

	MARICOPA COUNTY SHERIFF'S OFFICE POLICY AND PROCEDURES	
	Subject DETENTION/CIVILIAN EMPLOYEE PERFORMANCE APPRAISALS	Policy Number GC-4 Effective Date 03-05-24
Related Information Employee Merit System Resolution and Rules CP-2, <i>Code of Conduct</i> CP-3, <i>Workplace Professionalism</i> CP-8, <i>Preventing Racial and Other Bias-Based Profiling</i> GB-2, <i>Command Responsibility</i> GC-4 (S), <i>Sworn Employee Performance Appraisals and Management</i> GC-7, <i>Transfer of Personnel</i> GC-11, <i>Employee Probationary Periods, Unclassified Employees, and Releases</i> GC-12, <i>Hiring and Promotional Procedures</i> GC-17, <i>Employee Disciplinary Procedures</i> GC-19, <i>Dress and Appearance</i> GC-20, <i>Uniform Specifications</i> GG-2, <i>Detention/Civilian Training Administration</i> GH-2, <i>Internal Investigations</i> GH-5, <i>Early Identification System</i>		Supersedes GC-4 (04-13-23)

PURPOSE

The purpose of this Office Policy is to establish guidelines and procedures for rating supervisors when completing Employee Performance Appraisals (EPAs) for detention and civilian employees. Supervisors who supervise sworn employees shall reference Office Policy GC-4 (S), *Sworn Employee Performance Appraisals and Management*, for sworn evaluation procedures.

Although this Office Policy refers to employees throughout, it only applies to detention and civilian employees, and those who supervise detention and civilian employees.

POLICY

It is the policy of the Office to promote the fair, impartial, and 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 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 their current position, and/or applicable probationary period. There are four types of appraisals:

- 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 employees, is specified within the Maricopa County Employee Merit System Resolution and Rules and Office Policy GC-11, *Employee Probationary Periods, Unclassified Employees, and Releases*.
- 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 employees, is specified within the Maricopa County Employee Merit System Resolution and Rules and Office Policy GC-11, *Employee Probationary Periods, Unclassified Employees, and Releases*.
- 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 Human Resource 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.

Due Date: The date a completed *Employee Performance Appraisal* (EPA) form is to be returned to the Human Resource Services Division.

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, IA Pro, and EIPro are applications of the EIS.

Initial Probation: A specified period of time following the employment of a classified employee in a budgeted position during which the work performance of the employee is evaluated. A classified employee may be released from initial probation for or without cause.

- A. **Initial Probation, Detention Only:** With the exception of Job Profile adjustments and reassignments, detention personnel must serve an initial probation period upon their most recent employment, to include hire, promotion, demotion, or transfer into any classified position. The initial probation period shall be a minimum of 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 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.
- B. **Unclassified Employees:** Employees who are unclassified do not serve probationary periods, as they are at-will employees and are not covered by the Maricopa County Employee Merit System Rules. Unclassified employees who are not meeting minimum performance standards shall be managed, as specified in Office Policy GC-11, *Employee Probationary Periods, Unclassified Employees and Releases*.

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.

Minimum Performance Standards: The most basic level of activity and behavior necessary for an employee to fulfill their job requirements.

Misconduct: Includes 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.

Performance Assessment Measures: 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 monitor and supervise their employees.

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.

Promotional Probation, Detention Only: The promotional probationary period for a detention officer shall be 12 months unless extended by the Sheriff for not more than six months. A promotional probationary employee, who fails to satisfactorily complete the promotional probationary period may, without right of appeal, be reverted to a position of the class previously occupied or to another suitable position.

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 Category 7 Offenses, as specified in Office Policy GC-17, *Employee Disciplinary Procedures*, 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 are 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.

Commander: An employee with the rank of lieutenant or above, or its civilian equivalent and above.

First-Line Supervisor: An employee with the rank of sergeant, or its civilian equivalent.

PROCEDURES

1. **The Objectives of the Employee Performance Appraisal (EPA):** The objectives of the EPA and the Blue Team Supervisor Note processes include, but are not limited to, the following:
 - A. Evaluating the work performance of each employee during the appraisal period;
 - B. Helping supervisors make fair and impartial personnel decisions; and
 - C. Maintaining and improving performance.

2. **Responsibility to Evaluate Employee Performance:** The rating supervisor is responsible for evaluating the competence of each assigned employee.
 - A. At the beginning of the appraisal period, the 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 Essential Job Duties of the EPA. This discussion should also include the level of performance expected and the establishment of realistic goals to be achieved by the employee. All information that is discussed should be entered in the employee's Blue Team Supervisor Notes.

 - B. Supervisors shall maintain a written record of the performance of each of their employees in the Blue Team Supervisor Notes. Performance evaluations 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 the preparation of an accurate and detailed

performance review. At a minimum an entry shall be completed for detention and civilian personnel every month. Actions reviewed should include, but are not limited to, the following:

1. Performance and accomplishments;
 2. Commendations or awards;
 3. Internal and external complaints: Supervisors shall ensure that each allegation is documented in the employee's performance evaluation;
 4. Investigations where the employee is a principal;
 5. Discipline received: Employees' and applicants' misconduct and 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*;
 6. Required training attended or required training the employee failed to attend;
 7. 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;
 8. Routine actions of the employee that have been reviewed by the supervisor and reviewed with the employee;
 9. Supervisory actions, as specified in Office Policy GB-2, *Command Responsibility*, Section 7, *Accountability*, Sub-Sections A-F; and
 10. 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.
- C. Supervisors who have employees that are on an extended leave of absence during the appraisal period shall complete a supervisor note to document the beginning date and end date of the approved absence; however, the entry shall make no reference to protected leave or any information related to protected leave.
- D. If the employee has been supervised by more than one supervisor during any appraisal rating period, the following shall occur:
1. Chain of Command Application: The Chain of Command application shall be updated when the reporting structure of an employee changes. When requesting any change to the reporting structure of an employee, commanders and supervisors, or their respective support staff, shall complete a Chain of Command *Transfer Request* using the *Transfer Request Form* in Praxis, as specified in Office Policy GC-7, *Transfer of Personnel*.
 2. Transfer Evaluation: Upon notification of transfer, 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 up to that point in the appraisal rating period.
 - a. 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 rating period, through Blue Team.

- b. The supervisor being transferred does not need to complete a Transfer Evaluation on all of their subordinates.
 - c. 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*.
3. Upon receipt of the transferred employee, the receiving supervisor shall review all entries in the EIPro applications (i.e. Supervisor Notes, Performance Assessment Measures, etc.) from the beginning of the appraisal rating period until that time. The 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 appraisal rating period for the employee have been reviewed.
 4. 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 employees 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.
 5. Supervisors and commanders shall review the disciplinary history of all employees who are transferred to their command within 14 business days.
3. **Rating Supervisor Accountability:** Rating the performance of employees is a critical function of a supervisor. The evaluation should be fair, impartial, and accurate.
 - A. The evaluation of employees shall reflect the entries submitted into Blue Team (i.e. Supervisor Notes, Performance Assessment Measures, etc.) during the appraisal rating period.
 - B. Supervisors shall be held accountable for the quality of these reviews in their own EPAs, and applications for promotion and/or transfers.
 - C. Supervisors shall be held accountable for their ability to identify and take action on employee misconduct.
 - D. The quality of internal affairs investigators' investigations and supervisors' reviews of investigations shall be taken into account in their performance evaluations, if applicable, 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;
 11. Properly evaluating relevant state and federal law, including *Garrity v. New Jersey*, and the requirements of court orders.
- E. Appropriate corrective and/or disciplinary action shall be taken against supervisors who fail to 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.
4. **Generation and Distribution of EPA Forms:** Praxis shall be used to access and complete EPA forms. EPA forms will be available at the beginning of the employee's appraisal rating period.
- A. The Praxis application will send an alert notification in e-mail to the assigned supervisor 60 days prior to the appraisal rating period due date indicated in the employees Evaluation tab in Praxis. Supervisors shall not rely on receiving the alert notification for the timely completion of an EPA.
 - B. The Human Resource Services Division is responsible for sending e-mail notification, on a monthly basis, to all supervisors and commanders of all detention and civilian employee EPA forms which have not been received and are past their due date.
 - C. If an EPA cannot be completed and submitted to the Human Resource Services Division by the corresponding due date as indicated in Praxis due to an extended leave, other than Administrative Leave, the rating supervisor shall send an email to the EPA personnel in the Human Resource Services Division, as soon as the supervisor is made aware of the extended leave, indicating the reasons for the late EPA. The rating supervisor shall complete the EPA, including the chain of command review and signature, in order to have it ready for review with the employee upon their return.
 - D. Commanders shall ensure that all EPAs are completed in Praxis and submitted electronically to the Human Resource Services Division by the due date.
5. **Completing the EPA Form:** Rating commanders and supervisors shall log into Praxis to access their subordinates EPA forms for completion.
- A. Top Portion of Page One: The top portion of page one will auto-populate the employee's specific information once the employee's name is selected from the drop-down menu. Rating supervisors will be required to complete the "Yes" or "No" questions following the employee's information.

- B. Job Description: A drop-down menu provides the rating supervisor a list of job classifications to choose from that will auto-populate the Job Description and Essential Job Duties section of the EPA or supervisors may refer to the Attachment A for a more extensive job description listing. If the employee is in a classification that is not included in the list or is assigned to a specialty assignment with essential duties that do not auto-populate, the supervisor shall add the job description information in the space provided.
 - C. Rating Performance Dimensions: The rating supervisor will be required to select from a drop-down menu for each performance dimension category.
 - 1. The employee’s rating shall reflect the employee’s performance for each of the eight performance dimensions.
 - 2. Comments are required for all eight performance dimensions.
 - a. If an employee “Meets Standards” the supervisor shall include sufficient comments that show all applicable work assignment performance expectations and/or behaviors for each dimension have been met. These comments do not require examples, but examples may be added at the supervisor’s discretion.
 - b. A detailed narrative is required for the rating dimensions of “Exceeds Standards,” “Needs Improvement” and “Not Met,” and when employees do not complete Mandatory Trainings. This narrative shall include examples of the documented behavior, as well as any corrective action taken by the supervisor, if applicable.
 - c. All examples made in the EPA shall be referenced to incidents that the employee has been made aware of and the associated documentation. That documentation can be in the form of EIS entries (i.e. Supervisor Notes, Performance Assessment Measures, etc.) made during the appraisal rating period, including dates and EIS Numbers, and/or other objective evidence of the employee’s performance, including e-mail correspondence with the employee or the employee’s work product.
 - D. Signatures: The EPA shall be distributed so that signatures can be obtained. Prior to signing the EPA form, the rating supervisor must review the items specified below. Once reviewed and analyzed, the supervisor shall sign acknowledging all information has been properly evaluated. Specifically, and as set forth in the acknowledgement, the rating supervisor is required to review:
 - 1. EIS applications, including, but not limited to, the Dashboard and the other documented behaviors for the employee;
 - 2. Internal and external complaints;
 - 3. Commendations and awards; and
 - 4. Civil or administrative claims and lawsuits in which the employee is a party and that are related to Office operations and conduct while on duty.
6. **Employee Performance Dimension Rating Factors:** Most performance rating dimensions are rated through the use of a four-step scale based on continuous and on-going observations throughout the evaluation period. The scale is divided as follows: “Exceeds Standards,” “Meets Standards,” “Needs Improvement,” and “Not Met.” In addition, Mandatory Training requires a “Yes” or “No” response. Only one rating will be chosen for each performance dimension.

- A. Exceeds Standards: This dimensional rating indicates that the employee exceeds the standards of performance required for the position in most factors. This requires that the rater carefully differentiate between a level of performance which is well above the standard of performance required for the position and that which meets the standard of performance.
- B. Meets Standards: This is the dimensional rating assigned when a significant portion of the employee's work meets the standards required of the position. This rating may still be met if there are some areas that require attention from the employee and have been addressed in the Blue Team Supervisor Notes.
- C. Needs Improvement: This dimensional rating is given when a significant portion of the employee's overall job performance is below the minimum standards for the position. The "Needs Improvement" rating acts as a warning. Job performance at this level cannot continue and could result in a "Not Met" performance rating if not properly addressed. If a supervisor issues a "Needs Improvement" rating, the following shall occur:
 - 1. The supervisor and the employee shall establish realistic goals and time frames for the correction of the performance;
 - 2. The supervisor shall consider coaching, remedial training, changes in supervision methods, or discipline as possible solutions to substandard performance; and
 - 3. The supervisor must maintain complete records on all actions taken to correct the problem, improvements the employee made in performance, or lack of any progress.
- D. Not Met: This dimensional rating indicates a level of performance that is deemed unacceptable by the Office. When an employee receives a "Not Met" performance dimension rating, they may be subject to remedial training or discipline. This rating should be given when any of the following has occurred:
 - 1. A large portion of the employee's work performance does not meet Office standards specific to the job assignment;
 - 2. The employee has failed to improve performance in dimensions rated "Needs Improvement" in the prior appraisal;
 - 3. The employee has committed an act of sufficient seriousness to override their value to the Office.
- E. Dimensional ratings of "Not Met" or "Needs Improvement" require a plan of action for improving the employee's performance. The plan should be a realistic set of goals toward which the employee can work to improve their performance within the next appraisal rating period. Supervisors may utilize Supervisor Initiated Intervention methods, as specified in Office Policy GH-5, *Early Identification System*, during the appraisal rating period to address performance deficiencies. The areas which received "Not Met" or "Needs Improvement" ratings shall be re-examined and discussed with the employee during the appraisal rating period. Supervisors shall document any improvement, or lack thereof, in the employee's Blue Team Supervisor Notes. Supervisors shall document the employee's progress in the next EPA. The documentation can be in the form of EIS entries made during the appraisal rating period, including dates and EIS Numbers, and/ or other objective evidence of the employee's performance, including email correspondence with the employee or the employee's work product.

7. **Performance Dimensions Comments:** Performance dimension comments shall be completed, as specified in this Office Policy. Questions within each performance dimension are provided as examples and 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 whether observed or documented in the employee's Blue Team Supervisor Notes. 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. Supervisors are not required to provide an answer for each rating dimension example question provided in the EPA template unless otherwise noted as mandatory. The template examples are provided below:
- A. Adherence to Office Policies and Procedures:
1. Has the employee adhered to Office Policies and procedures with little or no deviation?
 2. Does the employee report accidents and injuries through the chain of command in a timely manner, as required by Office Policy?
 3. Does the employee demonstrate an understanding of federal, state, and local criminal and applicable civil laws, administrative rules, regulations, and Office Policy, as they apply to their duties?
 4. Does the employee demonstrate support for the Office's organizational change initiatives and help others to transition?
 5. Is the employee exceeding expectations by going above and beyond what is described in Office Policy and procedure?
 6. Does the employee observe Office rules and regulations? Does the employee provide constructive and intelligent critiques of rules and regulations, and attempt to provide feasible solutions for problem areas?
 7. Can the employee apply this knowledge to the various situations encountered in the performance of their duties?
- B. Workplace Professionalism:
1. Does the employee consistently adhere to Office Policy CP-3, *Workplace Professionalism*?
 2. Does the employee consistently adhere to Office Policy GC-19, *Dress and Appearance*?
 3. Does the employee consistently adhere to Office Policy GC-20, *Uniform Specifications*?
- C. Performance of Essential Job Duties:
1. Is the employee meeting all requirements of the job description listed on the first page of the EPA?
 2. Does the employee willingly follow the written or oral instructions given to them? When in doubt as to the intent of the instructions, does the employee seek clarification from the supervisor?

3. Is the employee on time for their work assignment? Does the employee observe their assigned work hours?
 4. Has the employee performed additional, necessary tasks without having to be asked by a supervisor?
 5. Is the employee organized in the work setting, plan their time in an efficient and effective manner, and when appropriate, establish a schedule and adhere to it?
 6. Is all required paperwork submitted in the timeframe specified?
 7. Does the employee have the ability to demonstrate flexibility, calmness, control, and decisiveness under pressure, extreme deadlines, or in unusual situations?
- D. Quality of Work:
1. Does the employee carefully complete assigned work and does the work product demonstrate attention to detail?
 2. Are the work assignments completed without boilerplate and conclusory language, unless documentation requires such language?
 - a. Documents that may require boilerplate language include, but are not limited to, financial documents, Risk Management documents, and grant proposals.
 - b. Documents that must be free from boilerplate language include, but are not limited to, documents submitted to the courts, *Disciplinary Action Reports* (DARs), Incident Reports, and Search Warrant Affidavit Narratives.
 3. Are work assignments completed accurately and efficiently?
 4. Does the employee possess the ability to analyze a job-related problem, reducing it to understandable terms?
- E. Mandatory Training Completed: To properly review the training that an employee has attended throughout the review period, the supervisor shall review the Report dropdown menu for that employee in TheHUB prior to the completion of this rating dimension. Mandatory training is specified in Office Policy GG-2, *Detention/ Civilian Training Administration*.
- F. Leadership:
1. Does the employee have the ability to positively influence the behaviors of other employees?
 2. Does the employee promote a professional, respectful, and non-discriminatory workplace environment?
 3. Does the employee provide guidance and direction to other employees?
 4. Does the employee help to build community partnerships?
- G. Transfer Evaluation: If the employee was required to have been evaluated by the losing supervisor during this appraisal period, as specified in this Office Policy, the receiving supervisor shall

document the information provided in the Transfer Evaluation and reference the EIS number in the comment section.

1. Has the employee been evaluated in any manner by other supervisors during this rating period?
2. If so, does this affect the employee's dimension ratings and/or overall "Meets Minimum Standards?"

H. Quality of Supervisory Review/Supervisory Accountability:

1. Does the supervisor meet the requirements set forth in Office Policy GB-2, *Command Responsibility*?
2. Does the supervisor properly review all required documentation for completeness and accuracy, including, but not limited to, *Incident Reports* (IRs), Supplemental Reports, memorandums, *Disciplinary Action Reports* (DARs), documents submitted to the courts, and other position specific documentation?
3. Does the supervisor objectively oversee, review, and direct employee work actions and work products?
4. Does the supervisor accurately identify and effectively respond to misconduct, through non-disciplinary corrective action, or through the initiation of formal investigation and the disciplinary process?
5. Does the supervisor complete thorough and timely documentation through the EIS Blue Team Supervisor Notes?
6. Does the supervisor assist their employees to overcome any areas that may be close to a threshold in the EIS?
7. Does the supervisor accurately identify and address data relating to alleged racial or other bias-based policing and document supervisor meetings and interventions initiated?
8. Does the supervisor consistently reinforce that discriminatory policing is unacceptable, discuss the mandatory nature of reporting such violations, promote bias-free policing, and prevent racial profiling, as specified in Office Policy CP-8, *Preventing Racial and Other Bias-Based Profiling*?
9. Does the supervisor encourage positive community relations, public trust, and safety?
10. Does the supervisor promote working partnerships with the community and facilitate employees engaging the community as partners in addressing crime, safety, and quality of life issues?
11. Does the supervisor provide the effective supervision necessary to ensure that employees are following the Constitution and the laws of the United States, State of Arizona, administrative rules and regulations, and Office Policy?
12. Has the supervisor conducted thorough, adequate, and complete administrative investigations and/or reviews of investigations?

13. Does the supervisor complete EIS Blue Team Supervisor Notes free of boilerplate and conclusory language?
14. Additional questions that may be asked, but are not required:
 - a. Does the supervisor spend time among their employees in order to assist in training and mentoring?
 - b. Does the supervisor consistently review specific policies and procedures with employees?
 - c. Does the supervisor develop and encourage training opportunities and career growth?
 - d. Does the supervisor provide adequate training and instruction to employees through demonstration and experience?
15. Additional required information:
 - a. Address the quality and effectiveness of the employee's supervision;
 - b. Specifically address whether or not the supervisor identifies and effectively responds to misconduct. Failure to report an act of misconduct shall be considered misconduct and may result in disciplinary action, up to and including dismissal from employment, as specified in Office Policy GC-17, *Employee Disciplinary Procedures*;
 - c. Specifically address the quality of supervisory reviews conducted by the employee by articulating both positive and negative aspects of the reviews. Raters must also assess command-level employees on the quality of IA reviews by articulating both positive and negative aspects of the reviews; and
 - d. All supervisors need to be rated on the quality of their internal affairs investigations. If the supervisor has no direct reports, or if the supervisor did not conduct any internal/misconduct investigations, a comment noting this is required. Command level personnel are required to review internal investigations and should be rated on the quality of their reviews of internal affairs investigations. If the commander did not review any IA investigations, a comment noting this is required.
8. **Current Reviews:** The supervisor shall list the applicable information in this section for the employee. This is not a rated section. Disciplinary actions and the determination as to whether the employee Meets Minimum Standards are addressed at the beginning of the EPA form.
 - A. **Complaints and Dispositions:** Supervisors shall utilize this section of the EPA to list all complaints, allegations, administrative claims, and lawsuits related to Office operations made against an employee during the appraisal period as well as the dispositions of such complaints when completed. The list shall contain the following:
 1. All complaint investigations that the employee has been a principal to shall be listed by case number and allegation type in this section.

2. 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.
 3. 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.
 - B. Assignment and Rank History: The rater shall include a complete list of the employee's assignments and rank history for the appraisal period.
9. **EPA Reviews:** 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. The EIS entries shall be accessed through EI Pro. If a review conference does not occur, the supervisor shall document the specific reasons the conference could not take place. During the review, the employee shall be given the opportunity to discuss the contents of the EPA with the rating supervisor.
 - A. At the conclusion of the review, the employee shall sign and date the EPA form indicating they have read the information and that it has been discussed with them, concluding the EPA Review.
 - B. The rating supervisor shall distribute copies of the EPA form at the time of the review or immediately thereafter. The original EPA form and copies should be distributed and maintained as follows:
 1. The original signed EPA form shall be maintained at the division in the employee's Division File.
 2. One copy shall be given to the employee.
 3. One copy shall be e-mailed to the Human Resource Services Division at [REDACTED]. If the rating supervisor is unable to scan and e-mail a copy of the EPA, the hard copy shall be sent inter-office mail to the Human Resource Services Division. A copy shall be maintained at the Human Resource Services Division in the employee's Personnel File.
10. **Administrative Review:** If the employee disagrees with all or part of the EPA, the employee has a right to 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 rating supervisor 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 rating supervisor 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, a conference between the employee and the rating supervisor to discuss the EPA, and the employee's concerns, shall be conducted within **10 calendar days** of receipt of the request for Administrative Review by the employee. Supervisors are encouraged to have a third-party observer present 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 request to continue the Administrative Review process within **seven calendar days** by not signing the EPA and following 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. Issues regarding EPAs or ratings are not grievable.
- 11. **Special Performance Appraisals:** Special Performance Appraisals may be prepared at any time and for any reason at the discretion of the rating supervisor; 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. The Employee Retention and Performance Division shall provide the appraisal forms upon request of the supervisor and are not subject to the Administrative Review process.
 - 12. **Employees on Leave:** In the event an employee's appraisal period due date occurs while an employee is in a leave of absence status, such as military leave or administrative leave with pay, the EPA should be completed and submitted through the chain of command for review and then held at the division level. Upon the employee's return to work, the division shall provide the EPA to the employee as soon as practicable, but no more than 30 calendar days from the date of the employee's return, absent extenuating circumstances.

- A. 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.
 - B. If an employee has been in an approved leave of absence status for the entire appraisal period and is not expected to return before the due date, 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.
13. **EPA's Involving Employee Misconduct:** An EPA **shall not** be held for an employee who is the principal of an open misconduct investigation.
14. **Requirements for Employees on Initial Probation:** An employee's performance must achieve a "Meets Minimum Performance Standards" rating for the employee to successfully complete a probationary period. The supervisor shall follow the established procedure to release a probationary employee, as specified in Office Policy GC-11, *Employee Probationary Periods, Unclassified Employees and Releases*.
15. **Safeguarding the Privacy of Rated Employees:** 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.