

<p style="text-align: center;">East Haven Police Department</p> 	Type of Directive: Policies & Procedures		No. 215.4
	Subject/Title: Performance Evaluations	Issue date: July 30, 2019	
		Effective Date: August 12, 2019	
	Issuing Authority: Honorable Board of Police Commissioners	Review Date: Annually	
References/Attachments: N/A		Rescinds: 215.3	Amends: 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 for the performance of every full-time employee of the Department including part-time employees 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 at the conclusion of each calendar year. The rating should include all activities performed in the calendar year.
- 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.
 - b. Supervisors shall identify, correct and prevent misconduct, as well as recognize positive achievements.
 - c. Supervisors shall be available throughout the shift to provide support to employees under their direct command as well as to officers on other shifts.
3. General Supervision
 - a. Supervisors shall meet quarterly with their subordinates on an individual basis to conduct one-on-one coaching sessions. The periods of each session shall coincide with the patrol shift bid and begin on the first day of the months of January, April, July, and October.
 - 1) The quarterly one-on-one coaching session is designed to be a brief discussion of the employee's performance during the previous three months.
 - 2) During the quarterly one-on-one coaching sessions, supervisors should:
 - a) Communicate with the employee about progress.
 - b) Discuss any systemic, procedural, and performance issues.

- c) Set specific goals to improve performance and develop the employee's skills through coaching. If necessary, this can also be done through formal and informal training.
 - d) When necessary, propose changes in the employee's attitude, work habits, or other key criteria which may be affecting job performance.
- 3) The content of the quarterly one-on-one coaching session shall be documented in the Law Enforcement Administration System (LEAS) Department Review (DR) reporting module.
 - 4) The quarterly one-on-one coaching session meeting shall be conducted and documented by the 10th of each month proceeding the end of each respective quarter (January 10th, April 10th, July 10th, October 10th).
 - 5) In the event an employee is absent for an extended period of time and the supervisor is unable to complete the quarterly one-on-one coaching session, the supervisor shall indicate in the DR report that the employee was absent and no meeting was held.
- b. Throughout the year, supervisors should continue to:
 - 1) Observe the employee's performance and document observations and events.
 - 2) Gather information on performance results and compare with evaluation criteria specific to the employee's assignment or rank.
 - 3) Identify systemic, procedural, and performance issues before they impact the employee's performance.
 - 4) Communicate with the employee about progress.
 - 5) When necessary, propose changes in the employee's attitude, work habits, or other key criteria which may be affecting job performance.
- c. 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 in the DR system and submit the written report through the chain of command.

- B. Performance evaluations shall be based upon work performance completed during the previous calendar year.
 - 1. Performance evaluations shall be completed prior to February 1st for the previous year.

- C. The employee's current direct supervisor shall complete the performance evaluation and shall take into account the contents of the quarterly one-on-one coaching sessions.
- D. The performance evaluation should reflect activity for the entire calendar year and not focus on the most recent or the oldest activities.
- E. In the event an employee is absent for an entire calendar year, an annual performance evaluation form shall be completed by the supervisor. The performance evaluation form shall reflect said employee's absence.
- F. Raters should consult regularly with their own supervisors about particularly noteworthy or potentially troublesome issues.
- G. Reviewers should be seen as an important part of the evaluation process and kept apprised of significant events. Supervisors should keep Reviewers aware of unsatisfactory performers and serious cases of misconduct.
- H. Probationary employees shall be evaluated prior to the end of their probationary period regardless of the calendar date.
- I. 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.
 - k. Performance statistics.

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. Exhibits fair and sound judgment.
 - h. Training/instruction.
 - i. Coaching and feedback.
 - j. Performance reviews.

J. 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.

K. Explanations of the ratings are as follows:

Score	Rating	Description
ES	Exceeds Standards	Performance CLEARLY EXCEEDS 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.

L. 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 the Department’s expectations and the supervisor’s observations, documentation, coaching, and counseling of an employee.
4. Upon completion of the performance evaluation form, the supervisor shall meet with the employee to discuss 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 Needs Improvement.
 - 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 the meeting, the employee and the employee's supervisor must sign the performance evaluation form and deliver the form to the Reviewer.
- h. The employee's signature on the performance evaluation form does not imply agreement or disagreement with the contents of the evaluation, but only that the employee received an evaluation.
 - 1) If an employee is unavailable and cannot sign the performance evaluation form, the supervisor will document the reason as to why the employee was unavailable to sign the performance evaluation form.
 - 2) In such instances, the supervisor shall forward the performance evaluation form to the Reviewer. Upon the employee's return to duty, the employee will sign the performance evaluation form.

M. Subordinate Responsibilities

- 1. Employees being evaluated have the following evaluation responsibilities:
 - a. Identify for his/her supervisor any issues which may be affecting his/her ability to successfully operate within an acceptable range of responsibility and productivity.
 - b. Identify work performance issue(s) to the supervisor and cooperate in resolving the issue(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.

N. 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 to 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.

O. 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 Reviewer.
3. The employee's appeal must be via writing or email and submitted to the Reviewer 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 Reviewer 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 Reviewer 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 employee's personnel file.

P. 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. An employee's performance evaluation is discussed only with the employee; their appropriate supervisor or potential supervisor, and the reviewing supervisor.
4. The only units or personnel who should have access to the annual performance evaluation forms are:

- a. The employee being evaluated.
- b. The supervisor conducting the annual performance evaluation.
- c. The reviewing supervisor.
- d. Any supervisor responsible for records retention or administration.
- e. The Deputy Chief of Police.
- f. The Chief of Police.
- g. Any person with a job-related interest.