

# University of Chicago Police Department

## GENERAL ORDER

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|---|--|--|----------------------------------|
|   |  | <b>Effective Date:</b><br>August 3, 2018                                   | <b>Number:</b><br><b>GO 1007</b> |
| <b>Subject:</b><br><b>Performance Management</b>  |  |  |                                  |
| <b>References:</b> CALEA: 21.2.2, 35.1.1, 35.1.2, 35.1.4, 35.1.5, 35.1.6, 35.1.7, 35.1.8; University HR Performance Management Directive; HR Policy 309, Performance Planning and Feedback, Illinois Council of Police Contract (Dispatchers), Police Benevolent & Protective Association of Illinois Contract (Officers) |  |  |                                  |
| <b>Reevaluation Date:</b><br>Annually   |  |  | <b>No. Pages:</b><br>5           |
| <b>Amends:</b><br>18 JUN 2018 Version   |  | 09 APR 2012 O.D.P.   | <b>Rescinds:</b>                 |
| <b>Approved By:</b><br>Kenton W. Rainey, Chief of Police  |  | <b>Signature:</b> Original signed document on file in Accreditation Office |                                  |

### 1007.1 PURPOSE

The purpose of this order is to publish guidelines governing performance management.

### 1007.2 POLICY

The University of Chicago Police Department shall utilize a fair and equitable performance management system for employees that is based on lawful, job-related, non-discriminatory criteria and standards that reflect the unique requirements of each position. The focus of performance planning/feedback must be on observable, measurable behaviors and outcomes/results, rather than on personality characteristics.

### 1007.3 GENERAL PROVISIONS

- A. The Department performance evaluation process will include the following:
  1. Performance measurement definitions:
    - Rating 5- Exceptional
    - Rating 4- Above Expectations
    - Rating 3- Meets Expectations
    - Rating 2- Below Expectations
    - Rating 1- Unacceptable
  2. Procedures for the use of forms.
 

Employees will complete the Employee Self-Review Form and submit them to Human Resources by the HR deadline. Supervisors will complete the Employee Performance Appraisal Form for each subordinate. See Section 6 below for further.

3. Rater responsibilities.  
Supervisors should rate subordinates based on behavior (observable measures), rather than individual perceptions or feelings regarding the employee. Care should be taken to avoid the halo or horns effects. The halo effect occurs when high ratings in one area result in ratings in other areas which are higher than they should be. The horns effect occurs when the ratings are low.
  4. Rater training.  
Supervisors will receive training on the performance appraisal system.
- B. Supervisors shall conduct a performance evaluation on all direct report employees annually.
  - C. Newly promoted supervisors shall receive basic supervision training that includes performance counseling techniques and performance management procedures.
  - D. Performance evaluations shall not be used as a disciplinary instrument but as an impartial assessment of an employee's performance as it relates to their assignment and/or job description during each rating period.
  - E. Evaluation of an employee's performance shall cover a specific rating period in accordance with the University of Chicago Performance Management Directive.
  - F. Criteria used for performance evaluations shall be specific to the assignment of the employee during the rating period.
  - G. Employees must be advised in writing, on a timely basis, whenever their performance is deemed unsatisfactory. This can be a simple documentation of informal counseling, with the intent to provide the employee with the final opportunity to improve their performance before it is a permanent matter of record. If a formal progressive corrective action has been taken in accordance with Summary Discipline, no further notification is required.
  - H. The number of citations issued by an officer may not be compared to the number of citations issued by any other officer who has similar job duties, for the purposes of evaluating job performance. An officer may not be required to issue a specific number of citations within a designated period of time. This is consistent with state laws 55 ILCS 5/5-1136 and 65 ILCS 5/11-1-12.

#### **1007.4 SUPERVISOR RESPONSIBILITIES**

- A. Supervisors should meet with all newly assigned personnel under their supervision to set performance expectations and relate them to evaluation ratings (unacceptable, below expectations, meets expectations, above expectations, and exceptional).
- B. Supervisors should meet at the midpoint in the evaluation period with each employee. Informal counseling can be used to notify the employee of any areas of performance that need improvement and/or provide ideas to further improve performance.

### **1007.5 CONDUCT OF PERFORMANCE EVALUATIONS**

- A. Performance evaluations will be documented on the University of Chicago Department of Safety and Security (DSS) Performance Appraisal Form. The supervisor shall follow the instructions on the form and ensure that explanatory comments are provided for ratings that are unacceptable, below expectations, or exceptional.
- B. During the performance evaluation meeting the supervisor will:
  - 1. Review the results of the performance evaluation for the rating period just completed.
  - 2. Discuss the level of performance expected, rating criteria and/or goals for the new rating period.
  - 3. Conduct career development counseling relative to such topics as advancement, specialization, or training appropriate for the employee's position.
  - 4. Provide the employee with the supervisor-completed Performance Appraisal Form affording the employee time to review the appraisal, make written comments to supplement the performance evaluation, and sign the completed evaluation.

**NOTE:** The employee's signature does not indicate concurrence with the evaluation. The signature only verifies that he/she has seen the evaluation and that the supervisor has reviewed it with him/her.

- C. After the employee has been provided the opportunity to review, make comments, and sign the evaluation, the evaluating supervisor will sign the completed evaluation and provide the employee with a signed copy of the evaluation.
- D. The completed evaluation will be forwarded to the evaluating supervisor's commanding officer for administrative review.

- E. Supervisors will be required to develop a Performance Improvement Plan for any employee who receives an overall performance rating below a score of “3” (meets expectations) on their annual performance evaluation. The University HR Services Performance Improvement Plan form shall be utilized to develop the Performance Improvement Plan and the completed plan shall be discussed with the employee no later than two (2) weeks after the annual performance evaluation has been completed.

#### **1007.6 ADMINISTRATIVE REVIEW**

The evaluating supervisor’s commanding officer will review the completed performance evaluations submitted by the evaluating supervisor. The commanding officer shall evaluate the supervisor based upon fairness and impartiality of their ratings, their counseling of employees, and their ability to carry out their role in the performance management system. This evaluation shall be articulated in the supervisor’s evaluation. Once the commanding officer has reviewed and agreed with the original subordinate’s performance evaluation, they will sign the evaluation and forward it to the DSS Management Operations Division.

#### **1007.7 RECORDS RETENTION**

Completed DSS Performance Appraisal Forms will be forwarded to the DSS Management Operations Division and maintained in the employee’s personnel file in accordance with the UCPD records retention schedule.

#### **1007.8 APPEAL PROCESS**

Employees shall be given the opportunity to make written comments to the performance evaluation. If an employee wishes to appeal a performance evaluation, the employee shall follow the grievance procedures outlined by the University of Chicago Complaint Resolution Procedures, the officer’s collective bargaining agreement (PBPA #185), or the dispatcher’s collective bargaining agreement (ICOP).

#### **1007.9 RECRUIT OFFICER EVALUATION**

- A. Recruit officers are evaluated in writing on a daily basis during Field Training and multiple times weekly in the academy.
- B. All evaluations conducted during a recruit’s Field Training will be filed with the recruit’s Field Training book.
- C. Once an officer has been released from the Field Training program and assigned to a permanent duty position, **their supervisor shall be responsible for conducting a performance evaluation, every 90 days, for not less than a year** from the time that the officer began Field Training.

**1007.10 JOB DESCRIPTION REVIEW/ACCESS**

A documented review of job descriptions of all Department employees, will be conducted every four years, ensuring job descriptions are current and made available to all personnel. The Department Human Resources Manager will conduct and document this review.