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		Distribution: All
Title: EARLY WARNING SYSTEM		Section: Personnel
Issued: 07/27/2010	Effective: 08/04/2010	Revised: 09/23/2020
Rescinds: All Previous	Amends:	
CALEA References: LE 35.1.9a-h; COM 3.4.7a-h		
Review: Annual	Authority: Chief Michael A. Keller	

## I. Purpose

This General Order is intended to assist supervisors and managers in identifying officers and other employees whose performance warrants review and, where appropriate, intervention in circumstances that may have negative consequences for the employee, fellow employees, this agency, and/or the general public.

## II. Policy


It is the policy of the department to maintain an Early Warning System (EWS) to provide systematic reviews of specific, significant events involving agency employees. This system is designated to identify, evaluate and assist employees who exhibit signs of performance and/or stress related problems, and to assign appropriate follow-up activities designed to assist and improve the employee.

## III. Definitions

- A. Early Warning System:** A time sensitive system designed to effectively organize critical performance and evaluation data in a format conducive to promptly identify early indicators of certain performance and/or stress related problems and to facilitate any necessary or appropriate activities to assist and improve an employee.
- B. Unscheduled Leave:** Any time off that occurs with less than 48 hours notice including sick leave, holiday leave, vacation leave, etc.
- C. Unsatisfactory Performance:** When an employee does not apply or disregards the performance principles and practices listed as essential and marginal functions of their position; or, the employee does not achieve agreed upon goals and the quality of performance frequently does not meet expectations.

## IV. Regulations

- A.** Information contained in the EWS computer database is confidential and disclosure of information contained within the database shall be limited to the Office of the Chief of Police, division commanders, and the employee's immediate supervisor, unless otherwise specified in this General Order [B].

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- B. An employee who has been identified as needing intervention through the EWS shall complete approved action plans within the specified time outlined in the action plan, unless otherwise approved by the Chief of Police [C].
- C. Supervisors will enter data into the database as prescribed in this General Order [A].


## V. Procedures

### A. General


1. It is the duty of first and second line supervisors to directly monitor the performance and behavior of personnel under their charge on a daily basis (LE 35.1.9f; COM 3.4.7f).
2. The EWS is a tool to assist supervisory personnel in monitoring employee performance.
3. Supervisory personnel shall be familiar with alternatives and authorized actions they may take in response to personnel exhibiting behavioral problems with or without information provided through the EWS.

### B. Reporting Procedures

1. The Operations Commander shall be responsible for establishing and administering the EWS and generating reports specified in this General Order or as otherwise directed by the Chief of Police (LE 35.1.9f; COM 3.4.7f).
2. Supervisors will document any of the below listed incidents in the departments Early Warning System computer database pursuant to this General Order and other applicable General Orders (LE 35.1.9a & d; COM 3.4.7a & d):
  - a. Citizen complaints;
  - b. Internal affairs investigations;
  - c. Lawsuits and claims involving the employee;
  - d. Misuse or abuse of departmental property;
  - e. Police vehicle accidents;
  - f. Tardiness;
  - g. Unscheduled leave;
  - h. Use of force incidents;
  - i. Unsatisfactory performance;
  - j. Vehicle pursuits; and
  - k. Personal/Family issues that may affect employee performance.
3. An EWS review of an employee will be initiated when (LE 35.1.9b; COM 3.4.7b):
  - a. An employee is the subject of two or more citizen complaints in any consecutive three-month period;

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- b. An employee is the subject of four or more citizen complaints in any consecutive 12-month period;
  - c. An employee is the subject of two or more internal affairs investigations in any consecutive six-month period;
  - d. An employee is the subject of three or more internal affairs investigations in any consecutive 12-month period;
  - e. An employee is involved in five or more use of force incidents in any consecutive six-month period;
  - f. An employee is involved in three or more police vehicle accidents in any consecutive 12-month period; or
  - g. Any employee is involved in six or more incidents listed in V.B.2. of this General Order in any consecutive six-month period.
4. When a EWS review is warranted the Operations Commander will assign the review to the employee's immediate supervisor, who shall be responsible for retrieving and reviewing all reports and documentation for each of the involved incidents, and interviewing witnesses to include the officer and/or officers involved (LE 35.1.9f; COM 3.4.7f).
  5. The supervisor's findings shall be reviewed by an Early Warning System Review Team, which shall convene within 30 days of the supervisor being notified that a review is needed, and shall consist of a division commander, a section commander and the supervisor conducting the review. If the review is of a section commander, the review team shall consist of two division commanders. If the review is of a division commander, a review team will not convene and the review will be conducted by the Chief of Police, who may consult with the City Administrator.
  6. In addition to the supervisor's findings, the EWS Review Team should consider all incidents listed in V.B.2., of this General Order occurring within the previous 12 months, whether or not those incidents contributed to triggering the review, and should also consider:
    - a. Prior EWS reviews of the employee;
    - b. Prior performance evaluations;
    - c. Discretionary arrests, if applicable; and
    - d. Aggressive appearance (i.e. matching tattoos with other officers, black gloves, sunglasses, motions to suppress, cliques, etc.); and
    - e. Use of force incidents involving the display of a weapon and verbal commands.
  7. After the EWS Review Team has met, and reviewed applicable material, a final report will be generated by the immediate supervisor of the employee being reviewed summarizing the results of the review, recommendations made by the review team and justification for those recommendations. The report will be

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forwarded through the reviewed employee’s chain of command to the Chief of Police.

8. The Chief of Police will make a final decision as to any counseling, additional training, discipline, etc. that may be needed, and will develop an action plan, if necessary, designed to assist the employee as appropriate.
9. Should it be determined that intervention is necessary, the following can be considered, but is not limited to (LE 35.1.9g & h; COM 3.4.7g & h):
  - a. Referral to a department peer for counseling;
  - b. Referral to department authorized mental health professional or Employee Assistance Program;
  - c. Require the officer to participate in agency authorized training targeting personal or professional problems that the officer may be facing (e.g. communications, cultural awareness, coping with stress, anger management, etc.);
  - d. Reassignment or transfer; or
  - e. Disciplinary action.
10. The final report and action plan will be returned through the chain of command to the supervisor who authored the report and reviewed with the employee who was the subject of the review. The report will then be returned to the Operations Commander to be documented in the EWS computer database.
11. If assigned an action plan, the employee’s progress shall be monitored and formally reported to the Chief of Police and the appropriate division commander every 30 days, as necessary, until the employee has completed all aspects of the action plan. Progress reports will be documented in the EWS computer database.

**C. Evaluation of the Early Warning System**

1. The Operations Commander shall evaluate the EWS annually and prepare a report that shall be submitted to the Chief of Police (LE 35.1.9e; COM 3.4.7e).
2. The report will contain:
  - a. A determination on whether or not the EWS system is being used properly;
  - b. The number of employees and incidents reported through EWS (LE 35.1.9c; COM 3.4.7c);
  - c. Any recommended changes to the EWS to ensure the system is meeting the needs of the department and the employees.