

ILLINOIS STATE POLICE DIRECTIVE

SRV-017, PERSONNEL EARLY WARNING SYSTEM

RESCINDS: SRV-017, 2022-190, revised 09-02-2022.	REVISED: 12-12-2022 2022-203
RELATED DOCUMENTS: ADM-137, EQP-015, PER-001, PER-059, SRV-016	RELATED CALEA STANDARDS (6th Edition): 35.1.9

I. POLICY

The Illinois State Police (ISP) will:

- I.A. Maintain an Early Warning System (EWS) to assist supervisors in identifying department employees who exhibit signs of performance, personal, or stress-related problems in the workplace and, where appropriate, may require intervention efforts.
 - I.A.1. It is not the intention of the EWS to replace the efforts of an involved, conscientious supervisor, nor is it designed as a tool for discipline.
 - I.A.2. Employees, however, may have disciplinary issues that require an independent review by their command.
- I.B. Conduct a yearly EWS program evaluation.

II. DEFINITIONS

- II.A. EWS – a management tool designed to provide a systematic review of specific, significant events involving department personnel. This system is necessary for the Department to exercise its responsibility to evaluate, identify, and assist personnel who exhibit signs of performance, personal, or stress-related problems in the workplace.
- II.B. EWS Criteria – a set of indicators utilized in identifying employees for the EWS. The employee's supervisor should carefully evaluate each incident before submission.
- II.C. Action Plan – an official plan developed by the supervisor with assistance from the EWS Program Manager, Office of the Director (OOD), Office of Human Resources (OHR), in response to the activation of the EWS

III. RESPONSIBILITIES

- III.A. The OOD/OHR is responsible for:
 - III.A.1. Administering the EWS;
 - III.A.2. Maintaining documentation and records regarding the EWS;
 - III.A.3. Coordinating communication between employees and supervisors regarding the EWS and other Human Services programs available; and
- III.B. The Division of Internal Investigation (DII) will report the initiation of all internal investigations to the OOD/ OHR.
- III.C. Supervisory personnel are responsible for:
 - III.C.1. Documenting the incidents that meet the requirements of the EWS;
 - III.C.2. Contacting the OOD/OHR for EWS activation;
 - III.C.3. Working with the OOD/OHR to determine what, if any, assistance or action is needed; and
 - III.C.4. Implementing an EWS action plan where one has been recommended.

III.D. The Commander/Bureau Chief/Lab Director is responsible for the final approval of an EWS action plan before it is implemented.

IV. PROCEDURES

IV.A. Whenever a supervisor believes an incident warrants activation of the EWS, the supervisor shall document the EWS Criteria that support his/her belief. EWS Criteria include, but shall not be limited to:

- IV.A.1. Sustained complaints of use of excessive force incident(s)
- IV.A.2. Vehicle pursuits initiated by the employee that are in violation of policy
- IV.A.3. Preventable traffic crashes in state vehicles where unusual/questionable circumstances were present
- IV.A.4. Performance evaluations with overall ratings of "below expectations" or "unsatisfactory"
- IV.A.5. Unusual patterns in the use of sick time or excessive use of sick time in conjunction with days off, or excessive tardiness where a pattern of abuse has been identified
- IV.A.6. Any serious incidents documented by the supervisor that may be indicative of a problem
- IV.A.7. Citizen complaints and employee investigations by the DII
- IV.A.8. Behaviors associated with possible drug and/or alcohol abuse
- IV.A.9. Repeated incidents in which the in-car video camera recording equipment was not used as outlined in ISP Directive EQP-015, "In-Car Video Camera Recording Equipment"
- IV.A.10. Sustained complaints of biased treatment or enforcement actions taken by the officer

This information will then be forwarded to the Commander/Bureau Chief/Lab Director for consideration of possible activation of the EWS.

IV.B. Upon a determination by the chain-of-command that an employee incident warrants activation of the EWS, the supervisor shall contact the OOD/OHR.

IV.C. Upon activation of the EWS, the EWS Program Manager will assist supervisory personnel in developing an EWS action plan, where appropriate. Recommendations may include, but are not limited to:

- IV.C.1. No action needed at this time
- IV.C.2. Engaging the employee in dialogue about the incident(s) in question
- IV.C.3. Recommending the employee receive additional training
- IV.C.4. Recommending the employee volunteer for the Mentoring Program
- IV.C.5. Referring the employee to services provided through the Department
 - IV.C.5.a. The Employee Assistance Program (refer to ISP Directive SRV-016, "Human Services")
 - IV.C.5.b. The Chaplain Program (refer to ISP Directive PER-059, "Chaplain Program")
 - IV.C.5.c. The Peer Support Program (refer to ISP Directive PER-001, "Peer Support Program")

- IV.D. An EWS action plan:
 - IV.D.1. May be implemented for any incident;
 - IV.D.2. Will contain a list of criteria an employee must meet within a stated period of time; and
 - IV.D.3. May include assigning sworn officers to administrative support duties or assigning a supervisor to ride along with the officer while patrolling to provide appropriate supervision and ensure compliance with the plan.
- IV.E. The OOD/OHR will notify the supervisor after an employee's third incident in a 12-month period resulting in the activation of the EWS. If an employee has three incidents meeting EWS criteria in a 12-month period, an EWS action plan shall be developed and implemented.
- IV.F. When the employee has successfully completed an EWS action plan, the supervisor will submit a memorandum to the OOD/ OHR indicating the employee has completed his/her goals.
- IV.G. To ensure long-term compliance with the EWS action plan, the employee should be monitored closely. A recurrence of behaviors that meet EWS criteria will be reported to the OOD/OHR as new incidents.
- IV.H. Failure of an employee to follow the recommendations of the EWS action plan, accompanied with additional performance problems, may be the basis for discipline or a fitness for duty evaluation (refer to ISP Directive SRV-016, "Human Services").
- IV.I. All written documentation, discussion, and meetings related to the EWS are to be kept in a secure location.
- IV.J. All information relating to an EWS incident is private and must be kept in strictest confidence.
- IV.K. The EWS Program Manager will:
 - IV.K.1. Maintain an automated, confidential database to track all EWS incidents. Records in the database will be destroyed in accordance with ISP Directive ADM-137, "Records Retention/Destruction Schedule"; and
 - IV.K.2. Provide an annual EWS program evaluation report by April 1 of each year to the Chief of Staff, Office of the Director. This report will contain the number of EWS contacts, the number of EWS action plans successfully completed, and the number of incomplete EWS action plans. The OOD/OHR will also provide a comparison from year to year on activated cases. The program evaluation will review the key attributes and benchmarks for EWS activation, the value of available resources and impact of usage, and overall effectiveness of the system in advancing its key objectives.

| Indicates new or revised items.

-End of Directive-