

**DATE:** MAY 24, 2017  
**NUMBER:** 5.24 – HUMAN RESOURCES  
**SUBJECT:** EARLY IDENTIFICATION AND INTERVENTION SYSTEM (EIIS)  
**RELATED POLICY:** NONE  
**ORIGINATING DIVISION:** OPERATIONAL SUPPORT  
**NEW PROCEDURE:**   
**PROCEDURAL CHANGE:**  EXTENSIVE CHANGES  
**SUPERSEDES:** DP 5.24 - 06/12/2012

---

**I. PURPOSE**

The Department recognizes the need for employees to self-assess and for supervisors to monitor, identify and assist employees where work related records show the employee has been exposed to situations that may impact their wellbeing or work performance.

The San Diego Police Department’s Early Identification and Intervention System (EIIS) is a database management tool designed to identify trends that may negatively impact employee wellness before they lead to performance issues or policy violations. The goal is to intervene and offer assistance to support the values of the San Diego Police Department, including its commitment to constitutional policing and upholding lawful, professional and ethical standards.

While EIIS is not a tool for identifying misconduct or imposing discipline, the department has discretion to utilize EIIS or progressive discipline where each process is appropriate. This policy does not create an employment right for Department employees to participate in the intervention process as an alternative to the City’s progressive discipline process. Department employees remain fully accountable for complying with policy and performance standards.

The EIIS contains indicators that relate to confidential information. All data recorded and related to the EIIS are considered confidential and will not be used for performance or misconduct related discipline. The EIIS will not be accessed or used when the Department is considering promotions, transfers or requests by employees for transfer or special assignments.

## **II. SCOPE**

This procedure applies to all members of the Department.

## **III. BACKGROUND**

The Department implemented the EIIS in April 06, 2011. As explained in the United States Department of Justice, Office of Community Oriented Policing Services (COPS) report, "Early Intervention Systems for Law Enforcement Agencies: A planning and Management Guide," early intervention systems consist of four basic components: performance indicators, identification and selection process, intervention, and post-intervention monitoring. The EIIS provides systematic data analysis of certain indicators for supervisors to review, and a self-assessment tool for use by individual employees.

## **IV. DEFINITIONS**

- A. Above Average Activity - Performance Indicator activity which is greater than the simple average of Peer Group activity.
- B. Assessment or Early Intervention Assessment Report - review of various employee-related data.
- C. EIIS Unit - Trained staff in a specialized unit, who provide assistance and serve as a resource to employees involved in the EIIS process.
- D. Intervention - The process of a supervisor meeting with, coaching, or referring an employee to resources in order to encourage and reinforce good performance and wellness. An Intervention is intended to be a positive tool to assist employees in reaching a higher level of effectiveness.
- E. Intervention Plan - A plan created by the supervisor during an intervention meeting to help address the identified potential cause for an alert with an employee (e.g., offered resources, assigned training, etc.).
- F. Peer Group - a group of employees who perform substantially the same tasks during their daily work routines.
- G. Incident(s) - An incident or incidents refers to one or more instances in which an employee has an added statistic within a performance indicator.
- H. Performance Indicator - A factor tracked in EIIS that is given a numerical point value to allow for a compilation scoring. The total number of incidents will be used to compare employees within their peer group. Numerical points accumulate from the date of the current Indicator entry; time is calculated on a rolling basis.

- I. Threshold - Aggregate value of indicators that would trigger an EIIS alert.
- J. EIIS Alert Report - The automated notification made to the EIIS Unit when a threshold has been met or surpassed.
- K. Training - Training is a non-punitive tool used to assist employees to become more efficient and effective in their job performance by providing instruction. Training can be in-house or outside training, specific to the needs of the employee and the Department.
- L. Post Intervention Monitoring - Structured and timely follow-up to reassess and facilitate additional intervention needs.
- M. IAPro - A comprehensive Internal Affairs case management system that compiles and maintains the data collected in EIIS.
- N. BlueTeam - software used by IAPro that allows officers and supervisors to enter and manage officer-based incidents, such as use of force, citizen complaints, vehicle pursuits, vehicle collisions, among others, from “the field.”
- O. Status Report - A form used to document the date, time, location, and status of an intervention during a post-intervention monitoring meeting.

**V. POLICY**

NEW

- A. Performance Indicators tracked in EIIS
  - 1. Each employee’s Performance Indicator data is tabulated and compared to that of their Peer Group.
  - 2. Performance Indicator Categories

Note: Not all indicators apply to every employee, depending upon job description and function. Those indicators requiring manual entry in BlueTeam are noted with an (m):

NEW

NEW

- a. Officer Involved Shootings (m)
- b. Use of Force (m)
- c. Officer Activity
- d. High Risk Crime Reports

NEW

- e. Citizen Initiated Complaints (m)
- f. Internal Investigations
- g. Criminal Arrests
- h. Missed Shoot Qualifications (m)

NEW

- i. Missed Court (m)

NEW

- j. Collisions (m)
- k. Elevated Use of Time Off
- l. Overtime Usage
- m. Equal Employment Opportunity Complaints (EEO)
- n. Inquiry Only

NEW

- o. Supplemental Performance Report (m)

- p. Civil Litigation

NEW

- q. Canine Bites (m)

NEW

- r. Tardiness (m)

NEW

- s. Vehicle Pursuits (m)

- t. Disciplinary Action

NEW

- u. Positive Commendations (m)

B. Access Levels

- 1. Chiefs have access to all data.
- 2. Commanding Officers have access to their own command data.

NEW

- 3. Lieutenant/ Second level supervisor has access to employees under their direct supervision.

NEW

- 4. Acting Lieutenant/ Second level supervisor will not access Sergeant/Supervisor information in EIIS.

NEW

5. Sergeant/Supervisor has access to employees under direct supervision.

NEW

6. Acting Sergeant/Supervisor will only have access to their personal data.

NEW

7. Employee has access to own personal data.

8. System Administrators have access to all data.

C. The EIIS contains performance indicators that relate to confidential information. Department employees may only access EIIS in accordance with the access levels set forth above. Misuse of the EIIS, as with any other Department data system, may result in discipline.

## VI. PROCEDURES

A. Access EIIS via BlueTeam

B. Early Identification and Intervention System Indicator Alert

1. Identify - EIIS Alerts are established to identify Department employees whose performance indicators have met the criteria for an Early Intervention Assessment. The EIIS Unit will review the system to determine if any employees have surpassed the established thresholds. Also, on a monthly basis, supervisors will conduct an inspection of all employees' EIIS data.
2. Verify - The EIIS Unit will verify the threshold criteria record for an identified Department employee is accurate and not the result of a system or human error. This will occur through data research by the EIIS Administrators. The EIIS Unit will also determine if further assessment at the command level is necessary based solely upon the data and research.
3. Notify - The EIIS Alert Report for assessment and intervention will be provided to the employee's direct supervisor through their chain of command within 10 business days. The employee will be notified by his or her direct supervisor that an Alert Report has been received and if intervention is required.
4. The EIIS Unit will provide assistance and serve as a resource to personnel involved in the intervention process and will receive and review Assessment Reports.

NEW  
SECTION

C. EIIS Accountability and Inspection Guidelines

1. Sergeants/Supervisors will review the performance indicators for all of the employees for whom they are responsible in the EIIS on a monthly basis or any time a supervisor is assigned a new employee. When necessary, the Sergeant/Supervisor will conduct appropriate follow-up with an employee.
2. Lieutenants/second level supervisors will review the performance indicators for all of the employees for whom they are responsible in the EIIS on a monthly basis. When necessary, the Lieutenants/ second level supervisors will conduct appropriate follow-up with an employee. Lieutenants/ second level supervisors will also ensure Sergeants/Supervisors are conducting their monthly inspections. If a Sergeant/Supervisor fails to perform their duties under this Procedure, the Lieutenant/ second level supervisor will intervene and take over performance of those duties.
3. Lieutenants/ second level supervisors will conduct the review of any Department employee being supervised by an Acting Sergeant/Supervisor and conduct any appropriate follow-up.
4. Commanding Officers will conduct the review of any Department employee being supervised by Acting Lieutenants/ second level supervisors and conduct any appropriate follow-up.

Commanding officers must review their command data monthly and may interview, coach, and/or refer individuals to appropriate resources at any time.

5. The Sergeant/Supervisor and Lieutenants/ second level supervisor's inspections will be recorded in the Inspections Database.
6. The EIIS Unit will inspect and audit the system at least once a year to make necessary adjustments to the threshold levels based upon Department-wide performance and best practices.
7. When changes are made to the threshold levels, the SDPOA and MEA will be notified in writing of the changes.

D. Assessment and Intervention

1. Employees are encouraged to assess their own data and to take advantage of available supportive resources via [F:\Wellness Programs](#)
2. Supervisors may assess performance indicators for employees under their supervision at any time and are required to do so when conducting

monthly inspections, when an employee is first assigned to the supervisor and upon receipt of an Alert Report.

3. Supervisors will comply with the following process to help identify stress factors that may impact the employee and to enable the supervisor to identify and address potential issues before they impact work performance.

- a. Obtain relevant documentation or information regarding the triggering performance indicator.

**Note: Supervisors are never permitted to ask questions or to obtain any medical information regarding employees.**

- b. Thoroughly review relevant documentation, identify factual circumstances surrounding the initiation, progression, and conclusion of the triggering incident or incidents.

Perform a thorough review of all performance information contained in BlueTeam, which identify repeated issues or related trends.

- c. Consider any additional factors that may be relevant to identified issues that may potentially impact work performance including:
  - (1) An employee's work history with the Department, outside employment, or any prior interventions or mentoring plans.
  - (2) The outcome of triggering incidents that have already gone through separate interventions and consider whether or not the employee has followed through with any training recommendations or is scheduled to do so.
- d. If the identified employee's supervisor concludes that an intervention is not needed, he/she will forward the finding to the EIIS Unit through his/her commanding officer.

The EIIS Unit will review the assessment report and make an independent determination regarding the need for intervention based solely upon data researched department-wide. If the EIIS Unit does not concur with the command's finding, the Commanding Officer will be notified for further review. A decision, either way will be made within 14 calendar days by the employee's Commanding Officer.

4. **This section applies only to non-sworn employees:** The Early Intervention Assessment meeting with the supervisor as it relates to that specific alert or data found in EIIS is mandatory. However, supervisors must not ask employees to share private or personal information. Supervisors may express concern for an employee and offer assistance by way of resources such as those listed in section VI.E.4.

If the employee chooses not to participate in any intervention process, resources, or training relating to EIIS Alerts or data, their non-participation will be noted on the Alert report and forwarded to the EIIS Unit for closeout and filing. If the employee chooses to participate in the intervention, follow the reporting guideline as noted above.

5. As to all employees, supervisors or other members of the Department should limit their questions to asking generally about an employee's wellbeing (*e.g.*, How are you? Is everything okay?) and whether an employee can perform job functions. Supervisors or other members of the Department must not make disability-related inquiries, without a reasonable belief, based on objective evidence, that: (1) an employee's ability to perform essential job functions will be impaired by a medical condition; or (2) an employee will pose a direct threat due to a medical condition. Supervisors should be aware that this discussion may trigger employee protections under federal and state law, including the Americans with Disabilities Act (ADA) and the Fair Employment Housing Act (FEHA). Supervisors must be prepared to engage in any process required by federal or state law, including the interactive process and the need to make reasonable accommodations.

If this occurs, end the meeting and contact the Medical Assistance Unit for guidance.

#### E. Intervention Meetings

1. Supervisors will promptly meet with and notify employees that their performance indicators have met one or more performance thresholds and afford the employee an opportunity to identify any errors in the data.
2. If there are no errors in the data and the supervisor decides to proceed with the intervention meeting they will read the following notification for either a sworn or civilian employee:
  - a. Sworn: I am meeting with you because an alert was triggered for you in the EIIS system for [*insert basis of Alert*]. The purpose of this meeting is to check in with you and ensure we are doing what we can as a department to ensure your success as an employee. No portion of the performance indicators in the EIIS database will be



used for disciplinary reasons. Therefore, Peace Officer Bill of Rights (POBOR) does not apply and you do not have the right to representation. However, if at any time during our conversation, something is discovered that could lead to punitive action this intervention will immediately cease and you will be afforded all the rights defined by POBOR.

b. Civilian: I am meeting with you because an Alert was triggered for you in the EIIS for [*insert basis of Alert*]. The purpose of this meeting is to check in with you to ensure we are doing what we can as a department to ensure your success as an employee. No portion of the data found in the EIIS database will be used for disciplinary reasons. Therefore, you do not have the right to representation. If at any time during our conversation something is discovered that could be a violation of policy, procedure, or law, this intervention will immediately cease and you will be afforded all the rights defined in the MEA Memorandum of Understanding.

3. Prior to completing an assessment, supervisors will accompany or observe the employee in work-related activity whenever possible.

4. Supervisors may consider providing information to employees on training or counseling resources, including:

- a. Member Assistance Program (MAP).
- b. Employee Assistance Program (EAP)
- c. Focus Psychological Services
- d. Wellness Unit
- e. Peer Support
- f. Alcohol Substance Abuse Program (ASAP)
- g. San Diego Law Enforcement Officer Wives (SDLEO Wives)
- h. Chiefs Community Liaisons
- i. Chaplain Program
- j. Medical Assistance Unit (MAU)
- k. San Diego Police Officer Association (SDPOA)
- l. San Diego Municipal Employee Association (SDMEA)
- m. AFSCME Local 127

F. Following the Intervention Meeting

- 1. Supervisors will complete and submit an Early Intervention Assessment Report and if appropriate, the proposed Intervention Plan to the EIIS Unit within 7 calendar days of meeting with an employee.
- 2. Supervisors will utilize the Status Report to document actions taken, if any.

3. Employees must read, sign, and date the report prior to returning to the EIIS Unit. Whenever possible, scan the form or documentation into the BlueTeam “Alert” entry under the attachments section.
4. If an employee prefers not to sign the report, the supervisor should note, “Employee declines to sign” and sign and date the form.

G. Post Intervention Monitoring

1. Sworn employees must adhere to the intervention plan as it pertains to their work performance and conduct, and are required to complete any mandated training. However, no employee is required to participate in any resources, nor will any supervisor inquire whether any resources were sought or used either during or after the intervention process.
2. The following timeframes should be used as a general guideline and may be appropriately adjusted based upon the specific needs of the employee or Department.
  - a. Upon submitting a proposed Intervention Plan to the EIIS Unit, the supervisor and employee will meet once a week for the first month to discuss any identified issues.
  - b. During the second and third months, the supervisor and employee will meet bi-weekly to discuss progress with any identified issues.
  - c. At the end of the fourth month, the supervisor and employee will meet to review and confirm resolution and closeout. If no resolution is reached, the intervention will be closed.
3. Upon completion of the designated monitoring period, all related documents, including the recommendation on the status report (whether or not the affected employee has participated in the intervention and made progress) will be forwarded to the EIIS Unit for Alert Report closeout. Supervisors will only document whether or not they recommended resources, as participation in those resources are voluntary.