University of Chicago Police Department
GENERAL ORDER

Effective Date: February 15, 2018		*Number:* **GO 1006**
Subject: **Early Intervention System**		
References: CALEA Standards: 22.2.6, 35.1.9		
Reevaluation Date: Annually		*No. Pages:* 5
Amends: 19 MAY 2016 version 14 AUG 2013 Version (O.D.P.)		*Rescinds:*
Approved By: Kenton W. Rainey, Chief of Police	*Signature:* Original signed document on file in Accreditation Office	

1006.1 PURPOSE
The purpose of this order is to publish guidelines for the Department Early Intervention System.

1006.2 POLICY
The University of Chicago Police Department recognizes that the Department's most valuable asset is its personnel. It is the policy of the Department to identify personnel problems that may require intervention so they may be dealt with promptly and fairly to ensure work-performance and job satisfaction for employees. Whenever possible, the Department will address performance issues with counseling or remedial training. This may be in addition to corrective or disciplinary action.

1006.3 ADMINISTRATION

A.   Corrective Action Authority
     The Chief of Police retains final authority over the application of performance improvement measures within the Department.

B.   Early Intervention System (EIS)

   1.   The Early Intervention System is intended to provide supervisors with the time and information to make informed decisions about the need for remedial training or other appropriate measures, before punitive discipline becomes necessary.

   2.   Access to the system database is limited to the Chief of Police, Executive Management within the Department, and the Office of Professional Accountability.

3. The Office of Professional Accountability is responsible for the administration of the Early Intervention System as well as defining the Early Intervention System alert parameters as established by the Chief of Police.

4. All reportable incidents that might require an EIS internal review, shall be entered into the Early Intervention System by the Office of Professional Accountability.

5. Reportable incidents include the following:

   a. Complaint register investigations.

   b. Progressive corrective actions (discipline).

   c. Use of force incidents.

   d. Work-related injuries.

   e. Damage or loss of agency property.

   f. Preventable on-duty vehicle collisions.

   g. Below standard performance evaluations.

6. The Early Intervention System (EIS) will signal an alert when established parameters have been met or exceeded. **An EIS alert does not automatically mean that the employee requires agency intervention or remedial action.** However, an alert does require the initiation of an EIS internal review of all reported incidents to identify any trends requiring correction.

7. In most cases, the EIS internal review will be conducted by the employee's direct supervisor. Next level supervisors may be tasked with conducting the EIS internal review when the employee's chain of command dictates so.

8. When an EIS alert is initiated, the Office of Professional Accountability will notify the employee's direct supervisor on a confidential EIS Alert Notification form, which will include supporting documentation of alerted indicators.

9. After receiving notification, the direct supervisor is responsible to complete the portion of the form documenting their review of the indicators, including a

recommendation either to close the alert along with justification or to **sustain** the alert with recommendation for remediation.

10. Once complete, the EIS Internal Review will be submitted to the Chief of Police through the chain of command.

11. Each member of the chain of command must indicate whether they concur or non-concur with the recommendations and findings by completing the appropriate section of the form documenting concurrence or reasons for non-concurrence.

12. EIS internal reviews must be completed and submitted to the Chief of Police no later than 15 business days after the alert activation.

C. Parameters for Initiation of EIS Internal Reviews
The Office of Professional Accountability is responsible for monitoring the Early Intervention System quarterly, to evaluate reportable incidents from the most recent six-month period, to determine if the following parameters have been met or exceeded which would require the initiation of an EIS review:

Complaint Register investigations	2 in a 6 month period
Progressive Corrective Actions	2 in a 6 month period
Use of force incidents	2 in a 6 month period
Work-related injuries	2 in a 6 month period
Damage or loss of agency property	2 in a 6 month period
Preventable on-duty vehicle collisions	2 in a 6 month period
Below standard performance evaluations	1 in a 6 month period
Any combination of significant incidents	3 in a 6 month period

1006.4 INTERVENTION

A. Remedial Training
Remedial training is an appropriate intervention when performance can be improved with training. Generally remedial training, is only appropriate for performance issues related to the knowledge or technical skills required for the performance of the employee's duties.

B. Corrective Intervention
Supervisors are expected to provide feedback to employees to improve performance, as performance issues arise. If informal counseling does not resolve the issue, or if the performance issues are too serious for informal counseling, intervention should be initiated. This is intended to assist employees in improving their performance or conduct

at work. Corrective intervention may include discipline, as defined in the UCPD GO entitled "Summary Discipline", or non-punitive options including:

1.   Peer Counseling;

2.   Referral (mandated or voluntary) to the University of Chicago Staff and Faculty Assistance Program (SFAP);

3.   Extension of Initial Evaluation Period in accordance with University of Chicago Human Resource Policy and any applicable Collective Bargaining Agreement;

4.   Reassignment.

1006.5 ANNUAL EVALUATION AND REVIEW

A.   The Office of Professional Accountability will conduct a documented annual evaluation of the Early Intervention System to evaluate the effectiveness of the system and determine if the system and/or the alert parameters should be expanded or reduced.

B.   As a part of this documented evaluation, a review of identified employees based on current patterns of collected material, will be conducted.

C.   The annual evaluation will be submitted to the Chief of Police. The review of identified employees will be approved by the Chief or their designee.

1006.6 EMPLOYEE ASSISTANCE PROGRAM

The Department makes available to all employees an Employee Assistance Program (Staff and Faculty Assistance Program) to assist in identification and resolution of concerns and problems (personal or job-related), which may adversely affect an employee's personal or professional well-being or job performance. SFAP can assist with concerns which may include, but are not limited to, physical health concerns, marital status, family, financial, substance abuse, emotional/ stress, depression, low self-esteem, vocational concerns or other personal matters.

A.   The relationship between the employee and SFAP is confidential. When an employee voluntarily contacts SFAP, only the employee and SFAP will be aware of the contact.

B.   Any supervisor who refers an employee to SFAP will submit an interdepartmental To-From-Subject report through the chain of command to the Office of Professional Accountability. This serves as a notice of referral only and will not disclose confidential issues.

C.   Based on the nature of the work-performance or behavior identified, the Chief of Police may make a formal mandatory SFAP referral as part of a corrective intervention. In a formal mandatory SFAP referral, SFAP will report compliance via a required written release of information as described in SFAP guidelines.

D.   Records regarding employees admitted to a treatment program are confidential to the extent consistent with State, University, and Departmental guidelines. The SFAP may make appropriate notifications to the Chief of Police and the Human Resource representative if an employee is unable to continue their duties while involved in treatment.

E.   Supervisors will be trained regarding the supervisor's role and responsibility, and identification of employee behaviors, which would indicate the existence of employee concerns, problems and/or issues that could impact employee job performance. Supervisors will be trained in SFAP program services.

Employees may contact the University of Chicago Staff and Faculty Assistance Program (Perspectives Ltd.) by phone at (800) 456-6327.   Further information can be found at: http://hrservices.uchicago.edu/benefits/healthwelfare/sfap.shtml.