

<p style="text-align: center;"><b>East Haven Police Department</b></p> 	<b>Type of Directive:</b> <b>Policies &amp; Procedures</b>		<b>No. 215.2</b>
	<b>Subject/Title:</b>  <b>Performance Evaluations</b>	<b>Issue date:</b> April 24, 2018	
		<b>Effective Date:</b> May 21, 2018	
	<b>Issuing Authority:</b> <b>Honorable Board of Police Commissioners</b>	<b>Review Date:</b> <b>Annually</b>	
<b>References/Attachments: N/A</b>		<b>Rescinds:</b> 215.1	<b>Amends:</b> N/A

## I. PURPOSE

- A. The purpose of this directive is to set forth the policies and procedures of the East Haven Police Department (EHPD) regarding the manner in which employees of the Department shall be evaluated.
- B. This directive describes the steps to be taken by supervisors in conducting annual performance evaluations.

## II. POLICY

- A. It is the policy of the East Haven Police Department that the performance of every full-time employee of the Department including part-time officers (supernumeraries) be evaluated and documented by their immediate supervisor on an annual basis.

## III. DEFINITIONS

- A. Annual Performance Evaluation: Supervisory evaluations conducted in conformance with this directive.
- B. Appeal: Process an employee must follow if he/she disagrees with the annual performance rating they have received. The appeal process is outlined in this directive.
- C. Conditional Status: Status temporarily placed on an employee whose overall work performance has become less than satisfactory, as evidenced in the member's

performance evaluation. During this period of time, the employee shall be re-evaluated on a monthly basis to determine their level of improvement, if any, in specific rating areas.

- D. Probationary Performance Evaluation: Performance evaluation conducted prior to the end of an employee's initial probationary period. This rating shall be completed regardless of the time of year that the probationary period is completed.
- E. Rating Period: Each employee will be evaluated prior to their yearly anniversary date. The rating should include all activities performed since their previous anniversary date.
- F. Rater: Each supervisor who has subordinates that must be rated in accordance with this policy.
- G. Reviewer: The supervisor of each rater.

#### **IV. GENERAL GUIDELINES AND CONSIDERATIONS**

- A. Performance evaluations should identify employee strengths and areas of their performance that should be improved.
- B. Performance evaluations shall be documented using the Performance Evaluation Form.
- C. Performance evaluations are also used as a catalyst for enhancing the career development of employees.
- D. Performance evaluations can be used as a factor when considering discipline or to affect promotions or assignments within the Department.
- E. The primary purpose of a Performance Evaluation is to provide an opportunity for open communication about performance expectations and feedback.
- F. Most employees want feedback to understand the expectations of their employer and to improve their own performance for personal satisfaction. They prefer feedback that is timely and given in a manner that is not threatening.
- G. Performance evaluations are a tool that can be used to help enhance the efficiency of the work unit.
  - 1. This tool is a means to help ensure that employees are being utilized effectively.
  - 2. Employees can use it as a clear indication of what is expected of them and as feedback of their performance.
- H. Performance Evaluations are a multi-purpose tool used to:
  - 1. Measure actual performance against expected performance.

2. Provide an opportunity for the employee and the Supervisor to exchange ideas and feelings about job performance.
3. Identify employee training and development needs, and plan for career growth.
4. Identify skills and abilities for purposes of promotion and assignments.
5. Support alignment of organization and employee goals.
6. Provide legal protection against lawsuits for wrongful termination.

## **V. PROCEDURES**

### **A. Supervisor Training and Responsibilities**

1. Personnel who are promoted to a supervisory rank shall receive training, which will include conducting performance evaluations and the completing of the Performance Evaluation Form.
2. Operations Supervision
  - a. Supervisors shall provide close and effective oversight of subordinates. Supervisors shall identify, correct and prevent misconduct.
  - b. Close and effective supervision requires, among other duties, that supervisors:
    - 1) Respond to the scene of arrests, when possible.
    - 2) Review arrest reports.
    - 3) Respond to the scene of uses of force.
    - 4) Investigate uses of force not handled by IAO.
    - 5) Confirm the accuracy and completeness of written reports
    - 6) Respond to complaints of misconduct.
    - 7) Ensure employees are working to engage the community and increase public trust and safety.
    - 8) Provide counseling, redirection and support to employees as needed.
    - 9) Are held accountable for performing each of these duties.
    - 10) Are available throughout the shift to provide support to the employees under their direct command as well as officers on other shifts.
3. General Supervision
  - a. During the year, supervisors should:

- 1) Conduct performance evaluation conferences with each subordinate under their supervision early in the year.
  - 2) Consistently observe the employee's performance and document observations and events.
  - 3) Continually gather information on performance results and compare with evaluation criteria specific to the employee's assignment or rank.
  - 4) Regularly communicate with the employee about progress.
  - 5) Identify systemic, procedural, and performance problems before they impact the employee's performance.
  - 6) Set specific goals to correct performance problems and develop the employee's skills through coaching and formal and informal training.
  - 7) When necessary, propose changes in the employee's attitude, work habits, or other key criteria which may be affecting job performance.
- b. At any time during a performance evaluation period, if a supervisor detects an immediate need to address a training issue, the supervisor shall document the issue in writing and submit a written report through the chain of command.
  - c. To the extent practicable, each supervisor should meet quarterly with each of their subordinates to talk to them about their performance, goals, expectations and plans. The intent is to keep the employee abreast of their performance and to avoid any misunderstandings when the annual performance evaluation rating is given.
- B. Performance evaluations shall be based upon work performance completed during the specific rating period.
- C. The employee's current direct supervisor shall complete the performance evaluation but all supervisory personnel who supervised the employee during the rating period should provide input, which shall be considered by the employee's current supervisor and incorporated into the performance evaluation.
- D. The evaluation should reflect activity for the entire performance year and not focus on the most recent or the oldest activities.
1. Examples of typical performance should be collected and maintained throughout the entire rating period.
  2. If the supervisor has quarterly conferences, these are good opportunities to review collected documentation and include examples provided by the subordinate.

- E. Raters should consult regularly with their own supervisors about particularly noteworthy or potentially troublesome issues.
- F. Reviewers should be seen as an important part of the evaluation process and kept apprised of significant events. Supervisors certainly should keep reviewers aware of unsatisfactory performers and serious cases of misconduct.
- G. Probationary employees shall be evaluated prior to the end of their probationary period regardless of the calendar date.
- H. Performance Dimensions
  - 1. The performance review system created for sworn personnel consists of the following components:
    - a. Community engagement and communication with the public.
    - b. Use of community-policing and problem-solving strategies.
    - c. Civilian commendations and complaints.
    - d. Disciplinary actions.
    - e. Compliance with policies on usage of sick leave and other leave.
    - f. Compliance with policies on secondary employment.
    - g. Safety (e.g., POST officer safety standards and vehicle operations).
    - h. Training.
    - i. Report writing.
    - j. Decision-making skill.
  - 2. The performance review system created for supervisors consists of the following components:
    - a. Motivates peers and subordinates and fosters teamwork.
    - b. Maintains discipline on a consistent basis.
    - c. Sets and enforces standards.
    - d. Evaluates subordinates fairly and consistently.
    - e. Plans and organizes work effectively.

- f. Employee relations.
- g. Judgment
- h. Training/instruction.
- i. Coaching and feedback.
- j. Performance reviews.

I. Performance Rating Scale

1. At the end of the performance evaluation period all employees are rated on each category applicable to their assignment or rank.
2. Category ratings are based on the overall performance of an employee. While single incidents may provide an indication of performance, supervisors are encouraged to consider the totality of an employee’s performance in light of a single or isolated incident.
3. They shall also receive an overall rating from one of the categories listed below.

J. Explanations of the ratings are as follows:

Score	Rating	Description
ES	Exceeds Standards	Performance <b>CLEARLY EXCEEDS</b> job requirements and expectations. This level of performance is consistently achieved.
MS	Meets Standards	Performance meets all job requirements and/or expectations.
NI	Needs Improvement	Performance is defective and/or improvement is needed.
N/A	Not Applicable	Not applicable and/or does not apply.

K. Rater Responsibilities

1. It is the responsibility of each rater to promptly and fairly evaluate the employees who they are charged with supervising. Each rater should strive for as much objectivity as possible and aim for an impartial and unbiased evaluation when completing the Performance Evaluation Form.
2. The Performance Evaluation Form shall be completed using the performance rating scale, and supervisors must provide comments in the “comments” section of the rating form. Relevant examples of performance or documentation should be provided as a part of the performance evaluation.
3. Movement up and down the rating scale is based on a supervisor’s expectations, observations, documentation, coaching, and counseling of an employee.

4. Upon the completion and supervisory review of an employee's annual Performance Evaluation Form, the supervisor shall conduct a formal performance appraisal, counseling, and coaching interview with the employee to include the following areas:
  - a. The results of the performance evaluation.
  - b. The level of performance expected.
  - c. The rating criteria, goals, and expectations for the new reporting period.
  - d. Employee's career goals including advancement, specialization, or training appropriate for the employee's position.
5. General comments justifying the overall rating shall be included in the applicable portion of the Evaluation Form.
  - a. Comments should support the ratings given.
  - b. Plans and goals for the upcoming rating period should also be included here.
  - c. Specific comments must be provided for any performance category that is rated as Unsatisfactory.
  - d. Comments should address specific behavior or performance issues that were below expectations.
  - e. Comments must also include specific remedial or performance improvement plans to improve performance.
  - f. Employees may document any comments they might have regarding their annual performance evaluation.
  - g. Upon completion of an annual performance evaluation, the employee's supervisor conducting the evaluation must sign the Performance Evaluation Form and deliver the form to the reviewer.
  - h. The employee's signature on the annual Performance Evaluation Form does not imply agreement or disagreement with the contents of the evaluation, but only that the employee received an evaluation.
  - i. If employees are unavailable and cannot sign for their annual performance evaluations, the supervisor will document the reason and forward the evaluation, through the chain of command.

- j. If employees are unavailable and cannot sign their annual performance evaluations, it will be the supervisor's responsibility to ensure the employee personally receives the evaluation upon his/her return to duty.

#### L. Subordinate Responsibilities

1. Employees being evaluated have the following evaluation responsibilities:
  - a. Identify for his/her Supervisor any problems which may be affecting his/her ability to successfully operate within an acceptable range of responsibility and productivity.
  - b. Identify work performance problem(s) to the Supervisor and cooperate in resolving the problem(s) by setting mutually agreed upon objectives for improving work performance.
  - c. Attend and complete training and development activities designed to improve current or future job performance.

#### M. Reviewer Responsibilities

1. The reviewing employee reviews the performance evaluation form for accuracy, completeness, fairness and impartiality on the part of the rater.
2. The reviewing employee shall discuss with the rater any identified or perceived problem found during the review of the evaluation.
3. A reviewing employee in disagreement with a rating value in any category may require the rater to justify the rating value in writing.
4. If the reviewing employee still disagrees with his/her rating value, he/she shall state the reason for his/her disagreement and record his/her assessment of the rating value in red ink next to the rater's assessment.
5. Under no circumstances is the reviewing employee to change the rating value given by the rater.
6. Upon completion of the reviewing employee's assessment of the rater's responsibilities, the reviewing employee shall sign the performance evaluation form.
7. The reviewing employee shall evaluate the rater regarding the fairness and impartiality of ratings given employees, the rater's participation in counseling rated employees, and the rater's ability to carry out the rater's role in the performance evaluation system.

#### N. Appeal of Rating

1. If an employee disagrees with his/her annual performance evaluation rating, the employee shall indicate the disagreement to the rater.

2. If an agreement cannot be reached between the rater and the employee, the rater shall inform the employee that the performance evaluation rating may be appealed to the reviewing officer.
3. The employee's appeal must be via writing or email and submitted to the reviewing officer within ten (10) working days after the employee has signed and received a copy of the performance evaluation form.
  - a. The written or email appeal must state the reasons for the appeal and the points of disagreement.
  - b. The reviewing officer has ten (10) working days to investigate the appeal and respond to the employee in writing as to the findings of the investigation.
  - c. The decision of the reviewing officer is final.
  - d. The written or email appeal and findings become a permanent part of the original annual performance evaluation form and placed in the central personnel files.

O. Record Retention

1. All annual performance evaluation forms shall remain on file for a period consistent with § 11-8 and 11-8a of the Connecticut General Statutes.
2. All annual performance evaluations should be kept confidential, however, can be disclosed to the public consistent with § 1-200 through 1-241 of the Connecticut General Statutes.
3. Only persons who have a job related interest in reviewing the annual performance evaluations shall have access to the performance evaluations.
4. An employee's performance evaluation is discussed only with the employee; their appropriate Supervisor or potential Supervisor, and the reviewing officer.
5. The only units or personnel who should have access to annual Performance Evaluation Forms are:
  - a. The employee being evaluated.
  - b. The supervisor conducting the annual performance evaluation.
  - c. The reviewing officer.
  - d. The supervisor(s) responsible for records retention or administration.

e. The Deputy Chief of Police

f. The Chief of Police.