

ILLINOIS STATE POLICE DIRECTIVE

SRV-017, PERSONNEL EARLY WARNING SYSTEM

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| RESCINDS: SRV-017, 2013-066, revised 09-25-2013. | REVISED: 03-31-2017 2017-025 |
| RELATED DOCUMENTS: ADM-137, EQP-015, PER-001, PER-059, SRV-016. | RELATED CALEA STANDARDS: 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 review of this program.

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), Equal Employment Opportunity (EEO) Office in response to the activation of the EWS

III. RESPONSIBILITIES

III.A. The OOD/EEO Office 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 DII will report the initiation of all internal investigations to the OOD/EEO Office.

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/EEO Office for EWS activation;

III.C.3. Working with the OOD/EEO Office 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 Division of Internal Investigation (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/EEO Office.

- 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; and
 - | IV.D.2. will contain a list of criteria an employee must meet within a stated period of time.
- | IV.E. The OOD/EEO Office 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/EEO Office 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/EEO Office 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).
- | 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 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/EEO Office will also provide a comparison from year to year on activated cases.

| Indicates new or revised items.

-End of Directive-