

## **Salisbury University Police Department**

### **CHAPTER 35 – PERFORMANCE EVALUATION**

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#### **35.1            Administration**

- 35.1.1        Performance Evaluation System
- 35.1.2        Annual Evaluation
- 35.1.3        Quarterly Evaluation – Probationary Employees
- 35.1.4        Evaluation Criteria
- 35.1.5        Evaluation Period
- 35.1.6        Unsatisfactory Performance
- 35.1.7        Employee Counseling
- 35.1.8        Rater Evaluation
- 35.1.9        Personnel Early Warning System

## **Salisbury University Police Department**

### **CHAPTER 35 – PERFORMANCE EVALUATION**

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*This chapter deals with the principles of performance evaluation and the manner in which evaluations are carried out. The administration of Salisbury University is responsible for ensuring that each department administers an effective performance evaluation method. The Chief of Police is responsible for ensuring that all employees within the department are evaluated accordingly.*

#### **35.1 Administration**

##### **35.1.1 Performance Evaluation System**

The Department's Performance management system includes three main objectives. The first provides a basis for fair and impartial measurement of personnel in terms of their individual responsibilities and day-to-day performance.

The second objective provides supervisors the opportunity to direct and maintain efforts designed to identify deficiencies and to improve individual performance.

The third objective is to recognize individual performance and provide standardized and documented information to facilitate personnel decisions regarding disciplinary actions and recommendations for the retention of probationary personnel.

##### **A. Performance Management Process**

1. Performance goal setting and evaluation will be conducted annually for all agency employees. Goal setting and evaluation processes will be conducted consistent with the policies and procedures of the university's Performance Management Process (PMP).
2. The agency's responsibilities of the PMP include, but are not limited to:
  - a. Ensuring the PMP is administered fairly and consistently;
  - b. Ensuring performance expectations are established and communicated to all employees; and
  - c. Ensuring employees attend PMP training as necessary and prudent.
3. The agency's responsibilities in the PMP 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 PMP.
4. Supervisory and administrative personnel are not permitted to carry out their PMP 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.
5. Supervisors will be held accountable in their own performance evaluations for conducting the PMP with their employees.
  - a. The PMP must be conducted competently and in a timely manner.
  - b. Supervisors will be evaluated by their raters based on the quality of ratings given subordinates.
  - c. Supervisors will ensure that ratings are applied uniformly.

6. Employees are expected to be active participants in the PMP. Their PMP responsibilities include, but are not limited to:
  - a. Familiarizing themselves with the PMP by attending training and reading employee manuals for the system; and
  - b. Initiating performance related discussions with their supervisors; and
  - c. Up-dating skills needed to perform their jobs as necessary.

**B. Goal Setting Records**

1. Raters will counsel their subordinates in one-on-one settings within the first 30 days of rating periods. Issues covered during these counseling sessions must include, but are not limited to:
  - a. Duties, responsibilities, and job tasks of assignments based on established assignment descriptions;
  - b. Levels of performance expected; and
  - c. Criteria used for evaluating subordinates.
2. Raters will conduct and document at least one additional performance review session with each of their subordinates approximately mid-way through rating periods.
3. 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.
4. Goal Setting Records will be used as support documents during all goal setting sessions in order to directly inform subordinates of performance expectations.
  - a. Goal Setting Records are utilized to establish written records of goal setting, performance, and related counseling.
  - b. 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.
5. For initial goal setting sessions, raters will:
  - a. Schedule sessions and notify subordinates;
  - b. Review subordinates' last evaluations and descriptions;
  - c. Read each rated area and decides how each area applies to subordinates' performance;
  - d. Decide and describe what will be considered at least "Meets Standards" ratings for each rated area;
  - e. Describe specific examples that are observable and measurable;
  - f. Reach consensus on special projects or goals to be accomplished; and
  - g. Provide copies of Goal Setting Records to subordinates.
6. For secondary goal setting review sessions, raters will:
  - a. Schedule sessions and notify subordinates;
  - b. Review working copies of standards developed during the initial goal setting sessions;
  - c. Review any positive and negative performance;
  - d. Decide how well subordinates have achieved each standard of performance; and
  - e. If necessary, define actions that should be taken to improve subordinates' performance toward achieving goals.
7. 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.

**C. Performance Coaching and Counseling**

1. The agency's participation in the Performance Management Process utilizes counseling in addition to providing employees with on-going feedback and coaching.
2. Supervisors should document performance of subordinates on an on-going basis to assist in performance counseling.
3. Supervisors should give subordinates opportunities to review, enter responses, and acknowledge entries after initial complaints, incidents, or activities.
4. 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 **Chapter 26**.

**D. Evaluation Records**

1. Evaluation Records will be completed consistent with agency directives and training supplied by University Human Resources.
  - a. The evaluation process places emphasis on agency values, subordinate responsibilities, and superior accountability.
  - b. Evaluation Records will be used to evaluate all full-time, non-sworn employees and all sworn ranks from private through lieutenant. Other forms, supplied by University Human Resources will be used to evaluate senior staff ranks.
  - c. Evaluation Records will be completed for all subordinates at least annually.
  - d. The PMP 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.
  - e. Raters and reviewers will abide by process timetables.
2. Job performance elements/criteria, which form the basis for evaluations, must be specific to employees' assignments during rating periods.
  - a. Criteria will be observable, measurable, and established prior to rating periods.
  - b. Raters must examine and document all available sources of information relative to subordinates' ratings in all rated dimensions.
  - c. Evaluations will cover specific time periods. Actual dates covered by evaluations will be contained in evaluation reports.
  - d. 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.
3. 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.
4. Raters will advise employees in writing whenever employees' performance is deemed to be below standards. Notifications must be made to provide subordinates with opportunities to improve their performance before the end of rating periods.
  - a. Notifications of deficient performance by non-probationary personnel should be provided at least 90 days prior to the end of rating periods.
  - b. Deficient performance by non-probationary personnel occurring less than 90 days prior to the end of rating periods should be brought to the attention of employees as expeditiously as possible.
5. 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.

#### **E. Individual Performance Factors**

1. Individual Performance Factors for non-exempt employees are used to rate eighteen dimensions that are:
  - a. Quality of work;
  - b. Quantity of work;
  - c. Timeliness;
  - d. Use of Resources;
  - e. Attendance and Punctuality;
  - f. Oral Communications;
  - g. Written Communication;
  - h. Cooperation and Teamwork;
  - i. Interpersonal Relationships;
  - j. Customer Service;
  - k. Public Relations;
  - l. Planning;
  - m. Problem Solving;
  - n. Creativity;
  - o. Job Knowledge
  - p. Handling Challenges;
  - q. Initiative;
  - r. Administration.
2. Performance Factors for Managers/Supervisors will be rated on the above factors plus 12 additional dimensions that are:
  - a. Setting Objectives;
  - b. Budgeting;
  - c. Organization and WorkAllocation;
  - d. Integration;
  - e. Monitor Group Res.;
  - f. Staffing;
  - g. Defining Expectations;
  - h. Feedback and Coaching;
  - i. Performance Review;
  - j. HR Development
  - k. Leadership and Motivation;
  - l. Communications.
3. Performance Factors for exempt employees may include those listed factors above as well as:
  - a. Adaptability/Agent for Change;
  - b. Management Responsibilities;
  - c. Productivity;
  - d. Operations.

#### **F. Evaluation Record Rating Levels**

1. The three measurement standards used by the agency in the evaluation process for non-exempt and exempt employees are:

**Non-Exempt:**

**Above Standards** is defined as performance above standards in many important aspects and exceeds normal expectations.

**Meets Standards** is defined as performance meets standards in all important aspects.

**Below Standards** is defined as performance below standards in some important aspects, but meets standards in other respects; improvement needed.

**Exempt:**

**Developing** is defined as performance is below standards in some important aspects, but may meet standards in other areas; improvement needed.

**Meets Standards** is defined as performance meets standards in all important aspects of the job. Met the requirements and achieved expected results. Consistently good performance which is expected of a fully experienced and competent employee.

**Exceeds Expectations** is defined as exceptional performance and achievements that are superior to the level of performance required for the job, and clearly surpassed the standards required for the job. Used exceptional application of knowledge, skills and/or abilities to exceed the required standards.

2. Each rating must be supported by comments and documentation.

**G. Supervisory Feedback Report (SFR)**

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

**H. Reviewer's and Rater's Role**

1. Every employee will have a designated evaluation reviewer that is his/her rater's supervisor. Employees reporting directly to the Chief of Police will be evaluated by him and these evaluations will be reviewed by the Vice-President of Administration and Finance.
2. Performance Management Process (PMP) form will be reviewed and signed by designated reviewers along with the raters prior to PMPs being presented to the subordinate being evaluated (ie. The Patrol Commander shall review the PMP completed by Squad Supervisors, the Operations Commander shall review the PMPs completed by the Communications Supervisor, Security Supervisor, etc.)
3. Reviewers and raters will discuss evaluations prior to the presentation of ratings to subordinates.
  - a. 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 the PMP to subordinates.

- b. If an 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.
4. The Supervisor completing the PMP will be evaluated by their rater (Division Commander) based on the quality of ratings given subordinates and how well they provide on-going counseling, coaching, and feedback. Reviewers will ensure that the Supervisor rating each employee applies ratings uniformly.
5. The Office of Human Resources will provide training to Supervisors, as needed, in the completion of PMPs.

#### **I. PMP Presentation**

1. All employees will be counseled at the conclusion of rating periods.
2. After PMPs have been reviewed, PMPs will be discussed one-on-one by raters with subordinates.
3. Raters are responsible for explaining to subordinates information which was taken into consideration in preparing evaluations.
  - a. Specific examples of performance should be discussed in detail.
  - b. Employees should be commended for work well done as well as helped to understand specific ways their performance can, or must, improve.
  - c. Plans for improvement will be developed, if necessary.
  - d. Levels of performance expected, rating criteria, and goals for the next rating period will be discussed.
  - e. Career counseling relative to advancement, specialization, or training appropriate for employees' positions will be discussed.
4. 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 PMP.
5. 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.
6. Employees are encouraged to resolve rating conflicts with their raters or through the chain of command.
7. Employees who wish to formally contest their evaluations must file appeals with immediate supervisors. Those notices must specifically state grounds for appeals. Refer to **25.1 Grievances**.

#### **J. PMP for Probationary Employees**

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

**K. After PMP Presentation**

1. Raters will provide subordinates copies of PMPs.
2. Raters should make notes and record pertinent comments made during PMP presentations.
3. PMPs will be forwarded to the Office of the Chief for inclusion in personnel files. Only the most recent three years PMPs will be retained in personnel files.

**35.1.2 Annual Evaluation**

All full-time employees of the department shall be evaluated at a minimum of once per year. The annual performance cycle is June 1 – May 31 or as otherwise indicated by the University. Semi-annual PMPs will also be completed by Supervisors for his/her assigned personnel in order that areas of improvement may be addressed in consideration of training needs, performance issues and overall progress towards the attainment of established agency and/or university goals and objectives.

**35.1.3 Quarterly Evaluation – Probationary Employees**

Refer to 35.1.2 (J)

**35.1.4 Evaluation Criteria**

Refer to 35.1.1

**35.1.5 Evaluation Period**

Refer to 35.1.1 (J) and 35.1.2

**35.1.6 Unsatisfactory Performance**

Refer to 35.1.1 (D-4)

**35.1.7 Employee Counseling**

Supervisors completing the PMP evaluations shall ensure that, at the conclusion of the PMP, the employee is counseled on:

- A. The results of the performance evaluation just completed;
- B. The level of performance expected, rating criteria or goals for the next reporting period; and
- C. Career counseling relative to such topics as advancement, specialization or training appropriate to the employee's position.

Refer to 35.1.1

**35.1.8 Rater Evaluation**

Refer to 35.1.1. (H)

### **35.1.9 Personnel Early Warning System**

A Personnel Early Warning System is a mechanism to assist in the identification and resolution of personal or job related concerns or problems that may adversely affect an employee's personal or professional well-being or job performance. This system is not designed to be punitive in nature, but rather an administrative tool to improve employee performance, enhance supervision and organizational accountability/integrity as well as assist and support all agency employees.

Personal problems may include, but are not limited to, health (physical/mental), marital, family, financial, substance abuse, emotional/stress, work performance and/or other personal problems.

#### **A. Provisions to Initiate a Review of the System**

As a foundation of proactive and engaged supervision, it is essential that supervisors constantly monitor and document all facets of employee performance within the scope of this process. Supervisors should be keying into changes in performance or behavior that could signify possible negative impacts on the employee and/or organization. There are no precise or absolute behavioral indicators of employee stress that could lead to misconduct. Therefore, it is important that the scope of indicators vary widely and include a broad data set for determining if a supervisory assessment is warranted.

Some examples of performance areas that should be tracked in our early intervention system include, but are not limited to, an escalating pattern of the following:

Citizen Complaints	Civil Litigation/Lawsuits	Discipline
Uses of force – off and on duty	Portfolio entries/evaluations	Secondary Employment
Firearm discharge (on duty)	Supervisor observations/info	History of Leave Usage/Sick Leave
Preventable accidents/injuries	Peer observations/info	Remediation issues
Traffic/Criminal Citations/Arrests	Tardiness	Critical incident exposure
Change in productivity	Change in behavior/personality	

#### **Any one of the following shall trigger a supervisory assessment of the involved employee:**

1. Repeated poor performance evaluations in any category, or overall;
2. Citizen complaints of serious misconduct, or repeated citizen complaints of minor misconduct that are found to be true;
3. The need to take serious or repeated disciplinary actions against an employee that result, or could result, in suspension or termination;
4. Repeated incidents where an officer's use of force exceeds that which would have been used by a reasonable and prudent officer in the same situation;
5. Repeated claims of injury for workers compensation;
6. Repeated on duty traffic crashes where the officer was the proximate cause;
7. Incidents of workplace harassment or violence;
8. Repeated inability to report for duty, or call-in, due to alcohol or intoxicant use or some other issue; or excessive sick leave usage or patterns of usage;
9. Other negative changes in an employee's work performance such as increased absences from work, loss of focus, change in personal organization, grooming and/or emotional modulation.

**B. Agency Reporting Requirements**

The agency cannot function at its best without the help and support of all personnel. Arising out of our collective commitment to fulfill our mission statement and to provide maximum service to the campus community, it is the duty and responsibility of all department personnel to bring what they believe to be concerns or problems to the attention of a supervisor. This not only includes misconduct, bad behavior, and poor performance committed by other employees, but may also include learning of comments of self harm, observed negative changes in performance, or other knowledge of circumstance in the employee's life.

If an employee exhibits any repeated types of behavior, the employee's Supervisor shall complete the Personnel Early Warning system (PEWS) report, SUPD form 081; and make a recommendation that, if necessary, the employee seek some form of intervention (ie. remedial training, be counseled by the Squad Supervisor/Division Commander, counseling by the department's psychologist, etc.) The PEWS report and any other relevant documentation and Supervisor's recommendation will be forwarded to the employee's Division Commander who shall promptly review the current patterns of collected material with any previously documentation concerning the employee's work history/PMP. The employee's personnel record shall be reviewed in an effort to determine if there are any mitigating or aggravating circumstances.

The Division Commander shall forward the PEWS report, documentation and any other relevant information to the Chief of Police who, upon review of the documented material, shall confer with the employee's Division Commander. The Chief of Police shall approve the final recommendation for intervention.

**C. Annual Evaluation of the System**

Annually, the Administrative Commander shall make an evaluation of the system. The report will be sent to the Chief of Police and shall contain, at a minimum:

1. Total number of employees who received assistance (ie. remedial training, supervisory counseling, department psychologist, etc);
2. Evaluation of the degree of progress and the effectiveness of the system.
3. If believed necessary, recommend modification or adjustment to the system.

**D. Role of First and Second Level Supervision**

Refer to Section B above

**E. Remedial Action**

If it is determined that the employee is displeased because, for example, his/her work performance is adversely affected due to a problem in writing reports, the Supervisor will personally help or recommend participation in the report writing module for entry-level officers at the Eastern Shore Criminal Justice Academy in accordance with directive 33.1.5. The Supervisor and employee will confer with the appropriate Division Commander and the remedial action will be resolved at this level of supervision. The PEWS form will be forwarded to the Administrative Assistant for filing in the employee's personnel file. Generally, similar resolutions as the above shall apply to other lesser infractions such as lateness, minor courtesy, etc. If lesser infractions develop into a trend rather than an isolated incident(s), the Supervisor may recommend counseling by the department's appointed psychologist.

If it is determined that the employee is still exhibiting difficulties, he/she may be ordered to undergo a fitness for duty evaluation. Employees waive their privilege of confidentiality for all information obtained during the fitness for duty evaluation. The goal of fitness for duty evaluations is to assess and safeguard the officer undergoing the evaluation. In the event that an officer is determined to not be fit for duty, due to addiction, psychological problems or mental fatigue, the goal of the department is to have the officer return to work as quickly as possible, once he/she has been properly screened, evaluated and approved for duty by a licensed professional and/or the Command Staff/Office of Human Resources. Fitness for duty evaluations are designed to protect and support the officer and should not be viewed as a disciplinary action.

Critical incident debriefings (ie. hostage/barricade, shootings, etc.) by the department's psychologist will be ordered by the Chief of Police, as needed.

#### **F. Types of Employee Assistance**

1. University's Employee Assistance Program through the Office of Human Resources;
2. Supervisory Counseling;
3. Participation in Remedial Training;
4. Monitoring through documented jobobservationreports;
5. Counseling with the department's appointedpsychologist.
  - a. The Chief of Police, his/her designee, may order the employee to attend an immediate appointment with the department psychologist for counseling. The privilege of confidentiality will not apply to information which impacts the employee's ability to perform the duties and functions of their job. Other personal information will remain confidential. The function of counseling is to protect and support the officer who should view it as a benefit and an opportunity for change and progress, not as a disciplinary action.

All employees are encouraged to help a fellow employee believed to be experiencing a problem by documenting their concern in memorandum form to the Chief of Police via the chain of command. An employee may also voice his/her concern confidentially to the Chief of Police. Such communication is viewed to be supportive and protective, and not as a chastisement of the fellow employee.

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Edwin Lashley  
Chief of Police