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|  | MARICOPA COUNTY SHERIFF'S OFFICE POLICY AND PROCEDURES | |
| | Subject SWORN EMPLOYEE PERFORMANCE APPRAISALS AND MANAGEMENT | Policy Number GC-4 (S) Effective Date 03-05-24 |
| Related Information Maricopa County Law Enforcement Officers' Merit System Rules CP-3, <i>Workplace Professionalism</i> CP-8, <i>Preventing Racial and Other Bias-Based Profiling</i> GB-2, <i>Command Responsibility</i> GC-7, <i>Transfer of Personnel</i> GC-11, <i>Employee Probation Periods, Unclassified Employees, and Releases</i> GC-12, <i>Hiring and Promotional Procedures</i> GC-17, <i>Employee Disciplinary Procedures</i> GG-1, <i>Peace Officer Training Administration</i> GH-2, <i>Internal Investigations</i> GH-5, <i>Early Identification System</i> | | Supersedes GC-4 (S) (04-13-23) |

PURPOSE

The purpose of this Office Policy is to establish guidelines and procedures for all rating supervisors managing sworn employee performance in order to provide feedback, accountability, and documentation of performance outcomes including for use in completing sworn Employee Performance Appraisals (EPAs).

POLICY

It is the policy of the Office to promote fair and impartial performance management including the accurate evaluation of an employee's performance that reflects the employee's positive traits, accomplishments, performance improvements, and any observed deficiencies and corrective actions taken based on the observation and regular documentation of the rating supervisor.

DEFINITIONS

Administrative Review: A formalized process to address concerns from an employee relating to an *Employee Performance Appraisal* (EPA) which have not been satisfactorily resolved in an informal manner between the employee and their rating supervisor.

Appraisal Period: The timeframe for which an employee's performance is appraised (e.g., 1/1/2020 – 12/31/2020). The appraisal period generally begins on an employee's hire date or date of promotion and ends at the completion of the respective appraisal period, typically six to 12 months later, as specified in Office Policy GC-12, *Hiring and Promotional Procedures*. If an employee is promoted and subsequently demoted to the former classification held immediately prior to the promotion, the appraisal period reverts to the former appraisal period. If an employee is promoted and subsequently demoted to another classification at a lower pay rate than that previously held, the appraisal period does not change. Actions that did not occur within the timeframe for the EPA shall not normally be considered by the supervisor preparing the EPA, except as it pertains to performance improvement, degradation, or patterns of behavior which span appraisal periods.

Appraisal Type: The type of appraisal that is conducted which coincides with an employee's employment status, most recent type of hire in the current position, and/or applicable probationary period. There are four types of

appraisal:

- A. **Annual:** A formal appraisal that takes preparation, thought, and analysis of an employee's work and results based on their job responsibilities which occurs annually following their most recently completed appraisal period or successful completion of any applicable probationary or promotional probationary period.
- B. **Probationary:** A formal appraisal that takes preparation, thought and analysis of a probationary employee's work and results based on their job responsibilities which is completed consistent with an employee's probationary period following their most recent hire into any classified position. The employee must achieve a successful performance appraisal to complete a probationary period. The probationary period for a sworn employee, is specified within the Law Enforcement Officers' Merit System Rules and GC-11, *Employee Probation Periods and Unclassified Employees*.
- C. **Promotional Probationary:** A formal appraisal that takes preparation, thought and analysis of a promotional probationary employee's work and results based on their job responsibilities which is completed consistent with an employee's promotional probationary period following their promotion into any classified position. The employee must achieve a successful performance appraisal to complete a probationary period. The promotional probationary period for a sworn employee, is specified within the Law Enforcement Officers' Merit System Rules and GC-11, *Employee Probation Periods and Unclassified Employees*.
- D. **Special:** A performance appraisal prepared at any time and for any reason at the discretion of the rating supervisor in consultation with the Employee Retention and Performance Division of the HR Bureau.

Blue Team: The Early Identification System (EIS) application that allows employees and supervisors to record information in a database regarding incidents, performance, and conduct. The information from Blue Team is transferred to the IA Pro Early Identification case management system.

Classified Employee: Employees covered by an applicable set of Merit Rules.

Due Date: For the purpose of this Office Policy, the date by which an *Employee Performance Appraisal* (EPA) form for a sworn employee must be completed in the Perform application.

Early Identification System (EIS): A system of electronic databases that captures and stores threshold events to help support and improve employee performance through early intervention and/or to identify problematic operating procedures, improving employee performance, identifying detrimental behavior, recognizing outstanding accomplishments, and to improve the Office's supervisory response. The computerized relational database shall collect, maintain, integrate, and retrieve information gathered in order to highlight tendencies in performance, complaints, and other activities. The database allows the Office to document appropriate identifying information for involved employees, (and members of the public when applicable), and the actions taken to address the tendencies identified. Blue Team, the EIS Dashboard, IA Pro, and EIPro are applications of EIS.

Internal Affairs Investigator: Any employee who conducts an administrative investigation of misconduct, including investigators assigned to the Professional Standards Bureau (PSB) or supervisors in an Office division or bureau who are assigned to investigate misconduct.

Misconduct: Any violation of Office Policy or Procedure; federal, state, or local criminal or civil law; constitutional violations, whether criminal or civil; administrative rules including, but not limited to, the Maricopa County Merit System Rules; or regulations.

Criminal Misconduct: Misconduct by an employee that a reasonable and trained supervisor or internal affairs investigator would conclude could result in criminal charges due to the apparent circumstances of the misconduct.

Minor Misconduct: Misconduct that, if sustained, would result in discipline or corrective action less severe than a suspension.

Minor misconduct, while a violation of Office Policy, can often be addressed with supervisor-initiated intervention intended to improve a situation, or prevent a potential negative work performance situation from progressing into a misconduct investigation. To address these employee behaviors, supervisors may initiate an intervention method, as specified in Office Policy GH-5, *Early Identification System*, to include: squad briefing; meeting with supervisor; employee services; supervisor ride-along/work along; training; supervisor evaluation period; action plan; meeting with the commander; re-assignment; and coaching. The use of intervention shall only be used to address employee minor misconduct or behavior that does not, per the Office Disciplinary Matrix, exceed a Category 1, First or Second Offense or a Category 2, First Offense, and which has not been received by the Office as an External Complaint or has not already been assigned to the Professional Standards Bureau (PSB).

Serious Misconduct: Misconduct that, if sustained, would result in discipline of a suspension, demotion, or dismissal.

Perform: The electronic application used by supervisors to complete employee performance appraisals.

Performance Assessment Measure: An entry in the EIS generated by a supervisor or the EIU that documents the actions or incidents involving an employee which are tracked within EIS to provide supervisors with the ability to proactively manage and monitor their employees.

Performance Competencies: Knowledge, skills, and capabilities that an employee needs in order to be successful described herein as core competencies (e.g. Teamwork).

Performance Evaluation Ratings: The scale used by a rating supervisor to measure behaviors that constitute levels of performance or achievement and quantify employee progress according to the benchmarks described as Performance Expectations (e.g., Successful).

Performance Expectations: The types and levels of activity and behavior necessary for an employee to fulfill their job requirements and against which an employee's performance is measured using performance evaluation ratings. Performance expectations are described for core employee and/or core supervisor performance competencies using benchmarks listed in the Performance Management Guide applicable to the position the employee holds (e.g., Supports other employees by assisting with job tasks).

Performance Improvement Plan: An Action Plan, as specified in Office Policy GH-5, *Early Identification System*, established by the first line supervisor in consultation with the Employee Retention and Performance Division of the HR Bureau, designed to help improve employee performance when they are not meeting established goals, expectations, and/or competencies and consisting of an approved written plan intended to aid an employee toward improved performance through the development of a structured performance plan with time-sensitive goals and expectations. A Performance Improvement Plan is documented in the EIS as an Action Plan, consisting of a series of specific tasks and performance goals for the purpose of improving an employee's work performance, the effectiveness of which is assessed by monitoring employee performance for a designated timeframe, discussing progress with the employee, and documenting progression in the EIS.

Performance Management Guide: A tool which provides supervisors and managers day to day assistance in

planning, monitoring, describing and rating employee performance as it relates to various core competencies and other expectations of the position an employee holds. Performance Management Guide benchmarks are intended to help supervisors manage performance by providing examples of observable behaviors that an employee may be expected to demonstrate throughout the appraisal period to achieve successful performance. Guide examples are not all inclusive nor are examples intended to be used through copying/pasting or to replace a reflective and meaningful consideration or description of an employee's performance in supervisor notes or a performance appraisal. Rather the examples are observable behaviors, which employees may be expected to demonstrate in their role and which supervisors are expected to define or describe in their own words, supplementing with specific examples, when describing and rating an employee's performance.

Principal: An employee identified as the primary focus of an administrative investigation and against whom a complaint of misconduct has been made. An administrative investigation may have multiple principals.

Probationary Appointment, Sworn Only: The appointment to a regular position through certification in accordance with the Law Enforcement Officers' Merit System Rules. The probationary period for an entry level employee shall be one year and may be extended by the Sheriff, or designee for up to six additional months. An employee may be separated at any time during the initial probationary period of the probationary appointment without the right of appeal. In any case of suspension, dismissal, or demotion during an employee's initial probationary period the Sheriff, or designee, may investigate the circumstances and causes for the action taken. The employee must be given written notice of the action taken by the Sheriff, or designee, prior to the expiration of the established probationary period or the employee will be considered to have successfully completed the probationary period.

Protected Leave: Absences that are protected by Arizona's Earned Paid Sick Leave law (A.R.S. 23-371 et seq.), the Family Medical Leave Act (FMLA), or as authorized as an accommodation under the Americans with Disabilities Act (ADA), as amended.

Rating Supervisor: The supervisor with direct purview of an employee responsible for completing an employee's *Employee Performance Appraisal (EPA)* at the time of the EPA due date.

Serious Discipline: Discipline which results in an employee receiving a suspension, demotion, or dismissal from employment. All sustained violations of a Category 7 offense shall result in dismissal from employment.

Serious Offense: For the purpose of this Office Policy, offenses for which Office personnel have been disciplined or are the subject of an ongoing investigation that would bar Office personnel from a promotion or hire to a new position including, but not limited to: engaging in discrimination that violates law or policy; failure to follow the requirements of court orders; criminal acts; providing false information in a misconduct investigation; and failing to report observed misconduct of another Office employee or volunteer.

Supervisor: An employee to whom subordinates report.

- A. **Commander:** An employee with the rank of lieutenant or above, or its civilian equivalent.
- B. **First Line Supervisor:** An employee with the rank of sergeant, or its civilian equivalent.

PROCEDURES

1. **Managing Performance Objectives:** The objectives of performance management of sworn employees by rating supervisors indicated in this Office Policy include, but are not limited to, the following:
 - A. Establishing expectations which ensure two-way communication between supervisors and sworn

employees so there is a complete understanding of performance expectations;

- B. Accomplishing goal setting to establish the objectives sworn employees are expected to achieve over a period of time;
 - C. Providing examples of observable behaviors, that sworn employees may be expected to demonstrate, which serve as performance benchmarks against which employee performance is compared when determining the performance standard level an employee has achieved;
 - D. Enhancing supervisory understanding of how they can best support the employee, how the employee views their job and work life in general, and the strengths and talents of the employee that are unknown or not being utilized;
 - E. Continuous monitoring with a focus on reinforcing positive efforts, correcting negative performance and motivating a high level of overall performance;
 - F. Maintaining documentation of observed employee performance, and a dialogue of performance-based discussions with sworn employees, in Blue Team;
 - G. Creating accurate, assessments of each employee's work performance monthly during the appraisal period;
 - H. Providing a foundation for managing performance that guides supervisors in making fair and impartial personnel decisions; and
 - I. Maintaining and improving employee engagement, performance and retention.
2. **Performance Competencies:** The knowledge, skills, abilities or other behaviors critical to success in a job role or specific function and for which all sworn employees will be appraised.
- A. **Core Employee Competencies:**
 - 1. **Teamwork:** Respects and cooperates with other employees and law enforcement personnel to get the job done in the most efficient and effective way possible. Models positive and supportive behaviors towards other employees and supervisor. Effectively listens and expresses ideas in a clear, concise and respectful manner.
 - 2. **Results Focus:** Works in a timely manner to achieve results and complete tasks and projects that support the work unit, division, bureau, and Office goals.
 - 3. **Community Engagement:** Demonstrates courtesy, fairness and timely responsiveness when dealing with members of the public. Takes responsibility for personal actions, follows through on commitments, and instills confidence that words and actions reflect a commitment to addressing community needs.
 - 4. **Job Knowledge:** Demonstrates appropriate knowledge and skills and applies them to daily job responsibilities. Follows organizational policies and practices that apply to job role.
 - B. **Core Supervisor Competencies: (Applicable to First Line Supervisors or above managing at least 1 direct report).**

1. ***Quality and Effectiveness of Supervision:*** Drives organizational results by assessing, developing and retaining quality talent. Enables direct reports to achieve their best results and full potential. Provides timely guidance and feedback to help employees strengthen their knowledge, skills, and abilities. Creates an environment where employees are responsible for their actions.
2. ***Organizational Accountability:*** Sets and drives actions that are measured and linked to organizational performance. Holds self and others responsible for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for errors.
3. **Performance Ratings:** Competencies are rated through the use of a three-step scale based on continuous and on-going observations of the sworn employee throughout the appraisal period. The performance rating scale is divided as follows:
 - A. ***Successful:*** Employee overall consistently achieves performance expectations. Behaviors are in step with expectations set for the position/job role and experience level. Shows a willingness and ability to develop. Exhibits proficiency in competencies and works effectively with others to get the job done.
 - B. ***Exceptional:*** Employee consistently surpasses performance expectations. Overall expectations for the position/job are consistently exceeded. Demonstrates a deep understanding and mastery of role responsibilities and competencies. Often responsible for decision-making and implementation around complex tasks or projects with very limited supervision. Consistently demonstrates a high level of appropriate interpersonal and problem-solving skills and is extremely effective in working with others to get the job done.
 - C. ***Improvement Needed:*** Employee has not consistently met performance expectations set for the position. Does not exhibit proficiency in core competencies. Lacks desire or ability to develop areas in need of improvement. When rated at an individual employee core competency, this performance rating requires the supervisor to do the following:
 1. Work jointly with the employee to establish realistic goals and time frames for the correction of the performance;
 2. Consider remedial training, changes in supervision methods, or other supervisor initiated intervention such as a Performance Improvement Plan as possible solutions to substandard performance; and
 3. Maintain complete records on all actions taken to correct the problem, improvements the employee made in performance, or lack of any progress.
 4. An overall rating of *Improvement Needed* requires the rating supervisor, in consultation with the Employee Retention and Performance Division (ERPD) of the HR Bureau, to develop a Performance Improvement Plan in order to aid the employee in improving their performance. Such a performance improvement plan should be a realistic, structured set of goals and expectations towards which the employee must work to improve their performance within an identified period following the Employee Performance Appraisal in order to remain employed. Performance deficiencies identified during the rating period leading to the *Improvement Needed* should have been discussed with the employee prior to the end of the rating period, making them aware of the performance improvement needed

and documented in the sworn employees Blue Team Supervisor Notes, as specified in this Office Policy. Documented corrective intervention action taken, such as EIS alerts and Supervisor Initiated Intervention action may be considered in determining the appropriate Performance Improvement Plan.

4. **Responsibility to Manage and Evaluate Performance:** Managing, documenting and evaluating the performance of employees is a critical function of a supervisor. Supervisors should be fair, impartial, and accurate in their management, documentation and evaluation of employee performance. To be effective, supervisors shall engage in a performance management process that includes but is not limited to:
 - A. Feedback that is continuous and timely throughout the appraisal period so that sworn employees know how they are doing and what is expected;
 - B. Dialogue that includes documented performance feedback measured against clear and specific goals and expectations established at the outset of the appraisal period and consistent with the core competency benchmarks as set forth in the Performance Management Guide applicable to the position the employee holds;
 - C. Acknowledging outcomes during the performance appraisal period that are documented between the supervisor and the employee in Supervisor Notes and eventually the EPA;
 - D. Comparing an employee's performance being rated against performance benchmarks established for the position an employee holds as published in the applicable Performance Management Guide;
 - E. Two-way individual, face-to-face conversation between the supervisor and the employee to discuss performance that is documented in the employee's Supervisor Notes in Blue Team throughout the appraisal period and culminates in the EPA; and
 - F. Utilization of supervisor initiated intervention methods, as specified in Office Policy GH-5, *Early Identification System*, during the appraisal period to address performance deficiencies. Areas for which an employee may be at risk of receiving an "*Improvement Needed*" rating shall be discussed with the employee regularly during the appraisal period and documented in the employee's Supervisor Notes in Blue Team, including documentation of any progress, improvement, or lack thereof. This process should be addressed with the sworn employee during the rating period prior to initiating a Performance Improvement Plan as a result of an *Improvement Needed* performance rating.

5. **Rating Supervisor Accountability:** The immediate supervisor is responsible for goal setting and evaluating the competence of each assigned employee. Specific expectations and core leadership competencies for supervisors in carrying out their responsibilities include but are not limited to the following:
 - A. Supervisors shall be held accountable for their ability to effectively manage employee performance including recognition of an employee's positive contributions as well as identifying and taking action on employee performance concerns.
 - B. The evaluation of sworn employees shall reflect a meaningful and thoughtful consideration of the employee's performance in core competencies supported by information from entries submitted into Blue Team (i.e. Supervisor Notes, Performance Assessment Measure, etc.) during the appraisal period and align with core competency benchmarks as set forth in the Performance Management Guide applicable to the position which the employee holds. While the Performance Management

Guide is a tool and resource for supervisors, examples within the Guide are not all inclusive nor are examples intended to be used through copying/pasting or to replace a reflective and meaningful consideration or description of an employee's performance in supervisor notes or a performance appraisal.

- C. Supervisors shall be held accountable for the quality of these reviews in their own EPAs, and in analyzing applications for promotion and/or transfers.
- D. Supervisors shall be held accountable for their ability to identify and take required action on employee misconduct.
 - 1. The supervisor's ability to identify and respond to employee misconduct shall be evaluated by their commander and documented in the supervisor's EPA.
 - 2. Documentation by the rating supervisor related to employee misconduct is required in the employee's EPA and is further required in the supervisor's EPA by their commander assessing the supervisor's ability to identify and respond to misconduct; to include indicating when not applicable due to no events occurring during the appraisal period.
- E. Supervisors shall be held accountable for the quality and completeness of corrective action taken for violations or deficiencies identified in review of a deputy's investigative stops, detentions, or arrests occurring during the appraisal period, if applicable.
 - 1. Supervisors shall document their EIS review of a deputy's identified violations or deficiencies related to investigative stops, detentions, or arrests and the corrective action taken, in the deputy's EPA that occurred during the appraisal period to include indicating when not applicable due to no events occurring during the appraisal period.
 - 2. Commanders shall take into account the quality and completeness of these reviews and shall document their assessment of these occurrences in the supervisor's EPA to include indicating if no occurrences were identified during the appraisal period.
- F. The quality of internal affairs investigators' investigations and supervisors' reviews of investigations shall be taken into account in their performance evaluations, to include but not limited to:
 - 1. The investigation skills, including proper interrogation and interview techniques, gathering and objectively analyzing evidence, and data and case management;
 - 2. The particular challenges of administrative law enforcement misconduct investigations, including identifying alleged misconduct that is not clearly stated in the complaint, or that becomes apparent during the investigation;
 - 3. Properly weighing the credibility of civilian witnesses against employees;
 - 4. Using objective evidence to resolve inconsistent statements;
 - 5. The proper application of the appropriate standard of proof;
 - 6. Report-writing skills;

7. Requirements related to the confidentiality of witnesses and/or complainants;
8. Considerations in handling anonymous complaints;
9. Completing investigations, as specified in Office Policy GH-2, *Internal Investigations*;
10. Properly evaluating relevant Office Policies and Procedures, including protocols related to administrative investigations of alleged employee misconduct; and
11. Properly evaluating relevant state and federal law, including *Garrity v. New Jersey*, and the requirements of the Court's orders.

G. Appropriate corrective or disciplinary action shall be taken against supervisors who fail to manage performance and/or conduct reviews of adequate and consistent quality. After corrective and/or disciplinary action, supervisors who fail to conduct reviews of adequate and consistent quality shall be subject to demotion and/or removal from a supervisory position.

6. **Performance Management Process:**

A. **Expectation/Goal Setting:** At the beginning of the appraisal period, the immediate supervisor and employee shall meet to discuss and confirm that there is a complete understanding of the specific duties and responsibilities of the job to which the employee is assigned, as described by the Job Description and job specific core competencies described in the Performance Management Guide applicable to the position the employee holds. This discussion should also include the level of performance expected and the establishment of realistic goals to be achieved by the employee. Information discussed should be documented in the employee's Blue Team Supervisor Notes.

B. **Monitoring:** Supervisors shall maintain a written record of the performance of each of their sworn employees using Blue Team Supervisor Notes. Performance notes of both supervisors and subordinates should not utilize boilerplate language. The record should reflect the employee's positive traits and accomplishments and any observed deficiencies and corrective actions taken. Supervisor notes should be of sufficient quality and frequency to facilitate constructive performance management and facilitate the preparation of an accurate and detailed performance review. Supervisors shall complete two supervisor notes per month on sworn employees at a minimum. Actions reviewed and documented in Supervisor Notes should include, but are not limited to, the following:

1. Performance and accomplishments including how well the employee is performing their core competencies and how the employee progressed at meeting the expectations set at the beginning of the appraisal period consistent with the benchmarks for the position the employee holds as set forth in the Performance Management Guide;
2. Recording of specific observations as examples of the employee's performance in core competencies;
3. Instances of conversations between the supervisor and employee intended to help the supervisor understand what keeps the employee working with the organization in order to enhance the supervisor's understanding of what they can do to retain valued employees;
4. Commendations or awards;

5. Internal and external complaints: Supervisors shall ensure that each violation is documented in the employee's performance evaluation;
6. Investigations where the employee is a principal;
7. Discipline received: Sworn employees' and applicants' disciplinary history shall be considered in all hiring, promotion, and transfer decisions, and this consideration shall be documented, as specified in Office Policies GC-12, *Hiring and Promotional Procedures* and GC-7, *Transfer of Personnel*;
8. Required or optional training completed or required training the employee failed to complete;
9. Civil or administrative claims and lawsuits in which the employee is a party and that are related to Office operations or conduct while on duty;
10. Routine actions of the employee that have been reviewed by the supervisor and discussed with the employee;
11. Supervisory actions, as specified in Office Policy GB-2, *Command Responsibility*, Section 7, *Accountability*, Sub-Sections A-E;
12. Supervisory actions to include corrective actions for violations or deficiencies in investigative stops, detentions, or arrests, if applicable. Supervisors and commanders shall document their EIS review of each violation or deficiency of investigative stops, detentions, or arrests identified during the appraisal period in the employees EPA, as specified in this Office Policy; and
13. Activities that would constitute serious offense to include discrimination, failure to follow the requirements of court orders, criminal acts, providing false information in a misconduct investigation, and failing to report observed misconduct of another Office employee or volunteer.

C. Maintenance:

1. Supervisors who have sworn employees that are on an extended leave of absence during the appraisal period shall complete a Supervisor Note to document the beginning and end dates of the absence; however, the entry shall make no reference to protected leave, or any information related to the protected leave.
2. The Chain of Command application shall be updated when the reporting structure of an employee changes by completing a Chain of Command Transfer Request using the Transfer Request Form in Praxis, as specified in Office Policy GC-7, *Transfer of Personnel*.
3. Upon notification of any sworn employee being transferred to a different division:
 - a. The losing supervisor shall complete a Transfer Evaluation entry in Blue Team within 14 business days of the transfer notification, capturing the performance of the employee in all applicable Core Competencies up to that point in the appraisal period.

- (1) When a supervisor is transferred, their commander shall complete a Transfer Evaluation entry in Blue Team within 14 business days of the transfer notification, capturing the supervisor's performance up to that point in the appraisal period.
 - (2) Except a supervisor being transferred does not need to complete a Transfer Evaluation on all of their subordinates.
 - (3) Transfer Evaluations shall only be completed when an employee is transferred out of their current division or when an employee accepts a new position under a different Job Profile regardless of whether the employee remained in the same division or not. Transfer Evaluations shall not be required for employees reassigned within their same division holding the same Job Profile, as specified in Office Policy GC-7, *Transfer of Personnel*.
- b. The receiving supervisor shall review the Transfer Evaluation in EIPro and make an entry into the Blue Team Supervisor Notes, within 14 business days of the employee's transfer to their command, stating the employee's Transfer Evaluation has been reviewed. If the Transfer Evaluation has not been made available by the losing supervisor within the 14 business days, the receiving supervisor shall have 14 business days from the date the Transfer Evaluation is made available to conduct their review.
 - c. The receiving supervisor shall also review all entries in the EIPro applications (i.e. Supervisor Notes, Performance Assessment Measure, etc.) from the beginning of the appraisal period until that time. The receiving supervisor shall then make an entry into the Blue Team Supervisor Notes, within 14 business days of the employee's transfer under their command, stating all previous entries made during the current appraisal period for the employee have been reviewed.
 - d. The receiving supervisor and commander shall review the disciplinary history of all employees who are transferred to their command within 14 business days.
 - e. After review, the receiving supervisor shall meet with the transferred employee to discuss and confirm that there is a complete understanding by the employee of the specific duties and responsibilities of the job, assignment, location, etc. to which the employee has now been assigned. The receiving supervisor shall then make an entry into the employee's Blue Team Supervisor Notes documenting the discussion.

D. Completing Employee Performance Appraisals:

1. The objective of the EPA is to evaluate the work performance of each employee during the appraisal period.
2. Perform shall be used to access and complete EPA forms. EPA forms will be available 60 days before the appraisal due date.
3. The rating supervisor shall be responsible for completing the EPA.

4. Perform will alert the assigned supervisor electronically at designated intervals in the days prior to the appraisal due date. The application will also distribute notice to the assigned supervisor and commander when an appraisal is overdue. The appraisal due dates are as follows:
 - a. Annual – 30 calendar days after the appraisal period end date;
 - b. Probationary – 30 calendar days before the probationary period end date, unless the probationary period is extended then the due date shall be 14 calendar days prior to the end of the probationary period end date;
 - c. Promotional Probationary – 30 calendar days before the promotional probationary appraisal period end date; and
 - d. Special – 30 calendar days from the date of initiation.
5. If an employee has been in an approved leave of absence status for a portion of the appraisal period, the rating supervisor shall complete the appraisal based on the performance demonstrated by the employee while the employee was at work. If an employee has been in an approved leave of absence status for the entire appraisal period the rating supervisor shall send an email to Employee Retention and Performance Division personnel requesting the EPA be canceled due to the employee's extended absence.
6. An EPA **shall not** be held for an employee who is the principal of an open misconduct investigation. However; the EPA may be canceled by the HR Bureau if the employee has been in an approved leave of absence status for the entire appraisal period.
7. Rating supervisors shall log into Perform to access EPA forms for their subordinates. EPAs are divided into the following sections which require supervisors to provide information and evaluate the employee:
 - a. **EPA Header:** The system will auto-populate the employee's specific information, which will appear on the header of the EPA.
 - b. **Introduction:** The rating supervisor shall add an introductory narrative including the appraisal period start and end dates and any pertinent or relevant details including a listing of the employee's assignments and rank history for the appraisal period.
 - c. **Job Description:** The rating supervisor shall consider the duties and responsibilities contained in the Job Description for the employee's position when evaluating performance. The EPA form provides the rating supervisor a link to the applicable Job Description.
 - d. **Core Employee Competencies:** The rating supervisor is required to complete each section of the behavior competency area. The employee's rating shall reflect the employee's performance for each of the four Core Employee Competency areas (i.e., Teamwork, Results Focus, Community Engagement, and Job Knowledge) consistent with the expectations for the position set forth in the Performance Management Guide. Narrative comments, in the supervisor's own words, and examples are required for all competency areas. While the Performance

Management Guide is a tool and resource for supervisors, examples are not all inclusive nor are examples intended to be used through copying/pasting or to replace a reflective and meaningful consideration or description of an employee's performance in supervisor notes or a performance appraisal.

- (1) Detailed narrative is required to justify ratings of "Exceptional" and "Improvement Needed" including examples of the documented exceptional behavior, as well as any corrective action taken by the supervisor, if applicable, for behavior where improvement is needed.
 - (2) Examples incorporated in narrative comments shall be incidents that the employee has been made aware of and reference the associated documentation. Associated documentation can be in the form of EIS entries (i.e. Supervisor Notes, Performance Assessment Measure, etc.) made during the appraisal period. When EIS entries are referenced as supporting documentation, information incorporated into the EPA from the entry should be concise, relevant to the core competency being evaluated, and include the date(s) and EIS number(s) as opposed to copying/pasting entries. Other objective evidence of the employee's performance relevant to the core competency being evaluated, including e-mail correspondence with the employee or the employee's work product may also be used as supporting documentation.
- e. **Core Supervisor Competencies (Applicable Only to First Line Supervisors or above managing at least 1 direct report):** In addition to completing the Core Employee Competencies, when the employee has supervisory responsibilities, the rating supervisor is required to complete each section of the supervisor behavior competency areas (i.e., Quality and Effectiveness of Supervision, Organizational Accountability) consistent with the expectations for the position set forth in the Performance Management Guide. Narrative comments, in the supervisor's own words, and examples are required for both areas in the same manner as indicated for Core Employee Competencies in section D(7)(d). While the Performance Management Guide is a tool and resource for supervisors, examples are not all inclusive nor are examples intended to be used through copying/pasting or to replace a reflective and meaningful consideration or description of an employee's performance in supervisor notes or a performance appraisal.
- (1) Detailed narrative is required to justify ratings of "Exceptional" and "Improvement Needed" including examples of the documented exceptional behavior, as well as any corrective action taken by the supervisor, if applicable, for behavior where improvement is needed.
 - (2) Examples incorporated in narrative comments shall be incidents that the employee has been made aware of and reference the associated documentation. Associated documentation can be in the form of EIS entries (i.e. Supervisor Notes, Performance Assessment Measure, etc.) made during the appraisal period. When EIS entries are referenced as supporting documentation, information incorporated into the EPA from the entry should be concise, relevant to the core competency being evaluated, and include the date(s) and EIS number(s) as opposed to copying/pasting entries. Other objective evidence of the employee's performance relevant

to the core competency being evaluated, including e-mail correspondence with the employee or the employee's work product may also be used as supporting documentation.

- f. **Training:** The rating supervisor shall complete this section with either a "Yes" or "No" response. If "No," the supervisor shall provide a narrative explaining any mandatory training that was not completed. To properly review the training completed by an employee during the appraisal period, the supervisor shall review the reports for that employee in TheHUB prior to completing the EPA. Mandatory training is specified in Office Policy GG-1, *Peace Officer Training Administration*.
- g. **Commendations and Awards:** The rating supervisor shall complete this section with either a "Yes" or "No" response. If yes, the supervisor shall summarize the commendations, awards or other formal recognition received.
- h. **Internal or External Complaints:** The rating supervisor shall complete this section with either a "Yes" or "No" response. If yes, the supervisor shall list each complaint investigation that occurred and/or is currently active or closed during the appraisal period that the employee has been a principal. The list shall contain the following information, if applicable.
 - (1) The complaint type and case number.
 - (2) The EIPro complaint received date and the date the rating supervisor reviewed EIPro.
 - (3) The investigation's outcome of sustained, not sustained, exonerated, or unfounded and the number of sustained allegations resulting in a non-disciplinary outcome, written reprimand, suspension, or demotion. If the investigation is still pending, indicate open investigation.
 - (4) Activities that would constitute a serious offense to include discrimination, failure to follow the requirements of court orders, criminal acts, providing false information in a misconduct investigation, and failing to report observed misconduct of another Office employee or volunteer.
- i. **Civil or Administrative Claims or Litigation:** The rating supervisor shall complete this section with either a "Yes" or "No" response. If yes, the supervisor shall summarize each claim, allegation, or lawsuit related to Office operations made against the employee during the appraisal period including a description of the disposition, if applicable.
- j. **Overall Rating:** The rating supervisor is required to select an overall performance rating which is reflective of the employee's performance as supported by the information in the preceding sections of the EPA and consistent with expectations for the position set forth in the Performance Management Guide.
- k. **Overall Summary:** The rating supervisor shall compose a conclusion to the appraisal to incorporate final remarks on the employee's performance overall, to synthesize information and comments, to highlight and demonstrate the

importance of the employee's performance, and to propel the employee to continue performing successfully and/or redirect the employee's focus to areas where improvement may be needed.

1. **Approvals:** Prior to submitting the EPA for approval, the rating supervisor must review the items specified above for thoroughness. Once reviewed and analyzed, the EPA is routed to the next individual in the chain of command for their review and analysis. Each reviewer, in the chain of command shall assess the thoroughness and quality of the EPA (including ensuring appropriate use of the Performance Management Guide which is not intended to be used through copying/pasting and returning an EPA for additional work, if appropriate) before approving the EPA as an acknowledgement that all information has been properly evaluated.
- E. **EPA Employee Review:** Once an EPA has received final approval through the chain of command, the rating supervisor is responsible for conducting a conference with the employee to review the contents of the EPA and entries in the various EIS applications, accessed through EI Pro.
1. In the event the EPA due date occurs while an employee is in a leave of absence status, or on an extended leave, and the EPA employee review conference cannot occur before the due date:
 - a. The EPA should be completed including chain of command review/approval and then held at the division level. Upon the employee's return to work, the division shall conduct the EPA review conference as soon as practicable, but no more than 30-calendar days from the date of the employee's return, absent extenuating circumstances.
 - b. The rating supervisor shall notify the Employee Retention and Performance Division, as soon as the supervisor is made aware of the extended leave, indicating the reasons the EPA will be late and when the supervisor expects the employee to return.
 2. During the review, the employee shall be given the opportunity to discuss the contents of the EPA with the rating supervisor.
 3. At the conclusion of the review, the rating supervisor shall complete the meet with employee, approval and signature tasks in the Perform application, which releases it to the employee for their signature.
 4. The employee shall acknowledge the EPA in the Perform application indicating they have read the information and that it has been discussed with them. Once acknowledged by the employee, the appraisal is complete and is retained in the Perform application.
- F. **EPA Distribution and Retention:**
1. Supervisors shall ensure a copy of the completed EPA is maintained in the sworn employee's Division File.
 2. The sworn employees current rating supervisor to include their immediate chain of command, are able to access the sworn subordinates past and current EPAs completed in the Perform application during the time they are assigned under their purview. All previous

EPAs completed in the Praxis application are archived in hard copy in the sworn employee's Division File and Personnel File, as applicable.

3. Sworn employees maintain access to the completed EPA in the Perform application and may print a copy for their records.
4. The Human Resource Services Division, upon receiving an automatic notification from the Perform application of a completed EPA shall place a hard copy of the EPA in the sworn employee's Personnel File.
5. The Employee Retention and Performance Division, administers the Perform application, oversees the retention of records within the application and may conduct periodic, random audits for thoroughness, quality and policy compliance.

G. Completed EPA Report Checks:

1. Division commanders shall ensure that all EPAs for sworn employees under their command are completed in the Perform application by the due date .
2. On a monthly basis, bureau chiefs shall monitor the completion status of EPAs through the Perform application dashboard and reports, of all sworn employees under their command which have not been completed and are past their due date.

7. **Administrative Review:** If the employee disagrees with all or part of the EPA, the employee has a right to request an Administrative Review regarding the EPA. Administrative Reviews may also be utilized by an employee as a chance to formulate a self-analysis and evaluation on a separate Addendum. The Addendum may or may not be considered in the dimension ratings or overall EPA. If the employee intends to submit a request for Administrative Review, the employee should not sign the EPA and submit their request as follows:

- A. A memorandum request for an Administrative Review must be submitted to the Employee Retention and Performance Division of the HR Bureau by the employee within **seven calendar days** following the presentation of the EPA to the employee. The request for an Administrative Review shall state the specific rating(s) and/or details of the EPA being contested. It is the responsibility of the employee to document rating areas of the EPA they disagree with and to offer any mitigating information to support their disagreement.
 1. If the request is not submitted to the Employee Retention and Performance Division within **seven calendar days**, it shall be considered the employee has forfeited their right to an Administrative Review.
 2. The employee shall then be required to sign the EPA completing the EPA review process.
- B. If the request for an Administrative Review has been successfully submitted, Employee Retention and Performance Division personnel shall facilitate a conference between the employee and the rating supervisor to discuss the EPA, and the employee's concerns, to be conducted within **10 calendar days** of the Division's receipt of the request for Administrative Review. Supervisors are encouraged to have a third-party observer present of equivalent rank to the rating supervisor or above when conducting an Administrative Review.

1. If the rating supervisor and employee agree on any changes to the EPA, the EPA shall be revised and provided back through the chain of command for review and signatures, and then be provided back to the employee for signature, concluding the EPA process.
2. If the supervisor determines that no changes to the EPA are warranted, and the employee is satisfied with the results of the conference requiring no changes to the EPA, the employee shall sign the EPA, concluding the EPA process.
3. At the conclusion of the Administrative Review, the rating supervisor shall document the outcome of the discussion as follows:
 - a. The supervisor shall document the discussion and the outcome of the Administrative Review in a memorandum response and attach it to the EPA along with the associated documentation submitted by the employee. A copy of the written response shall be provided to the employee.
 - b. The supervisor's memorandum response along with all associated documentation submitted by the employee shall be filed with the hard copy EPA and placed in the employee's Division File. These documents shall also be emailed to the Human Resource Services Division at [REDACTED] for filing with the employee's EPA in their Personnel File.
- C. If the employee is dissatisfied with the result of the conference, the employee may continue the Administrative Review process by not signing the EPA and notifying the Employee Retention and Performance Division within **seven calendar days**, which will facilitate the same pattern with each supervisor in the employee's chain of command, up to and including the Sheriff or designee.
- D. Reviews by the Sheriff or designee are final and shall **NOT** be limited to the **10-calendar day** limit for response.
- E. EPAs under Administrative Review shall be maintained at the employee acknowledge task until the process is completed.
- F. Issues regarding EPAs or ratings are not grievable.
8. **Special Performance Appraisals:** Special Performance Appraisals may be prepared at any time and for any reason at the discretion of the assigned supervisor, in consultation with personnel from the Employee Retention and Performance Division; however, a Supervisor Initiated Intervention method, as specified in Office Policy GH-5, *Early Identification System*, should be considered to address an employee's performance who is not meeting minimum performance standards. Special Appraisals may also be completed at the request of the HR Bureau and are not subject to the Administrative Review process.
9. **Safeguarding Privacy:** Supervisors shall safeguard the privacy of rated employees EPAs by properly securing electronic and hard copies of EPAs and drafts to prevent them from being viewed by unauthorized personnel.