



# PERFORMANCE EVALUATIONS SYSTEM – PILOT PROGRAM



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<b>RESCINDS:</b>			
<b>INDEX CATEGORY:</b>	Department Notice		

## I. PURPOSE

This notice:

A. introduces:

1. the Performance Evaluation System Pilot Program for all sworn members assigned to the 004th, 006th and 007th Districts, Bureau of Patrol.
2. evaluation procedures, performance dimensions, and appeal process for all sworn members assigned to the, 004th, 006th and 007th Districts, Bureau of Patrol.
3. the Performance Evaluation System as part of the Talent Management System.

B. satisfies CALEA Law Enforcement Standard for Chapter 35.

## II. SCOPE

**The Performance Evaluation System Pilot Program will be for designated sworn members assigned to the 004th, 006th and 007th Districts, effective beginning the 6th police period on 16JUN2021.**

Our performance management system focuses on collaboration, growth, training, and teamwork. The success of each team member is predicated on shared responsibilities between leaders and subordinates. Leaders have been empowered to facilitate conversations, provide contributions and guidance, set performance standards, and identify competencies and areas of improvement.

## III. GENERAL INFORMATION

- A. The Chicago Police Department is committed to ensuring that evaluations of members are conducted and documented annually.
- B. The Performance Evaluation System (PES) exists to help the Department assess overall performance of sworn members, provide opportunities to recognize achievements and progress, and highlight goal-setting opportunities.

**NOTE:** The Performance Evaluation System (PES) is separate from, independent of, and does not factor into the Officer Support System (OSS). The OSS is a non-disciplinary system designed to identify sworn members at risk of being involved in a future adverse event in order to provide a plan for intervention. Members may reference the OSS in the Department directive titled "**Officer Support System – Pilot Program.**"

- C. The Performance Evaluation System can be accessed through the Talent Management System (TMS) on the Wire.
- D. The Commanders, 004th, 006th and 007th Districts, Bureau of Patrol:
  1. are responsible for setting district-wide crime-reduction and community-policing goals for the year.

2. will designate a member to manage assigning evaluations to appropriate personnel.
3. will assign members to an evaluating supervisor(s) within 5 calendar days of the rollout of the PES.
4. will ensure that supervisors limit their review to sworn members who have been assigned under their command for at least thirty days prior to the evaluation.

**NOTE:** Members who have been assigned to the 004th, 006th and 007th Districts for less than thirty days will be evaluated by their previously assigned supervisor. Members will then be properly assigned in the PES system for further evaluation.

- E. Supervisors will be assigned to evaluate members and assist in setting goals under the PES. Supervisors will use the PES to effectively assess and document job performance of members under their command.
- F. Supervisors will participate in training and receive a Performance Evaluation System Handbook regarding the purpose, implementation, and use of the Performance Evaluation System.
- G. The assignment and goal-setting periods are followed by the observation period, in which evaluating supervisors are responsible for recording notable observations of assigned members in the PES system every police period, as well as providing continual feedback and coaching.

**NOTE:** During this period, supervisors will document members' progress throughout the observation period. Additionally, members have the option to document their progress towards the annual goals set out in the beginning of the year to support their consideration for the highest dimension.

- H. The evaluation will be reviewed by an additional supervisor of higher rank than the evaluating supervisor before it is sent to the member receiving the evaluation.
- I. A meeting to discuss the evaluation and goal-setting is held before the evaluation is completed between evaluator and member.
- J. If a member disagrees with any dimension rating or the overall rating of the evaluation, an appeal of the evaluation can be made within seven calendar days following the receipt of the evaluation.
- K. The Director, Human Resources Division, Office of Public Safety Administration, has overall authority over the PES and will coordinate the implementation, management, and monitoring of the evaluation process Department-wide.

#### IV. DEFINITIONS

For purposes of this directive, the following definitions apply:

- A. **Dimensions** – categories used to evaluate members based on the expectations of his or her rank.
- B. **Evaluation Period** – the period of time in which a supervisor is responsible for making informal and formal observations of performance for his or her subordinate; the period of time of which the performance evaluation will cover.
- C. **Observation Period** – the period of time in which a supervisor is responsible for making informal and formal observations of performance for his or her subordinates; the period of time of which the performance evaluation will cover.
- D. **Officer Support System** – a non-disciplinary system designed to identify sworn members at risk of being involved in a future adverse event in order to provide a plan for intervention.
- E. **Performance Evaluation** – a tool used to review a Department member's work and results over the course of the evaluation period.
- F. **Performance Evaluation System (PES)** – the electronic system housed in Microsoft Dynamics that is used to create and store performance evaluations.

- G. **Performance Improvement Plan (PIP)** – a document used to record an objective and activities to improve an officer's performance in a given area.
- H. **Performance Recognition System (PRS)** – the system housed in Microsoft Dynamics used to show summary data on a given member.
- I. **Rating Bands** – the levels of performance that can be observed for a given dimension (e.g., standard performance or outstanding performance).
- J. **Skill Utilization Plan** – a document used to record objectives and activities to leverage an officer's high level of ability in a given area.

## V. POLICY

- A. The Chicago Police Department is committed to ensuring that, on an ongoing basis, supervisors will document their supervisory actions and observations of subordinates' performances and conduct annual evaluations. The purpose of performance evaluations is to:
  - 1. make supervision and performance evaluations more effective and consistent;
  - 2. assure the public that Department personnel are qualified to carry out their assigned duties;
  - 3. provide members with the necessary information to assist them in maintaining appropriate behaviors;
  - 4. acknowledge high levels of performance;
  - 5. eliminate inappropriate behaviors; and
  - 6. comply with Municipal Code of Chicago MCC 2-84-400, which requires the Chicago Police Department to rate all sworn members.
- B. The assessment of a member's job performance is an ongoing process and the annual performance evaluation is not the only time during the year that supervisors should discuss performance issues with Department members. Ongoing coaching and feedback provides supervisors with opportunities throughout the year to:
  - 1. refocus members' efforts to enhance performance;
  - 2. direct their attention to performance-improvement needs and assist them in achieving higher levels of performance;
  - 3. communicate early to members any performance issues that occur, providing advice and guidance to correct those issues; and
  - 4. recognize notable performance.
- C. Performance evaluations will be conducted annually and will be announced via the Administrative Message Center (AMC).
- D. The Commanders, 004th, 006th and 007th Districts are responsible for the administration of performance evaluations for all sworn members under his or her supervision and will ensure that performance evaluations are administered fairly and that all members are evaluated impartially and under the same standards set by this directive.
- E. Training will be provided to all supervisory members responsible for evaluating Department members by the Training and Support Group, Office of Constitutional Policing and Reform.

## VI. PERFORMANCE DIMENSIONS

- A. For officers, the crime reduction and community policing goals will be reflective of the member's current job assignment, duties, and current responsibilities and will not be based on numerical thresholds. The following five performance-dimension categories are used to evaluate the job performance of a every sworn Department member. In assigning ratings based upon the five

performance dimensions, evaluators will consider various components under each dimension, depending upon the duties and responsibilities of the member being evaluated.

1. **Conduct and Professionalism:** Focused on the basic, core competencies of being a professional. Core competencies of this dimension include the following:
  - a. Punctuality;
  - b. Appearance;
  - c. Workload;
  - d. Internal Communication; and
  - e. Administrative Functions.
2. **Respect for People and Public Trust:** Focused on a member's interpersonal skillset, including their ability in applying principles of community policing, e.g. (sharing information, forming links or communication, and fostering partnerships), consistent with Department directive titled "**Community Policing Mission and Vision.**" This performance dimension also focuses on impartial policing in day-to-day interactions with citizens in a way that positively shapes the public's view of policing and proper enforcement of the law and procedural justice. Core competencies of this dimension include the following:
  - a. Respect;
  - b. Community Policing;
  - c. Impartial Policing;
  - d. Procedural Justice; and
  - e. Managing Others.
3. **Adaptability and Situational Skills:** Focused on a member's ability to adapt behavior, responses, and actions depending on circumstance and in real time, including the effective use of de-escalation methods such as tactical positioning, time as a tactic, and continual communication. Core competencies of this dimension include the following:
  - a. Stress Tolerance;
  - b. Adaptability and Resource Allocation;
  - c. Responsiveness;
  - d. De-escalation and Appropriate Use of Force; and
  - e. External Communication.
4. **Problem Solving:** Focused on a member's ability to recognize and diagnose problems accurately, effectively, and in a timely manner, while using appropriate discretion to resolve the situation and solve the issue. Core competencies of this dimension include the following:
  - a. Identification of a Problem;
  - b. Analysis of a Problem;
  - c. Use of Judgement to Plan;
  - d. Completion of Plan; and
  - e. Evaluation and Reflection.
5. **Job Knowledge and Professional Development:** Evaluates a member's understanding of laws, policies, procedures, the ability to treat all persons fairly and impartially by upholding the U.S. Constitution, and civil rights which are the fundamental principles of constitutional policing, as well as the extent of an officer's commitment to professional development. Core competencies of this dimension include the following:
  - a. Job and Role Knowledge;

- b. CPD Knowledge;
  - c. Constitutional Policing Knowledge;
  - d. Consent Decree Knowledge;
  - e. Developing Self and Others; and
  - f. Coaching and Mentoring.
- B. Supervisory members will be evaluated on the above five performance dimension categories and up to two additional dimensions. These additional dimensions include the following:
- 1. **Sergeants and above** will additionally be evaluated on the core supervisor dimension. The core supervisor dimension is focused on core leadership skills. Core leadership skills includes the following:
    - a. Effective Team Management;
    - b. Individual Coaching and Support; and
    - c. Identification, Monitoring, and Corrective Action for Adverse or At-Risk Behavior.
    - d. Support of District Operations.
  - 2. **Captains and above** will additionally be evaluated on the core supervisor dimension as well as an executive management dimension. The executive management dimension focuses on executive-management skills which including the following:
    - a. Developing a comprehensive vision and strategy for District/Unit;
    - b. Overseeing operational excellence by planning strategically and objectively;
    - c. Utilizing learned experience, Department policy, and external best practices to improve Department operations;
    - d. Championing Department reform in a manner that motivates members to embrace such change; and
    - e. Promoting the mission, vision, and values of the Department.

## VII. DISTRICT AND PROFESSIONAL GOALS UNDER THE PERFORMANCE EVALUATION SYSTEM (PES)

The performance evaluation process will enable the Department to identify, support, and recognize members who perform their duties lawfully, safely, and effectively, as well as to identify and respond to members who perform poorly, engage in inappropriate conduct, or conduct that otherwise undermines member, public safety, or community trust.

- A. The objectives of the PES evaluation include providing opportunities for sworn members to set professional goals. Examples of these goals include the following:
- 1. Improving performance within a particular dimension;
  - 2. Increased training;
  - 3. Desire to move to a specialized role;
  - 4. Progress towards attaining a promotion;
  - 5. Progress towards receiving an official Department award; and
  - 6. Interest in furthering education.
  - 7. Improving supervisory efficiency and effective support for subordinates.

**NOTE:** The member's assigned evaluator will meet with the member to discuss the goals and set expectations for the year, and also to assist the member in determining what their professional goals will be for the upcoming year.

- B. Once a member has drafted his or her professional goal, the professional goals, along with other goals and training objectives, will be inputted into the PES system by evaluating supervisor.
- C. The member will then receive a notification that his or her annual goals are ready for review. Upon receipt of this notification, the member is to review and acknowledge the goals for the year.

**NOTE:** Should a member choose not to set an initial goal, the field in the PES system will be populated with the following: "Continue to meet the expectations and duties of a police officer of the Chicago Police Department." The member will be required to accept this within the PES system.

- D. The assigned evaluator and the member will document progress towards the goals. The evaluation will include an update on progress towards the district and professional goals under the PES.
- E. This progress of professional goals will be reviewed with the member during a meeting to discuss the full evaluation.

**NOTE:** Professional goals concerning career advancement (such as attaining a promotion, receiving an award, or transferring to a specialized role) will not affect the overall rating received by a member.

## VIII. EVALUATION DIMENSIONS AND DOCUMENTATION

- A. The following performance-dimension categories are used to evaluate a member's job performance:
  - 1. **Outstanding Performance:** the member goes above and beyond the expected performance of the duties and responsibilities expected in the dimension.
  - 2. **Advanced Performance:** The member consistently displays quality performance of the duties and responsibilities expected in the dimension.
  - 3. **Standard Performance:** The member typically displays quality performance of the duties and responsibilities expected in the dimension.
  - 4. **Under Performance:** The member must improve performance to meet the expectations of the dimension.
  - 5. **Failing Performance:** The member fails to meet the requirements for the dimension.
- B. The following performance evaluation category will require the following documentation:
  - 1. **Outstanding Performance:** Documentation from member and evaluating supervisor required, plus skills utilization plan.
  - 2. **Advanced Performance:** Limited documentation from evaluating supervisor.
  - 3. **Standard Performance:** No documentation required.
  - 4. **Under Performance:** Limited documentation from evaluating supervisor.
  - 5. **Failing Performance:** Documentation from evaluating supervisor required plus detailed intervention plan.
- C. **A member's overall performance evaluation category will be derived from the evaluations received from the performance dimensions.**

## IX. RESPONSIBILITIES OF PERFORMANCE EVALUATORS

- A. Performance evaluations for sworn members will be documented on the Performance Evaluation System, located within the Talent Management System.
- B. Each evaluator must make specific and pertinent comments for each category.
- C. The evaluator will approve the evaluation in the PES system.

- D. Each evaluator must evaluate members under the same set of fair and impartial standards as set by this directive.
- E. In evaluating supervisory members, the evaluator will consider the supervisor's performance and, when applicable, how well the supervisor:
  - 1. provides subordinates with appropriate support;
  - 2. proactively corrects adverse or at-risk performance behavior;
  - 3. thoroughly reviews and confirms the correctness, sufficiency, and completeness of written reports submitted for review; and
  - 4. is aware of and promotes wellness services.
- F. The evaluator must consider recognition received by the member such as Honorable Mentions, Department Commendations, or other awards. Likewise, a suspension or any type of disciplinary action or misconduct during the evaluation period must be addressed in the evaluation.
- G. Proven patterns of inappropriate medical usage or blatant abuses of the medical policies may negatively impact a member's performance evaluation.

**NOTE:** A long-term absence due to injury or illness should not be viewed the same as abuses to the medical policy. Members absent because of injury on duty will not have their performance evaluations negatively impacted.

## **X. PERFORMANCE EVALUATIONS FOR SWORN MEMBERS**

- A. Members will be evaluated by supervisor(s).

**NOTE:** Evaluating supervisors may consult with other supervisors the member has worked with outside of or during the evaluation period.

- B. Members will be assigned to an evaluating supervisor(s) within 5 calendar days of the rollout of the PES.
  - 1. Members will not be evaluated when:
    - a. on the medical roll for an illness or injury, on or off duty, for six consecutive months or more immediately preceding the announcement of the evaluation period.
    - b. on a leave of absence for six consecutive months or more immediately preceding the announcement of the evaluation period.
- C. Members who transfer to or assigned to the 004th, 006th and 007th Districts during the course of the evaluation period will be evaluated using the PES system. When a member transfers to or is assigned to the 004th, 006th and 007th Districts during the course of the evaluation period, the District Commanders of the 004th, 006th, and 007th Districts will ensure:
  - 1. the member is transferred within the PES system within 7 calendar days from the original district/unit to the 004th, 006th, or 007th District;
  - 2. to review the transferred member's performance history within 7 calendar days of the transfer.
  - 3. the member is assigned to a new supervisor within the PES system. The member and the Supervisor will meet to discuss and set annual goals, training expectations, and overarching duties;
  - 4. the assigned supervisor logs onto the PES system to input all goals into the PES system. The member will review and accept the goals in the PES system; and
  - 5. annually, the assigned supervisor shall meet with the member to discuss the overall performance evaluation.

- D. Before the evaluation period ends, any supporting documentation produced by members must be submitted to their evaluating supervisors so that the evaluating supervisors can take the information into consideration when completing the evaluation.
- E. When completing evaluations, evaluating supervisors will include an update of how the district was able to make progress towards the crime-reduction goal as well as how members fulfilled goals related to community policing, professionalism, and training.
- F. A meeting will be held between the evaluating supervisor and member to discuss the evaluation and progress towards goals before the evaluation is accepted or rejected. This meeting will cover the following:
  - 1. progress made towards goals;
  - 2. completed training opportunities;
  - 3. overall and individual rating received;
  - 4. recommendations for improvement, support, or additional training, and
  - 5. the appeal process.
- G. When a member receives an outstanding performance overall rating, a Skill Utilization Plan is required. The Skill Utilization Plan is designed to ensure that the skills of the district's highest performers are being leveraged to the benefit of the department.
- H. A supervisor who identifies that a member could use extra support in improving his or her skills in a particular area can develop a Performance Improvement Plan (PIP) within the PES system. **If a member receives a final rating of failing performance, a PIP is automatically generated.**

**NOTE:** The PIP is tied to one of the dimensions in the performance evaluation. PIPs be created at any point in the year.

- I. When creating a Performance Improvement Plan (PIP) in the evaluation system, the evaluating supervisor will:
  - 1. notify the member of the PIP;
  - 2. access the PES system and create a PIP;
  - 3. set dates for the PIP (to determine the amount of time the member will work on improving skills in the area); and
  - 4. include a general objective of what the member should focus on improving.
- J. After the supervisor saves the PIP, the member will:
  - 1. access the PES system;
  - 2. view the PIP and the objectives and expectations of the activities they will be completing; and
  - 3. respond to the PIP's goals and acknowledge receipt of the PIP and submit.
- K. The member will then follow the guidelines of the PIP and complete the required activities.
- L. Upon the successful completion of the member's activities and fulfilment of the PIP, the supervisor will log into the PES system and edit the PIP in the presence of the member.

**NOTE:** Successful completion of a PIP during the evaluation period should result in a member receiving a "standard performance" or above in the official evaluation.

## **XI. REVIEW OF PERFORMANCE EVALUATIONS FOR SWORN MEMBERS**

- A. The evaluator will provide job-performance feedback to members receiving a performance evaluation at the conclusion of the rating period and will cover the following areas:
1. the result of the performance evaluation just completed;
  2. the level of performance expected;
  3. evaluation criteria or goals for the new reporting period; and
  4. career suggestions relating to topics such as advancement, specialization, support services, corrective actions, or training appropriate for the member's position.
- B. Members:
1. will have access to review their evaluations for each dimension and their overall performance evaluation.
  2. whose job performance has been evaluated will accept or reject their performance evaluation in the PES.
- C. Members may request a review of the performance evaluation within seven calendar days of the date they receive the performance evaluation by submitting a To-From-Subject to the district commander.

**NOTE:** If the district commander is the evaluator, the request will go to the next-level exempt member in the chain of command.

## **XII. APPEAL PROCESS FOR SWORN MEMBERS**

- A. Members may reject their overall performance evaluation and their performance dimension assessments and appeal the evaluation within seven days following the receipt of the evaluation.
- B. A member who decides to appeal his or her overall evaluation will reject the performance evaluation within the PES.
- C. The rejected performance evaluation will then be forwarded to the evaluating supervisor's queue. The evaluating supervisor will process the rejected evaluation and forward it to the approving supervisor.
- D. The approving supervisor will review the rejected evaluation and meet with the member to discuss the evaluation.
- E. The member will review the evaluation and any applicable changes. If the member does not accept the evaluation, the rejected performance evaluation will be forwarded to the district commander.
- F. The district commander will:
1. review all unapproved and rejected performance evaluations;
  2. notify members who have unapproved and rejected performance evaluations to inform them of the appeal process; and
  3. conduct performance evaluation appeal meetings with members.
- G. The decision of the district commander as to the appropriate rating is final and will be documented in the PES system.
- H. Members cannot appeal evaluations more than once.
- I. Following the appeal process:
1. one copy of the reviewing member's report will be given to the member and another will be placed in the Unit Watch Personnel File; and
  2. one copy of the reviewing member's report will be sent to the Human Resources Division, Office of Public Safety Administration, and retained according to the retention schedule of the Human Resources Division, Office of Public Safety Administration.

- J. If a performance evaluation is changed for any reason, the member hearing the appeal will ensure that a new performance evaluation is created within the PES system and approved by all parties. Following an updated performance evaluation:
1. copies of both evaluations will be sent to the Human Resources Division, Office of Public Safety, and retained according to the retention schedule of the Human Resources Division, Office of Public Safety Administration.
  2. one copy will be kept in the Unit Watch Personnel file and one copy provided to the evaluated member whose evaluation was changed. The evaluated member has the right to request a review of his or her changed evaluation.

Authenticated by: KC

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