

## **1.440 GOAL SETTING & EVALUATION**

### **1.440.05 Performance Review and Development**

- A. Performance goal setting and evaluation will be conducted for all agency employees at least every six months. Goal setting and evaluation processes will be conducted consistent with the policies and procedures of the university's Performance Review and Development (PRD) process.
- B. The agency's responsibilities of the PRD process include, but are not limited to:
  - 1. Ensuring the PRD process is administered fairly and consistently;
  - 2. Ensuring performance expectations are established and communicated to all employees; and
  - 3. Ensuring employees attend PRD training as necessary and prudent.
- C. The agency's responsibilities in the PRD process will be carried out by employees' immediate supervisors whenever possible. In cases where this is not possible, immediate supervisors will have considerable input into the PRD process.
- D. Supervisory and administrative personnel are not permitted to carry out their PRD responsibilities until they have successfully completed performance management training administered by University Human Resources. Periodic refresher training will be provided as part of in-service training as staffing and resources permit.
- E. Supervisors will be held accountable in their own performance evaluations for conducting the PRD process with their employees.
  - 1. The PRD process must be conducted competently and in a timely manner.
  - 2. Supervisors will be evaluated by their raters based on the quality of ratings given subordinates.
  - 3. Supervisors will ensure that ratings are applied uniformly.
- F. Employees are expected to be active participants in the PRD process. Their PRD responsibilities include, but are not limited to:
  - 1. Familiarizing themselves with the PRD process by attending training and reading employee manuals for the system; and
  - 2. Initiating performance related discussions with their supervisors; and
  - 3. Updating skills needed to perform their jobs as necessary.

### **1.440.10 Goal Setting Records**

- A. Raters will counsel their subordinates in one-on-one settings within the first 30 days of rating periods or transfer of employees to new units. Issues covered during these counseling sessions must include, but are not limited to:
  - 1. Duties, responsibilities, and job tasks of assignments based on established assignment descriptions;
  - 2. Levels of performance expected; and
  - 3. Criteria used for evaluating subordinates.
- B. Raters will conduct and document at least one additional performance review session with each of their subordinates approximately mid-way through rating periods.
- C. Criterion used in goal setting must be consistent with organizational and unit goals established by the agency and will be applicable across all ranks and for all personnel.
- D. Goal Setting Records will be used as support documents during all goal setting sessions in order to directly inform subordinates of performance expectations.
  - 1. Goal Setting Records are utilized to establish written records of goal setting, performance, and related counseling.
  - 2. Information extracted from Goal Setting Records will form the basis for completing Evaluation Records. These records protect the rights of, and prevent misunderstandings by, subordinates.
- E. For initial goal setting sessions, raters will;

- 1. Schedule sessions and notify subordinates;
- 2. Review subordinates' last evaluations and descriptions;
- 3. Read each rated area and decide how each area applies to subordinates' performance;
- 4. Decide and describe what will be considered at least "Meets Expectations" ratings for each rated area;
- 5. Describe specific examples that are observable and measurable;
- 6. Reach consensus on special projects or goals to be accomplished; and
- 7. Provide copies of Goal Setting Records to subordinates.
- F. For secondary goal setting review sessions, raters will:
  - 1. Schedule sessions and notify subordinates;
  - 2. Review working copies of standards developed during the initial goal setting sessions;
  - 3. Review any positive and negative performance;
  - 4. Decide how well subordinates have achieved each standard of performance; and
  - 5. If necessary, define actions that should be taken to improve subordinates' performance toward achieving goals.
- G. Goals may be updated or revised during rating periods so long as employees are advised of same consistent with applicable components of part **F** of this section.

### **1.440.15 Performance Counseling**

- A. The agency's participation in the PRD system utilizes counseling as a function of discipline consistent with **2.900 Complaints & Discipline** in addition to providing employees with on-going feedback and coaching.
- B. Supervisors should document performance of subordinates on an on-going basis to assist in performance counseling.
- C. Supervisors will minimally conduct one Body Worn Camera and Mobile Digital Video Recording System (MDVRS – In-Car Camera) review for each officer, assigned to their squad or unit, per month and document the review. The purpose of the review is to assist the supervisor in completing performance evaluations. Reviews will then be forwarded to the appropriate administrator through the chain of command. Nothing shall prohibit a supervisor from reviewing an individual officer's video more than required, as needed.
  - 1. Supervisors will not arbitrarily, routinely or randomly review audio/video recordings for the purpose of identifying minor infractions of department policies or procedures.
  - 2. Minor infractions that are not criminal in nature, discovered during the routine review of recorded material should be viewed as training opportunities and not as routine disciplinary actions. Should behavior or action become habitual after being informally addressed, the appropriate disciplinary or corrective action shall be taken.
  - 3. Supervisors will discuss reviews with individual officers assigned to their squad or unit and provide training opportunities as necessary.
- D. Supervisors should give subordinates opportunities to review, enter responses, and acknowledge entries after initial complaints, incidents, or activities.
- E. Before counseling subordinates in reference to performance observations, superiors should decide if incidents should be handled through the formal disciplinary process for minor or major violations consistent with **2.906 Violation Classifications**.

### **1.440.20 Evaluation Records**

- A. Evaluation Records will be completed consistent with agency directives and training supplied by University Human Resources.
  - 1. The evaluation process places emphasis on agency values, subordinate responsibilities, and superior accountability.

2. Evaluation Records will be used to evaluate all full-time, non-sworn employees and all sworn ranks from private through captain. Other forms, supplied by University Human Resources will be used to evaluate senior staff ranks.
3. Evaluation Records will be completed for all subordinates at least annually.
4. The PRD program coordinator will cause to be generated and distributed to all personnel current listings of raters, reviewers, reviewing schedules, and time-tables for process completion.
5. Raters and reviewers will abide by process timetables.
- B. Job performance elements/criteria, which form the basis for evaluations, must be specific to employees' assignments during rating periods.
  1. Criteria will be observable, measurable, and established prior to rating periods.
  2. Raters must examine and document all available sources of information relative to subordinates' ratings in all rated dimensions.
  3. Evaluations will cover specific time periods. Actual dates covered by evaluations will be contained in evaluation reports.
  4. Job performance will be based only on performance during rating periods. Job performance prior to, or following, evaluation periods will be excluded from those evaluations.
- C. Evaluations require accurate and detailed information. Raters will maintain written documentation of subordinates' job performance throughout rating periods to ensure evaluations are accurate and meaningful.
- D. Raters will advise employees in writing whenever employees' performance is deemed to be below expectations or very unsatisfactory. Notifications must be made to provide subordinates with opportunities to improve their performance before the end of rating periods.
  1. Notifications of deficient performance by non-probationary personnel should be provided in a timely manner.
  2. Deficient performance by non-probationary personnel should be brought to the attention of employees as expeditiously as possible in a timely manner.
- E. After evaluations are completed and reviewed, raters will discuss evaluations with subordinates in evaluation interviews. Subordinates will be afforded the opportunity to include their own comments on evaluations during evaluation interviews.

#### **1.440.25 Evaluation Record Rating Dimensions**

- A. Evaluation Records for nonexempt employees are used to rate eight dimensions that are:
  1. Job knowledge;
  2. Attendance and punctuality;
  3. Cooperation and teamwork;
  4. Customer service;
  5. Quality of work;
  6. Quantity of work;
  7. Communication; and
  8. Supplementary Performance Factor/Project;
- B. Evaluation Records for exempt employees are used to rate twelve dimensions that are:
  1. Job knowledge;
  2. Cooperation and teamwork;
  3. Customer service;
  4. Quality of work;
  5. Quantity of work;
  6. Communication; and
  7. Supplementary Performance Factor/Project;
  8. Setting objectives;

9. Organization and work allocation;
10. Staffing;
11. Leadership and motivation;
12. Performance Review and Development;

#### **1.440.35 Evaluation Record Rating Levels**

- A. The two measurement standards used by the agency in the evaluation process for nonexempt employees are:
  1. Meets expectations; and
  2. Does not meet expectations.
- B. The five measurement standards used by the agency in the evaluation process for exempt employees are:
  1. Outstanding;
  2. Exceeds expectations;
  3. Meets expectations;
  4. Below expectations; and
  5. Very unsatisfactory.
- C. Each rating must be supported by comments.

#### **1.440.40 Supervisory Feedback Report (SFR)**

- A. Modified versions of Evaluation Records are designated as the agency's SFR in order to:
  1. Foster more interaction between employees;
  2. Provide the administration with additional sources of performance related information; and
  3. Aid in the career development of the involved personnel.
- B. Subordinates have the opportunity, but are not mandated, to complete SFRs on immediate supervisors for submission to the supervisors' raters.
- C. SFRs will be completed in accordance with applicable standards for Evaluation Records.
- D. Raters will type consolidated SFR information into a single report for each rated employee prior to presentation.
  1. The identities of commenting employees will be protected from disclosure to rated employees.
  2. The information contained within consolidated SFRs will be discussed and taken into consideration during goal setting and evaluation sessions.
- E. All parties involved in the SFR process will maintain strict informational confidentiality.

#### **1.440.45 Reviewer's and Rater's Role**

- A. Every employee will have a designated evaluation reviewer that is their rater's supervisor. Employees answering directly to the chief will have a reviewer designated by the chief.
- B. PERs will be reviewed and signed by designated reviewers and raters prior to PERs being presented to reviewed subordinates.
- C. Reviewers and raters will discuss evaluations prior to the presentation of ratings to subordinates.
  1. In cases where there is disagreement, reviewers will discuss the matter with raters and attempt to reach agreement by consensus on appropriate evaluation ratings prior to presenting ratings to subordinates.
  2. If agreement cannot be reached, reviewers have authority to change ratings or make comments on evaluations and reflect new overall ratings. These new ratings will be the official ratings. Employees' bureau commanders will be consulted before reviewers make rating changes.
- D. Raters will be evaluated by their raters based on the quality of ratings given subordinates and how well they provide on-going counseling, coaching, and feedback. Reviewers will ensure that raters apply ratings uniformly.

#### **1.440.50 PER Presentation**

- A. All employees will be counseled at the conclusion of rating peri-

ods.

- B. After PERs have been reviewed, PERs will be discussed one-on-one by raters with subordinates.
- C. Raters are responsible for explaining to subordinates information which was taken into consideration in preparing evaluations.
  1. Specific examples of performance should be discussed in detail.
  2. Employees should be commended for work well done as well as helped to understand specific ways their performance can, or must, improve.
  3. Plans for improvement will be developed, if necessary.
  4. Levels of performance expected, rating criteria, and goals for the next rating period will be discussed.
  5. Career counseling relative to advancement, specialization, or training appropriate for employees' positions will be discussed.
- D. After reports have been discussed with rated subordinates, subordinates will be given the opportunity to sign evaluations where indicated on the form and to make written comments to supplement completed performance evaluation reports. Subordinates' signatures indicate only that they have read the PER.
- E. If rated subordinates refuse to sign evaluation forms, raters will note this on the forms and record the reasons for refusal if given by subordinates.
- F. Employees are encouraged to resolve rating conflicts with their raters or through the chain of command.
- G. Employees who wish to formally contest their evaluations must file appeals with immediate supervisors. Those notices must specifically state grounds for appeals. See also **1.444 Grievances**.

#### **1.440.55 PER for Probationary Subordinates**

- A. Raters of probationary subordinates will complete PERs at least quarterly upon assuming supervisory control of subordinates and completion of any field training programs.
- B. Quarterly evaluations will cease upon completion of employees' probationary status.
- C. Probationary evaluations apply to all personnel serving probationary periods, either as the result of hiring or promotion.

#### **1.440.60 After PER Presentation**

- A. Raters will provide subordinates copies of PERs.
- B. Raters should make notes and record pertinent comments made during PER presentations.
- C. PERs will be forwarded to UMDPS Human Resources for inclusion in personnel files. Only the most recent three years PERs will be retained in personnel files.

#### **1.440.65 Early Identification System**

- A. The agency has an early identification system (EIS) to provide systematic reviews of specific, significant events involving agency employees. This system is necessary for the agency to exercise its responsibility to evaluate, identify, and assist employees who exhibit signs of performance and / or stress related problems.
  1. The EIS is a time-sensitive system designed to effectively organize critical performance and evaluation data in a format conducive to promptly identify early indicators of certain performance and/or stress related problems and to facilitate any necessary or appropriate follow-up activities.
  2. The EIS is only one of the methods by which employees are identified as possibly needing assistance with performance and/or stress related problems. The EIS is intended to serve as a systematic approach to highlighting tendencies that may otherwise be overlooked.
- B. The Internal Affairs Coordinator will serve in an ancillary capacity as the EIS Coordinator (EISC).
  1. Using the L.E.A. Administrative Database, the EISC will

generate a report when the automated database identifies an officer who has reached the threshold set under **1.440.65 (B) (5)**.

2. Agency directives, as specified in the accompanying table, require targeted incidents to be reported, thereby generating basic records and reports necessary for the EIS.
3. Employees assigned to oversee the routine review function as described in **2.835 Reporting Uses of Force** will release necessary and required information to the EISC for the purpose of completing quarterly EIS reports.
4. These reports will result in the EISC sending EIS follow-up notices to the chief and bureau commander of employees who, during the most recent 3 month period, are involved in:

Number Incidents	Type of Incident	Reporting Required
3	Uses of Force	<b>2.835</b>
2	Complaints Filed	<b>2.904</b>
2	Traffic Accidents	

5. Once the report has been completed, the EISC will forward the report to the bureau commander of the employee listed on the report. The bureau commander or their designees will review the incidents and analyze the employee's performance along with the employees 1<sup>st</sup> level supervisor (rater) and 2<sup>nd</sup> level supervisor (reviewer) to determine the need for any necessary or appropriate follow-up activities as listed in **1.440.65 E**.
6. The 1<sup>st</sup> level supervisor (rater) will then initiate any appropriate follow-up activities as directed by the bureau commander or their designee and ensure that those activities are completed in a timely manner by the employee.
- C. EIS follow-up notices will contain employees' names, ID numbers, event dates, and brief descriptions of targeted incidents.
  1. Follow-up notices mandate that, within one month of notice receipts, employees' raters, reviewers, and bureau commanders review information contained in follow-up notices in addition to other recent employee performance related information provided by raters.
  2. Based on analyses of information presented during this review process, bureau commanders will submit timely analyses to the chief and EISC articulating whether formal follow-ups are recommended.
- D. Continued follow-up efforts will minimally require the chief conduct timely EIS meetings with identified employees, their raters, reviewers, and bureau commanders.
  1. EIS meetings are to be facilitative and non-disciplinary in nature.
  2. Employees will be informed they have been identified for follow-up in the EIS, purpose of the meetings, and that the meetings are facilitative and non-disciplinary.
- E. EIS meetings will result in options or courses of actions being determined and established by the chief with input from identified employees, their raters, reviewers, and bureau commanders. Options or courses of actions include, but are not limited to:
  1. No additional action;
  2. Informal counseling and informal monitoring by employees' raters;
  3. Formal counseling or corrective actions as appropriate;
  4. Formal monitoring for a minimum of 12 weeks with monthly formal reviews and reports;
  5. Mandatory remedial or additional training designed to improve employees' skills;
  6. Voluntary or mandatory referral to the university's FSAP for counseling or referral assistance, etc.; or
  7. Reassignment.
- F. Employees who disagree with the results of EIS meetings may file

grievances consistent with **1.444**.

- G. The EISC will conduct annual evaluations of the EIS in order to advise the chief on the system's effectiveness and propose any necessary changes.