administrators at the Austin Police Department are provided with the training they need to identify sources of risk within the organization.	35	6	16	7	5	1
11. The Austin Police Department's risk management program has clearly established guidelines for prioritizing identified risk(s). This includes the difference between high frequency and low frequency risks.	35	3	17	9	6	0

Appendix II
Frequency Distribution (Continued)

Question	N	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
12. Austin Police Department's Lieutenants and Commanders participate in identifying solutions to both internal and external sources of risk.	35	6	13	5	10	1
13. Resources outside the Austin Police Department are presented to Lieutenants and Commanders as possible risk solutions.	35	7	8	10	10	0
14. Austin Police Department's Lieutenants and Commanders participate in evaluating proposed risk solutions.	35	7	14	9	4	1
15. Austin Police Department's Lieutenants and Commanders provide input on possible courses of action to address the risk.	35	5	13	5	12	0
16. The solutions to managing risks are detailed in Austin Police Department policy.	35	7	13	5	12	0
17. Where appropriate, training incorporates risk solutions. (Cadet & Ofc. continuing education.)	35	4	5	16	10	0

Appendix II

Frequency Distribution (Continued)

Question	N	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
18. The risk management program of the Austin Police Department has mechanisms for monitoring identified risks.	35	3	7	12	13	0
19. Austin Police Department's Lieutenants and Commanders participate in the monitoring of organizational risk.	35	6	10	5	14	0
20. Austin Police Department's Lieutenants and Commanders are held accountable (within their respective areas of responsibility) for administering the organization's risk management program	35	4	9	11	10	1
21. The risk management program of the Austin Police Department has mechanisms which allow for feedback and communication between all involved.	35	6	12	9	8	0

Appendix II

Frequency Distribution (Continued)

Question	N	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
22. The risk management program of the Austin Police Department is adaptive and uses the information from feedback and communication to evaluate effectiveness of the action.	35	5	8	13	9	0

Appendix III

Past Risk Management Models

Author(s)	Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Step 7
Williams & Heins (1989)	Define objectives	Identify loss exposures	Measure potential losses	Select best ways to solve problems	Implement decisions made	Monitor and evaluate	
Williams <i>et al</i> (1998)	Mission identification	Risk Assessment	Risk control	Risk financing	Program administration		
Dickson (1995)	Identification	Analysis	Economic control				
Head & Horn (1991; 1997)	Identify and Analyze	Examine Alternative techniques	Select techniques	Implement techniques	Monitor results		
Dorfman (1994; 1998)	Identify and evaluate	Implement	Monitor				
Pritchett <i>et al</i> (1996)	Set objectives	Identify problems	Evaluate problems	Identify and evaluate alternatives	Choose alternatives	Implement alternatives	Monitor Systems
Vaughn (1997); Vaughn & Vaughn (1996)	Determine objectives	Identify risks	Evaluate risks	Consider alternatives and select risk treatment device	Implement decision	Evaluate and review	
Rejda (1995; 1998)	Identify	Evaluate	Select appropriate technique	Implement and administer			
Skipper (1998)	Identify and evaluate	Explore techniques	Implement and review				
Harrington & Niehaus (1999)	Identify	Evaluate	Develop and select methods	Implement	Monitor		
Trieschman <i>et al</i> (2001)	Identify	Evaluate	Select techniques	Implement and review			

Source: Kallman and Maric (2004, 65.)

Appendix IV



CITYWIDE PATROL - COMPSTAT PROFILE

Friday March 27, 2009 to Thursday April 23, 2009 Weeks 14-17



RISK MANAGEMENT									
	Last Report Period	Current Report Period	YTD 2008	YTD 2009	Response to Resistance	Last Report Period	Current Report Period	YTD 2008	YTD 2009
Employee Collisions Negligent	5	9	n/a	29	8400	0	2	n/a	10
Employee Collisions Non-negligent	4	3	n/a	17					
Non-IA Complaints: Satisfied	16	29	n/a	109					
Non-IA Complaints: Unsatisfied	13	9	n/a	40					
Failure to Appear	5	5	n/a	41					
Pursuits	8	18	n/a	46					

IAD Complaints Received	Last Report Period	Current Report Period			2009 YTD				2008 Past Due
	Total	Total	Open	Closed	Closed	Past Due	Open	Due in 15 days	
Class B	14	18	17	1	40	1	29	2	0

Employee Injuries				
	Last Report Period	Current Report Period	YTD 2008	YTD 2009
Vehicle Crash	3	5	n/a	19
Effecting Arrest	7	9	n/a	53
Training	4	6	n/a	27
Foot Pursuit	7	2	n/a	18
Exposure	4	4	n/a	20
Lifting	0	1	n/a	1
Falls	4	2	n/a	13
Running/Walking	1	2	n/a	5
Heat Related	0	0	n/a	0
Equipment	0	0	n/a	2
Other/Misc.	5	13	n/a	36
TOTAL	35	44	n/a	194

Total Employee Injuries - Year To Date

Region/Unit	Total Injuries
North	53
Central	48
South	47
HEC	16
CIB	8
Train	5
Spec. Op	10
OCD	8

Appendix V

Hutto, John

From: ospirb@txstate.edu
Sent: Monday, February 16, 2009 4:55 PM
To: jh1413@txstate.edu
Subject: Confirmation of Approval: IRB Application 2009J7085. DO NOT REPLY to this message.

This email message is generated by the IRB online application program. Do not reply.

The reviewers have determined that your IRB Application Number 2009J7085 is exempt from IRB review. The project is approved.


If you have questions, please submit an IRB Inquiry form at:
http://www.txstate.edu/research/irb/irb_inquiry.html

Institutional Review Board
Office of Research Compliance
Texas State University-San Marcos
(ph) 512/245-2314 / (fax) 512/245-3847 / ospirb@txstate.edu

JCK 489
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Appendix VI

	AUSTIN POLICE DEPARTMENT GENERAL ORDERS, POLICIES, AND PROCEDURES	B101d
	Part B – Enforcement Operations	
	Chapter 1 – Critical Policies	

B101d - Force Review Board

High-profile incidents should generate critical self-evaluation by the Department. This order sets forth Departmental policy and procedures for the Force Review Board (FRB).

.01 Force Review Board

The FRB shall identify any policy, training, tactical, equipment, or other improvements related to the force incident that may be needed. The Board will also review the quality and timeliness of the response to resistance reporting, investigation, and chain of command review, and take appropriate action. The Chief may direct the Board to review any use of force incident.

A. Scope of Responsibility

The Force Review Board will review the following types of incidents:

1. Level 1 and Level 2 force incident;
2. In-custody death;
3. Vehicle pursuits resulting in the serious bodily injury or death to any person;
4. Any incident causing serious injury or death as a result of APD's actions;
5. Any firearms discharge other than those in the course of authorized training, practice, legal recreational activities, during an organized competitive event, or at an animal.
6. Any Commander may request that an incident occurring within their area of responsibility be reviewed.

B. Authority of Force Review Board

The Force Review Board shall have the authority to:

1. Direct Department personnel to appear before the Board;
2. Request any private person to appear as a witness;
3. Access all relevant documents, records, recordings, including any video, audio, text messages, and transcripts of interviews of all involved personnel, including non-departmental witnesses, as provided by law; and
4. Make recommendations concerning any policy, training, tactical, equipment, or other improvements based upon a majority vote. Any recommendations will be referred to the Chief of Staff.

C. The FRB is comprised of the following participants:

1. Voting Board Members
 - a. Commander of Training (chairperson),
 - b. Commander of Special Operations (co-chairperson).
 - c. One Commander of a Patrol Bureau selected by the Chief of Staff.
 - d. In the absence of a board member, the chairperson shall appoint a substitute member.
2. Non-voting Board Members
 - a. Subject matter expert(s) for policy, training, tactics, and equipment, as needed and selected by the chairperson;
 - b. City Attorney, or designated assistant city attorney;
 - c. A member of the Field Training Officer program;
3. Presenters
 - a. IAD Representative;
 - b. Vehicular Homicide Representative (if a pursuit is reviewed)
 - c. Preparer of the Response to Resistance Investigation Report;
 - d. Involved personnel, as directed by the Chairperson; and
 - e. Other personnel, as directed by the Chairperson.

D. Board Member Training

The Training Division Commander shall ensure all FRB members receive continuing professional training in the following subjects:

1. Departmental force policies, force application, and practices including demonstrations of the proper techniques;
2. Departmental force investigation procedures;
3. Criminal and administrative investigation techniques, practices, and standards presented and/or coordinated by the Training Academy;
4. Legal updates on force case law presented by representatives from the City Law Department and/or the District Attorney's Office; and
5. Officer-involved shootings, vehicle pursuit-related matters, and in-custody death investigations.

.02 Convening Force Review Boards

A FRB shall not be convened if any use of force incident is being investigated by IAD until the internal investigation is completed.

A. IAD shall provide the investigative files listed below, within four (4) calendar days of IAD's receipt of a Level 1 or Level 2 Response to Resistance Inquiry Report, to the following:

1. Chief of Staff and FRB Chairperson - The Response to Resistance Inquiry Report, In-Custody Death, or Vehicle Pursuit Report Packet;

B. Board Chairpersons

The FRB Chairperson shall convene a FRB within 30 days of receipt of the Response to Resistance Inquiry Report Packet or Vehicle Pursuit Report from IAD;

C. The Chief of Staff shall track the status of all FRB's to include:

1. Date of the board;
2. Date the FRB Report is submitted to the Chief; and
3. Findings and recommendations of the Board.
4. Implementation of the approved recommendations in accordance with this order.

.03 Force Review Board Responsibilities

A. Review Board Preparation

1. Pending IAD Complaints

The FRB Chairperson shall contact IAD within twenty four (24) hours of the scheduled Board to ascertain whether a force complaint is pending. If a complaint is pending relating to the incident, the FRB Chairperson shall notify the Chief of Staff and reschedule the Board after the completion of the internal investigation.

2. Inquiry Packets Preparation

Inquiry Packets are forwarded to APD Training by the chain of command. APD Training will prepare the Packets for presentation to the FRB. The FRB Chair may request additional information from:

- a. Internal Affairs.
- b. Vehicular Homicide Unit – if the incident is a pursuit resulting in serious bodily injury or death.

3. Investigative Packet Distribution

The FRB Chairperson shall ensure FRB participants are provided electronic copies of the following within seven (7) calendar days of the Board:

- a. The Response to Resistance Inquiry Report;
- b. A copy of the appropriate incident report;
- c. Ancillary documents:
 - (i) Supplemental Reports;
 - (ii) Written statements;
- d. Communications Division audio tapes, if necessary;
- e. Mobile Video Recording, if available;
- f. CAD records;
- g. Medical reports or summary of injuries, if available;
- h. Digital Images or photographs;
- i. Training and force incident records of involved personnel; and
- j. Applicable Department policies and procedures.

B. Documentation provided to the FRB necessary to perform its function has the same legal character as documentation in the possession of IAD. No member of the FRB may release any information regarding its review of a specific force incident to anyone not authorized to review this information without the authorization of the Chief or designee.

C. FRB Procedures and Responsibilities

The FRB Chairperson shall preside over the review of the Response to Resistance incident, to include but not limited to, the following:

1. A presentation and review of the Response to Resistance Inquiry Report and all relevant documents and materials;
2. A discussion regarding:
 - a. The quality and timeliness of the reporting, investigation, and chain of command review;
 - b. Applicable policy;
 - c. Relevant tactics;
 - d. Current practices and training;
 - e. Any equipment issues;
 - f. Additional follow-up by the supervisor conducting the inquiry, IAD, and/or SIU; and
 - e. Questions from Board members.
3. If additional inquiry or other follow-up is recommended, the FRB chairperson shall advise the Chief of Staff, who may direct the supervisor conducting the inquiry, IAD, or SIU of the specific issues to be addressed and assign a due date not to exceed thirty (30) calendar days.
4. Deliberate on the possible need for:
 - a. Policy revision or the promulgation of new directives;
 - b. Changes in equipment;
 - c. Changes in tactics;
 - d. Changes in practices and training;
 - e. Additional training:
 - (i) Individual

- (ii) Specialized including training for use of force investigators;
and
 - (iii) Departmental-wide and,
 - f. Improvements in the quality and timeliness of the reporting,
investigation, and chain of command review of the force incident.
- D. Force Review Board Report
 - 1. The Chairperson shall ensure a FRB Report is prepared and hand deliver the original to the Chief within thirty (30) calendar days after the Board adjourns.
 - 2. The FRB Report shall contain the following, as appropriate:
 - a. Summary of the incident;
 - b. Summary of Board's deliberations;
 - c. A draft Departmental publication identifying training or equipment issues (e.g., Officer Safety or Information Bulletin);
 - d. Recommendations concerning equipment;
 - e. Recommendations concerning tactics;
 - f. Recommendations to develop or revise Departmental policy and procedures.
 - g. Recommendations on the quality and timeliness of the reporting, investigation, and chain of command review.

.04 Attendance by the Officer(s) Involved

- A. For incidents involving the discharge of a firearm, the involved officer and their chain-of-command may be requested to appear before the board.
- B. For all other incidents reviewed by the board, the involved officer(s) and supervisor(s) may appear, or the chairperson may order their appearance.

.05 Board Recommendations and Follow-up

- A. Corrective Actions

1. If the FRB Report contains approved recommendations for corrective actions for specific personnel (e.g., training), the Chief shall assign it to the appropriate Assistant Chief.
 2. The assigned Assistant Chief shall: ensure the approved recommendations are implemented; and prepare and forward a memorandum documenting the completion of the recommendations to the Board and Chief of Staff within thirty (30) calendar days of receipt, unless extended by the Chief. Training recommendations require a Training Memorandum indicating the successful completion of training and shall be forwarded to the Training Division for filing.
- B. Department-Related Recommendations
1. If the FRB report contains Department-related recommendations (e.g., policy revision, equipment evaluation, tactical changes, new Training Bulletin, or improvements in the quality and timeliness of the reporting, investigation, and chain of command review), the Chief shall assign the required tasks to the appropriate Assistant Chief.
 2. The Assistant Chief shall implement the approved recommendations and present a status update to the command staff at the next command staff meeting. Recommendations shall be placed on the agenda until completed.
- C. The Chief of Staff shall monitor and document the implementation of Board recommendations and advise the Chief when:
1. Implementation is completed;
 2. An extension has been requested and reason for the extension request;
or
 3. Implementation has not been completed within thirty (30) calendar days and no extension has been requested.

.06 Records Retention and Reporting


- A. The FRB Chairperson shall add the original FRB reports and additional documents/material into the Response to Resistance Inquiry Packet. The Inquiry Packets will be forwarded to IAD. IAD shall retain the Inquiry Packet consistent with its records retention policy.
- B. IAD shall conduct periodic Response to Resistance activity review. IAD will prepare an annual Response to Resistance analysis report. IAD shall serve as the custodian of records for Response to Resistance, In-Custody Death, or Vehicle

Pursuit Report Packets if the pursuit resulted in serious bodily injury or death to any person, and original FRB Report.

C. Annual Reports Required

1. The Commander of IAD will prepare an annual Response to Resistance analysis report.
2. The Chair of the FRB will prepare an annual analysis of all incidents examined by the FRB in the prior year to identify any patterns and practices that have policy, training, tactical, equipment, quality control, or other implications.
3. The annual reports will be prepared and distributed by the end of the third quarter of the following year to the Chief.

AppendixVII

	AUSTIN POLICE DEPARTMENT	A105
	GENERAL ORDERS, POLICIES, AND PROCEDURES	
	Part A – General Policies and Procedures	
	Chapter 1 – Organization, Administration, and Management	

A105 Written Directive System

Directives are the written procedures, guidelines, and rules that formulate the Department's policy. This document establishes a written directive system to provide employees with clear information and direction as to the expectations and responsibilities relating to the performance of their duties, and it establishes uniform standards of behavior. Directives will be written in compliance with the latest standards of the Commission on Accreditation for Law Enforcement Agencies (CALEA).

This policy defines the use of each type of directive, restricts the authority to issue, and provides distribution and maintenance guidelines to ensure that all personnel become acquainted with the contents of directives affecting their positions.

.01 Authority to Exempt Provisions of Directives

The General Orders, Policies and Procedures, as well as all other directives of the Department, are intended as guides to the behavior of all employees. Except when specifically exempted from any provisions, all employees are expected to abide by all guidelines unless it would be unreasonable to do so under the circumstances existing at the time.

- A. The Chief of Police or designee may approve and authorize exceptions to individual provisions within any directive or directives system.
 1. Exceptions will be made only after a legitimate business need has been clearly articulated, and it has been determined that failure to provide exemption would severely interfere with a person's or a work group's ability to achieve Departmental goals (e.g. Undercover officers having to comply with all provisions of the Dress and Grooming Code).
 2. Each and every exemption will not necessarily be referenced within the directives. However, it is the responsibility of the assistant chiefs and commanders to ensure that any exemptions are documented in a form

where they can be identified and verified. All exemptions will require periodic review to determine their continued applicability or the need for alteration.

3. No exemptions will be authorized which allow employees to infringe upon residents' rights to be treated fairly, humanely, and equitably under the law.

.02 Written Directives

A. Written directives may come in one of six forms:

1. **General Orders**
Permanent directives that describe departmental policy, rules, and procedures, which apply throughout the Department. Such orders take effect on the date issued and remain in effect until withdrawn or modified.
2. **Special Orders**
Directives issued when an immediate change to a general order is needed, or when an order is needed to set policy or procedures for specific circumstances or special events.
3. **Standard Operating Procedures**
Directives that define all duties and operations within the bureau, division, section or unit of issue.
4. **Training or Protocol Directives**
Directives containing extensive and detailed procedural information relating to specific operations or activities.
5. **Personnel Directives**
Directives used to inform personnel of changes in status or movements of employees and/or positions. They give force and effect to personnel actions such as appointments, transfers, promotions and disciplinary measures.
6. **Memoranda (General)**
A memorandum is typically used for reports, announcements, inquiries, responses or advisory information, and may be addressed to all personnel (see restrictions in section .13), to a small group, or to individuals. A memorandum will **NOT** be used to establish or change a policy, regulation, or procedure that affects employees **Department-wide**. Such changes will be done by established procedures.

.04 Legality of Contents; Order of Precedence; Conflicts

- A. If any section, subsection, item, clause, or phrase contained in any written directive is found to be illegal or otherwise incorrect or inapplicable, such finding shall not affect the validity of the remaining portions of the written directive.

- B. In order of precedence, general orders (as amended by subsequent special orders) shall stand over other departmental directives. Bureau SOPs take precedence over division SOPs, which take precedence over section SOPs, which precede unit SOPs.
- C. Any conflict or contradiction in policy shall be presented to Accreditation/Inspections for clarification. Resolutions provided will be in compliance with CALEA standards.

.06 Knowledge of Written Directives

All employees of the Austin Police Department are expected to be aware of, conform to, and abide by all Department orders and procedures applicable to their work assignments. Such orders and procedures, which constitute the rules and regulations of the Department, include the General Orders, Policies and Procedures manual, relevant special orders, standard operating procedures (SOPs), approved training and protocol manuals, and the Code of Ethics.

.09 Special Orders

- A. Issuance
 - 1. When a special order is issued to temporarily change/amend a general order, it will be issued only by the Chief of Police or designee.
 - a. The special order shall contain a self-canceling statement. The special order will have the force and effect of a general order until its expiration or until the change is incorporated into a general order.
 - 2. When a special order is used to set policy or procedures for specific events, it may be issued by the commander/manager of the unit in charge of coordinating or handling the event.
 - a. Special orders of this type are temporary or self-canceling. Subsequent to the event they have no effect.
 - 3. A special order may apply only to employees in one division or section. In these cases, the order may be issued by the commander/manager of the unit affected.
- B. Routing

All proposed special orders will be routed to the Accreditation/Inspections Unit.

 - 1. The routing and review procedure as specified in Section .08 of this document will be followed.
- C. Distribution
 - 1. If the special order amends a current general order, distribution will be the same as for a general order.
 - 2. For special orders relating to a specific event, the originator of the special order will be responsible for copying and distributing the order to personnel involved in the event. Copies will also be posted on bulletin boards within the unit(s) concerned.

3. For special orders which apply only to employees within a division or section, the commander/manager of the unit will be responsible for copying and distributing the order to personnel within the affected work group.
4. If hard copies are distributed, issuance records will be attached to each group of policies distributed, and each employee must sign for his/her copy of the documents.

.10 Standard Operating Procedures (SOPs)

A. Issuance

Commanders/managers have the authority and responsibility to approve procedures concerning their respective areas of operation. Should any procedures directly affect another bureau in whole or in part, however, it will be proposed for inclusion into general orders.

B. Routing

All proposed SOPs will be routed to the Accreditation/Inspections Unit where they will be reviewed for compliance with CALEA standards, proper language, and conformity with Department policy.

1. SOPs will be written in the same format as used for general orders, and all SOPs will contain the following sections:
 - a. Statement of Purpose.
 - b. Organization and Staffing.
 - c. Utilization and Deployment.
 - d. Goals and Objectives.
 - e. Personnel Duties, Authority and Responsibilities.
 - f. Personnel Selection Procedures.
 - g. Training and Development.
 - h. Annual Inspection.
 - i. Records Management and Special Reporting.
 - j. Collection and Preservation of Evidence.
 - k. Equipment/Vehicle Operation and Control.
2. Procedures contained in SOPs shall not conflict with the policies, procedures or rules established in general orders.
 - a. If a proposal contains serious flaws, it will be returned to the author with an explanation of the problem areas. The author may resubmit the proposal after correcting noted deficiencies.
3. SOPs meeting the guidelines will be returned to the supervisor/manager of the unit, section, or division affected for approval through the chain-of-command.

.11 Training or Protocol Directive


Oftentimes, a need arises for extremely detailed procedural information. Due to the large amount of information to be addressed, these directives are issued separately

from the standard operating procedures of the unit to which they apply. Directives of this nature has the same force and effect as a unit SOP.

A. Issuance

Commanders/managers have the responsibility to review and approve training or protocol directives pertaining to their areas of command.

Appendix VIII

	AUSTIN POLICE DEPARTMENT GENERAL ORDERS, POLICIES, AND PROCEDURES	A308
	Part A - General Policies and Procedures	
	Chapter 3 – General Conduct	

A308 Training and Career Development

The quality of service in any organization is built on the education and training of its employees. Training is a vital part of the growth of the individual and the organization.

The Training Division and APD–HR are charged with the responsibility of developing and monitoring comprehensive training programs that perpetuate maximum effectiveness and efficiency of Department members. Programs will be designed to address the physical, intellectual, emotional, legal and ethical demands placed upon police personnel. The Training Commander will be responsible for ensuring all department training requirements established in this document are followed.

APD Training programs should be structured to motivate experienced officers and to further the professionalism of the agency. Annual training will focus on topics to ensure officers are kept up to date with new laws, technological improvements, and revisions to agency policy, procedures, rules, and regulations. Mandatory retraining may also be designed to provide supervisory, management or specialized training to participants. Retraining may be used to supplement promotional training, training prior to assignment to a specialized unit, or executive development training for higher officers.

.01 Types of Training

The Department utilizes five (5) main types of training programs for employees.

- A. Mandatory Training,
- B. Elective Training,
- C. Cadet Training,
- D. Remedial Training, and
- E. Shift Briefing Training.

.02 Training Required

A. Sworn Employees

During the course of the training biennium designated by TCLEOSE, all officers will receive an average of at least 20 hours of training annually. This training will include any topics/courses as statutorily required or as required by the Department.

The balance will be over topics that are related to the officer's specific job assignment and/or career development. These topics may include, but are not limited to:

1. Department policy and organizational issues;
2. Leadership;
3. Ethics and Integrity, taking into consideration cultural influences, policy compliance, and doing what is correct rather than what is not illegal;
4. Statutory or case law affecting law enforcement operations;
5. The functions of the agencies in the local criminal justice system;
6. The exercise of discretion in the decision to invoke the criminal justice process;
7. Interrogation and interviewing techniques;
8. APD policy on the use of force, including the use of deadly force;
9. Emergency medical services;
10. Performance evaluation systems;
11. New or innovative investigative or technological techniques or methods, if any; hazardous materials incidents;
12. Contingency plans, if any, including those relating to special operations and critical incidents; crime prevention policies and procedures; collection and preservation of evidence;
13. Report writing and records system procedures and requirements; and

14. Victim/witness rights, policies, and procedures.
- B. Civilian employees will receive job-related training as per City Personnel Policy.
- C. Shift Briefing Training

Shift Briefing training is a technique that may supplement all other training. Shift briefing training is a useful element of agency training, if it is well managed and supervised. The goal of this training should be to keep officers up to date between formal retraining sessions.

1. This training will usually be provided by the employees' sergeant or corporal, but may include other instructors (e.g., Communications, Forensics)
2. This training will be designed with enough flexibility as to fit into a short and succinct time period (e.g., reviews of Departmental policy or laws, special patrol area problems) Scheduling will necessarily take into account the workload and time demands of both the instructor and the employees receiving the instruction.
 - a. Shift Briefing training will generally be less than one hour in duration and will be credited as Departmental training but will not be considered TCLEOSE credited time.
 - b. If training is on job-related duties and equals a minimum of 1-hour training time or more, TCLEOSE training credit hours can be submitted. TCLEOSE credited time will be in whole hours only.
3. An information cover sheet, instructor VITA and lesson plan will be forwarded via inter-office mail, FAX or email to the APD Training Commander or designee for review prior to the commencement of the shift training. At times, the Training Division may supply lesson plans for instruction at shift briefings.
4. Instructional methods for shift briefings should be by lecture, demonstration, handouts, or video presentation.
5. Within 7 days after the training has concluded, the supervisor over the training is responsible for forwarding a completed shift briefing class roster of the employees receiving training to APD Training Division for

entry into the employee's Departmental training record and TCLEOSE training records.

D. Web-based Training

The Training Academy may deliver online courses via web based training. The courses may fulfill either mandatory or elective training hours. With supervisor's approval, distance courses can be completed through the intranet by utilizing Departmental computers or off site through the internet utilizing a personal computer and APD's training website. Officers who successfully complete the distance learning courses will receive TCLEOSE credit for continuing education.

1. Courses will consist of training content followed by an exam. To receive credit for the course, employees must successfully pass the exam with a 70 percent score. Upon completion, course information and exam score will be electronically transmitted to the Training Academy.
2. Employees will be given a user name and password to log into the system. Employees will not share their password information with others.
3. Employees will not allow access to the training website or distance courses to non-APD employees without approval of the Training Commander or designee.
 4. This policy will also apply for courses taken through the TCLEOSE Poseit website. If TCLEOSE and APD both offer the same course, officers will register for the APD course as it will include policy and address APD needs.

.03 Training Approval

All internal and external training must be coordinated through the Training Academy

- A. All training must be reviewed and approved by the APD Training Commander or designee 30 days prior to the commencement of the training. Failure to follow this procedure may result in a denial to credit Departmental and/or TCLEOSE training records for those students receiving the training.
- B. Employees attending any training that has not been reviewed and authorized by the Department, do so at their own risk. The Department will not assume any liability for an officer's utilization of information and/or techniques that are not Department sanctioned, and which may be contrary to policy and procedures.
- C. All formal training provided to APD Officers must have a course outline, or lesson plan that is provided to the Training Academy Continuing Education Unit for approval.

.04 Department-Sponsored Training

A. Sworn Employees

Class information will be posted on APD bulletin boards, the TRAIN system or via email announcements. Information will include training topics, instructor(s), attendance limitations, credit hours, dates and times of classes, training location, specialized equipment required. All scheduling, or subsequent cancellation of training will be done by the employee's supervisor using the "TRAIN" system

1. For Departmental classes, whether mandatory or elective, the employee will coordinate with their supervisor, selecting a date to attend that will not severely impact the work unit.
2. Unless extenuating circumstances exist and are approved by the Continuing Education Unit Supervisor, all class cancellations should be done via the TRAIN system at least 7 days prior to the class date.

B. Civilian Employees

Information on training available for civilian employees will be maintained by APD-HR and posted on the TRAIN system. Requests to attend any sessions must be approved by the employee's immediate supervisor.

1. Assignment-specific training required for certification, or which is deemed critical to job competency, will be coordinated through and approved by the employee's supervisor.
2. Once training is scheduled, any cancellation will be approved by and coordinated through the employee's supervisor.

.05 Other Training for Personnel

A. Sworn Employees

The Training Division will maintain information on schools, conferences and seminars sponsored by other agencies or companies that are appropriate for APD officers to attend. Training Division may also forward information on particular schools, conferences and seminars to specific divisions or units where there may be job-related interest.

1. Employees wishing to attend and who are eligible for this training will apply by sending a memo, purchase request form, documentation on the

training itself, and a completed request for authority to travel form through their chain-of-command.

2. The memo should minimally include a description of the type of training, the location of the training, the date(s) of the training, the cost of the training (if applicable) and the justification for the training.
3. A copy of the memo, travel form, purchase request form, and training documentation will be forwarded to the Training Commander or designee at the APD Training Academy.
4. Sworn employees who receive training from sources outside the Department must provide the Training Division with proof of completion or training credit will not be applied to the employee's APD training record.

B. Civilian Employees

Requests to attend training provided by any source outside of APD will be coordinated through the employee's immediate supervisor.

1. Much of the available training is provided by the City, is conducted at various sites around Austin, and generally is provided at no cost or for a minimal fee.
2. Civilian employees who receive job related training must provide APD-HR with proof of completion for training hours to be credited.

.06 Attendances at Training

A. Scheduling of Training

1. Employees who attend any schools, conferences or seminars will, whenever possible, have their hours and days off arranged so they attend on-duty.
2. Employees will be compensated in accordance with current Department when the duration of the actual training hours, including travel for out-of-town trips, exceeds forty (40) hours in one week.
 - a. Training conducted locally will not be eligible for travel/per diem expenses.

- b. Training conducted out-of-town may be eligible for travel/per diem reimbursement but only with prior approval as per departmental policy.

B. Training Attendance Required

Employees are expected to attend all classes and/or exercises at the designated time and place for which they are scheduled. For purposes of attendance, all training is considered on-duty, and thus falls within compliance for time and attendance.

1. Rescheduling attendance will be at the discretion of the Training Commander/HR Manager or designee, as appropriate.
2. Anticipated absences must be cleared in advance by the appropriate Training Academy staff or APD-HR, as appropriate. The staff member will attempt to arrange for make-up of the material to be missed, if possible, or the employee will be rescheduled to attend at another time.

C. Other Training Attendance Procedures

1. Approval for special assignment to attend a school, conference or seminar at the employee's own expense may be given provided the appropriate selection procedures, as outlined in this document, have been followed. The supervisor approving the school may also authorize the special assignment.
2. Prior approval must be given by the employee's assistant chief/director for any training that includes one or more of the following elements:
 - a. Department funds are to be expended for travel, tuition, and meals;
 - b. More than two (2) City vehicles are to be used for transportation; or
 - c. There is reason to believe that the training may conflict with established policy.
3. Employees wanting to receive cash advances must submit their requests to Financial Management at least three (3) weeks in advance of departure.

- a. Monies advanced for travel will be on an individual basis.
 - b. Each person will be responsible for submission of his/her own travel vouchers upon completion of the travel and/or training.
4. Employee(s) are expected to attend all scheduled classes and any absences must be justified in writing to the employee's assistant chief/director.
 5. If prior approval is obtained from the division manager/commander to use privately owned vehicles, mileage will be paid at the current City rate.

.07 Requirements to Train Others

Employees regularly receive training so that individual productivity and the overall quality of departmental services improve. Employees have an obligation to utilize this training for the betterment of Department services. Any employee who receives job-related training, including but not limited to specialized training from sources outside the Department but funded by the Department, may be called upon to utilize that information or those learned skills in training others within the Department.

.08 Officers Assigned to be Out-of-City at the Time of Promotional Exams

Any officer eligible to take a Civil Service promotional examination or eligible to participate in an Assessment Center related to the Civil Service promotion process, and who is assigned to be out of the City on police business on the date of the examination or Assessment Center will be permitted to return, at City expense, to take the examination or participate in the Assessment Center.

- A. Sometime prior to leaving the City, the officer assigned to be out of the City on the date of the promotional examination or Assessment Center must notify, in writing, his/her division commander of his/her intent to take the examination or participate in the Assessment Center.
 1. The division commander will make every effort to either postpone the trip or send an alternate.
 2. If neither of the above is practical, the Department will furnish the officer with the assistance necessary to return to the City on the date of the examination or Assessment Center.

- B. The officer should plan to arrive in the City within twelve (12) hours of the time the examination or Assessment Center is scheduled to be given.
- C. The officer should return to the place of assignment as soon as reasonably practical after the examination or Assessment Center.

09. Training for Newly Promoted Employees

All newly promoted personnel will be required to participate in departmentally approved job-related training which is commensurate with the duties of the new position.

- A. Whenever possible this training will occur prior to promotion. However, if this is not feasible, then the training will occur within the first year following the date of promotion.
- B. The training may be provided directly by the Department or secured through another source.
 - 1. The Training Academy will assist sworn personnel and their next-level managers in identifying appropriate instruction and locating sources for training applicable to each promotional level.
 - 2. APD-HR will assist civilian employees and their next-level managers in identifying training appropriate to the position and in locating sources of applicable instruction to attend.


.10 Professional Development Training Requirements

APD's professional development training requirements were established to provide incumbent and future Lieutenants and Commanders with a specific curriculum that must be completed during their tenure in a rank. Efforts were geared, in large measure, to producing a clear road map for those who seek to become police executives and at developing the necessary skills to enhance the likelihood for success. The following mandatory training specifies the requirements that must be achieved at both levels during an officer's tenure as a commander or lieutenant.

- A. Within three years of being promoted to the rank of lieutenant or commander, an officer must be enrolled in an APD approved long-term management school. The Training Academy will maintain a list of approved courses. Assistant Chief Approval is required for any substitutions including attendance to a management school that is not on the approval list.

- B. Lieutenants and commanders must also attend and successfully complete additional APD sponsored courses as determined by Executive Staff and the Training Academy.
- C. The Chief's Office will determine which employees are selected each year to attend approved management courses. Selections will be based upon consideration of all of the following factors:
 - 1. The individual's development needs;
 - 2. The individual's span of control;
 - 3. Previous management training;
 - 4. Tenure in position;
 - 5. Plans for the individual to assume more leadership responsibility;
 - 6. Budgetary constraints.

Appendix IX

	AUSTIN POLICE DEPARTMENT GENERAL ORDERS, POLICIES, AND PROCEDURES	A401b
	Part A - General Policies and Procedures	
	Chapter 4 – Personnel and Benefits Administration	

A401b – Illness, Injury, and Limited Duty

It is the Department's goal to provide reasonable accommodation to assist employees in returning to regular full-time employment from an illness or injury, while still maintaining the highest quality service to the residents of Austin. At the same time, following an injury or illness, it is the responsibility of the employee to return to some form of work as soon as possible.

Employees who incur on-the-job injuries/illnesses and are unable to perform the essential functions of their positions will be referred to the City of Austin Return to Work Program, if eligible.

.01 Definitions

- A. Administrative leave -- for purposes of this policy, paid leave that is authorized for sworn personnel according to Local Government Code, Chapter 143.
- B. Fit/unfit for duty -- a medical determination as to whether or not an employee is able to physically/mentally perform the essential functions of his/her job.
- C. Full duty -- a medical determination that an employee can safely perform all of the essential functions of their job with no limitations or restrictions.
- D. Injury leave -- leave that is provided to eligible employees who are unable to work due to an on-the-job injury.
- E. Physician: a medical doctor, psychiatrist, or psychologist.
- F. Limited duty -- a medical designation that an employee may return to work with specific and detailed limitations or restrictions.
- G. Limited duty assignments -- temporary assignments for non-probationary employees that include light, partial, and part-time work, which meet the following criteria:
 - a. The work must be productive (i.e. it must contribute to the achievement of the goals and objectives of the Department);

- b. It must be consistent with medically determined restrictions; and
- c. The employee must possess the necessary skills to perform the assignment(s);
 - H. Extended Limited Duty – An extension of limited duty status for non-probationary civil service employees who have been on limited duty in excess of a cumulative total of 1040 hours as a result of an on-duty or off-duty injury or illness.
 - I. On-duty/Job Related injury or illness: An injury or illness suffered by an employee in the course and scope of their employment, including:
 - 1. during an employee’s regular duty hours;
 - 2. during authorized departmental overtime;
 - 3. taking law enforcement action as a peace officer while off-duty.

*The final determination of whether or not an injury or illness was incurred in the “course and scope” of employment will be determined by the City’s workers’ compensation carrier on a case by case basis.

- J. Return to Work Program -- a City of Austin program that attempts to locate alternate job placement for employees who can no longer perform their jobs within the Police Department due to an on-the-job injury or illness.
- K. Qualifying disability: a physical or mental impairment resulting from an on-duty or off-duty injury or illness that substantially limits one or more of an individual’s major life activities.

.02 Applicability of Provisions

Provisions contained herein shall apply only to injuries/illnesses that occur on or after the effective date of this policy.

.03 Reporting of Injury/Illness

A. On Duty Injury/Occupational Illness

- 1. An employee shall notify their supervisor or manager of the injury/illness within 24 hours, or prior to the start of their next shift. This is to ensure the employee’s eligibility for wage continuation benefits.
 - 2. Employees shall report all injuries and, when necessary, shall seek immediate medical attention as required by the nature of the injury or illness.
- 3. If medical treatment is necessary, the supervisor shall provide the employee with a signed Authorization for Medical Treatment Form.

4. The supervisor shall complete the Employer's First Report of Injury/Illness Form (TWCC 1) and submit it to the APD Human Resources Unit within 24 hours of notification of the injury/illness.
5. The employee shall have the attending physician complete a TWCC-73 Form which will include an anticipated date that the employee will return to full duty. This form shall be submitted to the APD Human Resources Unit (APD HR), through the employee's immediate supervisor, within 24 hours of the medical treatment.
6. While on injury leave or limited duty status, employees will have a monthly examination and turn in a completed TWCC-73 Form to APD HR through the chain-of-command.
7. No employee may return to work or change duty status until the TWCC-73 form has been submitted to the employee's supervisor, and the supervisor approves the change in duty status or return to work.
8. If a supervisor disagrees with the appropriateness of the designation of duty status by the physician, they should immediately contact the APD HR for guidance. Issues regarding the return to work must be resolved prior to authorizing the employee's return to work, with or without restrictions.

B. Off Duty Injury/Illness

1. Employees shall notify their supervisor of the injury/illness according to Unit procedures for requesting sick leave.
 2. Employees who have been absent from work for more than five (5) consecutive work days due to an off the job injury/illness, shall submit a completed Off-the-Job Injury/Illness Medical Release to Return to Work Form, prior to returning to work. This form should be submitted to APD HR through the chain-of-command.
3. If a supervisor disagrees with the appropriateness of the designation of duty status by the physician, they should contact APD HR for guidance prior to authorizing the employee's return to work, with or without restrictions.
4. No employee may return to work until the Medical Release to Return to Work Form has been submitted to the employee's supervisor, and the supervisor approves the return to work.
 5. If the Medical Release to Return to Work form indicates the employee may return to work in a limited duty capacity, and the employee's commander/division manager approves a limited duty assignment that will not exceed five (5) consecutive work days, the commander/division

manager will provide written confirmation of this assignment to the employee, including the length of the assignment.

6. Supervisors shall notify APD HR through the chain-of-command when any employee is absent from work for more than five (5) consecutive work days, or when an employee is unable to perform full duty for more than five (5) consecutive work days. In these cases APD HR will provide written confirmation to the employee of any limited duty assignment, including the length of the assignment.

7. While on leave or limited duty status, employees will have a monthly examination and turn in a completed Off-the-Job Injury/Illness Medical Release to Return to Work Form to APD HR through the chain-of-command.

.04 Leave Specifications

A. On-Duty Illness/Occupational Injury

1. Employees with an on-duty injury or occupational illness for which a physician certifies the employee unable to return to work at either full or limited duty will be granted injury leave.
2. While on injury leave, employees will have a monthly examination and turn in a completed TWCC-73 Form to APD Human Resources through the chain-of-command.
3. Sworn Employees
 - a. Injury leave shall not last more than a cumulative total period of 2,080 hours per injury/illness.
 - b. If an officer is still unable to return to work after that time, in either a full or limited duty capacity, they may use all available personal leave balances, including family medical leave, if applicable.
 - c. If the officer is still not able to return to work in at least a limited duty capacity after exhaustion of all available leave, employment with APD shall be terminated.
4. Non-sworn Employees
 - a. Injury leave shall not last more than a cumulative total of 80 hours.
 - b. If an employee is unable to return to work in at least a limited duty capacity, they may request a medical leave of absence in accordance with City of Austin Personnel Policies.

- c. If still not fit for return to work in at least a limited duty capacity at the expiration of the medical leave of absence, employment with the Austin Police Department shall be terminated.
- B. Off Duty Injury/Illness (Sworn or non-sworn)
 - 1. When an employee is injured off duty or has a non-occupational illness, they may request a medical leave of absence in accordance with City of Austin policy, if a limited duty assignment is not available.
 - 2. While on leave or on limited duty, employees will have a monthly examination and turn in a completed TWCC-73 Form to APD HR.
 - 3. If the employee has not returned to full duty within 1,040 work hours after the injury, the employee shall be evaluated by their physician to determine the prognosis for return to full duty. The Department may request an independent examination by a physician that it selects.
 - a. If it is determined that the employee will most likely be unable to return to full duty status within a reasonable period of time (six [6] months or less), then employment with the Austin Police Department may be terminated.
 - b. If it is determined that the employee will most likely be able to return to full duty within a reasonable period of time (six [6] months or less), the employee:
 - (i) May continue on leave, if requested and approved, up to a maximum of 1,040 work hours, or
 - (ii) May return to work in a limited duty capacity, if an assignment is available.
 - 4. In any event, if the employee is not able to return to full duty within 2,080 work hours of the date of the off-duty injury or illness, employment with the Austin Police Department shall be terminated.

.05 Limited Duty Assignment

- A. Employees authorized by their doctor to return to work from either an on-duty or off-duty illness/injury, with limitations and restrictions specified in writing, may be placed on limited duty status only with the approval of their commander/division manager.
- B. The Chief of Police has the ultimate authority to determine whether it is in the best interest of the Department to place an employee on limited duty status, and if so, what position within the department.

- C. If no assignment meeting the specified limitations is available, the employee will remain on approved leave as specified in the previous section, .03 Leave Specifications
- D. If a limited duty assignment is approved, the employee will be given written confirmation of the assignment, including the length of the assignment:
 - 1. By the commander/manager if the assignment is for five (5) consecutive workdays or less.
 - 2. By APD HR if the assignment is for more than five (5) consecutive work days.
- E. While on limited duty, employees will have a monthly examination and turn in a completed TWCC-73 form to APD HR.
- F. An employee may remain on limited duty status for no more than a cumulative total of 1,040 hours (sworn and non-sworn).
 - 1. If an employee's physician determines that they cannot return to full duty at this time, every effort will be made to locate suitable alternate placement within the Department.
 - a. On the job injury/illness – If alternative placement within the Department is not successful, the employee will be referred to the City of Austin Return to Work Program. If placement through this program is not successful, employment shall be terminated.
 - b. Off the job injury/illness – If alternative placement within the Department is not successful, employment shall be terminated.
 - 2. Civil Service Employees only: If a sworn employee's physician determines that they cannot return to full duty after a cumulative total of 1,040 hours of limited duty, the employee may request an extended limited duty assignment as provided for in Section .06.
- G. Promotion of Civil Service Employees: Provided that the Chief of Police does not have a valid reason for a promotional bypass, officers that are on limited duty status are eligible for promotion under the following circumstances:
 - 1. The officer obtains a release to full duty from their personal physician or the Department's physician prior to the effective date of the promotion, or;
 - 2. An extended limited duty assignment, as described in Section .06, is available in the rank in which the promotional vacancy exists.

.06 Extended Limited Duty Assignments (This section applies only to non-probationary, civil service employees.)

There is no constitutional or statutory entitlement to a limited duty assignment. The Chief of Police has created this policy in recognition of the fact that in many instances,

an injured officer may still make a significant contribution to the Department's mission. This policy is not intended to create a permanent limited duty career path, but rather, to provide an injured officer with a temporary position with the understanding and expectation that they will return to full duty at some future date.

- A. An officer who has suffered an on-duty or off-duty injury or illness, and who has been on limited duty status a cumulative total in excess of 1040 hours, may be placed on extended limited duty as provided for in this policy only with the approval of the Chief of Police or an Assistant Chief of Police.
- B. No less than thirty (30) days before the expiration of a cumulative total of 1040 hours of limited duty, the officer's physician must submit a written report to APD HR stating whether or not the officer will be able to return to full duty. If the officer's physician determines that they will not be able to return to full duty at that time, the officer may, within ten (10) days of the expiration of the 1040 hours, submit a written request for an extended limited duty assignment to APD HR.
- C. Based upon the needs of the Department, and in order to effectively and efficiently fulfill its public mission, the Chief of Police will designate ten (10) full-time assignments as extended limited duty assignments.
 - 1. The Chief of Police has the authority to deny an officer placement in an extended limited duty assignment if he determines that placement in one of the designated assignments is not in the best interests of the Department.
 - 2. The Chief of Police has the discretion and authority to shift these assignments within the organization in order to meet the needs of the Department.
 - 3. Two of the essential job functions of every Austin Police Officer include the ability to make a forcible arrest and qualify with a firearm. For the purposes of these extended limited duty positions, these specific essential functions are being waived provided that the officer obtains an exemption from TCLEOSE waiving any state mandated requirements for certification that the officer cannot comply with due to their injury or illness. A copy of the exemption must be on file with APD.
- D. Due to the limited number of extended limited duty assignments; preference shall be given to job-related injuries or illnesses. If two sworn employees request an extended limited duty assignment but there is only one position available, the following criteria will be used to determine which officer is selected for the position:**
 - 1. An officer that suffers an on-duty injury or illness shall have preference over an officer that suffers an injury or illness that is not duty related.
 - a. Officers who suffer a non-duty related injury or illness might be placed in an extended limited duty assignment provided there is a vacant position. However, since this policy gives preference to duty related injuries or illnesses, an officer that occupies an

extended limited duty assignment as the result of a non-duty related injury or illness may be bumped from that position by an officer that has suffered a duty related injury or illness.

- b. In the event that an officer is bumped in accordance with subsection (a), within ninety (90) days after receiving notice of the intent to bump, the officer must:
 - (i) Return to full duty, or;
 - (ii) Locate and be placed in another extended limited duty assignment, if one is available, or;
 - (iii) Locate and be placed in suitable alternate placement within the Department, or;
 - (iv) If alternate placement within the Department or the City is not successful, employment shall be terminated.

2. Officers with a Qualifying Disability:

- a. If a condition qualifies as a disability under state or federal law, the officer with the qualifying disability shall have priority in the selection process provided that they can perform the essential functions of the extended limited duty assignment and the Chief of Police determines that it is in the best interests of the Department to place the officer in that assignment.
- b. When two or more officers seek placement in an extended limited duty assignment and both conditions qualify as a disability, and then the Chief of Police shall decide which officer shall be selected. In making his decision, the Chief may consider several factors, including but not limited to: seniority, disciplinary history, performance evaluations, commendations, and any special qualifications, training, or experience that an officer possesses that makes their selection in the best interests of the Department
- c. An officer claiming to have a qualifying disability must submit sufficient, supporting medical documentation from their physician in order to have priority in the selection process.

3. Non-Qualifying Disability:

- a. When two or more officers seek placement in an extended

limited duty assignment and neither condition qualifies as a disability, then the Chief of Police shall decide which officer shall be selected. In making his decision, the Chief may consider several factors, including but not limited to: seniority, disciplinary history, performance evaluations, commendations, and any special qualifications, training, or experience that an officer possesses that makes their selection in the best interests of the Department.

4. If an extended limited duty assignment is not available in the officer's current civil service rank, the officer may accept a voluntary demotion to a rank that has an extended limited duty assignment available. If the officer refuses to accept a voluntary demotion, the Chief of Police may recommend an involuntary demotion to the Civil Service Commission. If the Civil Service Commission does not approve the demotion, that decision does not prevent the Chief of Police from taking any other action that he deems is in the best interests of the Department, up to and including termination of the officer.

E. If an officer suffers an on-duty or off-duty injury or illness which renders them unable to return to full duty at that time, and all extended limited duty assignments have been filled in accordance with this policy, every effort will be made to locate suitable alternate placement within the Department. If alternative placement within the Department is not successful, officers who have suffered a job related injury or illness will be referred to the City of Austin Return to Work Program. If placement through this program is not successful, employment shall be terminated.

F. The ten (10) extended limited duty assignments are to be filled by full time civil service employees with the understanding that an employee currently occupying one of the ten designated positions may be "bumped" from the position should a situation arise that warrants placing an injured/ill officer in the designated extended limited duty assignment. No employee, civil service or otherwise, has a property right in a particular assignment unless their contract of employment, if any, specifies otherwise.

1. In the event that an officer is bumped, there will be no reduction in base salary or benefits; however, specialized assignment pay, such as shift differential, may be discontinued. Every effort will be made to place the bumped officer in a position of similar responsibilities and duties; however, the Chief of Police has the authority to make personnel assignments based upon the best interests and needs of the Department.

2. If the position from which the officer was bumped becomes open and there is no other sworn employee that qualifies for an extended limited duty assignment, the bumped officer may request a transfer back to their original position with the understanding that they may again be bumped in the future.

G. While on extended limited duty, officers are required to have a yearly medical examination by their own physician in order to determine whether the officer is physically

or mentally capable of returning to full duty. A report from the officer's physician must be submitted to the Chief of Police. If the Chief of Police questions the report, he may require the officer to submit to a medical examination by a physician selected by the Department. In the event that the evaluation by the Department's physician is in conflict with the evaluation conducted by the officer's physician, the Department and the officer shall agree on an independent physician who will conduct a third evaluation. The results of the independent evaluation shall determine the issue. If the officer and the Department fail to agree on the selection of an independent third physician, then the opinion of the Department's physician shall be determinative.

1. The Chief of Police has the authority to require an independent medical examination at any time by a physician of the Department's choosing if a question arises as to whether the officer is sufficiently physically or mentally fit to return to full duty.

H. Although extended limited duty assignments have no specified time limit, the Chief of Police retains the right to impose one at any time. An officer's placement in an extended limited duty assignment is intended to be temporary in nature, not permanent.

I. Extended limited duty assignments are a privilege, not a right or entitlement. As such, the Chief of Police has the authority to discontinue or amend any part of this policy at any time, when he determines that it is in the best interests of the Department to do so. In the event that the Chief of Police should rescind or amend this policy, officers who occupy one of the designated extended limited duty assignments must obtain a release to full duty from their physician within ninety (90) days of the date they are notified that their assignment is to be eliminated.

1. If any or all of these positions are eliminated, and an officer is unable to return to full duty within ninety (90) days, every effort will be made to locate suitable alternate placement within the Department. If alternative placement within the Department is not successful, officers who have suffered a job related injury or illness will be referred to the City of Austin Return to Work Program. If placement through this program is not successful, employment shall be terminated.

J. The availability of an extended limited duty assignment does not affect an officer's entitlement to a paid leave of absence for an injury or illness that is sustained in the line of duty pursuant to Texas Local Government Code Section 143.073, or any other form of leave that the officer may be entitled to under Chapter B of the City of Austin Personnel Policies, and state or federal law. (e.g. Family and Medical Leave Act).

K. Promotions While on Extended Limited Duty:

1. Provided that the Chief of Police does not have a valid reason for a promotional bypass, an officer who is on extended limited duty status will be promoted under the following circumstances:

- a. The officer receives a release to full duty by their personal physician or the Department physician prior to the effective date of the promotion, or;
 - b. An extended limited duty assignment is available in the rank in which the promotional vacancy exists.
- L. Officers on extended limited duty status will not be permitted to wear their APD uniform while performing their duties. Officers on extended limited duty status will receive the standard clothing allowance as established by the Meet and Confer Contract.
- M. All officers on extended limited duty status shall turn in a completed TWCC-73 form to APD HR.
- N. Non-probationary, sworn employees who have been on limited duty status in excess of a cumulative total of 1040 hours as of the effective date of this General Order, may be “grandfathered” in the same or similar positions they currently hold, and may remain on extended limited duty status pursuant to the provisions of this policy at the discretion of the Chief of Police. The ten (10) extended limited duty positions created by this policy does not include any grandfathered positions.

.07 Physical Therapy/Doctor Appointments

While on limited or extended limited duty status, it may be necessary for the employee to schedule doctor’s appointments or attend physical therapy sessions deemed necessary by the attending physician.

- A. Every effort will be made to accommodate the employee in this regard; however, the employee has a responsibility, inasmuch as is possible, to schedule such appointments so that they cause the least disruption to their work assignment.
 - B. For an on-duty injury/illness, the employee will be granted time as needed for treatments and doctors visits (this time will be counted as part of the 2,080 work hours cumulative total injury leave).
 - C. For off-duty injury/illness, the employee will be charged leave to attend physical therapy and/or doctors’ visits.

.08 Restrictions While on Illness/Injury Leave, Limited Duty Status, or Extended Limited Duty Status


Due to their inability to perform all of the essential functions of their jobs, it is in the best interests of the Department and the community that officers on illness/injury leave, limited duty status, or extended limited duty status do not engage in conduct that could possibly hinder their recovery or could jeopardize the safety and well being of the officer or a member of the public. While on limited duty status, extended limited duty status, or injury/illness leave of absence employees will not:

- A. Participate in any activities that could possibly hinder their recovery (specifically, but not limited to: strenuous athletic activity, and departmental overtime except for overtime that has been approved by their immediate supervisor and which is specifically related to the limited/extended limited duty assignment.
- B. Work any secondary employment that is conditioned on the actual or potential use of law enforcement powers;
- C. Take law enforcement actions or make arrests;
- D. Carry a firearm or other Department approved weapon while on-duty. Officers on limited duty, extended limited duty, or injury/illness leave, may carry a concealed weapon as a private citizen while off-duty for their personal protection or the protection of another, but they may not use the weapon as a peace officer enforcing the law;
- E. Drive a City-owned vehicle without supervisory approval;
- F. Wear a Department uniform;
- G. Display their police badge or identification card, both on or off-duty, in a manner that may identify themselves as a police officer. This provision is not intended to nor does it supercede the requirement that all Department employees must display their Department issued identification while on Department premises.

.09 Disciplinary Action

A violation of this policy may result in disciplinary action, up to and including termination or indefinite suspension.

Appendix X

	AUSTIN POLICE DEPARTMENT GENERAL ORDERS, POLICIES, AND PROCEDURES	A405
	Part A - General Policies and Procedures	
	Chapter 4 – Personnel and Benefits Administration	

A405 - Employee Support Systems

This policy describes support systems for employees involved in on-duty or off-duty critical incidents. In some critical incidents, the employee's family may also be provided assistance.

.01 Critical Incidents Defined

For the purpose of this policy, a critical incident is defined as an event in which an employee:

- A. Is injured and hospitalized while performing a law enforcement function,
- B. Causes the death or serious injury of another person, or
- C. Is traumatized due to feeling responsible for a tragedy while at the same time being helpless to prevent the tragedy.

.02 Assignment of a Support Partner

The on-duty area field lieutenant or manager of an employee involved in a critical incident will assign another employee to function as a support partner. The support partner will remain available to the involved employee until they are escorted home.

- A. When possible, the support partner will be chosen by the employee involved.
- B. The support partner will attempt to provide emotional support and needed assistance to the employee involved.
- C. The support partner will not be involved in the investigation, nor act as a spokesperson for the employee involved.
- D. The support partner's work schedule may be adjusted to accomplish this service.

.03 Peer Support Program

- A. The peer support program coordinator will be notified by APD Communications anytime there is a critical incident involving an APD employee. If requested by the on-scene supervisor, the peer support coordinator may respond to assist as needed or direct trained peer support employees to respond as needed.
- B. The Duty Commander may contact the peer support coordinator anytime the commander deems necessary to support an employee or the employee's family.
- C. If an employee involved in a critical incident does not choose a support partner, a trained peer support employee will be designated by the on-scene supervisor as the support partner for the involved employee.

.04 Assignment of a Hospital Guard

The lieutenant of a hospitalized employee or the duty commander may assign an officer as a hospital guard if the employee requests one or there is reason to believe that reprisals might be planned against the injured employee.

- A. The work schedule of the officer performing guard duty may be adjusted to accomplish this service.
- B. Shifts for officers serving as hospital guards will not exceed four (4) hours.

.05 Transportation of Family Members to Hospital

When an employee is hospitalized for an on-duty injury, a supervisor may assign another employee to transport the injured employee's family members to the hospital.

.06 Debriefing with the Department Psychologist

- A. Within 24 hours after a critical incident, the commander of the officer involved in the critical incident will ensure the Department psychologist is notified. The Department psychologist will conduct a debriefing session within 72 hours of the incident. The employee's immediate family may be included in the debriefing session. The purposes of the debriefing are:
 - 1. To inform the employee and their immediate family of the normal symptoms and reactions associated with critical incidents and allow them to express their feelings; and

2. To provide support and guidance to the employee and their immediate family in relation to dealing with the psychological after-effects of the incident.
- B. The debriefing is not related to any departmental investigation of the incident and nothing discussed in the debriefing will be reported to the investigators. By state law (Article 5561h, Vernon's Civil Statutes) and departmental policy, the contents of the debriefing session will remain confidential.


.07 Legal Debriefing

Should an employee be sued for civil liability resulting from a critical incident, a City attorney or other qualified attorney will brief the employee. The briefing will include an overview of the procedures in liability suits, and a summary of the outcome of similar suits in Austin.

.08 Work Assignments while on Administrative Duty

When an employee is placed on administrative duty pending an investigation of a critical incident, the employee's division commander/manager will work with the bureau's assistant chief to assign the employee to duties which serve the Department's needs and best use the employee's skills and experience.

Appendix XI

	AUSTIN POLICE DEPARTMENT	A408b
	GENERAL ORDERS, POLICIES, AND PROCEDURES	
	Part A – General Policies and Procedures	
	Chapter 4 – Personnel and Benefits Administration	

A408b – Alcohol Abuse and Treatment

The Austin Police Department recognizes alcoholism as an illness which can be effectively treated. Early recognition of alcohol abuse and problem drinking increases the chances for successful recovery before serious personal or professional problems occur.

.01 The Problem

- A. Drinking alcohol by adults is a widely practiced social activity which does not violate any law and is often considered a natural part of participating in group recreational activities. As a result, there is more social pressure to drink than to be disciplined in drinking.
- B. Because of its short-term numbing effects, alcohol is also used to relax and to manage mental stress and emotional pain. As a result, people can develop a dependence on alcohol to relax or to avoid the discomfort of stressful living.

.02 Identification of Problem Drinking

- A. When a person's drinking interferes with his/her work responsibilities and/or personal life, he/she should be encouraged to seek professional assistance. This would be to assess the nature of the drinking habit and to begin practicing the discipline of moderate drinking or abstention.
- B. Some of the early signs of problem drinking include, but are not limited to:
 - 1. Poor attendance at work;
 - 2. Off-duty disturbances involving alcohol;

3. Increased social drinking;
4. Friends or family suggesting to reduce drinking;
5. Looking forward to drinking at certain times or the day or week;
6. A reliance on alcohol to relax or socialize more comfortably.

.03 Available Assistance and Confidentiality

- A. Employees can obtain assistance from:
 1. Austin Police Department employees who are recovering alcoholics.
 2. APD Psychological Services staff members.
 3. City of Austin Employee Assistance Program.
 4. Private treatment programs.
- B. All professional counselors, both within the Department and in private practice, are ethically required to protect the names of people who are receiving voluntary treatment.
- C. Employees who are referred by supervisors for treatment as part of a disciplinary process or because of off-duty incidents will not have confidentiality because of the Department's responsibility to follow-up on problem behavior.

.04 Referral for Assessment and Treatment

- A. Employees who suspect they have a drinking problem can contact the resources listed in section .03 of this policy.
1. It is recommended to obtain a professional assessment offered by outside treatment centers and to follow their recommendations for preventive education, group training, or inpatient treatment.
 - B. Employees who are identified by supervisors because of disciplinary problems or off-duty incidents will be referred to the Department Psychological Services Unit which will coordinate the assessment and treatment program with the outside professional treatment center.
 1. Upon completion of the recommended treatment program, the treatment staff will write a letter confirming that the employee has completed the recommended treatment. That letter will be forwarded through Psychological Services to the employee's chain-of-command.

.05 Treatment Follow-up

- A. To prevent relapses into problem drinking, it is often useful to establish new support networks such as joining an Alcoholics Anonymous group, obtaining a sponsor, or meeting regularly with other recovering problem drinkers. In some cases, the treatment center staff will recommend random urine testing to reinforce the habit of not drinking.
 - B. The Department will expect employees with drinking problems to complete whatever treatment follow-up is recommended by the outside treatment center staff.
1. In cases where the employee is referred by a supervisor for problem drinking, completion of the follow-up program will be documented by the treatment center staff and sent to the employee's supervisor.


.06 Supervisor Responsibilities

- A. Supervisors are expected to be alert to signs that an employee may have a drinking problem. The supervisor will review the problem behavior with the employee, encourage the employee to seek voluntary assistance, and make a mandatory referral for professional assessment when appropriate.
- B. Scheduling arrangements should be made for the employee to utilize accrued sick leave or personal leave to obtain assistance.
- C. Supervisors should avoid accepting chronic excuses for problem drinking.

.07 Employee Responsibilities

- A. Employees should recognize a drinking problem exists when their personal attendance, job performance, off-duty behavior, or general conduct falls below normal professional standards.
- B. Employees are expected to perform their jobs in a consistently professional manner regardless of whether they have an untreated drinking problem, or are receiving treatment, or have successfully mastered their drinking problem.

Appendix XII

	AUSTIN POLICE DEPARTMENT GENERAL ORDERS, POLICIES, AND PROCEDURES	B103a
	Part B – Enforcement Operations	
	Chapter 1 – Critical Policies	

B103a – Pursuit Policy

This order is for departmental use only and does not apply in any other criminal or civil proceeding. It should not be construed as a creation of a higher standard of safety or care in an evidentiary sense with respect to third party claims. Violation of these procedures will only form a basis for departmental administrative action.

.01 General Policies

Pursuits are an active attempt by an officer in a motor vehicle to apprehend one or more occupants of another moving motor vehicle, where the driver of the fleeing vehicle is aware of the attempt and is resisting apprehension. Pursuits present a danger to the lives of officers, the fleeing suspects, and the general public.

- A. An officer involved in a pursuit is driving an "authorized emergency vehicle" and the law statutorily imposes a standard of care upon the driver.
- B. The officer has the duty to drive with due regard for the safety of all persons using the roadway.
- C. A pursuit will only be initiated when the officer has balanced this risk to the public with their duty to enforce the law and determines that pursuit is appropriate. If a pursuit is initiated, and the officer or the control supervisor determines that the balance has changed during the pursuit, the pursuit will be terminated.

.02 Restrictions on Pursuits

Officers will not engage in pursuits under any of the following circumstances:

- A. The officer is operating a vehicle not equipped with operable emergency lights and siren;
- B. The suspect evades after having committed only:

1. Any Class C offense, including traffic; and/or
 2. A non-hazardous traffic violation, regardless of the class of offense.
- C. The suspect is committing, or has committed, a misdemeanor only other than suspected DWI/DUI, and their identity is known to the officer
- D. The officer has a prisoner, witness, suspect, complainant, or other non-police passenger who has not signed a liability release in the vehicle at the time;
- E. The road surface is wet or otherwise slippery, unless the violator has committed a felony involving violence; and then **only** when all considerations for safety have been taken into account and the pursuit is still deemed reasonable.

.03 Considerations Before Pursuit

Before making the decision to pursue, an officer should consider the:

- A. Nature of the offense;
- B. Performance capability of the pursuit vehicle;
- C. Condition of the road surface;
- D. Amount of vehicular and pedestrian traffic;
- E. Weather conditions;
- F. Age of the offender and/or whether the identity is known;
- G. Direction of travel away from or toward traffic.
- H. Capabilities of the department vehicle being operated.

.04 Pursuit Procedures

The following procedures will apply in all pursuits:

- A. The officer initiating a pursuit shall broadcast the fact as soon as possible and make every effort to broadcast the following information:
 1. Reason for the pursuit;
 2. Location of the pursuit;
 3. Direction of travel and rate of speed;
 4. Description and license plate of the fleeing vehicle;
 5. Description of the occupants of the vehicle; and
 6. Evasive actions being used, such as running without headlights, intentional collisions, driving on the wrong side of the roadway, etc.
- B. Designation of Control

A control supervisor will be designated in all pursuits.

1. The immediate supervisor of the officer who originated the pursuit will normally be designated as control supervisor.
2. If the immediate supervisor is unavailable for any reason, and no supervisor volunteers as control supervisor, the Communication's dispatcher will designate the nearest available field supervisor as control supervisor.
3. Any supervisor who becomes involved or engaged in the pursuit is immediately to assume control supervisor responsibilities for that pursuit.
4. The control supervisor will acknowledge the pursuit on the radio.
5. Only supervisors the rank of Sergeant or above will be designated as a pursuit's control supervisor. At no time will a Corporal be a pursuit's control supervisor.

C. Termination

1. Any officer involved in or monitoring a pursuit may terminate the pursuit if they believe the pursuit is unsafe. The officer will advise "terminate" over the radio and the pursuit will be terminated.
2. Communications will broadcast a citywide alert tone and advise the pursuit has been terminated. All units will cease any pursuit functions at that time.
3. In making the decision terminate a pursuit, the supervisors and officers are to continue to evaluate the criteria outlined in *.03 Considerations Before Pursuit* in order to evaluate if the dangers posed by any high speeds of the involved vehicles are still justified and whether the need to continue pursuit outweigh these risks.
4. Pursuing officers and the control supervisor should discontinue pursuit when the violator is clearly leaving the officers behind, or when the pursuing officer loses radio contact with the dispatcher or control supervisor.
5. When an officer becomes aware their vehicle has developed a mechanical malfunction, they will discontinue the pursuit. This includes, but is not limited to:
 - a. Any engine warning light activates on the dash (e.g., brake, ABS, or check engine lights);
 - b. Audible warning tones;

or c. Physical damage that affects the performance, maneuverability, functioning of the vehicle.

6. Upon termination of a pursuit, all units (other than any who are specifically designated by the control supervisor to investigate associated collisions, complete arrest reports, etc.) will go back into service and return to their normal assignments.

D. Authorized Pursuits

1. Officers will operate their vehicles at Code 3 when involved in a pursuit. Pursuing officers will ensure their vehicle's Mobile Video Recording system has been activated if the vehicle is equipped.
2. Only the primary pursuit vehicle (the officer who initiated the pursuit), one backup vehicle and the control supervisor are authorized. Absolutely no other vehicles may join a pursuit without specific approval from the control supervisor.
3. An officer engaged in a pursuit need not maintain a constant view of the escaping offender, but the pursuit must be constant and continuous, without unreasonable delay.
4. Field lieutenants are not authorized to join the pursuit or operate Code 3 unless they are the control supervisor.
5. Officers not directly involved in the pursuit should monitor the pursuit to remain aware of its location and direction of travel, and may proceed **Code I** to appropriate locations to assist as needed.

E. Use of APD Air Support Unit

1. The communications supervisor should ensure that Air Support is requested during all vehicle pursuits.
2. Once on scene, the Tactical Flight Officer may recommend the primary and secondary units to fall back and follow at a distance to allow the Air Unit to track the suspect. Upon approval by the control supervisor those units will fall back and assist the Tactical Flight Officer in calling direction and street names.
3. Once a vehicle pursuit has been terminated, the Tactical Flight Officer may request permission, from the control supervisor, to allow the Air Unit to track the suspect. If permission is granted to track, the Air Unit will advise location and any pertinent information relative to the safety of the public. If the control supervisor denies permission to track, the Air

Unit will break off all contact with the suspect immediately and go in-service.

4. If the Air Unit determines, in the interest of safety, that it can no longer assist or continue tracking the suspect, the Air Unit shall discontinue its role and notify the control supervisor.

F. Secondary Unit Responsibilities

1. In order for the primary officer to concentrate on safely operating their vehicle and successfully apprehending the suspect, the secondary unit shall assume responsibility for constant and clear communication of:

- a. Pursuit location, direction of travel, and speed of pursuit;
- b. Traffic violations committed by suspect;
- c. Damage to property and/or vehicles;
- d. Other actions perceived to have caused injury/damage;
- e. Changes in weather, road, or traffic conditions;
- f. If the pursuit is leaving the Austin jurisdiction.

2. The secondary unit shall serve as backup officer at the pursuit's end, and assist with securing any subject(s) apprehended and/or evidence recovered.

G. Reporting Procedures

1. Primary Officer

- a. Submit a detailed incident report;
- b. Submit the MVR tape as evidence.

2. Secondary Officer

- a. Submit a supplement report to the original incident report;
- b. Submit the MVR tape as evidence.

3. Any other officer who has been involved during the course of a pursuit will submit a detailed supplement to the original incident report and their MVR tape.

4. Control Supervisor

- a. Assemble an Officer-Involved Pursuit Packet containing:
 - (i) Supervisor's supplement report to original incident report;
 - (ii) Pursuit Log;
 - (iii) Incident & supplement reports from all involved officers;
 - (iv) CAD call history;
 - (v) Crash report and diagram (if applicable);
 - b. Request copies of all audiotapes and/or videotapes of the pursuit.
 - c. Submit completed packet to the on-duty lieutenant of the area in which the pursuit originated.
- command

H. Review Process

- 1. Upon receiving the Officer-Involved Pursuit Packet and obtaining copies MVR tape(s) the area lieutenant will:
 - a. Review the information contained in the packet and on the MVR tape(s).
 - b. Prepare a critique memorandum which provides the following information:
 - (i) A brief synopsis of the pursuit;
 - (ii) Identity of the control supervisor;
 - (iii) Location (start and end);
 - (iv) Time (start and end);
 - (v) Elapsed time;
 - (vi) Weather and traffic conditions;
 - (vii) Policy compliance/non-compliance;
 - (viii) Arrests and charges filed;
 - (ix) Conclusions regarding the pursuit.
 - c. Forward the Officer-Involved Pursuit Packet, the MVR tape and the critique memo to the initiating officer's commander.
- of the

- d. Forward a copy of the pursuit packet and the critique memo (without the MVR tape), to the commander(s) of other officer(s) involved in the pursuit.
2. After reviewing the pursuit packet and related documentation the initiating officer's commander will ensure they are forwarded to the Vehicular Homicide Unit for retention.
3. The Vehicular Homicide Unit will forward pursuit packets to the Chairman of the Force Review Board when the pursuit resulted in death or serious bodily injury. Following the Board's review, the packet will be returned to the Vehicular Homicide Unit.

.05 Tactical Considerations

- A. No shots will be fired at the vehicle being pursued except in defense of life.
- B. Police vehicles will not be used to ram, bump, push, collide with, or physically force a pursued vehicle off the roadway or to a stop, or to otherwise change its direction of travel or alter its speed, unless the use of deadly force would be justified.

The pretense (i.e., bluff) of the use of such methods is also prohibited.
- C. Roadblocks will not be set up. Be cautious of roadblocks set up by other agencies.
- D. The driver of an emergency vehicle has the obligation to drive with due regard for the safety of all persons, motorists and property.
- E. At no time will officers pursue the wrong way on a freeway, freeway service road, or divided roadway service road, or with total disregard for all traffic and/or legal restrictions. Officers should parallel the violator using a service road or freeway to continue the pursuit.
- F. Officers should maintain a safe distance behind the fleeing vehicle, thus allowing for sudden stops, changes in direction or unexpected obstacles.
- G. Any motorcycles and/or unmarked units (including supervisors) will discontinue pursuit once marked units become engaged in the pursuit.

.06 Pursuit Communications

- A. At the beginning of a pursuit, Communications will broadcast an alert tone citywide to inform officers that a pursuit is in progress.
- B. The channel on which the pursuit is originated will be designated as the primary channel for the pursuit. The primary unit, backup unit, and control supervisor should have exclusive use of that frequency.
- C. As quickly as possible after a pursuit is initiated, the dispatcher shall notify the communications supervisor and the area field lieutenant from the area in which the pursuit originated that a pursuit is in progress. Should the area field lieutenant be unavailable, or does not respond within a timely manner, the lieutenant from an adjacent area will be contacted.
- D. Dispatchers will keep other sectors advised if the pursuit is likely to enter or cross another sector. Units monitoring or actively involved in the pursuit will remain on the primary channel to avoid confusion between the pursuing officers, dispatchers, and the control supervisor.
- E. Officers driving units equipped with tire deflation devices shall monitor the radio channel, which is handling the pursuit until such time as the pursuit is terminated.
- F. Upon verbal confirmation that a pursuit has been terminated, Communications will again broadcast the designated alert tone, signifying the pursuit has been terminated. At this time all police units will cease all pursuit activity.

.07 Deployments of Tire Deflation Devices

- A. All tire deflation devices (TDD) will be stored in designated vehicles.
- B. Officers who are driving units equipped with a TDD and who have received training in the deployment of these devices may proceed, Code 3, to a location likely to be in the path of the pursuit.
- C. Due to increased risks to humans and property, the type of vehicle being pursued must be considered prior to the deployment of the TDD.
 - 1. TDD's should not be used on motorcycles or all-terrain vehicles unless the use of deadly force can be justified.
 - 2. Vehicles transporting hazardous materials, and occupied passenger and school buses also involve additional risks requiring further consideration prior to deployment.
- 3. TDD's will not be used when a motorcycle unit from any law enforcement agency is involved.

- D. TDD units shall advise Communications when they have reached the deployment site, and give its location.
- E. After a deployment site has been established, the control supervisor may authorize other units to "channel" the fleeing vehicle to this location.
 - 1. Channeling may include blocking freeway exits and/or major side streets.
 - 2. Police units shall not attempt to make a fleeing vehicle take any action other than continuing straight on the road upon which it is already traveling.
 - 3. Police units SHALL activate all vehicle emergency lighting while blocking exits or streets.
- F. The pursuing officer(s) shall broadcast the identity of the target vehicle to the TDD unit when the pursuit approaches the deployment site.
 - 1. The target vehicle should be visually confirmed to reduce errors in deployment.
 - 2. All pursuing units should maintain at least a three to five second gap between target vehicle to allow sufficient time for the set up and retrieval of the TDD.
 - 3. Pursuing vehicles proceed cautiously upon approaching and crossing the TDD site. Actions by a fleeing vehicle may be unpredictable.
- G. No officer shall deploy or attempt to deploy a TDD without first having completed Department-approved training on its use.

.08 Pursuits Initiated by Other Law Enforcement Agencies

- A. When a pursuit begins within another agency's primary geographical jurisdiction and passes into or ends within APD's primary geographical jurisdiction, the originating agency will have arrest responsibility. Any offense that occurs within APD's jurisdiction from a pursuit that began in another jurisdiction will be investigated by APD officers and charges coordinated with the pursuing agency.
- B. Communications will notify the patrol supervisor of the area involved, or into which the pursuit is entering, that another agency's pursuit is in progress, and will provide the following information:
 - 1. Identity of the outside agency requesting assistance;
 - 2. Reason for the pursuit;
 - 3. Direction of travel;
 - 4. Rate of speed;

5. Description of vehicle and occupants;
 6. Current number of outside agency units involved.
- C. The supervisor receiving the above information may assign one or more units to assist.
1. Supervisors who authorize APD units to assist the other agency will then assume the role of control supervisor for **APD units only**.
 2. Officers authorized by the control supervisor to assist in the other agencies pursuit will comply with all provisions of this policy.
- D. The control supervisor may terminate APD involvement in the other agencies pursuit for the same reasons as outlined in .04, D., or when the pursuit leaves APD's primary geographical jurisdiction.

.09 Supervisors Involved in a Pursuit


The following rules are intended to maintain control of a pursuit initiated by a supervisor or a pursuit in which a control supervisor becomes involved.

- A. Designation of Control
1. When a supervisor initiates a pursuit, another supervisor working in the same sector should acknowledge the pursuit over the radio and be designated as the control supervisor.
 - a. If a supervisor in the same sector is unavailable, and no supervisor volunteers as control supervisor, Communications will designate the nearest available field supervisor as control supervisor.
 - b. Acknowledgement by the appointed control supervisor must be made by radio.
 2. The supervisor who initiates the pursuit may continue pursuing the suspect vehicle until such time as patrol units are able to assist, or the pursuit is terminated.
 - a. As authorized patrol units engage the pursuit, the initiating supervisor will allow those units to take up the first and subsequent positions behind the suspect vehicle and call the pursuit.
 - b. The initiating supervisor will move to the last position behind the authorized units and assume the role of Control Supervisor.

3. Once the initiating supervisor is in a position to assume the role of control supervisor, they will advise Communications by radio that they are now control supervisor. The previously designated control supervisor will then be relieved of that duty.
4. The supervisor acting as control supervisor at the conclusion of the pursuit will complete all appropriate paperwork.
 - a. Any other supervisor who acted as control supervisor, or became involved in a supervisory capacity at any time during the pursuit, will write a supplement documenting their involvement.

Appendix XIII

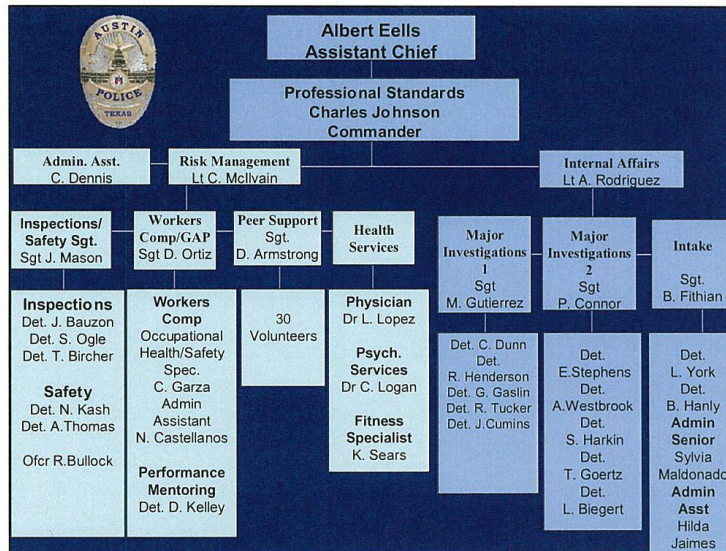
Risk Management



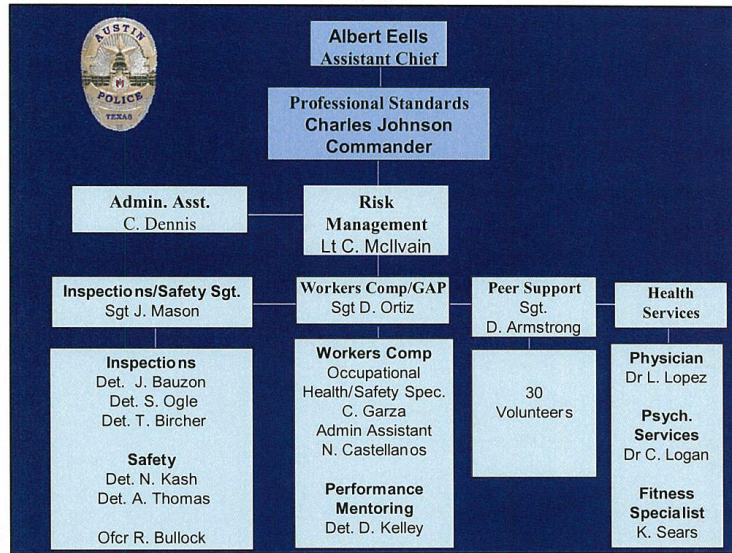
Austin Police Department

Professional Standards Division

Risk Management



Appendix XIII



Risk Management

Risk Prevention


Sergeant David Ortiz

Appendix XIII

Risk Management

Worker's Compensation

- APD Worker's Compensation office
 - Dept.'s Workers' Compensation Rep. is Christina Garza
- Ensures all required forms are filled out properly and filed within the time limit required by law
- Tracks leave time used for On-duty and Off-duty injuries
- Assists employees with claims and income benefits through the city's Third Party Administrator, JI Specialties
- Monitors medical treatment employees receive due to an on-duty injury
- Monitors APD's Return to Work program



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Risk Management

GAP

- **Notifies supervisors when an officer has exceeded a threshold for one of three categories for GAP**
- The following categories are tracked for GAP:
 - Sick Leave
More than 160 hours in a 12 month period
 - Complaints Received by Internal Affairs
Three or more complaints received in a 12 month period
 - Response to Resistance
 - **Specialized and Decentralized Detectives - Two (2) or more incidents in a 12 month period**
 - **Patrol, District Reps, Metro-Tac, OCD - Six (6) or more incidents in a 12 month period**


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Risk Management

Performance Mentoring

- **Alternative Discipline**
 - Assists the chain-of-command to ensure the employee schedules and attends required training, counseling, or any other requirement stipulated as alternative discipline.



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Risk Management

Inspections/Safety

Sergeant James Mason


Appendix XIII

Risk Management

Inspections/Safety Team

- Inspection/Safety Unit consists of one Sergeant, three Inspection Detectives and two Safety Detectives. All Detectives are crossed trained to provide maximum efficiency of the unit.

WORKPLACE SAFETY INSPECTION
Door: Safe
Chair: Safe
Paperclips: Safe



"Okay... looks like we're done here!!"

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Risk Management

Inspections/Safety Team

- The Inspections Unit serves as a quality control unit and advises the Chief of Police on policy, process, and procedure issues.
 - Acting under the authority of the Chief of Police, the Inspection unit conducts staff, special, spot, and evaluation inspections to ensure compliance with the Department's stated goals and objectives.
 - Provide continuous inspection and evaluation of policies, processes and procedures to maximize departmental effectiveness while enhancing efficiency.
 - Provide continued assistance to departmental units to attain their goals and objectives in a professional manner. Discover any deficiencies in integrity, training, morale or supervision.
 - Provide recommendations to any deficiencies, policies or processes to promote efficiency for the department/unit.

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Risk Management

Inspections/Safety Team

- The Safety Unit serves in a safety capacity by reviewing and implementing safety measures and ensuring compliance with existing regulations, including but not limited to OSHA.
 - Review and provide direction on departmental safety plans and work-related accidents according to designated procedures.
 - Maintain Risk Management database and review all APD Collisions/crashes.
 - Participate on safety, technical, management teams and other team members.
 - Actively look for and promote policy and procedural changes to improve safety.



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Risk Management

Inspections/Safety Team

- The Inspection/Safety unit also serves as the Legal Liaison Unit, maintaining a close working relationship with the City of Austin Legal Department and providing any documentation necessary to assist the City Legal Department in defending the City in lawsuits filed against the Austin Police Department.
 - Assist the City of Austin's Legal Department with research regarding civil suits to which the city or its agents are a party;
 - Accept and serve subpoenas for civil service hearings or arbitrations;
 - Serve as bailiff for civil service hearings or arbitrations; and
 - Assist in completing interrogatories and requests for admissions.

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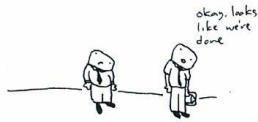
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Inspections/Safety Team

- The Inspection/Safety unit performs the function of Forms Control. Providing APD numbers for forms, place forms on the public drive and maintain an electronic warehouse for those same forms.

OFFICE SAFETY
INSPECTION

Hallway: safe
Door: safe



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Peer Support

Sergeant Dan Armstrong




Appendix XIII

Risk Management

Peer Support Program

- Peer Support
- Statement of Purpose
- Training
- Confidentiality

CONFIDENTIAL




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Risk Management

Peer Support

- Peer Support is one effective method for assisting personnel who are impacted in the aftermath of a critical incident
- Peer Support may also assist those struggling with burdens of life that sometimes overpower us!



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Risk Management

Peer Support

- **Statement of Purpose:** The Austin Police Department Peer Support unit is an employee-based program designed to mitigate the effects of personal and/or professional crises on the employees of the Austin Police Department and their families. The philosophy of the program is based upon a belief in the natural resiliency of our employees and the healing benefits of the social support available to employees within the workplace and local community. We believe that recovery from crises is best facilitated by providing our employees with colleagues who are trained to give specialized social support specific to the law enforcement profession. Further, the mission of the program includes preparation for potential difficulties through the development of pre-crisis strategies to promote the overall physical and emotional well-being of our employees and their families. The Peer Support Program is designed to augment outreach programs, e.g. Employee Assistance Program, APD Chaplain Program, Wellness, Psychological Services, but not replace them. The Peer Support Unit was formed in 2008 and is a branch of the Risk Management Division.

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Risk Management

Peer Support

- **Training**
 - Peer Support Volunteers must successfully complete an initial 40 hour block of training
 - Among the initial group of volunteers to be trained, 4-6 will be chosen and designated as “trainers” for the purpose of providing training to future volunteers
 - Volunteers will receive 4 to 20 hours of quarterly training

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Peer Support

- **Confidentiality:**

Peer Support volunteers will keep all communications with those they come in contact with in a strictly confidential manner. Except as provided below in Section D., under no circumstances will a Peer Support Volunteer divulge information to an employee's supervisors

CONFIDENTIAL

A supervisor _____ ask a Peer Support Volunteer _____ discuss or reveal information gained about an employee through a Peer Support sanctioned meeting.