



**KNOXVILLE POLICE DEPARTMENT  
KNOXVILLE, TENNESSEE**



**General Order No. 1.40**

Subject: Early Warning System	Effective Date: February 1, 2002	Revised Date: April 29, 2020
Title: Establishment of Early Warning System	Pages: 5	Distribution: All Members
Cross Reference: CALEA Standards	Chief of Police Approval:	

**Purpose**

This order establishes a program to provide the Knoxville Police Department with a procedure to identify and monitor members who exhibit behaviors contrary to the mission and goals of the department. These types of behavior may indicate personal and/or work related problems. It is recognized that no program or system can guarantee identification of every employee who needs special assistance. However, certain performance indicators, when used in a systematic way, can alert both supervisors and employees that a problem may exist. The Knoxville Police Department Early Warning System is not intended to produce conclusions regarding an employee's performance, it is a tool for supervisory members of the department to identify potential problem employees at an early stage and ensure that a plan of corrective action is developed and implemented. The Early Warning System operates on a "rolling 12 month basis" so as to ensure that a calendar date does not interfere with the collection of behavioral indicators.

This directive consists of the following sections:

- I. Internal Affairs Unit Responsibilities
- II. Unit Commander Responsibilities
- III. Early Warning System Review Group Responsibilities

## I. Internal Affairs Unit Responsibilities

The Internal Affairs unit is designated with the responsibility of collecting and securing pertinent documents necessary for maintaining the Early Warning System. IAU will also be responsible for preparing an annual report listing individual employees who accumulate a pre-designated number of incidents for the selected period of time.

### A. Annual Early Warning System Report

The annual report will identify employees who have triggered the system at any time during the twelve (12) months by generating the following indicators:

1. Five (5) or more Use of Force Reports
2. Three (3) or more Firearms Discharges
3. Three (3) or more K-9 Bite reports
4. Four (4) or more Pursuit reports; or
5. Four (4) or more complaints of misconduct; or
6. Three (3) or more disciplinary actions; or
7. Ten (10) or more of any combination of the Early Warning System criteria.

***Note:*** *The Use of Force, Firearms Use Report, and the Internal Investigation that result from an officer involved shooting will constitute one (1) incident.*

- i. For each employee identified in the annual report, IAU will:
  1. Submit a report to the employee's immediate supervisor listing the employee's name, assignment, and a listing of the specific number and kinds of incidents that were used to identify the employee.
  2. After review by the employee's immediate supervisor, he/she will forward the report/review up their chain of command.

- ii. The annual report will contain an evaluation of the Program and any recommendations for change or improvement based on those findings.

## II. Immediate Supervisor Responsibilities

A. The Internal Affairs Unit will notify the immediate supervisor and Chief of Police of any member triggering the Early Warning System. The employee's immediate supervisor will complete an *Employee Review Analysis* and forward the report/review up their chain of command. The Analysis will include a review of numerous factors involved in the employee's total history with the Knoxville Police Department. It will include, but not be limited to the following:

1. Job Assignments (to determine if unusual movement has occurred)
2. Complaints and Referrals
3. Disciplinary Action
4. Vehicle Accidents
5. On Duty Injuries
6. Commendations
7. Productivity Levels (prior to and during the period of review)
8. Performance Appraisals
9. Use of Force (The number of reported incidents by themselves is not automatically indicative of a problem)
10. Absentee History
11. Pursuit
12. Special Training Received/Instructor Assignments
13. Failure to take the mandatory physical within 60 days of birthday
14. Recommended Plan of Action, if any.

B. The *Employee Analysis Report* and a *written Recommended Plan of Action* will be completed and submitted to the Internal Affairs Unit within twenty (20) days. The Internal Affairs Unit Supervisor will be designated as the *Early Warning System Administrator*. If any performance deficiencies are identified in the Employee Analysis Report the Program Administrator will coordinate a meeting of the Early Warning System Review Group within ten (10) working days. The following personnel will comprise the Early Warning System Review Group:

1. Division Commander of the employee, or designee
2. District or Unit Commander of the employee
3. Current Mid-Level Supervisor (Lieutenant) of the employee
4. Current Immediate Supervisor of the employee
5. Professional Excellence Program Administrator or designee.

**Note:** *Three (3) of the five (5) group members must be present for a quorum.*

### III. Early Warning System Review Group Responsibilities

A. Upon inspection of the Analysis Report, the Early Warning System Review Group will determine whether or not intervention is warranted and if the recommendation of action is appropriate. If intervention is determined to be necessary, the Recommended Plan of Action will be approved or amended by the Review Group. The Plan of Action will include, but not be limited to the following:

1. A statement advising the employee that he/she is assigned to the Early Warning System, and that participation in the Program is mandatory for a minimum period of six (6) months.
2. A synopsis of the identified behaviors that are affecting the performance of the employee.
3. Notice that participation in the Program will not mitigate any other disciplinary action resulting from his/her employment (i.e. future complaints will be handled through the normal process). Should further negative action occur during the Program, necessary disciplinary action will be taken.

4. Specific actions required of the employee, the employee's immediate supervisor and District Commanding Officer during the Program.
- B. The Plan of Action may include, but is not limited to, one (1) or more of the following recommendations:
1. Remedial training of the employee of the affected area of concern or unacceptable behavior;
  2. Referral to the Employee Assistance Program;
  3. Transfer to another assignment;
  4. Placement under structured supervision;
  5. Appropriate counseling or disciplinary action.
- C. The approved Plan of Action will be submitted by the Program Administrator to the Chief of Police for final approval. Upon approval, the Plan of Action becomes a direct order of the Chief of Police to the deficient employee and his/her supervisors. All Plans of Action will be in effect for a period of six (6) months from the date of approval by the Chief of Police.
- D. The immediate supervisor of the affected employee will closely monitor his/her progress. A monthly status report (in memo form) will be submitted by the immediate supervisor to the District Commander and the Early Warning System Administrator. At the end of the six (6) month period, an assessment meeting will be held by the Review Group and will include the affected employee. At the assessment meeting, the progress of the Plan of Action will be discussed and the employee's immediate supervisor will present a Final Report of Progress and recommendation which will be approved or amended by the Review Group. The recommendation may be a declaration of successful completion, an extension of the Program, referral for additional assistance, or any other necessary action. The Chief of Police will review the final analysis and make all final decisions.
- E. The Chief of Police has sole discretion to assign any employee to the Early Warning System when deemed necessary.