



## **4500 PERFORMANCE MANAGEMENT**

### **4510 PERFORMANCE EVALUATIONS**

#### **4511 General** (Revised December 21, 2009)

Performance evaluations are a component of a Performance Management System. The performance management system is designed to stimulate and evaluate employees by properly recognizing their performance and skills. The performance management process is used as a fair and objective method of relating an employee's career development and success to the realization of personal and departmental goals. Performance management is accomplished through a continuous development process that includes performance plans, continuous measurement, feedback, PPR's and performance evaluations.

Performance planning is the first step in performance management and defines the criteria and expectations in a manner that all parties can understand. The objective of the performance plan is to help the supervisor and employee understand what their goals are in order to get the job done effectively and efficiently. The supervisor/employee performance plan discussion should be documented in the form of a PPR. A supervisor's failure to properly explain the employee's duties and indicate how performance is measured usually results in supervisor/employee misunderstandings. Supervisors will receive basic training in the administration of performance evaluations, and the Police Human Resources Division will administer periodic training updates.

Continuous measurement, feedback and development is the second step in a performance management system. This step should be viewed as a continuous process that starts with performance planning and ends with the formal performance evaluation. Supervisors will use the performance management system to evaluate their employees and to provide career counseling and identify training needs for the employee.

Employees must look upon the performance management system as the process by which they can learn how their supervisor views their work effort, and what is required for improvement. The performance evaluation form is a formal means to summarize an employee's performance during a specified period.

#### **4512 Performance Review Forms and Guidelines**

The Human Resources Division (HRD) shall prepare and make available the current forms used to evaluate performance of department employees. HRD shall also make available instructions and guidelines on completion of evaluations. This information will be made available on the Department's Intranet.

### **4520 EVALUATION SERVICE**

#### **4521 General**

The contents of evaluations should not come as a surprise. Supervisors shall keep *Personnel Performance Record* (PPR) entries and review performance with subordinates on a regular basis.



Members demonstrating substandard performance shall be notified in writing of such in order to have the opportunity to correct their behavior, such notification occurring as soon as possible and if possible at least 90 days prior to the end of the evaluation period. "Below" and "Exceeds" ratings shall have a narrative supporting the rating in the evaluation.

After completing a performance evaluation, the supervisor shall notify his/her chain of command via email that an evaluation has been completed and requires their review and signature before serving the evaluation on the employee.

When serving an evaluation supervisors shall appropriately counsel the employee regarding the performance ratings received, the level of performance expected, goals for the next evaluation period and career development. Employees shall sign evaluations presented to them acknowledging receipt, regardless of whether or not they agree with the ratings or content.

Employee development is an important supervisory function and has been added as a performance competency for supervisors.

#### **4522 Frequency of Evaluations**

##### **4522.1 Probationary Employees**

The Civil Service Commission sets probationary periods for new employees and for promoted employees. (Refer to GO 4131 for duration of probationary periods.)

Evaluations are due every three months during initial or promotional probation, to include reserve officers.

At each appraisal, the supervisor shall recommend one of the following: 1) the employee shall be allowed to continue his or her probationary period, 2) the employee successfully completes probation, or 3) the employee shall not be allowed to continue to complete the probationary period (termination recommended or return to prior position).

At the end of an employee's probationary period, the supervisor completing the performance review shall make a recommendation as to whether or not the employee should be granted permanent status with the City.

Probationary employees who are returned to a lower or previous classification due to a failure to meet or maintain performance standards shall be served with an end of probation evaluation documenting their performance. This shall be prepared and served even if the employee voluntarily reverts to their previous classification.

##### **4522.2 Permanent Employees**

All permanent employees, to include reserve officers, shall receive an annual performance evaluation coinciding with their pay anniversary date regardless of whether or not the employee is eligible for a merit increase. The performance evaluation shall report upon all relevant performance during the evaluation period as defined on the evaluation form.



**4523 Special Evaluations**

Special evaluations may be prepared at any time by an employee's supervisor. Special evaluations may, for example, document and formally record exceptionally high performance, unusual job performance problems, or to monitor progress of work improvement plans. These evaluations use the same forms and otherwise follow the same process as any other evaluation. The Human Resources Division shall provide all necessary forms.

**4524 Annual Review and Merit Increases**

As part of each employee's annual performance review, they may also be eligible for a merit pay increase depending on their pay structure and performance. The award of a merit increase is not something to which an employee is automatically entitled. There must be documented demonstration of full (meets standards) or exceptional (exceeds standards) performance consistent with tenure. A complete review of the employee's performance is necessary to support a recommendation for award or denial of a merit increase. Completed PARF's that come attached to those evaluations eligible for a merit increase shall be processed by Police Payroll upon approval by the affected employee's chain of command.

**4525 Out of Phase Merit Increases**

The Chief of Police and the City Manager must previously approve these increases. If granted, an out-of-phase increase will adjust an anniversary date.

There are two types of out-of-phase merit increases:

- **Multi Step Merit Increase** – This is an increase of more than one pay step awarded on the individual's anniversary date. After fully justifying why the employee is considered for more than the normal one-step increase, the immediate supervisor shall recommend what particular pay step the employee deserves. This is generally done on a separate document from the Performance Evaluation form that accompanies it. When the form, the attachment, and the PARF initiated by the Payroll Unit all reach the Division Commander's office, and the multi-step increase is approved, a second PARF, listing the pay step change being recommended, will be added to the package.
- **New Anniversary Date Merit Increase** – This is an increase of one or more pay steps awarded at a time other than the individual's normal anniversary date. Once the award is granted, the date of the pay raise becomes the individual's new anniversary date.

In order to initiate a recommendation for a new anniversary pay increase, the supervisor, prior to the employee's anniversary date, shall justify it on a memorandum fully documenting the employee's performance during the evaluation period and shall forward it through the chain of command to division level. If the division commander concurs with the recommendation, the payroll unit will initiate the appropriate paperwork.



**4526 Merit Increase Denial Policy**

Evaluations containing a recommendation for denial of an employee's merit increase shall be approved by the employee's chain of command prior to service on the employee. Following this review, the employee's immediate supervisor shall serve the evaluation and advise the employee of the denial and the employee's right to chain of command review. If the serving supervisor is not the employee's current supervisor, that person will coordinate with the employee's immediate supervisor for notification purposes. The official notification to the employee shall be made in writing using the *Merit Increase Review Form* available at the Human Resources Division or on the Share Drive. Merit increase denials are for a period of one year and shall remain in effect until the employee's next regularly scheduled annual review.

When served with the *Merit Increase Review Form*, the affected employee shall sign acknowledging receipt, even if they disagree with the recommendation. The employee will then have 72-hours in which to submit to their supervisor in writing specific reasons why they feel the merit increase should be granted. Within 72-hours from the time the employee was served with the notification, they must inform their supervisor of their decision to seek review and sign the appropriate area of the *Merit Increase Review Form* indicating their choice. The employee's written response must be presented at that time and, together with the notification form, shall be attached to the evaluation package for review by the employee's chain of command.

If the employee does not respond to the supervisor, or does not submit the required documentation by the end of 72-hours from the time of initial service, their supervisor shall so indicate on the notification and submit the form with the evaluation package to the chain of command. Such failure by the employee shall end all rights of review of the merit increase decision.

The entire evaluation package, including the notification form and any written submission from the employee, shall be forwarded through the chain of command. Members of the chain of command shall initial and date the employee's notification form and any written submission from the employee. Any member of the chain of command may attach a statement to the package.

As the merit denial form and package progresses through the chain of command, the employee shall have the opportunity to make an appointment with reviewing members of their chain of command to discuss the denial. It is the employee's responsibility to track this progress and to make any necessary appointments.

The last reviewer shall provide a copy of the final decision and package to the employee and send the entire package, including the notification form and all associated documentation to the Human Resources Division. No further review right exists beyond the chain of command review of the merit denial and evaluation. Merit denial "appeals" will continue to go through the involved member's Chain of Command, but will stop at the A/C Level.

**4527 Time Frames for Completing Performance Evaluations**

HRD shall notify, with sufficient lead time to allow completion of the reviews, the affected bureaus, divisions and supervisors when performance evaluations are due and that the forms are available on the department's Intranet (Resources/HR Service Center). The HRD notification will have a due date which must be met in order to ensure timely processing of any pay adjustments.



Bureau commanders may establish their own time frames to be met within their bureau that ensures completion of the evaluation and return to HRD no later than the effective date.

If an evaluation is in the process of being reviewed through the chain of command and a reviewing member is unavailable, it shall be the responsibility of that reviewing member's acting designee to make the appropriate recommendations and forward the package to the next reviewing member in the chain of command.

If a performance review that affects an employee's pay is received by HRD beyond the time necessary to allow processing of the PARF for the appropriate pay period, the employee's chain of command shall be responsible for preparing a memorandum through the Office of the Chief of Police to the City Manager explaining the delay and requesting any adjustment needed to the employee's pay.

## **4530 INSTRUCTIONS FOR COMPLETING PERFORMANCE EVALUATIONS**

### **4531 General**

Instructions on how to access employee performance reviews may be found on the department's intranet (Resources/HR Service Center). Supervisors shall ensure the applicable evaluation form is selected and completed given the employee's primary assignment (i.e., non-sworn, sworn, field, administrative, investigative, supervisor). The completed evaluation may be reviewed by the employee on the Intranet. A hard copy of the evaluation shall be provided to the employee at the time of service. Completed evaluations shall be filed in the employee's permanent and electronic files in HRD. A copy of the evaluation shall also be forwarded to the City's Human Resource Department and kept in the employee's permanent file.

Evaluations and their ratings generally cover a one-year period. Supervisors should carefully weigh all conduct and performance during the covered period in determining their ratings. Supervisors may add additional categories to the evaluation form, as they and the chain of command deem appropriate. An employee's proper use of authorized leave, such as military or Family Medical Leave, shall not be considered in rating an employee's performance.

In the case of a special evaluation, or if the original form sent out by HRD needs to be replaced, the supervisor preparing the evaluation should contact HRD for the appropriate assistance and paperwork.

All evaluations shall be reviewed and signed by the chain of command before it is served to an employee. A copy of the evaluation shall be provided to the employee.

#### **4531.1 Light Duty or Absent Employees**

Employees on light duty will be evaluated addressing the work they are assigned. If an employee has been on extended absence during the evaluation period, the evaluation is still due at the normal time period.



**4532 Evaluation Requirements**

The supervisor to whom an employee is currently assigned shall generally complete evaluations. If the employee did not work for the supervisor for the entire period under review, they may request an addendum from any other supervisor for whom the employee worked. Supervisors requested to prepare an addendum to an evaluation shall do so in a timely manner so as to allow completion of the review by the assigned due date.

All performance evaluations shall have narratives supporting "below standards" and/or "exceeds standards" ratings. The supervisor shall complete all applicable areas on the checklist form relevant to the employee's position (e.g., inspections, CENPERS review, eligibility for secondary employment, etc.).

**4533 Employee Recognition**

Employee recognition in the form of letters of appreciation, phone calls of appreciation, memoranda of appreciation or similar, will be collected by an employee and provided by them to their supervisor. The supervisor shall document this and other formal recognition (medals, commendations, etc.) in the appropriate place on the annual evaluation form and in the evaluation narrative.

If the employee wishes to have the recognition documentation retained in their personnel file their supervisor shall forward the items (or copies) for filing in HRD. Such recognition documentation will generally only be filed on an annual basis along with the evaluation.

**4534 Complaint Information**

Supervisors receiving notification that an evaluation is due shall contact the secretary assigned to the Office of Internal Affairs by email and request that information on the employee for the past twelve months be provided. The final reviewer in the employee's chain of command will ensure that the information provided by the Office of Internal Affairs is removed prior to forwarding the completed evaluation back to the payroll unit in HRD.

Supervisors shall discuss complaints, internal investigations and discipline in the written narrative when this information is relevant to the attainment, or lack thereof, of an acceptable level of performance overall or in any individual category.

**4535 Employee Rebuttal to an Evaluation**

Employees who disagree with their evaluation and wish to offer a formal rebuttal may do so in writing using the *Employee Comments About Performance Evaluation Form*, available HRD. The form shall be routed through the chain of command for review and returned to HRD for filing with the original evaluation paperwork at TPD and City HR.



**4536 Retention of Records**

Evaluations become a permanent part of the employee's department and official city personnel file. These files are retained by TPD during employment, then are archived with the city.

**4537 Work Improvement Plans**

In some cases, an employee may be served with a Work Improvement Plan designed to alert the employee to performance deficiencies and to set forth specific objectives for improvement. Plans should specifically advise an employee of expectations and consequences for failure to meet the plan's expectations. Work Improvement Plans may be referenced in, and served in conjunction with, an evaluation but are not generally included with the actual performance review. These may be filed in the employee's permanent record by forwarding a copy HRD. HRD may also be contacted by supervisors and commanders for assistance in formatting and developing a Work Improvement Plan.