



# Peoria Police Department Policy and Procedure Manual

Policy 3.04A

Performance Appraisals



## I. POLICY

Performance appraisal is the measure of an employee's performance of assigned job duties and tasks. The Peoria Police Department, in order to achieve its stated goals and objectives, must depend on satisfactory work performance from all employees. It is the policy of the Peoria Police Department to evaluate employee performance in a professional, unbiased, and objective manner.

## II. PROCEDURES

A. The objectives and utilization of Employee Performance Appraisals shall be to:

1. Provide a fair and impartial method of making personnel decisions based on an employee's performance.
2. Maintain and improve job performance through a system of constructive communication, feedback, and appraisal.
3. Provide a regularly scheduled opportunity for employee counseling.
4. Facilitate decisions regarding the continued employment or dismissal of probationary employees.
5. Provide a fair and objective method of measuring and recognizing individual performance.
6. Provide criteria as to the suitability for assignment.
7. Identify training needs of the employee.
8. Determine merit pay increases in accordance with established City procedures.

B. Appraisal Guidelines

1. All Departmental employees, including sworn reserve officers, shall be evaluated on an annual basis by means of the City's Performance Appraisal system. (35.1.2)
  - a. Following the annual appraisal, a line level employee's performance shall be documented on an Individual Performance Record (IPR) at least every three (3) months until the next annual appraisal. IPR's evaluate the specific job functions performed by the employee. Supervisors and sergeant's and equivalent levels shall have IPR's completed at least semi-annually or at the discretion of the Chief of Police. IPR's are not required for employees classified as management exempt. (35.1.4)
  - b. Recruit officers and communication specialists in the Field Training Program shall be evaluated on a daily basis by their Field Training Officer (FTO), using the Daily Observation Report form in the FTO manual. (35.1.3)
  - c. Upon completion of the Field Training Program, the officer will be evaluated for a period of twelve (12) weeks by their immediate supervisor. This appraisal will be documented on the Post FTO Form.
  - d. Upon an employee's change in rank, division, bureau, or significant duty assignment, the employee's immediate supervisor shall complete current goals and objectives with the employee.

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- e. A complete employee appraisal shall be accomplished at any time the employee receives new goals and objectives as stated herein.
  - f. A final appraisal shall be completed on an employee that leaves the employment of the City of Peoria Police Department.
2. Forms. All annual Performance Appraisals shall be documented on the appropriate forms and forwarded through the chain of command to the Chief of Police. (35.1.1.b)
  3. Appraisals shall be based on employee performances during the rating period only. (35.1.5)
    - a. Employee performance prior to or after the rating period shall be excluded.
    - b. Only material that is dated during the annual appraisal period shall be considered.
    - c. Non-probationary employees, whose performance in a particular appraisal area is unsatisfactory, must be notified in writing at least 90 days prior to the end of the appraisal period so deficiencies may be corrected prior to the appraisal. Some flexibility in the 90 day requirement will be allowed in instances where the unsatisfactory performance is observed less than 90 days prior to the appraisal. This may be accomplished through the use of the IPR's. (35.1.6)
  4. Criteria. The appraisal shall be based on criteria that are specific to the assignment held by the employee during the rating period. (35.1.4)
  5. Employees shall be rated by their immediate supervisor, whenever possible.
    - a. The responsibility of evaluating an employee shall not be delegated.
    - b. If an employee has been supervised by more than one supervisor during the appraisal period, the rating supervisor shall confer with the other supervisor(s) prior to the appraisal.
  6. Explanatory Comments. Explanatory written comments shall be required from the rater when performance ratings of 2 or below or a rating of 4 is given in any one rating category. (35.1.7)

#### C. Management

1. Routing. Each annual Performance Appraisal shall be reviewed and signed by the rater's supervisor prior to being sent up the chain of command. Upon final approval of the appraisal, the original document shall be maintained in the employee's Personnel File at the Human Resources Department (HRD) for a period of at least three (3) years after their last day of employment with the City. (35.1.8) (35.1.13)
  - a. The first document should be the Personnel Action Form (PAF). The employee shall not sign the appraisal or PAF until it is signed and returned to the supervisor by the Chief of Police. The employee shall sign the PAF when they are signing for the appraisal. Supervisors responsible for completing Performance Appraisals shall attach all IPR's and related documents to the form, along with a completed Employee Address/Emergency Notification Form, prior to submitting it up the chain of command for approval. The Employee Address/Emergency Notification Form shall be submitted with the appraisal, but the form shall not be a permanent part of the appraisal and shall be filed separately within the administrative files of the Police Department.
  - b. Supervisors are required to attach a copy of the previous year's Performance Appraisal to ensure on-going issues have been adequately addressed and or corrected.
  - c. Supervisors shall submit all appraisals in a timely manner. Each appraisal must be reviewed by the appropriate chain of command and submitted to the Chief of Police no later than 14 days prior to the appraisal due date.

- d. The Chief of Police may authorize, with the approval of the Human Resources (HR) Director, a delay in the final presentation of an employee's annual appraisal if the employee is the subject of an administrative investigation or is pending disciplinary action. The delay may not exceed sixty (60) calendar days without written authorization from both the Chief of Police and the HR Director.
  - e. Once an appraisal is reviewed and signed by each level of the receiving employee's chain of command, if an employee is receiving an overall needs improvement - two (2) or unsatisfactory - one (1) rating, the employee shall have the opportunity to meet with each level of their chain of command to discuss the rating prior to the appraisal being forwarded to HRD for final processing. The employee shall request a meeting with each level of their chain of command via memorandum. One meeting with the employee's entire chain of command may be utilized to accomplish this dialogue. These meetings will not preclude the employee from utilizing the appraisal appeal process once the appraisal has been finalized through HRD.
2. Raters shall be evaluated by their supervisors regarding the quality, thoughtfulness and objectivity of the ratings given to subordinate employees. (35.1.14)
  3. Review of Appraisal System. The Performance Appraisal System shall be reviewed as needed by the Chief of Police, the HR Manager or designee, and others as selected by these two. The purpose of this review shall be to determine how well the system functions. Items may include, but are not limited to:
    - a. Ensure appraisal criteria are realistic and applicable.
    - b. Identify instances of extreme ratings and the reasons for them.
    - c. Identify the number of contested appraisals and the reasons for them.

#### D. Post Appraisal / Annual Performance Appraisals

1. At the conclusion of each rating period, the employee shall be counseled by their immediate supervisor concerning:
  - a. The tasks of the current position occupied by the employee.
  - b. The expected levels of performance on each task. (35.1.9.b)
  - c. An explanation of the appraisal rating criteria.
  - d. The development of goals and objectives. (35.1.9.c)
  - e. The results of the performance appraisal just completed. (35.1.9.a)
2. Upon completion of the appraisal, the employee shall be given the opportunity to:
  - a. Review and sign the completed appraisal. (35.1.10)
    - (1) The employee's signature does not imply agreement or disagreement with the appraisal.
    - (2) If the employee refuses to sign the appraisal, the supervisor shall so note on the appraisal and record the reasons, if given.
  - b. Provide written comments concerning the appraisal. These comments shall be attached to, and become part of, the appraisal. (35.1.10)
3. A copy of the completed appraisal report shall be provided to the employee by HRD after processing is completed. (35.1.11)

### E. The Performance Appraisal System

1. Dimension Scale. The Performance Appraisal System consists of a specific set of dimensions for each job category. The employee is rated on a scale from one (1) to four (4) on each of several categories. A rating of 1 is the lowest possible score with 4 being the highest.
2. Rating Factors. Rating factors are divided into the general categories of:
  - a. Common Factors.
  - b. Essential Functions.
  - c. Performance Goals and Objectives.
  - d. Overall Assessment.
3. Sick Leave: Usage/Management
  - a. Sick Leave - Is permitted under the City of Peoria Administrative Regulation 13.8.1. Effective August 1, 1997 employees will be appraised on the revised Administrative Regulation 13.8.2, governing sick leave usage for the twelve-month appraisal period.
  - b. Supervisors conducting performance appraisals shall include hours used in
    - (1) Regular sick: when an employee uses sick leave for himself/herself
    - (2) Sick no charge/sick reduced: When an employee has extra hours beyond their scheduled 40 hours and sick is reduced
    - (3) Vacation in lieu of sick: When vacation is used in place of sick leave
    - (4) Comp in lieu of sick: When comp is used in place of sick leave
    - (5) Personal in lieu of sick: When personal leave is used in place of sick leave
    - (6) Leave Without Pay (for a requested sick day): When employee is in a leave without pay status due to leave balances being depleted
  - c. Supervisors conducting performance appraisals shall not include hours used in
    - (1) Family sick leave
    - (2) Personal sick leave
    - (3) Family Medical Leave Act (FMLA)
  - d. Prescheduled Medical appointments: Employees are allotted up to twenty-four (24) hours of sick leave for prescheduled medical appointments if they are on 5/8 schedule and up to thirty (30) hours of sick leave for prescheduled medical appointments if they are on 4/10 schedule. These hours shall occur within a rolling calendar year. Prescheduled medical appointments will not count against the employee on their appraisal if the following criteria are met:
    - (1) The employee provides a doctor's note.
    - (2) The employee gives his/her supervisor 72 hours advanced notice, prior to the scheduled doctor's appointment.
    - (3) These appointments are used for the employee's own personal routine preventative medical, dental, optical, and mental wellness examinations.

- e. Ratings: Employees will be evaluated on incidents except for a rating of a four (4) and three (3). An incident is defined as “one or more consecutive work days that are not worked due to being sick, or multiple uses of sick leave that is due to the same illness/injury.” Once an employee has used forty (40) hours of sick leave that is counted for appraisal purposes, then the employee must provide a doctor’s note for each additional incident for the next twelve (12) months.
  - (1) For a rating of four (4), the employee can have up to one (1) incident and the total hours of sick leave cannot be over eight (8) hours if they are on a 5/8 schedule or ten (10) hours if they are on a 4/10 schedule.
  - (2) For a rating of three (3), the employee can have two (2) to four (4) incidents of sick leave or one incident of sick leave and the hours are greater than eight (8) hours if they are on a 5/8 schedule or ten (10) hours if they are on a 4/10 schedule.
  - (3) For a rating of two (2), the employee can have five (5) to eight (8) incidents of sick leave. The employee may receive counseling regarding excessive sick leave usage, which will be documented in the employee’s IPR. At this time the employee’s immediate supervisor shall place the employee on the Personal Performance System (PPS). If an employee receives a two (2) for attendance on an evaluation for two (2) consecutive years, the employee will receive an overall two (2) on their evaluation.
  - (4) For a rating of one (1), the employee has 9 or greater incidents. The employee will receive counseling regarding excessive sick leave usage, which will be documented in the employee’s IPR. At this time the employee’s immediate supervisor shall place the employee on the Personal Performance System (PPS). If an employee receives a one (1) for attendance on an evaluation for two (2) consecutive years, the employee will receive an overall one (1) on their evaluation.
  - (5) All information pertaining to an employee’s medical condition received during counseling will remain confidential in HR and will not be included in the employee’s file.
4. Timeliness for Duty (Tardy)
  - a. For a rating of four (4), the employee has between 0 and 1 instances of tardiness during the appraisal period.
  - b. For a rating of three (3), the employee has 2 to 3 instances of tardiness during the appraisal period.
  - c. For a rating of two (2), the employee has 4 to 5 instances of tardiness during the appraisal period.
  - d. For a rating of one (1), the employee has 6 or more instances of tardiness during the appraisal period.
5. The specific rating criteria under each dimension depends upon the particular position being evaluated. (35.1.1.a)
6. Rating Form. During the appraisal, the rater will evaluate the employee on the approved form provided by HRD. (35.1.1.b)
  - a. The rater will assign a performance level of 1-4 on each criterion.
  - b. If a particular criterion is not applicable to the position of the person being evaluated, the rater will so note by marking "N/A" or "not applicable" by that item on the appraisal form.
7. Rater’s Responsibility. Raters are responsible for providing the employee a fair, objective and unbiased appraisal of their job performance for the rating period. Prior to the appraisal the rater shall have: (35.1.1.c)
  - a. Reviewed the employee's IPR to become familiar with areas of strengths and deficiencies.
  - b. Conferred with other supervisors who supervised the employee during the rating period.

- c. Scheduled the time of appraisal with the employee during the employee's normal work period.
8. Rater Training. Upon being assigned to a supervisory position, employees shall be given a block of instruction by the City's HRD on proper appraisal techniques and procedures. (35.1.1.d)
9. Chief's Review. Documents to be submitted, with the Annual Appraisal to the Chief of Police for review, if applicable:
  - a. Personnel Action Form
  - b. Performance Appraisal Presentation Memorandum
  - c. Emergency Notification Form
  - d. Appraisal
  - e. Inspections\*
  - f. Administrative Investigations (AI) History\*
  - g. Sick Leave Hours\*
  - h. Career Development (New)
  - i. Goals and Objectives (Old)
  - j. Goals and Objectives (New)
  - k. IPR's
  - l. Previous Appraisal\*

\* Denotes that the listed documentation shall be provided by the appraisal author to the next level of supervision for their review and consideration. That level of supervision shall determine if the document(s) shall be forwarded with the appraisal.

10. Formal Discipline. All formal disciplinary action shall be documented on the Annual Performance Appraisal System.

F. Annual Performance Appraisal Appeal Process (35.1.12)

1. Eligible for Appeal.
2. An employee may appeal an annual review of a scheduled appraisal with an overall rating of 1 or 2 through the official chain of command. Other ratings are not eligible for appeal.
  - a. Any appeal must be made in writing within seven (7) calendar days from the date the appraisal was presented. The employee must submit the appeal to their supervisor on the Performance Appraisal Appeal Form.
  - b. Each supervisor, through the chain of command, has seven (7) calendar days to respond to the appeal.
  - c. If the employee's appeal is not resolved at the supervisory level, the employee may appeal, within seven (7) calendar days, to the next level of supervision, up to the Chief of Police. The decision of the Chief of Police shall be final on such appeals.

**Peoria Police Department**  
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