

CHAPTER 9
EARLY INTERVENTION SYSTEM
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CHAPTER 9

EARLY INTERVENTION SYSTEM

1. PURPOSE. The purpose of this chapter is to establish policy and procedures associated with the California Highway Patrol's (CHP) Early Intervention System (EIS) and define departmental goals for the EIS.

2. GENERAL.
 - a. IAPro is a specialized software program utilized to capture a wide range of statistical data which has been entered into Blue Team (BT). The BT application is a Web-based application providing for data input of specific incidents and used to view the EIS dashboard. The BT application is available on the CHP Intranet site ➤ Resources ➤ Supervisors & Managers.

 - b. Information and data will be entered into BT by departmental managers and supervisors, the Office of Risk Management (ORM), and the Office of Internal Affairs (OIA) in order to facilitate the functions of the EIS.

 - c. Departmental managers and supervisors are responsible for monitoring employee performance. This obligation includes vigilant observation to identify patterns of past behavior that could lead to future and escalating disciplinary action. To assist in this endeavor, BT and IAPro together allow the Department to maintain an EIS. The EIS functions as a data-driven management tool used for identifying issues which could bring discredit to the Department, increase civil liability exposure or demonstrate training needs. Additionally, the EIS will identify positive performance of departmental employees through the tracking of written performance documents.

 - d. The EIS is intended to be a positive approach for supervisors and managers to address work performance before it results in discipline, lawsuits, injuries, or other negative consequences. The program seeks to:
 - (1) Enhance management's oversight capabilities.
 - (2) Improve employee safety and professionalism.
 - (3) Address problematic behavior at the earliest opportunity.
 - (4) Identify and develop risk management strategies.
 - (5) Provide timely guidance to employees.

(6) Identify and implement appropriate intervention strategies.

(7) Provide a mechanism that allows employees to correct training deficiencies.

e. The EIS shall employ intervention strategies that are constructive to improve employee efficiency and competency through counseling, training, and/or other appropriate interventions. The EIS is made up of two parts which will identify and support employees who demonstrate behavior that may affect job performance. The first part will collect and analyze several objective job-related indicators to identify employees who exhibit certain defined behavioral patterns that, absent early intervention, often lead to a progression in disciplinary action. The second part will consist of intervention strategies designed to assist employees in a positive and constructive manner with the goal of avoiding the escalation of progressive discipline or other unfavorable consequences.

f. Encompassed in the BT application is the EIS dashboard. The EIS dashboard provides supervisors and managers the ability to view the EIS status of an employee currently assigned to their command. The EIS dashboard should only be used as a threshold advisory tool for supervisors and managers. Great emphasis should be placed on human interaction between the supervisor and the employee to determine if and how an employee may benefit from assistance. The EIS dashboard consists of colored dots which represent the employee's status relating to EIS:

(1) Green indicates the employee is not nearing a threshold.

(2) Yellow indicates the employee is one incident away from reaching an identified threshold.

(3) Red indicates the employee has reached or surpassed an identified threshold. Red is the only indication which requires evaluation by Area management and/or supervision.

g. The number of each incident threshold is programmed into IAPro and automatically updates to the employee's EIS dashboard. The EIS dashboard shall be treated as confidential in nature.

h. The EIS is an element of an effective and supportive personnel management program. An essential feature of this program is the early identification of employees who demonstrate potential symptoms of job stress, training deficiencies, or personal problems that affect safety or job performance. When identified for early intervention, various assistance strategies shall be tailored to address the specific issues affecting the employee. The role of supervisors and managers is crucial to the success of the EIS.

i. Definitions.

- (1) Blue Team – A web-based application available on the CHP Intranet site.
- (2) Early Intervention System Review – When a threshold is reached, an employee's direct supervisor, in consultation with Area management, will conduct a review of defined indicator criteria and determine an appropriate intervention strategy.
- (3) IAPro – A specialized professional standards software suite utilized to capture data entered into BT and to maintain the EIS profile of departmental employees.
- (4) Intervention Advisory – A notification through BT that an employee has reached a threshold level warranting review by departmental supervisors and managers.
- (5) Intervention Strategies – A series of actions or steps designed and recommended by Area management and supervision to assist the employee.
- (6) Performance Indicator – An event or incident that is used as an indicator that may trigger an intervention review.
- (7) Statewide EIS Administrator – The ORM commander is responsible for oversight of the EIS program.
- (8) Threshold – A predesignated level that, when reached, will trigger an intervention advisory.

3. POLICY.

- a. In addition to traditional observation of employees' performance, supervisors and managers shall monitor the performance of employees under their command via the EIS.
- b. An employee's performance shall be subject to review by Area management when threshold levels for certain indicator criteria are met.
- c. To facilitate the gathering of the data for EIS purposes, information will be gathered relating to the following types of incidents:
 - (1) Adverse Action.
 - (2) CHP 2, Incident Report – Censurable.

- (3) Civilian Complaint.
- (4) Miscellaneous Investigation.
- (5) Memorandum of Direction.
- (6) Use of Force.
- (7) Written Performance Documents – Positive:
 - (a) Letters of appreciation from the public.
 - (b) Departmental commendations.
 - (c) CHP 2, Incident Report – Commendable.

d. The following events will be used to identify circumstances warranting an intervention advisory and supervisory review:

- (1) Adverse Action: 2 in 12 months.
- (2) CHP 2, Incident Report – Censurable: 2 in 12 months.
- (3) Civilian Complaint: 3 in 18 months.
- (4) Miscellaneous Investigation: 2 in 12 months.
- (5) Memorandum of Direction: 2 in 12 months.
- (6) Use of Force: 3 in 12 months.
- (7) Written Performance Documents – Positive: 2 in 12 months.

e. The employee's immediate supervisor and chain of command shall be involved in the analysis of any employee behavior which has been identified as qualifying for an EIS intervention advisory. In order to develop the most effective intervention strategies, the following should be considered:

- (1) Assignments during and immediately prior to the intervention advisory.
- (2) The employees' recent performance evaluations.
- (3) Commendations, letters of appreciation, and awards.
- (4) All complaints and findings.

- (5) Training history.
- (6) Use of force history.
- (7) Any other information that may prove helpful in the overall evaluation. This may include contacting the employee's current and prior supervisors.

f. If, after review, no intervention is warranted, the employee's supervisor shall verbally notify the employee of the fact that an EIS advisory has been received, reviewed, and no further action will be taken at this time. The employee will be advised regarding what events caused the advisory. Questions or concerns should be handled via the employee's chain of command.

g. If a review of the employee's actions shows exceptional performance or decision making, positive recognition should be documented.

h. If it is determined the employee would benefit from intervention, the Area management team will work with the employee's supervisor to determine the best course of action and the appropriate intervention strategy to resolve the concern and/or improve performance.

i. The employee's commander shall be ultimately responsible for deciding what intervention strategy should be implemented.

j. Supervisors may document any performance-related issues in the employee's monthly or annual performance appraisals if appropriate; however, no reference should be made to EIS solely due to an employee meeting a threshold. Entries in evaluations must be supported by observed performance.

k. Employee personnel issues resulting from, or contributing to, threshold alerts are confidential to the extent permitted by law and will only be disclosed consistent with law and departmental policy.

l. The EIS employs intervention strategies that are not punitive or disciplinary in nature. Intervention is separate from the complaint investigation and disciplinary processes. The consideration of complaints in determining intervention strategies does not imply that these complaints have been or will be sustained.

m. Should it be determined that an intervention is needed, employees shall participate in the recommended intervention strategies. Examples of intervention strategies include, but are not limited to:

- (1) Review of related departmental policies.

(2) Coaching (a form of nondisciplinary counseling by the employee's supervisor or other departmental resource).

(3) Career development activities, including training (e.g., individual training, complaint avoidance, verbal de-escalation, Emergency Vehicle Operations Course, defensive tactics, cultural diversity, human behavior, stress management, conflict management, use of force).

(4) Referral to the Employee Assistance Program.

n. The commander of the affected employee shall be responsible for ensuring the intervention recommendation is implemented within a reasonable time. Once an employee has completed the recommended intervention strategy, the employee's supervisor shall notify the Area commander through the chain of command.

o. Ongoing training will be conducted as the EIS is further developed, to ensure that supervisors and managers are provided with the necessary skills to identify and implement effective intervention strategies.

4. RESPONSIBILITIES.

a. The Department shall ensure BT and IAPro are free of erroneous information.

b. The ORM commander is the designated IAPro Administrator. The IAPro Administrator will assign a statewide IAPro Coordinator to oversee the day-to-day operations of BT and IAPro. The IAPro Administrator and/or IAPro Coordinator will set and control IAPro access levels and workflow functionality within IAPro.

c. The IAPro Administrator has the responsibility to notify the appropriate Division, Area, section, or Executive Office commander of any BT and/or IAPro workflow changes, including software updates which would have an impact on daily BT usage.

d. General technical support questions regarding BT should be directed to the IAPro Coordinator.

5. ACCESS TO BLUE TEAM, IAPRO, AND EARLY INTERVENTION SYSTEM DATA.

a. It is necessary to restrict access levels within BT and IAPro in order to ensure confidentiality and integrity of sensitive and/or confidential information. Blue Team and IAPro access levels are as follows:

- (1) Supervisors will have BT access in order to input and review incident data and to view the EIS dashboard incident threshold status of employees within their purview.
 - (2) Area, section, and Executive Office command staff will have access to BT in order to input and review incident data and to view the EIS dashboard threshold status of employees within their purview. Additionally, commanders will have read-only access to IAPro for the purpose of allowing employees, upon their request, to view documents normally associated with a personnel file.
 - (3) Selected Division administrative staff will have access to BT for the purpose of reviewing incidents submitted from the subordinate command to Division for approval.
 - (4) Offices of Primary Interest (i.e., ORM, OIA, Office of Legal Affairs) will have incident-specific access to IAPro to review, track, and analyze data falling under their respective need-to-know purviews.
 - (5) The IAPro Administrator and Coordinator will oversee and maintain the integrity of system access levels. The IAPro Administrator and Coordinator will have full administrative access to BT and IAPro to run reports, perform maintenance, and purge data in accordance with departmental policy.
- b. Upon request, employees shall be given the opportunity to view their BT EIS dashboard with a supervisor. Additionally, supervisors should provide employees with a copy of their EIS dashboard printout to review during the employee's annual performance evaluation. Supervisors may document any performance-related issues in the employee's monthly or annual performance appraisals if appropriate; however, no reference should be made to the EIS dashboard solely due to an employee meeting a threshold. Entries in evaluations must be supported by observed performance.
 - c. Employees may choose to view any documents maintained in IAPro that would also be contained in their personnel file. Employees wishing to view their IAPro file should contact their Area commander to set up an appointment.
 - d. The IAPro Administrator shall approve exceptions to the policy on access levels. Users of EIS data shall be strictly held accountable for the information's privacy and confidentiality. Inappropriate use may result in discipline and possible criminal prosecution. Any request for specialized reports using the EIS data shall be directed to the EIS administrator for approval.

6. RETENTION OF RECORDS. Printouts and records associated with EIS shall be retained pursuant to the Department's existing records retention schedule according to the specific incident type. All EIS data will be retained pursuant to the Department's existing records retention schedule and in compliance with applicable legal requirements and agreed upon Memoranda of Understanding. The IAPro Coordinator will be responsible for the purging of data within IAPro.