U.S. Department of Justice
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San Diego Police Department

Enhancing Cultures of Integrity

Building Law Enforcement Early Intervention Systems

TECHNICAL ASSISTANCE GUIDE

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COPS
COMMUNITY ORIENTED POLICING SERVICES
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The Internet references cited in this publication were valid as of the date of this publication. Given that URLs and websites are in constant flux, neither the authors nor the COPS Office can vouch for their current validity.

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INTRODUCTION

Across the nation, the vast majority of police agencies and their officers perform their police duties not only with pride but also with the sort of professionalism that we can all be proud of. Just as important, most remain physically and mentally healthy while doing so. Yet experience has shown that there are a small number of law enforcement employees whose problematic performance disproportionately impacts their agencies in costly civil suits, organizational malfunction, poor community service, and loss of valued employee services.

Early Intervention Systems (EIS) are tools being adopted at an increasing rate by law enforcement agencies of all sizes and types across the United States. These systems are usually in the form of electronic databases that statistically compare employee performance against a range of numerical standards. Three incidents of behavior "X," for example, may raise a red flag that requires "Y" response by the agency's administration. With the purpose of identifying problematic behaviors, these "systems" capture specific pieces of information about employee performance. Typically, participation is mandatory in EI systems, meaning, once an employee has been flagged that employee must comply with the provisions of the administration's "Y" response to the event(s) that caused the flagging. For that reason, EI systems tend to be closely associated with agency disciplinary and evaluative processes. Their value lies in the fact that they draw together and assess information (that generally already exists in disparate locations) for the purpose of identifying trends in problematic behavior.

Many of the early EI systems were created in response to consent decrees entered into under duress by agencies accused by federal, state, and/or local authorities of having systemic problems. But EI systems can bring value to agencies with healthy cultures as well and they are increasingly being considered as essential administrative tools. In this latter spirit, then, the San Diego Police Department (SDPD) chose to implement an EI system called the "Early Identification and Intervention System (EIIS)."

In creating EIIS, the SDPD chose to concentrate on the "E" part of that acronym for the design and application of its program. Management chose a strategy of identifying problematic behavior as early as possible—at a point in time prior to that necessitating discipline.

Upon consideration, it was determined that the part of employee problematic behavior caused by intentional misconduct was already being adequately dealt with using existing disciplinary processes. Likewise, inappropriate conduct due to lack of understanding or training issues was already being adequately dealt with by existing training process. However, a third category of problematic behavior was identified. That third category encompassed; a transitory behavior, conduct out of character, and/or declining performance, and is a category that might find its origin outside of the two formerly-listed categories.

Research and axiomatic "truths" within the law enforcement profession lead us to believe that a small percentage of police employees suffer chronic illness, excessive injury, and/or otherwise engage in problematic behavior linked to the physiological costs that can result from overexposure to stress.

Current medical literature dealing with the physiological costs of chronic stress exposure suggests strongly that such conditions as chronic fatigue, depression, hostility, obesity, inattention, substance abuse, chronic pain, forgetfulness, anger, irritability, accidental injury or damage, demoralization, heart disease, diabetes, gall bladder disease, certain cancers, osteoporosis, immune system disorder, high blood pressure, and arthritis (to name a few) are often related to chronic stress. The conditions that lead to chronic stress may or may not be related to an employee's employment. Regardless, when the symptoms of one of these conditions are present on the job, they certainly can negatively impact that employee's performance, oftentimes in extremely costly ways. Some of those ways include: medical retirements; liability issues arising from collisions; injuries to both themselves and those they contact in the performance of their duties; lost work days; personnel investigations; and more.

Medical literature also suggests that, in many cases, early intervention can be accomplished by diet, exercise, and the kinds of support services that many law enforcement agencies already make generally available through their employee assistance plans. Of particular importance is the fact that these forms of interventions are relatively inexpensive. Clearly, the keys to employee health, where problematic behavior involving the previously listed symptoms is concerned, are early identification and intervention.

In response to the Enhancing Cultures of Integrity Grant issued by the Department of Justice Office of Community Oriented Policing Services (the COPS Office) the San Diego Police Department has adopted a voluntary EI system. That system, EIIS, is designed to help identify employees who may be experiencing personal or professional problems that are manifesting themselves in problematic behaviors on the job. The system identifies these employees by comparing individual performance data against peer performance data and noting exceptions (above or below average and top 5 percent) across a range of twelve performance indicators. Performance exceptions are then assessed for indication of problematic behavior, and, if intervention is indicated, appropriate resources are targeted to the specific needs of the employee. The focus is on helping employees by providing intervention in a voluntary and non-disciplinary format.

This Guide is provided as one example of how an EI system can be crafted. EIIS focuses on employee stress-induced problematic behavior, intervention, and voluntary involvement in a curative solution. The system, therefore, ignores several categories of employee performance most EI systems include. Personnel evaluations, discipline, commendations, and both the allegations and dispositions of citizen's complaints (although EIIS does include the raw number of citizen's complaints), for example, are all ignored by EIIS. Again, our focus is on early identification and timely intervention. The first step in designing your own EI system will be defining what you want to accomplish with it. This Guide has much to offer in way of organizing the rest of your effort.

For a quick glimpse of the overall development process used in EIIS, see "Project Development Flow Chart" in Appendix E of this document.

This Guide is provided as an aid to other agencies that are considering development of their own EI programs. It will:

- Provide a brief summary of important social and legal events that preceded adoption of EI systems as 'best practice' procedure by the Commission on Accreditation for Law Enforcement Agencies.
- Provide a brief summary of important events that lead to the creation of the San Diego Police Department's EIIS, what it does, and how it goes about its work.
- Provide a list of key considerations used in the San Diego Police Department's EI system decision-making process.
- Provide a chronological, step-by-step outline of the major steps and tasks involved in the creation of an EI system.
- Provide detailed "example" documentation that addresses each of the steps and tasks addressed by the San Diego Police Department in creating its own EI system, as well as a summary of information on the program's vision, its goals, objectives, and expected outcomes, and the strategies employed in the creation of the program.

BACKGROUND

A. Important precursors to EI theory and development in law enforcement

1. The Rodney King beating

   In 1991, subsequent to the Rodney King beating, the Christopher Commission, journalistic investigations, and other independent investigations determined that a small percentage of the overall police population was responsible for most inappropriate officer behavior.

2. Consent decrees

   In the early 1990s, federal authorities began forcing selected agencies across the nation into consent decrees to legally compel them to cease patterns of alleged illegal procedure and conduct. Since that time, state and local levels have begun similar legal actions.

3. The Commission on Accreditation for Law Enforcement Agencies (CALEA)

   In 2001, CALEA adopted a new standard, 35.1.15, establishing a Personnel Early Warning System "to identify agency employees who may require agency intervention efforts."

   > *"The agency," the commentary of the CALEA standard stated, "should not be faced with investigating an employee for a serious case of misconduct only to find there was an escalating pattern of less serious misconduct, which could have been abated through intervention. The failure of the agency to develop a comprehensive Personnel Early Warning System can lead to the erosion of public confidence in the agency's ability to investigate itself, while putting the public and agency employees in greater risk of danger."*

B. Important precursors to EIIS development in San Diego

The San Diego Police Department's "Use of Force Task Force"

In 1998, the SDPD's Use of Force Task Force made many recommendations to improve the Department's ability; to better serve the community, provide additional tools to deal with myriad situations faced by law enforcement, to improve officer safety, and to increase the prevention of crime and apprehension of offenders. Recommendation 71 was: "Establish an early warning computer program to identify employee problematic behaviors."

Pre-EIIS programs and services provided for employees in need:

1. Alcohol/Substance Abuse Program – Department program: Provides experienced peer assistance to employees in need
2. Focus Psychological Services – Department program: Provides confidential counseling and critical incident debriefing to public safety personnel and their families

3. Health Management – Department program: Administers and supervises SDPD fitness, image, and training programs
4. Chaplain program – Department program: Provides spiritual guidance and counseling to public safety personnel and their families
5. Member Assistance Program – Department program: Provides a network of employees trained to help guide and refer employees toward appropriate medical, legal, psychological, and spiritual assistance
6. Peer Support Program – Department program: Provides experienced employee guidance for employees processing through dramatic incidents
7. Family Medical Leave Act – Federal act administered by the SDPD: Provides special leave for employees with family emergencies
8. Catastrophic Leave Process – Department program: Provides a process that allows fellow employees to donate leave for employees with emergency time off needs
9. Employee Assistance – City program: Provides assistance to employees in solving personal and family problems that affect their professional and private lives

C. Other considerations

1. Our review of public safety research literature determined that EI systems are the current 'best practice' recommendation for policing agencies in dealing with problematic employee conduct.
2. We had confidence that our department's discipline process was well-structured and fully addressed the needs of work performance issues that progress to the point of requiring discipline.
3. We had confidence that our department's training process was well-structured and fully addressed the needs of work performance issues that require training solutions.
4. Our immediate interest was in the causes of unexplained deterioration in performance and in mitigating or preempting the need for discipline. We noted that mistake-based problematic behaviors tended to occur early in an employee's career while judgment and attitude-based problematic behaviors, those more frequently and most severely disciplined, tended to come along several years later. We noted too that new officers tend to be young, healthy and optimistic, while age, diet, finance, and family issues complicate the work lives of more senior officers. And finally, we noted the physiological symptoms of chronic stress illness can lead to these discipline and career period dichotomies.

5. The policing community has been aware of the problematic impact of stress upon the performance of public safety employees for years. More recently, numerous medical studies have linked poor health, accidents, injuries, and psychological problems to the ills caused by chronic stress (a well studied medical condition called "allostatic load"). Chronic stress-related illness has been linked to hypertension, diabetes, weakened immune system, rheumatoid arthritis, stroke, memory problems, depression, excessive weight gain, attention deficit (think accident proneness, injuries, and vehicular collisions), judgment impairment, anger, and aggressiveness, and it can make us more likely to contract some infectious illnesses like flu, which keep us away from work.
6. We were concerned with the significant and ongoing departmental cost associated with employee illness and injury.
7. Current medical research clearly indicates that inexpensive resources (relative to the cost of performance error) such as counseling, exercise, and diet control—readily available within the public safety community—have considerable potential for mitigating or reversing chronic stress-related performance problems.

D. Responding to the need

In deciding on a formal response to the previously-listed events and considerations, the SDPD chose the strategy of developing an EI system with related intervention strategies and resources.

E. Early Identification system defined

An Early Identification system is a computer database police management tool designed to identify officers whose behavior is problematic, as indicated by pre-selected performance indicator fields determined by the agency. The program is "early" in the sense that an agency acts on the basis of performance indicators that suggest an officer may be having problems on the job but do not necessarily warrant formal disciplinary action as the initial organizational response. The identification, coupled with a menu of remedial actions, increases agency accountability and offers employees a better opportunity to succeed in their organizations.

F. About the rest of this document

The "Building an EI system" section of this document presents the major steps involved in creating such a system. These steps are listed in chronological order and are intended to provide an easy reference/guide for those considering the creation of their own EI systems. Step summaries are highlighted in bold and each, in turn, is followed by un-highlighted text which elaborates on various special considerations for that step. Several steps have been broken down into a series of chronologically-listed sub-tasks. These sub-tasks have also been highlighted to illustrate their importance.

It is worth noting that the combination of each agency's organizational structure, culture, administrative needs, and available resources will determine its unique approach to the creation of an effective EI system. The user may find additional steps, and/or tasks, that are critical to their agency's unique needs.

Two items, included in the appendixes of this document, "A Brief Introduction to EIIS" (Appendix A) and "An Outline for the Creation of the SDPD EIIS Program" (Appendix B) are provided as resource documentation for Guide users. A quick read of "Brief Introduction" will give the user a generalized context within which the abstractions of "Outline" can be understood. The latter is a detailed paper that addresses each of the steps and tasks taken by the San Diego Police Department (using the same outline format for easy cross reference) in creating its own EI system. The documents are included as examples of how one agency approached the Organization, Planning, Designing, Developing, and Initiating Operations steps of creating an EI system to fit its unique needs. Using this paper as a reference during review of this Technical Guide should answer many of the user's questions about the various issues worthy of consideration during the EI system creation process.

BUILDING AN EI SYSTEM

A. PHASE I - Getting your EI system operational

1. Appoint a project manager

The project manager is the person responsible for accomplishing the stated project objectives. Key project management responsibilities include creating clear and attainable project objectives, building the project requirements, and managing the costs, time, and quality of the EI system effort. The project manager must speak with requisite influence to effectively cross lines of authority and communication within all parts of the agency. Anticipate many challenges from other units and their leaders due to real and perceived priorities. (Again, see Appendix B of this document for a thorough example of how this, and each, of the following steps was approached in creating the SDPD EI system.)

2. Announce your EI project

An agency-wide announcement is crucial to establish openness, to build employee expectations, and to foster understanding. The priority your agency's administration places on creation of this system should be clearly communicated in this announcement.

3. Establish a project steering committee

Recruit and appoint committee members carefully. Building an EI system is complicated, and retaining those with long-standing project knowledge throughout the project is essential. This group—with their law enforcement knowledge, programming skills, organizational development skills, institutional history awareness, and many other attributes—will dictate the quality of your finished product.

4. Research existing EI systems

Do extensive research on EI systems on the Internet: identify agencies which have been forced into Consent Decrees and read those decrees so you understand how sincerely you do not want to wait until your agency has been forced into that same legal quagmire; identify agencies which have voluntarily built their own EI systems; contact these agencies and request the names of their designers, administrators, and system documentation; conduct enough research to get a preliminary understanding of which type of EI system will be most effective for your agency and what issues are associated with that type system. Also, research Internet police-related literature posted by institutions, such as the Police Executive Research Forum and Community Oriented Policing Services, etc.

5. Create a project plan

(This will clarify the reasoning behind your EI system and structure your approach to its creation.)

a. Define the problem/opportunity/situation your program will improve

EI systems can help to instill public confidence, decrease liability issues, improve identification and response to problematic employee behavior, etc. Is funding available, etc.?

b. Define the conditions that currently face your agency

What is the public opinion of your agency/employee performance? What is the attitude toward problematic behavior within your agency? What is the magnitude of the problem it poses? Do the structure and effectiveness of problematic behavior related processes within your organization meet your current needs; anticipated future needs? How well does your organization deal with performance related data: is the data bundled, assessed, and delivered to those who most need to read it and make decisions based upon it?

c. Identify those impacted by current situation (the stakeholders)

Is the public a stakeholder? Are your employees, first and second level supervisors, administrators, and employee unions/associations, perhaps even local political authorities, stakeholders? Street level police employees are those most impacted by current EI systems. Could civilian personnel benefit from inclusion? If so, they may be stakeholders as well.

d. Identify and define the obstacles/barriers to establishment of an EI program within your agency

Consider your agency's culture, employee attitudes (at all levels), funding, and the workloads of those that will be impacted by the existence of an EI program. Also, consider employee representative groups and the possibility of their opposition to what is often thought of as a 'big brother' process.

Do you want to include other police personnel in your database? For example: civilian, first and second level supervisors, and/or management. Of major importance to this question is the establishment of task performance measurement—tracking procedures for the products of those positions and the creation of databases for EI system mining. All of these categories have a major impact on the police function, and their effective and efficient function is of considerable import to the police product.

The measurement of street-level performance has long been standard operational procedure for police agencies and, as such, has the benefit of pre-existing the EI process with already-maintained databases in almost every agency within the police community. These databases are fundamental grist for today's EI systems, but they are not generally replicated for other police employee roles; neither do such exist within other governmental agencies and, finally, they are not commonly included in current EI literature. Including civilian personnel in your EI system could pose problems and would need thorough consideration.

e. Define the vision, goal(s) and objective's and outcomes for your EI program

This is a crucial step. You will need to reflect back on these constantly, in particular the goals and objectives, as you create the step-by-step development plan that, in turn, will guide your EI system building effort.

An EI system vision defines the desired future state of the agency. An EI system goal defines the state of effective performance your agency believes must be attained for the program to be regarded as successful. An EI system objective defines one of the targeted organizational states that must be reached before the program's goal is considered achieved. An outcome describes the desired end result of successful EI system operations.

f. Determine and state the assumptions that must be true in order for your EI program to be viable

Consider the sort of physical and budgetary conditions that are present in your agency. Also, consider your agency's culture. Then write out a series of statements to fit those conditions, e.g., "To succeed our EI program must have the firm support of our agency's administration."

Think about the following:

1) Can your program succeed without support from the first and second level supervisors?
2) Will the program be valued by agency employees?
3) Will it be valued by those responsible for using it, and is that important?
4) Does your agency have adequate budget for completion of the project and continuing maintenance of its operation?

g. Determine the EI system model most appropriate for your agency needs and identify the issues associated with that model

EI systems are designed in a variety of different ways. Early systems were non-volitional and designed to hold errant agencies accountable in accordance with consent decrees entered into between those agencies and state and/or federal authority (see "law enforcement consent decree" on the Internet for more specific information). These EI systems tend to be structured around tracking and responding to an overriding problem(s) and endure only so long as the problem continues to exist; that is, until the state or federal authority (more often an appointed third party) is satisfied correction has been completed. The inherent "preemptive" value of EI systems soon became evident, and many were voluntarily created to track those performance issues commonly tracked by consent decree EI systems for the purpose of avoiding like decrees. Eventually, as EI systems became "best practice" tools, they drew together a wide variety of performance databases long kept by law enforcement agencies but rarely brought together for the purpose of comparative assessment. Most commonly, EI systems are now used to assess problematic behavior for the purpose of employee accountability (intervention in the form of evaluation and/or discipline) and determining training needs. Another way to structure an EI system is to design it to detect trends of problematic behavior before the need for discipline arises.

What is the purpose of the EI system you are intending to build? Is it agency and/or employee accountability; is it employee welfare, or maybe performance enhancement? Your answer to these questions and reference to your goals will help to determine the type of EI system best suited to your organization's needs.

h. Create a temporary process flow chart of your envisioned EI system

Determine the processes you want to be accomplished by your EI system and chart them in a flow chart so that the system can be visualized. It is much easier to see flaws when something is on paper and it can be studied. This chart is to be used as an aid in organizing your initial development efforts. See the appendixes to view both the San Diego Police Department's "Temporary EIIS Process Flow Chart," (Appendix C) and the "EIIS Process Flow Chart" (Appendix D), created after completion of the planning stage. They are quite different from one another. Expect this kind of change to occur during your effort as new understandings and unexpected needs reveal themselves.

Example: Consider data flow, information flow, decision making, and metrics as processes that can be depicted in chart form. Your EI application, its user delivery applications, and the various users would then be points through which those processes flow.

i. Create study committees (This step is for agencies that desire to use stakeholders as a part of program creation.)

Create a series of committees, each of which is to study and make recommendations about the major processes (or other desired issues) that will take place within your EI system. Committee members should receive historic information about EI systems, enough training to familiarize them with how EI systems work, the facts and assumptions that lead to your agency's decision to create its selected EI model, as well as a copy of the temporary process flow chart you have created.

At the conclusion of their studies, each committee should make recommendations to the appropriate project authority on the processes they were responsible for. This can be an important 'buy-in' portion of the program process, but it is critically important that committee members understand that the agency's administration retains responsibility for department operations and will make all final decisions.

j. List the core concepts to be incorporated in your EI program

This list will help guide thinking during the development process and can be the foundation for a list of quality control questions to be asked of your final product, e.g., "Does your system meet the core concept requirement of being confidential?"

The following list covers some questions to ask:

1) What are the standards against which employee performance will be measured?
2) Will peer group performance be considered?
3) Will there be preset measurement quantities/qualities?
4) Will participation in the program be voluntary or mandatory?
5) Will data be used for discipline, personnel evaluation, or some other purpose?
6) Will employees have access to their own data?
7) Who else will have access to it?

k. Design the strategy to be used in program development

You will need a road map designating the order of tasks to be completed and assignments of responsibility to those who will be designing, approving, and completing/building the major parts of your EI system. This is necessary to avoid getting lost in the complexity of the myriad decisions you will be making and remaking during the development component of your EI system project.

Example:

1) Where, in the sequence of system development, does the task of importing performance data into your EI system fit in?
2) What group or position is responsible for designing this process?
3) What group or position approves the process design?
4) What group or position will do the programming and with what priority relative to other assigned tasks?

Other major tasks that might be considered are the assessment or measurement process, the intervention process, the user delivery process, and application design. Still others are beta testing, pilot testing, training and, finally, going operational.

l. Design data-flow methods from outlying databases to EI application

Typically databases are housed in the units they were important to at the time of their creation. In other words, they tend to be scattered throughout the agency. Steps need to be taken to identify the databases of interest to your EI system and then to make programming changes (if necessary) to make those databases relevant to, and readable by, your EI application. To accomplish these steps you need to obtain appropriate permissions and to import their content to your EI system. You will also need to establish who will have data input responsibilities (not into your EI application, but into the database your EI is tapping into) from this point forward, as this may be seen as an opportunity for the housing units to divest themselves of that task. Establishing the frequency of data input is important as well. Many units assign a lower priority to data input in their databases than more pressing operational issues. EI data need to be refreshed at rates consistent with the needs of your users. Expect that negotiations with housing units will be necessary.

m. Design the EI system application

The program application is the element of your program that gathers, manipulates, and delivers the data that are the core product of your system. In this step you create a written version (model) of the EI system application your programmers will create for you later. Your model should incorporate the various elements of the program plan you have just completed. This is a lengthy process of designing the content and appearance of each page of your application, the various links to it, as well as the functions, metrics, and access permissions to that page. (The **program application** is different than the application you will create to deliver its EI product to your users. The latter, the **delivery application**, is addressed next.)

n. Design user delivery applications

Your EI application must somehow deliver its product to its users. Potential methods of user access could include: periodic hardcopy distribution; Local Area Network (LAN) computer distribution; stand alone computer distribution; automated or live telephonic distribution, etc. What delivery method best serves the circumstances surrounding your EI?

Whichever delivery application process is selected, certain concerns must be built into the process. Among those concerns are that it must be secure—the data used by EI systems and the employee identification associated with it have privacy and document retention legal ramifications in virtually every state. Also, it must be readily available to all who have been designed into the access protocols. And keep in mind that it must be easy to access or it will not be used often enough to be beneficial.

o. Create a final process flow chart for your EI system

Your temporary process flow chart was good for preliminary planning. Now that you have designed all the processes in detail it is time to record the results on paper. This version of the flow chart will clearly document the various processes that need to be built into your EI system in its final form. See Appendix D to view the SDPD's "EIIS Process Flow Chart."

6. Develop the system

Now it's time to build your EI system. While fleshing out each of your processes, take care to identify who will be responsible for the development of each; e.g., what position (not person) will be responsible for data input (include mention of input frequencies, alternate positions, weekends, holidays, etc.), identify units responsible for programming, testing, and reporting out processes.

a. Develop the assessment process

When your EI application flags an employee, how will your system go about evaluating the flagged conduct/employee?

1) Who is responsible for assessing flagged conduct?
2) What exigent circumstances exist, special assignment, recent events, etc.?
3) Might other databases (not those in the EI system) be consulted, e.g., overtime, vacation, or sick leave usage?
4) Will other levels of supervision be consulted?
5) To whom are assessment results delivered and in what form?

b. Develop the intervention/referral process

1) Is there a formularized process for intervention/referral? If so, what is it?
2) Are interventions/referrals documented or undocumented? If documented, how, and where are documents maintained?
3) Can employees self-refer to available resources?

c. Develop EI system use reporting out process

Will documentation of system use be required? If so:

1) How is it documented, by whom, and how are the documents to be distributed?
2) Is non-use of the system documented?
3) Is there administrative follow-up on system use, effectiveness?
4) Are intervention and referral processes reported out in administrative report form?

d. Develop EI application

This is the core task in building an EI program. It is long and involved. Don't forget that in each of the following tasks you will need to identify who will be responsible for updating and ongoing maintenance to the task. Take a close look at the related planning portions of "An Outline for the Creation of the SDPD EIIS Program" in Appendix B of this document to see how extensively each of the following was covered.

1) Develop system security measures
2) Develop user access levels
3) Import databases
4) Apply metrics
5) Develop pages
6) Beta test application

e. Develop user delivery systems

This is the method(s) that you will use to get your EI data to its users.

1) How is the EI data delivered to system users?
2) What permissions will be required to make this work?
3) Are there criminal or administrative laws or policies and procedures that need to be addressed to make this work?
4) Who (what position) will have responsibility for maintaining the delivery system?
5) Are there security issues associated with this system?
6) What are the routines and other tasks associated with this system?

f. Develop and complete beta and pilot testing period

Beta testing is the process of testing your system before any users become involved. Close coordination between your designer(s) and your builders will be required to iron out any bugs detected. Pilot testing is a period of testing using a small group of users to ferret out the kinks in your system before it goes fully operational.

1) Beta testing will probably be done by your project manager or volunteers in association with your applications builder(s) or vendors.
   (a) Use your process chart and test each process
   (b) Does each process do what is expected of it?
   (c) Would a person unfamiliar with your project planning experience understand the system product?
   (d) Look for exceptions that require correction

2) For pilot testing, select a small segment of your future user population
   (a) Train those to be involved
   (b) Determine length of pilot testing period and the standards to be met
   (c) Correct problems as they surface
   (d) Document pilot program, submit for final approval

7. Go operational

Map out this process so that you know each step and the needs associated with that step.

a. Train the trainers agency-wide

Who will conduct the training, who will be trained, and what responsibilities do those that are trained have for training system users?

b. Train the users agency-wide

How will the training be conducted, e.g., in a series of department-wide classes, by unit, by division, over what time period?

c. Initiate the program

Will the program commence operations throughout the agency on a single specific day or will it be phased in? If phased in, what is the progression of units/divisions/etc. to be trained, over what time period?

B. PHASE II – System enhancement

Once your program is operational it is time to begin thinking about enhancement of its processes.

1. Performance indicator database expansion
   As new performance indicator databases become available, consider adding them to your system. Identify new areas of performance that have potential for improving your system's effectiveness and develop new databases.

2. Historic data program
   Consider the possibility of mining raw historic data (i.e., data without employee identifiers—legal issues probably impact the length of time your system may retain data concerning performance related issues associated with specific individuals) for long-term profiling of problematic performance in general and in predictive programming.

3. System validation
   How will your agency validate the system's effectiveness? What review steps will be taken, at what intervals, and where does the responsibility for this process lie? To who are validation documents delivered and where are they stored?

4. System expansion
   Will your EI system be expanded to include other processes in the future, e.g., personnel evaluation; discipline; commendable performance, designing hiring profiles, etc.? Or, as some other examples do, maybe you want to design your system to include civilian employees and be more robust in assessing the performance of detectives.

SYSTEM EVALUATION

A. Identify evaluation partners and roles

1. Determine who will participate in, and who will be in charge of, conducting the system evaluation process
2. Determine how often and when the evaluation process will be conducted
3. Determine what form the evaluation documentation will take and to whom it will be distributed

B. Evaluate the system's product

1. Devise relevant outcome indicators that are reliable and based on statistically valid data
   Consider using quantitative data like numbers of citizen's complaints or disciplinary actions, etc.
2. Determine how indicators will be measured (set standards)
   Consider using pre-EI system data as the baseline against which your EI data can be measured.

C. Evaluate the system's application

1. Determine the functionality of your application
   Consider such things as: how often your system was accessed by users, how frequently your users required assistance in using the system, how many days the system was down and how many times database statistics were found to be in error.
2. Evaluate your findings
   Determine how you need to respond to your findings and consider maintaining these statistics for use as a baseline for the next evaluative period.

D. Evaluate the system's user delivery process

1. Devise relevant outcome indicators that are reliable and based on statistically valid data
   Consider using qualitative data such as: how frequently users sought help in using your delivery process, how many down days the process(es) experienced, and how many user complaints were made regarding process functionality.
2. Evaluate your findings
   Determine how you need to respond to your findings and consider maintaining your statistics for use as a baseline for the next evaluative period.

OTHER RECOMMENDATIONS AND CONSIDERATIONS

A. Resource provision

If your system provides its users with referrals to a variety of resources, make certain each is evaluated for its ability to:

1. Provide the intended service
2. Handle the anticipated workload
3. Meet your agency's confidentiality requirements

B. Sub-contracting

If your agency does not have sufficient expertise, it may benefit from use of professional sub-contracting during program development. Consider such services for:

1. Project management
2. Program planning and developing
3. Application building and maintenance
4. Program training
5. Program assessment
6. Employee mediation
7. Employee counseling

C. Communicating with application programmers

Programmers think differently than planners and users do. They may tend to sub optimize processes, or make an individual process perfect without reference to the batch-based work flows that operational people must go through in performing the tasks for which the process was created. EIIS planners found it beneficial to speak in terms of desired outputs, leaving the programmers to decide how to get there. Nevertheless, it is important to plan for exceptions and to communicate them to programmers who seem often to think that no exceptions will (should?) occur in a program. Simple issues such as the following can have dramatic impact upon a program:

Work Flow process

1. Will your printout command need to include a provision for printing on both sides of a paper?
2. Will your users need to check more than one document on a computer screen at one time?
3. Will it be necessary, for security purposes, to automatically log a user out after a certain length of inactivity?
4. Will you need to batch process, a command that allows for a command to run to completion without prompting the user for additional input?

APPENDIXES

Appendix A: A Brief Introduction to EIIS

Mike Gibbs, March 2010

The San Diego Police Department recently started a new program called the Early Identification and Intervention System (EIIS). This system is website-delivered and available to all sworn personnel on their in-office accounts, their field laptops, and their home computers.

The core element of the program is a database that captures specific pieces of information about employee performance in order to help identify those who may be experiencing training deficiencies and/or personal or professional problems that are manifesting themselves in problematic behaviors on the job. This information is used to help target resources to the specific needs of identified employees. The focus is on helping employees and providing intervention in a non-punitive and non-disciplinary format.

The EIIS website provides a variety of types of information and services. In addition to the core database, which measures performance indicators, the following pages can be found on the website:

- A Tutorial page to guide new users through the various pages and uses of the program.
- A Home page that is updated, on an ongoing basis, with information on program issues or changes and brief postings about newly posted resources.
- An About EIIS page that reviews the issues that led up to the creation of EIIS and briefly summarizes its operation.
- An FAQ page answering questions about EIIS.
- A Feedback page that provides direct email access to the system administrator for answering questions about the program, pointing out inconsistencies and errors in presented data, and suggesting improvements.
- A Resource page that offers dozens of resources available to officers and their families listed under the following categories:

I. CITY RESOURCES

II. DEPARTMENT RESOURCES

III. SELF-ASSESSMENT

IV. STRESS MANGEMENT AND SELF HELP

V. SUBSTANCE ABUSE

Appendix B: An Outline for the Creation of the SDPD EIIS Program

Mike Gibbs, December 2010

This Outline provides brief summaries of the various steps that will be taken in the creation of the EIIS program.

BUILDING THE SYSTEM

A. PHASE I - Getting EIIS Operational

1. Appoint a project manager

   The EIIS Project Manager will be a lieutenant (second level supervisor). Responsibility for managing the EIIS project will be a collateral duty for the Project Manager. For all issues arising out of EIIS-related responsibilities, the Project Manager will report directly to the Executive Assistant Chief of Police (agency second in command) and shall act with that position's authority.

2. Announce the project

   Announcement of the coming EIIS program will be made as soon as the newly-appointed Project Manager can craft a statement. It is important that the process not appear secretive, that it has a well-established priority among current department projects and that the agency's reasons for creating it are clearly communicated to all. The announcement should also communicate clear expectations regarding cooperation and involvement with the project.

3. Establish a project steering committee

   The EIIS Steering Committee will be comprised of the Project Manager, a retired police sergeant (volunteer), a strategic management consultant (volunteer), a data programming and systems management supervisor (agency civilian employee, first level supervisor), an application programmer (agency civilian employee, base level data programmer), and a light-duty uniformed police officer. The bulk of the ongoing workload is expected to fall to the two volunteers, as participation by all other members of the Steering Committee will be conducted as collateral duty. The Project Manager will supervise Steering Committee personnel in all matters related to the EIIS project.

4. Research existing EI systems

   The EIIS Steering Committee will conduct enough research on EI systems to create clear understanding of the EI process within the context of a variety of agency settings. The committee will research early intervention reference documents, EI associated websites and institutions, and consult with various agencies associated with the EI process.

   a. Primary reference documents

      1) "Innovations in Police Accountability: An Exploratory Study," Management and Police Legal Advising – May 2002, Carol A. Archbold, Ph.D.

2) "Early Intervention Systems for Law Enforcement Agencies: A Planning and Management Guide" – 2003, Samuel Walker, Ph.D.

3) "Supervision and Intervention within Early Intervention Systems: A Guide for Law Enforcement Chief Executives," Samuel Walker, Ph.D., Stacy Osnick Milligan, with Anna Berke.

4) "Law Enforcement Tech Guide," Community Oriented Policing Services, U.S. Department of Justice – 2002, Kelly J. Harris and William H. Romesburg.

b. Primary reference institutions and their databases

1) National Institute of Justice

2) Police Executive Research Forum

3) International Association of Police Chiefs

4) Community Oriented Policing Services

5) Commission on Accreditation for Law Enforcement Agencies

c. Primary agency EI systems to be researched

1) Los Angeles PD

2) Phoenix PD

3) San Jose PD

4) Seattle PD

5) Tampa PD

5. Create the Project Plan

a. Define the problem/opportunity/situation the EIIS program will improve

1) The prevalence of consent decree governance of police throughout the United States, where agency culture and employee problematic behavior are at issue, clearly demonstrates a need for proactive action within the police community.

2) In 1998, the SDPD's "Use of Force Task Force" made a number of recommendations to improve the agency. Recommendation number 71 was, "Establish an early warning computer program to identify employee problematic behavior."

3) In 2001, the Commission on Accreditation for Law Enforcement Agencies adopted a new standard, 35.1.15, establishing a Personnel Early Warning System "to identify agency employees who may require agency intervention efforts." Subsequently, EI systems have become a nationwide "best practices" method for law enforcement administrations.

4) Problematic behavior within law enforcement agencies:
   (a) Erodes public confidence
   (b) Contributes to loss of services due to suspensions and transfers
   (c) Contributes to costly liability issues
   (d) Contributes to employee attrition rates due to terminations and resignations
   (e) Increases employee injury and accident rates
5) Given the above conditions, the SDPD has determined that it will build an Early Intervention System.
6) A DOJ grant has made funds available to the San Diego Police Department for the purpose of creating an EI program.

b. Define the conditions that currently face the SDPD

Relative to problematic behavior (the focus of our EI effort), the following statements describe current conditions and understandings within the SDPD:

1) The SDPD has determined to build its own EI system to bring itself into compliance with current 'best practices' in policing.
2) Problematic behavior involving our employees is costly in civil suits, contributes to both organizational malfunction and poor community service, and causes loss of valued employee services.
3) Problematic behavior related to intentional misconduct is adequately addressed by internal (disciplinary) process
4) Problematic behavior due to misunderstanding or training issues is adequately addressed by internal (training) process
5) The percentage of department problematic behavior issues believed to be linked to escalating patterns of negative employee performance is significant and warrants programmatic response
6) Chronic stress symptoms and problematic behavior patterns are frequently linked
7) EI systems identify employee problematic behavior patterns
8) Identified problematic behavior patterns present intervention opportunities

c. Identify those impacted by current situation (stakeholders)

1) The Public – Negatively impacted by officer problematic behavior
2) The Department – Responsible for quality of officer performance
3) The Employee – Qualities of both their professional and personal lives affect performance
4) The Labor associations – Tend to mistrust new programs

d. Identify and define the obstacles/barriers to effective establishment of an EI program within the SDPD

We expect certain obstacles to the successful establishment of an EI program within the SDPD. Those are:

1) Mistrustful employee associations
2) Lack of interest in 'yet another program' among employees
3) Funding is problematic with current economic times. Must consider:
   (a) Initial cost of developing an EI application
   (b) Off-the-shelf product – while relatively inexpensive, has limited compatibility with our EI model's needs
   (c) Custom built application:
      - Outside contracting for development is excessively expensive
      - Internal development – agency has the design and development expertise but adding an EI system to existing (and future) technical unit workloads present resource conflicts that must be supported and coordinated
      - Customized product: requires ongoing and expensive technical support to adapt off-the-shelf product to agency conditions
   (d) Ongoing costs of an EI program

e. Define the vision, goal(s), objectives, and outcomes of the EIIS program

1) **Vision:** EIIS will serve as a resource to assist the agency in the effective management of its Human Resources. The following will be the essential characteristics of the EIIS program:
   (a) It will positively impact human resource retention
   (b) It will not be used as a disciplinary tool
   (c) It will not be used as an evaluative tool
   (d) It will be confidential
   (e) It will be voluntary
   (f) It will minimize agency liability
   (g) It will enhance community trust
   (h) It will improve agency functions

2) **Goal:** EIIS will support positive employee welfare through early identification and intervention of problematic behaviors in the workplace. This goal is predicated upon the following assumptions:

   (a) There is an occupational health and safety issue associated with chronic stress in policing. Ref: The Buffalo Cardio-Metabolic Occupational Police Stress (BCOPS) Pilot Study

   (b) The symptoms of chronic stress can be detected by assessing changes and comparative levels in work performance

   (c) Chronic stress related illness can result in problematic behavior which can negatively impact organization performance

   (d) Early intervention leads to positive employee welfare

   (e) Positive employee welfare leads to improved organization performance

3) **Short-Term Objective:** EIIS will provide commanding officers and employees with an electronic databased program that captures specific pieces of information about employee performance patterns to help identify problematic behaviors prior to the advent of more serious behavioral issues.

4) **Medium-Term Objective:** EIIS will establish routine use of the program by Unit Commanders and employees.

5) **Long-Term Objective:** EIIS will bring about behavior change in our employees that results in decreased problematic activity such as complaints, injuries, and traffic collisions.

6) **EIIS Intended Outcomes:**

   (a) The Community has confidence in the department's ability and willingness to regulate itself.

   (b) The Department identifies and addresses its employees' training, performance, and intervention needs.

   (c) The Department's employees are healthy.

   (d) The costs of employee performance-related liability decreases.

f. Determine and state the assumptions that must be true in order for the EIIS program to be viable

The following assumptions must be true in order for EIIS to be viable:

1) The Administration will support the program

2) Commanding Officers will value and use the program

3) Employees will value and use the program

4) The program will evolve over time and maintain relevance

5) Chronic stress leads to illness, injury, and problematic behavior; these conditions negatively impact a large enough portion of our agency's employees to make an EI program a cost effective resource

6) Early identification of the symptoms of chronic stress illness and timely intervention can positively impact the rate of problematic behavior and its costs to the agency

g. Determine the EI model most appropriate for SDPD needs and identify the issues associated with that model (model must be recommended to, and approved by, the Chief's Executive Committee)

EIIS will be structured to identify early exceptions and/or trends in employee problematic behavior for the purpose of intervention through the provision of appropriate resources and agency support, prior to the need for discipline. Issues associated with this type of EIS are expected to be:

1) Voluntary nature of program may hamper enthusiasm for use

2) Establishing routine use by Supervisors and employees (with many other duties competing for their attention) may be difficult

3) Establishing the effectiveness of the process could be long, rather than short, term

h. Create a temporary process flow chart of the EIIS program

Create a flow chart that abbreviates the process steps we believe EIIS will use to produce its product. This chart will be used as a guide in completing the remaining tasks of step 5 (create the plan). Expect that many alterations will be made before a final Process Flow Chart is made (typically, many unexpected issues arise during project creation).

i. Create process study committees

Create a series of committees, each of which will study and make recommendations about the major processes to take place within EIIS. Study Committee members will be provided: historic information about EI systems; in-house training to familiarize them with how EI systems work; the facts and assumptions leading to the department decision to create the selected EIIS model; and, the "Temporary EIIS Process Flow Chart Model." Committees will study their assigned system processes and make recommendations to the Steering Committee.

1) EIIS Study committees will be composed of representatives from:

(a) San Diego communities

(b) All levels of agency employees

(c) Employee representative organizations

(d) The agency legal support team

(e) Agency volunteers

2) There will be five committees. They will be the:
   (a) Legal, Policy and Program Manager Committee
   (b) Indicator, Deviation and Threshold Levels Committee
   (c) Notification Committee
   (d) Assessment Committee
   (e) Intervention Committee
3) Study committees will be chaired by unit commanding officers (in the SDPD they are typically third level supervisors)
4) Upon completion of their assignments, committees will make their recommendations in writing to the Steering Committee
5) The Steering Committee will review recommendations and make its recommendations to the Chief's Executive Committee (group consists of unit commanding officers, upper administrative officers, and the Executive Assistant Chief)
6) The Executive Assistant Chief will make all final decisions concerning program model

j. List the core concepts to be incorporated in the EIIS program

The EIIS program will:

1) Be voluntary and confidential
2) Be accessible to both commanding officers and employees
3) Provide statistical data on employee performance in a comparative format: employee vs. employee peer group
4) Provide assessment and referral processes for both commanding officers and employee users
5) Encourage self-assessment and referral by employees
6) Provide a comprehensive listing of resources available for coping with stress and problematic behavior issues
7) Provide easy user access via: intranet website to employee LAN account; Internet—delivered to home computers; and radio communications—delivered to field unit laptops
8) Provide a user feedback channel to program management for data error correction and other user concerns
9) Provide formal reporting out procedures by commanding officers and the agency's administration

10) Provide support to the first goal of the department's current Five Year Plan, by helping to "Rebuild the Organization"

11) Provide historic data (data divorced from employee identity so it can be retained for longer periods) to be maintained for future research

k. Design the strategy to be used in EIIS development

Development of the various elements of the EIIS system will be undertaken in the following order:

1) The assessment process: recommended by committee, developed by Steering Committee, approved by the Executive Assistant Chief

2) The intervention and referral process: recommended by committee, developed by Steering Committee, approved by Executive Assistant Chief

3) The EIIS application: designed by Steering Committee, developed by Data Systems programmers

4) Data importation to EIIS application: designed and developed by Data Systems programmers

5) Beta testing of EIIS application: conducted by Steering Committee and Data Systems programmers

6) The user delivery applications: designed by Steering Committee, developed by Data Systems programmers

7) Beta testing of user delivery applications: conducted by Steering Committee and Data Systems programmers

8) The administrative reporting-out process: designed by the Steering Committee, developed by the Research and Analysis unit

9) The pilot testing process: designed by Steering Committee, conducted by an area command station (The SDPD is geographically divided into a HQ and several geographic area sub-stations called 'Area Commands'), monitored by the Steering Committee

10) The "commencement of operations" process: designed by Steering Committee, conducted by Steering Committee, Training Division, and both training and mediation consultants

11) A new EIIS Program Manager position will be designed and newly created by request from Human Resources. The employee who fills that position will be assigned to Human Resources and will assume command of program operations.

l. Design data-flow methods from outlying databases to EIIS application

Determine where the data for each performance indicator are currently housed ('performance indicator' is a term used to describe the various databases EIIS will use; i.e., where are citizen complaint data currently housed).

For the several databases:

1) Determine how it will be brought into the EIIS application from its current (both geographic and electronic) location
2) Determine if existing data format/programming will work with that of the EIIS application or if programming change is required to make it compatible with EIIS programming
3) Determine what permissions are needed to access the databases
4) Determine who will do data input once EIIS is operational, how often and when—establish responsibilities by position, not person, and ensure all concerned parties (Project Manager and data-housing unit) understand and concur
5) Determine if there are security issues/classification issues
6) Determine what laws affect the use of these data
7) Determine if there are limitations to how long data may be kept—can raw data (that which is divorced from identifying name or number) be kept longer for historic data mining/profiling purposes?
8) Determine how often data to the EIIS application is to be refreshed
9) Determine if system data can be accessed through the court subpoena/motion process—is that an issue—if so, create special process and assign responsibility to position
10) Determine how each database will be connected to EIIS application
11) Write and apply connectivity programming—Data Systems programmer

m. Design the EIIS program application

1) Data flow into EIIS program:
   (a) Data from Human Resources databases (called "Personnel" in many agencies):
      - Data housing and input responsibilities will remain with Human Resources in accordance with that unit's policies and procedures
      - Data to be imported
        - ◇ Employee names
        - ◇ Employee identification numbers
        - ◇ Employee Rank
        - ◇ Employee assignment

(b) Data from performance indicator databases (those units of performance data to be monitored that are to be assessed and weighted by the EIIS application)

- Data housing and input responsibilities will remain with the originating unit in accordance with that unit's policies and procedures
- A statistical occurrence from any database (performance indicator flag, e.g., an employee is the subject of a citizen's complaint) will be represented by a one count under the relevant performance indicator. (The EIIS is not zero-based. Employee performance is compared only to other employees who have had at least one indicator flag within any given performance indicator database.)
- The twelve Performance Indicators will be:
  - Citizen initiated complaints (we count only the flagged occurrence, neither allegation type nor investigative conclusions are relevant to EIIS)
  - Vehicular collisions (employee must be the driver and the vehicle be city property, investigative conclusions not relevant to EIIS)
  - Criminal arrests (of employee)
  - Discretionary arrests (employee initiated arrests made for crimes that allow discretion by arresting officer, e.g., drunk driving—did state of inebriation impair suspect's ability to drive); interfering with an officer (did suspect's conduct interfere with the officer's ability to perform his job, etc.)
  - High risk crime reports (crime reporting that has unusual potential for emotional impact upon the reporting officer—child death, torture, etc.)
  - Internal Affairs investigations (internally generated investigations involving possible employee misconduct. Type of allegation and investigative conclusions not relevant to EIIS)
  - Missed shoots (the failure to appear for scheduled firearms re-qualification is the issue—a failure to qualify is a training issue and is not relevant to EIIS)
  - Officer involved shootings (all on or off duty discharges of employee's firearm—investigative conclusions are not relevant to EIIS)
  - Pitchess motions (State of California court ordered release of information contained in employee conduct investigations)
  - Court Summons (State of California court ordered summons)
  - Uses of force (incidents of use of any level of force by employee during the conduct of police business)
  - Legal claims (civil claims made against employee)

(c) Data from source document databases (cell linking)

- Each indication of activity within a performance indicator field will be linked to its source documents for instant access.
- Source documents are housed in the SDPD Crime Report Management System (an electronic database used to house all police reports).
- Data housing and input responsibilities will remain with the originating unit in accordance with that unit's policies and procedures.

2) Data refreshing for application

(a) Performance indicator databases will continue to be updated at intervals appropriate to the housing unit

(b) The EIIS application will update simultaneously with source database input

3) Data metrics

The EIIS application will be structured around the following measurement strategies:

(a) The performance of each employee will be monitored for discrete performance indicator events

(b) Performance indicator events will be used to compile a statistical profile of each employee

(c) Each employee's statistical profile will be linked to identifying data from Human Resources (name, rank, identification number, assignment, etc.)

(d) Each individual profile will be compared to a composite profile of employees' with like duties and assignments (a peer group)

(e) Each individual profile will be compared to the arithmetic mean of its peer group to determine if that profile is above the peer group mean

(f) Individual profiles greater than the peer group mean will be displayed highlighted in light blue

(g) Each individual profile will be compared to the 95th percentile of its peer group to determine if that profile falls within the peer group's upper 5 percent

(h) Individual profiles falling within the upper 5 percent of an employee's peer group will be highlighted in dark blue

4) System security will be maintained by:

(a) Housing the EIIS application on the agency LAN system

(b) Users will gain access with their "user names" and "passwords" which automatically identify time, date, and accessing employee

5) User access levels will be:
   (a) System administration: access to all EIIS levels
   (b) Agency administration: access to all EIIS levels except System Administration
   (c) Unit Commander: Access to all personnel assigned to their division/unit
   (d) Employee: Access to own statistics measured against a peer group (minus individual identifying data) for mean average and top 5 percent

6) Data query programming will be designed to facilitate the following search needs:
   (a) A Data Query page to include the following:
      - Date range: Current FY and Past FYs, and each quarter within those periods
      - Performance indicator(s)
      - Employee category(ies)
      - Command(s) and/or unit(s)
      - Link cells (to link source documents, outside data and data metrics formula cells)
      - Privacy protections so employees see personal data only
      - Blocked print capability
   (b) An Interactive Grid page will be designed to include the following:
      - Date range
      - Performance indicator(s)
      - Peer group(s)
      - Command(s)
      - Employee identification number(s)
      - Employee rank
      - Metrics cells for identification of above mean average and top 5 percent statistical conditions
      - Blocked print capability
   (c) A Command Summary page will be designed to include the following:
      - Date range
      - Performance indicator(s)
      - Peer group(s)
      - Command(s)
      - Employee identification numbers
      - Employee rank

- Metrics cells for identification of above average and top 5 percent statistical conditions
- Total members in peer group
- Total members participating
- Total number of indicator flags
- Flag totals
- Date
- Time
- Page number
- Blocked print capability

(d) An Employee Report page will be designed to include the following:

- Employee identification number
- Employee name
- Division
- Unit
- Performance indicators
- Total number of indicator flags
- Report date
- Incident numbers
- Case number
- Code sections
- Beats
- Number of above mean average flags
- Number in top 5 percent flags
- Blocked print capability

n. Design user delivery applications

1) LAN intranet website

(a) The system administrator will design and request all website changes. A Data Services programmer will make requested changes.

(b) An intranet website housed on the agency LAN will be used to deliver EIIS performance data and other site services to users. It will be maintained and updated by Data Systems.

(c) Design application logo for LAN desktop for use as direct link to EIIS website

(d) Design pages (appearance and content)

All pages (except the Data Query Page) will include the following *link buttons*: Feed Back—to system administrator; City Resources; Department Resources; Self Assessment; Stress Management; Substance Abuse; EIIS Video; Articles; ASAP; EAP and Education

- Home Page

  Will house a series of dated articles/linked reports of interest to ongoing EIIS programs and will be linked to a "Home" button

- EIIS Application Page

  This is a link button to the EIIS application and its resources

- Tutorial Page

  This is a link button to a tutorial for the operation of the EIIS application

- About EIIS Page

  This is a link button to an article that describes the history of EISs and EIIS

- Resources Page

  This is a link button to a comprehensive menu listing of resources available to the user, and other items of interest

- FAQ Page

  This is a link button to a list of FAQs and their answers

- Feedback

  This is a link button to a direct email link with the system administrator

(e) Design page and resource linking processes

(f) Design quick-link buttons to other parts of the website and Internet URLs

(g) Link the EIIS Training Video to quick-link button

(h) Design updating processes

2) Shareware, Internet-based website for employee home computers

Use LAN-based website pages minus Data Query Page (performance data will not be placed on an unsecured site). This delivery site will be provided so employees and their families can access all EIIS site's information anonymously and in a timely manner, from home computers. It will be maintained and updated by the system administrator.

3) Radio communications-based website for field laptops

Use LAN-based website minus Data Query Page (performance data will not be placed on an unsecured site). This will be provided so employees can access all of the EIIS site's information from the field. It will be maintained and updated by Data Systems at the request of the system administrator.

o. Create the final EIIS process flow chart

This will serve as a system development guide.

6. Develop the system

Identify what unit, position, or group has responsibility for each system-identified process.

a. Develop the assessment process

Unit Commander:

1) Reviews EIIS statistics
2) Identifies flagged performance
3) Considers known circumstances, special assignment, recent events, etc.
4) Consults with employee's supervisor(s)

b. Develop the intervention/referral process

Unit commander meets with employee:

1) Finds performance is appropriate under circumstances/or
2) Finds referral is appropriate under circumstances
   (a) Unit commander refers to a resource
   (b) Employee voluntarily responds or chooses not to do so
   (c) Employee can self-refer to any resource offered on EIIS website

c. Develop system use reporting out process

1) Unit commander will report out quarterly in the unit's Inspectional Report
2) System use or non-use by the unit commander will be noted
3) A provision for notes will be made to enable in-depth reporting of EIIS issues in need of further administration attention
4) Command reporting out does not include the names of counseled or referred employees. Neither does it include an accounting of employees who decline referral.

d. Develop EIIS application

Updating and ongoing maintenance to be completed by Data Systems:

1) Develop system security measures
2) Develop user access levels
3) Import databases
4) Apply metrics
5) Develop pages
6) Beta test application

e. Develop user delivery systems

Development, updating, and maintenance completed by Data Systems

1) LAN-based intranet website page
2) Internet-based Share-net page (minus performance statistics)
3) Car-based laptop page (minus performance statistics)

f. Develop and complete pilot testing period

1) Beta testing by Steering Committee and selected unit
2) Pilot unit selected
3) Pilot unit trained
4) Six month pilot test run monitored and assessed by the Steering Committee
5) Re-tool system

7. Operations

a. Train the trainers – a contracted educator will train trainers

All division and unit commanding officers and their immediate subordinates will be trained

b. Employee training

Division and Unit leaders will be responsible for training their assigned employees

c. Northeastern Division trainers will be trained first

System operations will begin immediately upon completion of training

d. Remaining division and unit commanding officers and their immediate subordinates will be subsequently trained in a series of three classes

e. System operations will commence for remaining divisions/units as each completes its own employee training

B. PHASE II – System Enhancement

1. Performance indicator database expansion

As new performance indicator databases become available they will be added to the system. Vehicular pursuits and failures to appear (subpoena scheduled court appearances) will be the first two new performance indicators to be added to EIIS.

2. Historic data program

Data with employee identifiers, by law, have a finite life; there are different life spans for the various different databases used by our system. At appropriate time intervals, EIIS will separate employee identifiers from their data and mine the resultant historic data for long-term profiling of problematic performance as well as for other predictive programming. This program will be designed, developed, and implemented after the first two databases in step one of Phase II have been added.

3. Additional studies

a. System validation study

A study proposal for a prospective cohort study (a study that follows, over time, a group of similar individuals who differ with respect to certain factors) will be completed and submitted to the Executive Assistant Chief as grant funding becomes available. If approved, the SDPD will seek partnership with the University of California's Division of Psychology Research Team in the conduct of a medical study involving one hundred SDPD employees. The study will investigate the association between employees suffering the symptoms of the medical condition known as "chronic stress" and the statistical data produced by the EIIS application to determine the validity of the EIIS product. Study results will also be used to assess the validity of Assumption 5 of the EIIS planning effort: "Chronic stress leads to illness, injury and problematic behavior; these conditions negatively impact a large enough portion of our agency's employees to make an EI program a cost effective resource."

b. Predictability enhancement study

A study proposal for a predictive adaptation study will be completed and submitted to the Executive Assistant Chief as grant funding becomes available. If approved, the SDPD will seek partnership with Natural Selection, Inc. (using math-based pattern recognition and computational intelligence programming) in conducting a study involving the historic data produced by EIIS. The study will mine EIIS historic data for their predictive profiling value to enable earlier identification in what we believe is a problematic behavior escalation sequence and for eventual pre-hire profiling of police candidates.

SYSTEM EVALUATION

A. The evaluation, its partners, and their roles

1. A system-wide evaluation will be conducted by the system administrator every third year of operation
2. Evaluation documentation is due one hundred-twenty days prior to the end of the department's fiscal year
3. Evaluation documentation will be in memorandum form:
    a. Summary
    b. Conclusions and recommendations
    c. Details
        1) System product evaluation
        2) EIIS application evaluation
        3) Delivery systems evaluation
    d. All EIIS documentation will be maintained for ten years

B. **System product** – Evaluation methodology

1. Collect base-line data (statistics for three year period immediately predating EIIS)
    a. Number of citizen's complaints
    b. Number of vehicular collisions
    c. Number of missed shoots
    d. Number of work days lost to injury and illness
    e. Number of formal disciplinary actions
2. Collect EIIS data (statistics for three year period under EIIS operations)
    a. Decrease or increase in citizen's complaints
    b. Decrease or increase in vehicular collisions
    c. Decrease or increase in missed shoots
    d. Decrease or increase in days lost to injury and illness
    e. Decrease or increase in formal discipline incident rate
3. Compare pre-EIIS and post-EIIS indicator totals
    Make appropriate adjustment for employee population increases and decreases

4. Evaluate
   a. Assess for change
   b. Relate assessment results to program goals/objectives
   c. Make appropriate recommendations

C. **EIIS application** – Evaluation methodology

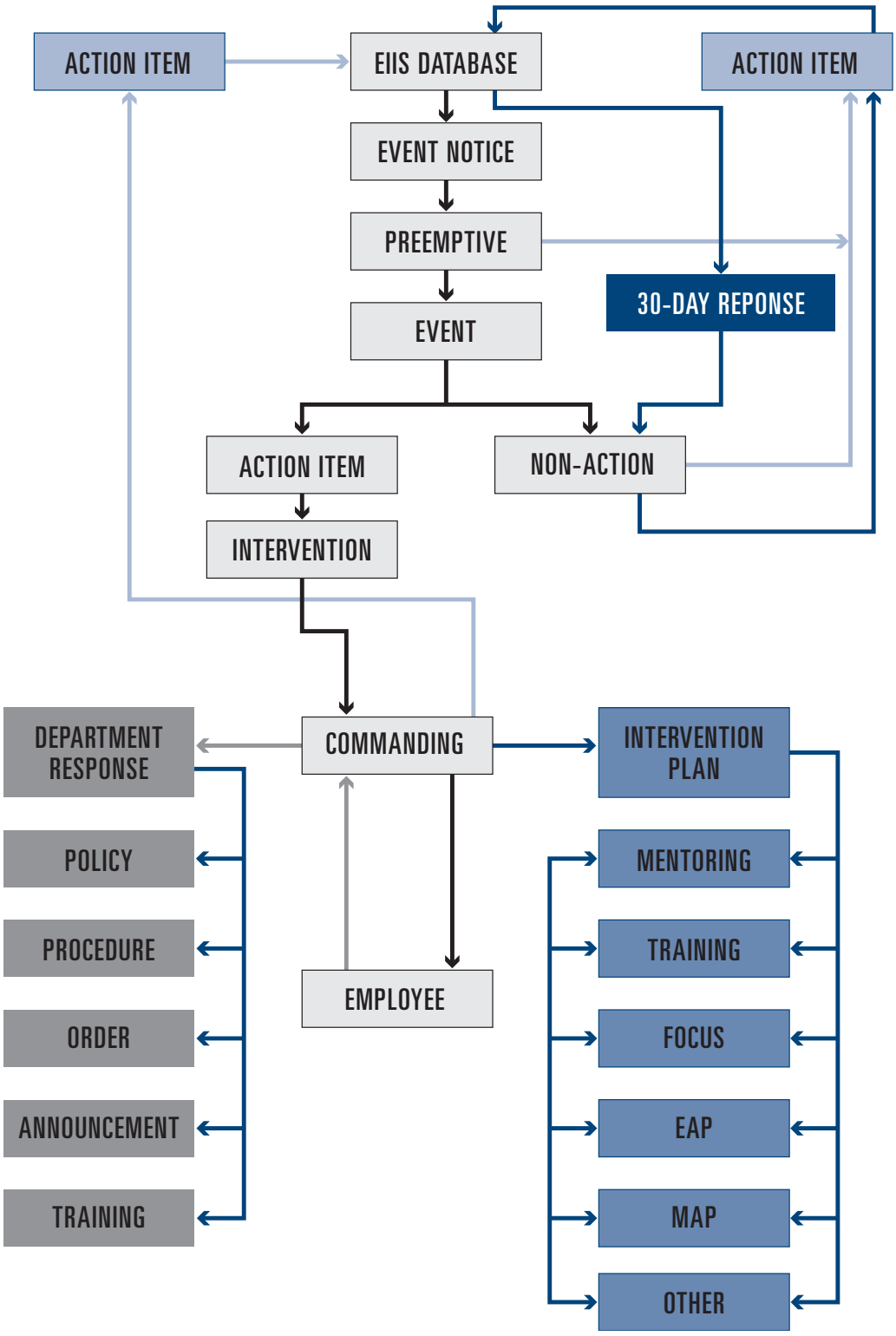
1. Collect data
   a. Determine how often employees, by rank, accessed system
   b. Determine how frequently users sought help in using the system
   c. Determine how many down days the system experienced
   d. Determine how many times database statistics were found to be in error
2. Evaluate
   This data will be used for baseline during second evaluative period
3. Report
   Report data "as is," noting any obvious issues

D. **User delivery processes** – Evaluation methodology

1. Collect data
   a. Determine how frequently users sought help in using each of the three processes
   b. Determine how many down days each process experienced
   c. Determine how many user complaints were made regarding each processes' accuracy
   d. Determine how many links to Internet websites are not current
   e. Determine how many listed telephone numbers are incorrect
   f. Determine how many times scheduled routine update tasks were missed
2. Evaluate
   Assess data for needed improvements to program's resource and data delivery processes
3. Report
   Report conclusions as summary with appropriate recommendations for change

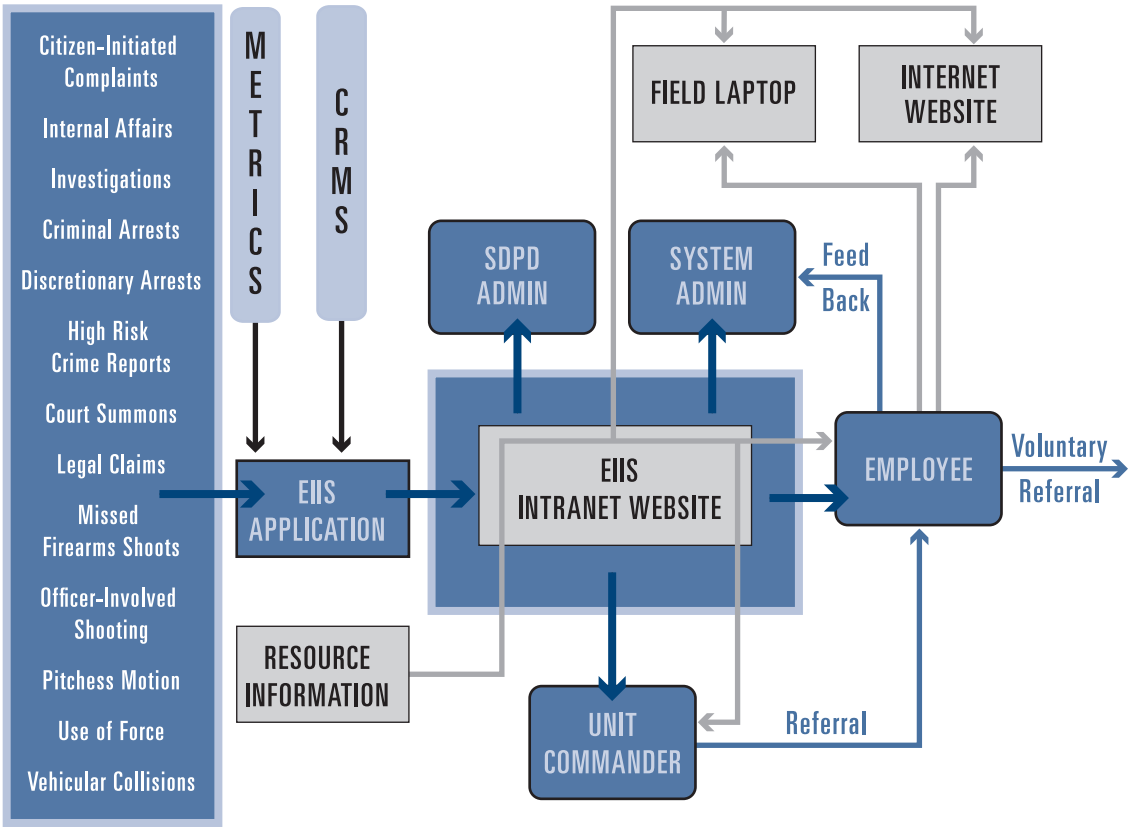
Appendix C: Temporary Early Identification and Intervention System (EIIS) Process Flow Chart Model

Mike Gibbs, January 2006



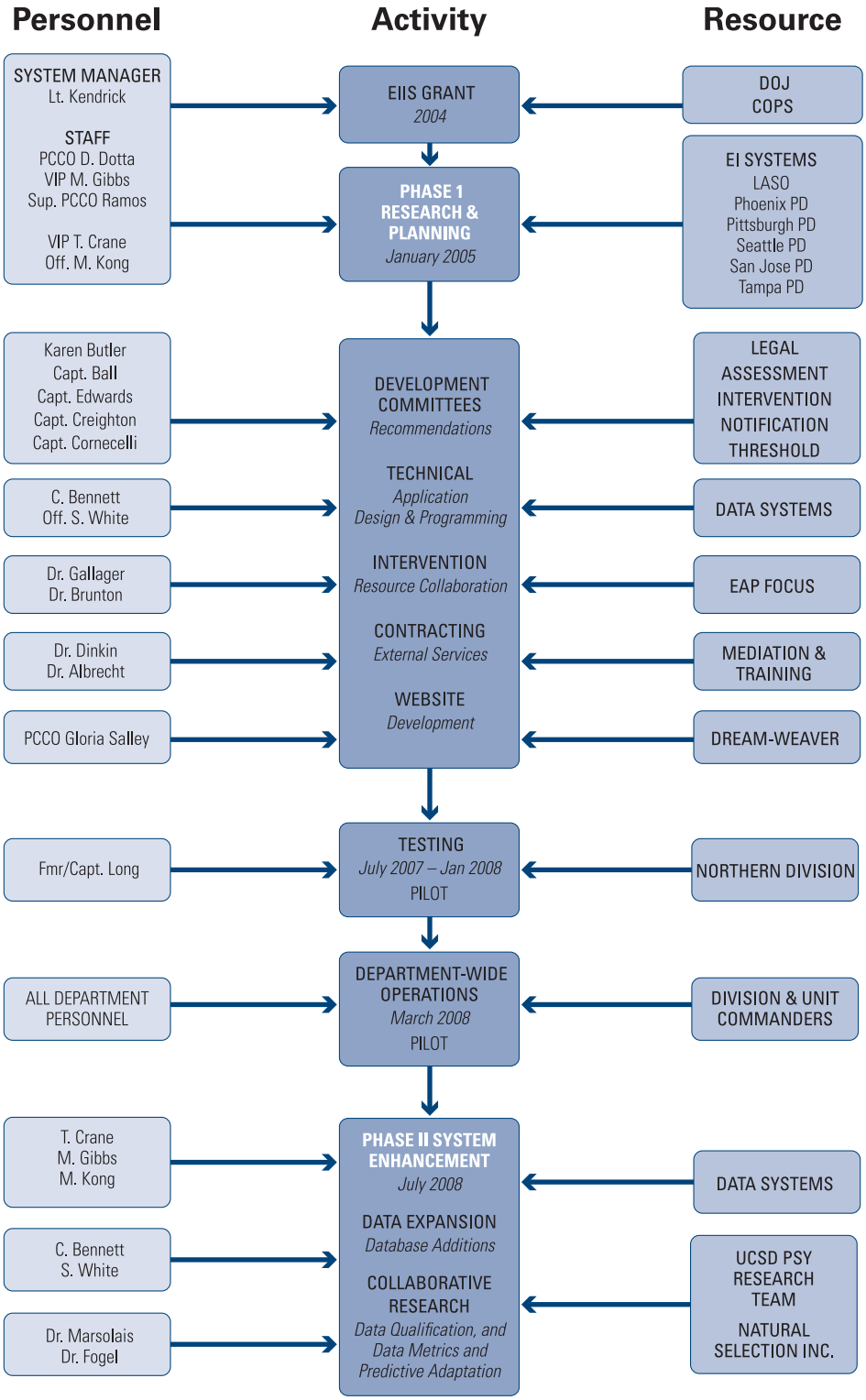
Appendix D: San Diego Police Department Early Identification and Intervention System (EIIS) Process Flow Chart

Mike Gibbs, January 2009



Appendix E: San Diego Police Department Early Identification and Intervention System (EIIS) Project Development Flow Chart

Mike Gibbs, January 2008



COMMUNITY ORIENTED POLICING SERVICES
U.S. DEPARTMENT OF JUSTICE

The Office of Community Oriented Policing Services (the COPS Office) is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, and tribal law enforcement agencies through information and grant resources. The community policing philosophy promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime. In its simplest form, community policing is about building relationships and solving problems.

The COPS Office awards grants to state, local, and tribal law enforcement agencies to hire and train community policing professionals, acquire and deploy cutting-edge crime-fighting technologies, and develop and test innovative policing strategies. The COPS Office funding also provides training and technical assistance to community members and local government leaders and all levels of law enforcement.

Since 1994, the COPS Office has invested more than $16 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing. More than 500,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.

The COPS Office has produced more than 1,000 information products—and distributed more than 2 million publications—including Problem Oriented Policing Guides, Grant Owners Manuals, fact sheets, best practices, and curricula. And in 2010, the COPS Office participated in 45 law enforcement and public-safety conferences in 25 states in order to maximize the exposure and distribution of these knowledge products. More than 500 of those products, along with other products covering a wide area of community policing topics—from school and campus safety to gang violence—are currently available, at no cost, through its online Resource Information Center at **www.cops.usdoj.gov**. More than 2 million copies have been downloaded in FY2010 alone. The easy to navigate and up to date website is also the grant application portal, providing access to online application forms.

www.cops.usdoj.gov

ADVANCING PUBLIC SAFETY THROUGH COMMUNITY POLICING

EARLY INTERVENTION SYSTEM—a system that statistically compares law enforcement employee performance against a range of numerical norms, and helps assess which employee may need help with their personal or professional problems—is being adopted nationwide. Using the Enhancing Cultures of Integrity Grant that was issued by the Department of Justice Office of Community Oriented Policing Services (the COPS Office), the San Diego Police Department has adopted its own EI system. The Early Identification and Intervention System (EIIS) was complex to design and apply, and has been an overall success. In this guide, the SDPD documents its experience, along with a very useful step-by-step outline, in order to help other agencies build their own successful system.

U.S. Department of Justice
Office of Community Oriented Policing Services
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To obtain details about COPS Office programs, call the COPS Office Response Center at 800.421.6770.

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