

JUDGE'S COPY

THE HONORABLE JAMES L. ROBERT

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AT SEATTLE  
CLERK U.S. DISTRICT COURT  
WESTERN DISTRICT OF WASHINGTON  
DEPUTY

IN THE UNITED STATES DISTRICT COURT  
FOR THE WESTERN DISTRICT OF WASHINGTON  
AT SEATTLE

UNITED STATES OF AMERICA

Plaintiff,

vs.

CITY OF SEATTLE

Defendant.

CASE No. C12-1282-JLR

**MEMORANDUM SUBMITTING  
REVISED EARLY  
INTERVENTION SYSTEM  
POLICY**

Pursuant to paragraphs 177 through 181 of the Consent Decree and the Third-Year Monitoring Plan, Dkt. 195 at 15--16, the Parties and the Monitor have completed their annual review of Seattle Police Department ("SPD" or "the Department") Manual Section 3.070, which sets forth SPD's Early Intervention System ("EIS") policy. During the review, SPD and the Parties discussed several ways to clarify, strengthen, or otherwise improve the EIS policy in light of the Department's real-world experiences implementing the processes described in the policy. Those improvements are reflected in a revised Section 3.070, attached hereto as Exhibit A.

As the Monitor's Fourth Semiannual Report observed, "[a]n EIS tracks a broad range of officer performance data and provides a basis for affirmative, non-disciplinary supervisor

MEMORANDUM SUBMITTING REVISED EARLY INTERVENTION  
SYSTEM POLICY - 1  
Case No. C12-1282-JLR

Merrick J. Bobb, Monitor  
Police Assessment Resource Center  
PO Box 27445  
Los Angeles, CA 90027  
(213) 623-5757

1 intervention to assist officers in performance and career development.” Dkt. 187 at 73. As such,  
2 the EIS constitutes a critical new way for SPD supervisors to do their jobs on a daily basis –  
3 proactively managing officer performance and development. The Court approved a prior version  
4 of the EIS policy on March 10, 2014 pursuant to the Monitor’s recommendation. Dkt. 125. The  
5 Monitoring Team updated the Court on SPD’s progress with implementing the policy’s required  
6 processes and systems in the Team’s previous semiannual reports. Dkt. 154 at 80–89; 187 at 73–  
7 79.

8 The changes to the policy reflect discussions among SPD, the Parties, and the Monitor  
9 over the past 14 months as the Department has worked toward turning policy into practice.  
10 Implementation first required the successful and systematic collection of officer performance  
11 data that serves as “indicator criteria” under the policy, which the Monitor’s December 2014  
12 report noted occurred successfully only toward the end of 2014. Dkt. 187 at 66–69.

13 Even as systems for capturing new data came online, SPD needed to create new  
14 resources, training, and processes to effectuate the EIS. During this time period, it solved several  
15 process-based issues, and these solutions are reflected in the revised EIS policy. The scope of  
16 certain responsibilities of supervisors and the chain of command, especially with respect to  
17 conducting discretionary assessments have been clarified. The role of the Performance Review  
18 Committee in overseeing the EIS process has likewise been clarified. For a few indicator criteria  
19 – including receipt of OPA complaints and Type III force – the threshold activity levels that  
20 trigger an automatic performance review have been adjusted to reflect an analysis of actual SPD  
21 officer performance trends during the initial data collection periods in those areas.

22 The Monitoring Team will update the Court further on the implementation of EIS in the  
23 upcoming semiannual report that will be filed in June 2015. In the meantime, the Monitor agrees  
24 with the Parties that the revisions to the EIS policy are consistent with the letter and spirit of the  
25 relevant substantive provisions of the Consent Decree, Dkt. 3-1 ¶¶ 157–63, as well as with best

1 practices. Accordingly, the Monitor respectfully requests that this Court approve the revised EIS  
2 policy.

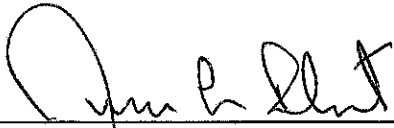
3 DATED this 4th day of May, 2015.

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6 Merrick J. Bobb, Monitor  
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1 The Court hereby approves the Seattle Police Department's Early Intervention System  
2 Policy filed herewith as Exhibit A.

3  
4 DONE IN OPEN COURT this 11<sup>th</sup> day of May, 2015.

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8 THE HONORABLE JAMES L. ROBART  
9 UNITED STATES DISTRICT JUDGE  
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**CERTIFICATE OF SERVICE**

I certify that on the 4th day of May, 2015, I electronically filed the foregoing with the Clerk of the Court using the CM/ECF system, which will send notification of such filing to the following attorneys of record:

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DATED this 4th day of May, 2015.

/s/ Carole Corona  
Carole Corona

# EXHIBIT A

# Seattle Police Manual

## 3.070 – Early Intervention System

Effective Date: DRAFT

### **3.070-POL**

This policy applies to the use of the Early Intervention System. The Early Intervention System shall employ risk management strategies that are not punitive or disciplinary in nature.

The Early Intervention System is a key element in the SPD's strategy to address at-risk behavior. Once an SPD employee exceeds a preset trigger of risk factors described below, an Early Intervention Assessment will be conducted. An assessment may also be conducted at the discretion of a supervisor as part of his or her ongoing duties to monitor employee conduct and maintain performance standards.


The progress of the employee will be carefully tracked, and the employee's chain of command shall be personally responsible and accountable for the implementation of the individual program and such other steps as may be necessary to address any at-risk behavior, demonstrated indicators of stress, or training deficiencies, and ultimately achieve the professional goals set for the officer.

The system is separate from, and does not replace, the existing system of discipline for violations of policy. Department employees remain fully accountable for adhering to policy and performance standards.

Nonetheless, the Early Intervention System seeks to identify and change at-risk behaviors before policy violations arise. The goal is to intervene and offer assistance by identifying and modifying possible problematic behaviors before they result in actions that are contrary to the mission and fundamental values of the Seattle Police Department, including its commitment to constitutional policing and upholding lawful, professional and ethical standards.

The Early Intervention System represents the Department's commitment to coach and mentor its employees and to hold the entire chain of command accountable for addressing problematic behavior and managing risk to officers and the public.

The system is designed to support the employee through mentoring and coaching by supervisors. The use of the Early Intervention System provides employees:

- 
- Training/Education
  - Job performance feedback
  - Other pathways to improve performance
  - Consistent oversight and supervision
  - A clear message to officers and civilian employees that the Department has resources available to assist them in meeting expectations.

Except as required by law, contract, or policy, information relating to the Early Intervention System shall be considered confidential and is not to be shared with persons not having access to the



Early Intervention System. Violations of this policy may result in discipline.

**Definitions:**

1. **Assessment Report:** A form used to document the assessment conducted for an employee who has either reached the threshold criteria or who has been referred for a discretionary assessment.
2. **Early Intervention Alert:** Electronic pathway by which the assessment flows up the chain of command to the Performance Review Committee, and back. Each EIA has a tracking number.
3. **Early Intervention Mentoring Plan:** A strategy developed by an employee's chain of command to intervene and offer assistance to the employee so that he or she will be able to uphold lawful, professional and ethical standards. A mentoring plan contains the following:
  - Issue(s) to be addressed
  - Method/action plan for addressing the issue(s)
  - Timeline for completion of the mentoring plan
  - Follow-up actions to be taken
4. **Mandatory Training:** Firearms qualifications and any other training designated as mandatory by the Captain of the Education & Training Section.

5. **Status Report:** Biweekly report used to document actions and training taken during the review period.

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### **3.070-POL-1 Oversight of the Early Intervention System**

#### **1. Sergeants, Managers and Commanders Are Required to Review the Early Intervention Criteria Thresholds of the Employees They Supervise at Least Once Weekly**

Section chains of command will be responsible for ensuring that all levels of supervision utilize the IAPro software for this purpose. If there is follow-up action based on this weekly review, the supervisor or commander shall document that in the PAS (Performance Appraisal System.).

Additionally, the Early Intervention Coordinator will provide section captains and civilian managers with monthly updates of the Early Intervention criteria thresholds related to the employees under their command.

#### **2. Sergeants, Commanders and Civilian Supervisors Are Required to Initiate an Early Intervention Assessment ("EIA") of any Employee they Supervise that Meets Criteria Thresholds**

If an employee meets Early Intervention Criteria Assessment Thresholds, the employee's supervisor will conduct an Early Intervention Assessment.

The EIA includes reviewing the Early Intervention Criteria thresholds and promptly notifying the affected employee if he or she has met any performance thresholds and affording the employee an opportunity to identify any errors in the data. If the information in the EIS is accurate, the sergeant, commander, or civilian supervisor must also review at least the last two performance evaluations in the PAS, documentation relating to the underlying incident(s) reflected in the EIS indicator, and any additional information that would be relevant to the identified performance issues.

**3. A Sergeant, Commander or Civilian Supervisor May, in Conjunction with Their Chain of Command, Contact the Early Intervention Coordinator to Initiate the EIS and Assign a Discretionary Assessment to That Chain of Command**

For example, if a supervisor notices potentially problematic behavior by an officer that should be addressed formally, they may initiate a formal Assessment even if an EIS threshold has not yet been met.

The Department recognizes that supervisors of all levels must be proactive in guiding the performance of employees under their command. Supervisors are encouraged to address any potentially problematic behavior or performance prior to the Early Intervention System being activated.

**4. Upon Having an Officer Transfer into His or Her Squad or Unit of Command, a Sergeant or Commander Shall Review the Early Intervention Criteria Thresholds of That Employee, and Will Document Having Done So via the Performance Appraisal System**

**5. Utilizing IAPro Software, Employees Will Have Access to Their Current Standing Regarding Early Intervention Criteria Thresholds Levels**

Employees may view a display of their performance data contained in IAPro by logging into that system, and may obtain their past EIS Review Report(s)/ Early Intervention Assessment(s) by making a request to the Director of Human Resources via their chain of command.

If an employee believes at any time that Early Intervention data is inaccurate, he or she should immediately notify his or her immediate supervisor or commander. The employee will then provide written notice (e-mail or memo) of his or her request for correction to the Early Intervention Coordinator in Human Resources via the chain of command. Any proposed corrections to the data are subject to review by the Performance Review Committee, the employee's chain of command and the relevant bureau chief. The Director of Human Resources will

make the final decision as to whether to modify early intervention data.

Corrections shall be documented fully in IAPro so that the Department maintains a reliable audit trail regarding data entry and corrections.

**6. After Receipt of the Completed Early Intervention Assessment, the Section Captain or Director Shall Create a Mentoring Plan for the Employee, if Appropriate**

If the section captain or director decides an Early Intervention Mentoring Plan is needed, he or she may recommend a specific review period. The review period shall continue until the employee's chain of command provides the Performance Review Committee and the concerned Bureau Chief with satisfactory written assurances in the form of EIS Status Reports. These shall indicate that the officer or civilian employee has successfully completed the mentoring plan and his or her current performance is consistent with the lawful, professional and ethical standards of the Department. If possible, Early Intervention should be achieved in six months or less.

Any decision not to place the officer in Early Intervention will be documented, justified, and fully articulated in the narrative portion of the Assessment Form, which will then be attached to the IAPro Alert. The decision not to place an employee on an Early Intervention Mentoring Plan is subject to the approval of the Performance Review Committee and the relevant Assistant Chief.

**7. Via the Early Intervention Coordinator, the Captain or Director Will Forward Their Recommendation of Whether to Put the Employee on an Early Intervention Mentoring Plan to the Performance Review Committee**

The committee will review completed Assessments and Early Intervention Mentoring Plans to ensure Department-wide uniformity and consistency with SPD goals.

The committee may reject such Assessments and Early Intervention Mentoring Plans if they are inadequate, do not provide for uniformity and consistency in the treatment of similarly-situated officers, or otherwise appear inconsistent with the goals of the Early Intervention System.

**8. The Performance Review Committee Will Monitor the Early Intervention System**

The committee will comprise of stakeholders within SPD, to include:

- Chief's designee
- Human Resources Director or designee
- Representative from the Patrol Operations Bureau



- Representative from the Audit, Policy & Research Section (APRS)
- Representative from the Education & Training Section (ETS)
- Early Intervention Coordinator
- A representative of the City Attorney's Office, if requested by the PRC

The committee shall meet monthly. The committee's responsibility is to ensure Department-wide consistency and uniformity in the implementation of the Early Intervention System. The committee is further responsible for determining whether the performance assessments and proposed Early Intervention Mentoring Plans are adequate to address concerns about any at-risk behavior, demonstrated indicators of stress, or training deficiencies, and to provide the employee with the tools and support necessary to ensure that he or she adheres to Department policy and the lawful, professional and ethical standards of the Department. The committee will be responsible for reviewing and adjusting, where appropriate, the threshold levels of the Early Intervention indicator criteria. New indicator criteria will also be considered when and if appropriate. The committee's recommendations for adjusting/changing indicator thresholds will be subject to approval from the Chief of Police.

The Early Intervention Coordinator will be responsible for scheduling meetings of the committee.



The Early Intervention Coordinator will be responsible for assisting commands with their use of the applicable Department computer software, including training of supervisors in its use.

**9. The Committee Will Forward the Assessment and Early Intervention Mentoring Plan to the Appropriate Bureau Chief for Final Approval**

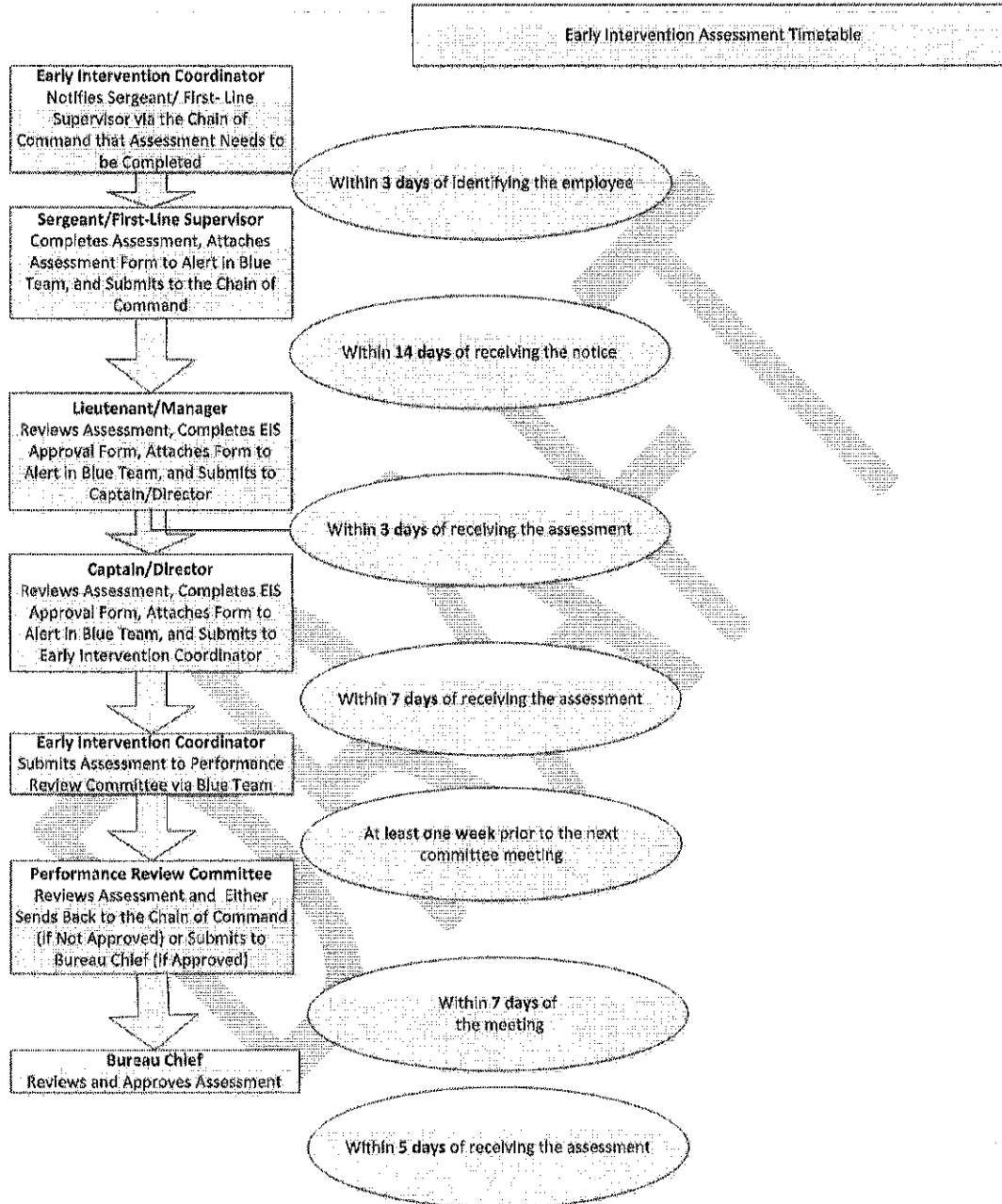
**10. The Early Intervention Coordinator Maintains Resources and Supervisor's Toolkit for the Early Intervention System**

**11. The Early Intervention Coordinator Monitors Information Related to Certain Precinct-Level Activity**

See 3.070-TSK-1 Early Intervention Coordinator's Role in Creating, Implementing and Completing an Early Intervention Mentoring Plan.

**12. Documentation of Early Intervention Threshold Criteria in the Yearly Performance Appraisal Evaluation**

Sergeants and first-line supervisors will document Early Intervention threshold indicator activity in the Performance Appraisal System. See Seattle Police Manual Section 2.070-Performance Evaluation. Section Captains and civilian managers shall monitor supervisors' use of the EIS software in the Performance Appraisal System.



### 3.070-POL-2 Administration of the Early Intervention System for Employees

#### 1. Threshold Levels Initiate an Early Intervention Assessment

When the below criteria thresholds are met, an Early Intervention Assessment will be conducted for the involved employee. These thresholds are subject to revision, given the needs of the Department, after the consideration of the Performance Review Committee and the approval of the Chief of Police. The threshold time periods exist on a **rolling basis**.

- E.g., if an officer gets in two vehicle pursuits within any period of six consecutive months, he or she has met the threshold level.

Indicator Criteria	Threshold Levels
A. Chain-of-command recommendations / discretionary assessments	Each will be reviewed
B. Use-of-force (Type I)	Reaching the top 1% of officers who have used force investigated at Type I within 6 months
C. Use of-force (Type II)	Reaching the top 5% of officers who have used force investigated at Type II within 6 months
D. Use-of-force (Type III)	Reaching the top 5% of officers who have used force investigated at Type III within 6 months

E. Vehicle collisions	2 Department vehicle collisions within 12 months
F. Receipt of OPA complaints / Supervisory Action	3 complaints within 12 months
G. Receipt of OPA complaints / Frontline Investigation	3 complaints within 12 months
H. Receipt of OPA complaints / OPA Investigation	3 complaints within 12 months
I. Receipt of EEO complaints	2 complaints within 12 months
J. Named in police actions claims or Police action lawsuit against the City	2 within 24 months
K. Vehicle pursuits	2 within 6 months
L. Unexcused failure to appear in mandatory training*	1 within 12 months
M. K9 apprehension-bite ratio	More than 15% K-9 apprehension bite ratio in a 12 month period
N. Officer-involved shooting	Single incident threshold

Additionally, an Early Intervention Assessment will be conducted at the aggregate level when an employee has a total of six (6) indicators between A – M during any six-month window when the employee is not on a mentoring plan.

An employee's sergeant first-line supervisor shall meet with the involved employee and discuss relevant factors, up to and including an Early Intervention Plan. The chain of command has the ability to include others in this discussion, as deemed necessary.

**2. When an Officer or Civilian Employee Under an Early Intervention Mentoring Plan Has Additional Early Intervention Threshold Indicator Activity, That Employee's Lieutenant or Manager Will Review Any Further Early Intervention Threshold Indicator Activity**

If an officer currently the subject of an Early Intervention Mentoring Plan has additional Early Intervention System activity, the employee's lieutenant will review the new event and submit to the captain, via the status report, a written recommendation regarding whether the original Early Intervention Mentoring Plan should be revised. Additional entries to the Early Intervention Mentoring Plan due to additional triggers are reviewed by the chain-of-command and the Performance Review Committee.

**3. First-line Supervisors of Employees Designated for Early Intervention Assessments or Mentoring Plans Shall**

## **Coach and Mentor Employees About Issues and Behaviors That Indicate Possible Problematic Behavior**

First-line supervisors shall carry out strategies to correct and modify the behaviors identified by the Early Intervention System. Based on each circumstance, performance mentoring of employees may include, without limitation:

- Regular and consistent conversations with employees about issues and incidents that affect behavior and performance.
- Sergeant ride-alongs with employees
- Sergeant accompaniment of employees on at least four calls/traffic stops/citizen contacts per work week.
- After action debriefs of significant events, arrests or other incidents that are an indicator criteria for the Early Intervention System.
- Review of the employee's training history and possible referral to the Education and Training Section for additional training and/or assistance.
- Identifying and supporting positive behaviors.

**Debrief Exceptions:** Designated Type III Use-of-Force incidents, firearms discharges, and any open OPA complaint cannot be discussed in detail, per labor agreements and Department policy. Sergeants may discuss general issues and best practices with the involved officers after that officer has given a statement and has been interviewed by OPA.

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### **3.070-TSK-1 Early Intervention Coordinator's Role in Creating, Implementing and Completing an Early Intervention Mentoring Plan**

#### **The Early Intervention Coordinator:**

##### **1. Monitors**

information related to certain precinct-level activity:

- Uses of force
- Numbers of individual employees who have triggered Early Intervention Assessments
- Frequency of Early Intervention Assessments generated by employees assigned to specific supervisors in order to identify supervisors in need of additional



skills and  
training.

**2. Identifies**

employee who has  
met the criteria for  
an Early Intervention  
Assessment.

**3. Verifies** that the  
Early Intervention  
threshold criteria  
record for the  
identified employee  
is accurate and not  
the result of a  
system or human  
error. If a there is a  
question about  
accuracy, the Early  
Intervention  
Coordinator will  
consult with the  
Human Resources  
chain of command  
and the employee's  
chain of command,  
to determine whether  
or not an Early  
Intervention  
Assessment should  
proceed.

**4. Notifies,**  
within three days,  
the employee's chain  
of command, to

include section  
captain or directors,  
that an Early  
Intervention  
Assessment needs to  
be completed, if the  
early intervention  
threshold criteria  
record is accurate.

5. **Provides**  
assistance and acts  
as a resource to  
personnel involved in  
the early intervention  
process.

6. **Receives** and  
reviews the  
completed Early  
Intervention  
Assessment from the  
section captain or  
director. Advises the  
committee of  
possible inadequacies  
and issues of non-  
uniformity.

7. **Compiles** Early  
Intervention  
Assessments from  
across the  
Department for the  
committee.

8. **Forwards** the  
completed Early

Intervention  
Mentoring Plan,  
Assessment and  
Status Reports  
received from the  
section captain or  
director to the PRC,  
at least one week  
prior to the next  
committee meeting.

Upon being advised by a supervisor that he or she would like to conduct an EIA for an officer or civilian employee who has not met a threshold, the Early Intervention Coordinator shall create an EI Alert and provide it to the supervisor, commander or civilian manager. This initiates the same set of tasks for the employee's chain of command as an EIA that is triggered by the threshold criteria.

### **3.070-TSK-2 Sergeant/First-Line Supervisor's Role in Creating, Implementing and Completing an Early Intervention Assessment/Early Intervention Mentoring Plan**

Upon notice that one of the employees under his or her supervision has triggered an Early Intervention Assessment, or upon deciding to conduct a discretionary assessment, the **sergeant/first-line supervisor:**

**1. Obtains**

documentation relevant to the triggering incident(s).

- Such documentation may include GO Reports, use-of-force reports, OPA/EEO complaints and collision reports.

**2. Reviews**

documentation relating to the triggering incident. The scope of the review must be thorough enough to

identify factual circumstances surrounding the initiation, progression, and conclusion of the triggering incident(s) and to enable the supervisor to identify potential issues.

If a triggering incident has already gone through a separate administrative review (e.g., force review, OPA, collision review), the supervisor should be aware of the outcome of such review and should verify that the employee has followed through with any training recommendations or requirements or is scheduled to do so.

### **3. Reviews**

performance information contained in Blue Team (and/or IAPro) and the Performance

Appraisal System ("PAS"), looking for repeated issues and/or related trends.

In BlueTeam/IAPro, the sergeant reviews information contained in all indicator criteria areas. See 3.070-POL-2.

In PAS, the sergeant reviews at minimum: (a) the last two performance evaluations, and (b) any documentation relating to performance that has occurred between the last evaluation and the date of the assessment.

When reviewing both BlueTeam/IAPro and PAS, the scope of the review must be thorough enough to identify factual circumstances surrounding the initiation, progression, and conclusion of the

incident(s) and to enable the supervisor to identify potential issues.

4. **Considers** any additional factors that may be relevant to the identified performance issue(s) or that might be impacting an employee's performance.

Such factors may include an employee's work history with the Department, secondary employment history, or EIS-related information beyond the triggering incidents (e.g., any prior EI Assessments or prior EI Mentoring Plans).

The review of these factors must be thorough enough to identify factual circumstances surrounding the initiation, progression, and

conclusion of those incident(s) and to enable the supervisor to identify potential issues. The supervisor should become aware of the outcome of triggering incidents that have already gone through separate review and consider whether the employee has followed through with any training recommendations or requirements or is scheduled to do so.

5. Promptly **notifies** the affected employee if he or she has met any performance thresholds and affording the employee an opportunity to identify any errors in the data.

6. **Meets** with employee and offers the employee an opportunity to explain the potentially



problematic  
behaviors.

7. Prior to completing an assessment, **accompanies/observes** the employee in work-related activity whenever possible.

8. **Considers** referrals to the Education & Training Section, the Employee Assistance Program (EAP) and/or Critical Incident Stress Management (CISM) Team. These alternatives may be part of the Early Intervention Mentoring Plan but are not substitutes for it.

9. **Completes and submits**, within 14 days of notice, an Early Intervention Assessment and, if appropriate, proposed Mentoring Plan through the

supervisory chain. A proposed Mentoring Plan must identify specific performance issues to be addressed, identify specific methods/trainings that will be utilized to address the identified performance issues, and identify specific time frames for completing assigned tasks or training, and identify the chain of command responsibilities in ensuring the performance issues are addressed and corrected by involved employee, to include completion of bi-weekly status reports. If a training plan is not recommended, the supervisor shall thoroughly document the reasons for such decision.

#### 10. If Early Intervention

Mentoring Plan is approved, **coaches** and **mentors** the affected employee so as to end the potentially problematic behavior and improve performance on a continuing basis, using strategies identified in Section 3.070-POL-2.3

11. **Utilizes** the status report to document actions/training taken.

12. **Modifies**, in conjunction with the chain of command, the Early Intervention Mentoring Plan as needed.

13. **Submits** an Early Intervention Status Report on a twice monthly basis to their supervisory chain for review and concurrence.

14. Upon **completion** of designated Review Period, documents and recommends on the status report whether or not affected employee has participated in and made progress in the designated training/coaching.

### **3.070-TSK-3 Lieutenant/Manager's Role in Creating, Implementing and Completing an Early Intervention Assessment/Early Intervention Mentoring Plan**

Upon notice that one of the employees under his or her command triggers an Early Intervention Assessment, or that a sergeant/first-line supervisor has decided to initiate a discretionary assessment, the **lieutenant/manager**:

1. **Reviews** the circumstances that triggered the EIA.
2. **Ensures** that the employee's sergeant/first-line supervisor is aware of and will be responsible for the EIA.

3. **Reviews** Early Intervention Assessment and proposed Mentoring Plan developed by sergeant/first-line supervisor for completeness and appropriateness, as described in Section 3.070-TSK-2.

4. **Directs** corrections, modifications, and/or additions to the Early Intervention Assessment and/or Mentoring Plan when needed.

5. **Recommends** whether or not employee should be assigned to the Early Intervention Program via the proposed Early Intervention Mentoring Plan.

6. **Submits**, within three days of receipt from the sergeant/first-line

supervisor, the completed Early Intervention Assessment and proposed Mentoring Plan to the section captain/director.

7. **Reviews** Early Intervention Status Reports for the employee and **documents** their observations on the EI Alert.

8. **Specifies** on the Early Intervention Status Report and at the completion of designated Review Period, whether the employee should be removed from Early Intervention Program.

### **3.070-TSK-4 Section Captain/Director's Role in Creating, Implementing and Completing an**

## **Early Intervention Assessment/Early Intervention Mentoring Plan**

Upon notice that one of the employees under his or her command triggers an Early Intervention Assessment, or that a sergeant/first-line supervisor has decided to initiate a discretionary assessment, the **captain/director**:

1. **Reviews** the factors and circumstances that led to the EIA.
2. **Ensures** that the employee's lieutenant and sergeant/manager and first-line supervisor are aware of and will be responsible for the EIA.
3. **Reviews** assessments and proposed mentoring plans for completeness, appropriateness and effectiveness with the goal of reducing problematic behavior and upholding lawful,

professional and  
ethical standards.

**4. Determines**

whether or not a  
proposed Early  
Intervention  
Mentoring Plan  
appropriate based on  
completed EIA and if  
so, establishes a  
timeframe for  
implementing Early  
Intervention Plan  
timeframe.

**5. Forwards,** via

IAPro, completed  
Early Intervention  
Assessment/ Early  
Intervention  
Mentoring Plan within  
seven days of receipt  
to the Early  
Intervention  
Coordinator in  
Human Resources.

**6. Implements** and

oversees Early  
Intervention  
Plan, upon approval  
by bureau chief.



## **7. Reviews**

completed Early Intervention Status Reports forwarded by lieutenant/manager for completeness and appropriateness and **documents** having done so in the comments field of the EI Alert.

**8. Designates**, if appropriate, that the affected employee has completed the designated Early Intervention Mentoring Plan review period and should be removed from the Early Intervention Program or; that the Early Intervention Mentoring Plan will be extended for another specified time period.

### **3.070-TSK-5 Performance Review Committee's Role in Creating, Implementing and Completing an Early Intervention Assessment/Early Intervention Mentoring Plan**

#### **The Performance Review Committee:**

##### **1. Reviews** certain precinct-level activity:

- Whether executives are holding Captains accountable for managing the risk of police misconduct in their units.
- Whether the Lieutenants/managers or captains/directors or both are adequately holding

sergeants/first  
-line  
supervisors  
accountable  
for their  
supervision of  
officers/civilian  
employees  
under their  
command.

- Whether the employee's immediate supervisor has adequately overseen the employee's performance in the past and is doing so currently.

**2. Reviews** each  
Early Intervention  
Assessment/ Early  
Intervention  
Mentoring  
Plan/status report  
against  
Department policy  
to ensure  
consistency  
across  
Department.

**3. Determines**

whether Early Intervention Assessment/ Early Intervention Mentoring Plan/status reports meet department's goals of intervening and offering assistance to employees.

**4. Forwards,**

within seven days of the monthly meeting, Early Intervention Assessment/ Early Intervention Mentoring Plan/status reports with their recommendations to appropriate bureau chief for final approval.

### **3.070-TSK-6 Bureau Chief's Role in Creating, Implementing and Completing an Early Intervention Assessment/Early Intervention Mentoring Plan**

When one of the employees under his or her supervision triggers an Early Intervention Assessment, either by way of a chain-of-command recommendation or by crossing one or more thresholds, the **bureau chief:**

1. **Reviews** initial recommendations for action developed by affected employee's chain of command and the PRC.
2. **Determines** whether Early Intervention Assessment/ Early Intervention Mentoring Plan is consistent with SPD policy and the goals of intervening and offering assistance to employees so that they will be able to uphold lawful,

professional and  
ethical standards.

3. **Approves**,  
within five days of  
receipt, the Early  
Intervention  
Assessment/ Early  
Intervention  
Mentoring Plan, as  
appropriate.

4. **Reviews**  
completed Early  
Intervention  
Mentoring Plan  
Status Reports  
prepared by  
subordinates.

5. **Designates**  
final disposition of  
Early Intervention  
Mentoring Plan as  
**completed** or  
**directs** additional  
actions.