



Goal Setting and Evaluations

Section: 1.440
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1.440 Goal Setting & Evaluation

1.440.02 Performance Management Process

- A. Performance goal setting and evaluation will be conducted for all agency employees at least annually (per standard 35.1.2). Goal setting and evaluation processes will be conducted consistent with the policies and procedures of the university's PMP - Performance Management Process.
- B. The agency's responsibility in the PMP process include, but are not limited to:
 - 1. Ensuring the PMP process is administered fairly and consistently;
 - 2. Ensuring performance expectations are established and communicated to all employees;
 - 3. Ensuring employees attend available PMP training and/or are aware of the PMP materials found on HR's website.
- C. The agency's responsibilities in the PMP process will be carried out by employees' immediate supervisors who have considerable input into the PMP process.
- D. Supervisors are required to successfully complete performance management training administered by the University's Human Resources (HR). HR will attempt to provide refresher training at least twice annually as staffing and resources permit.
- E. Supervisors will be held accountable in their own performance evaluations for conducting the PMP process with their subordinates.
 - 1. The PMP process must be conducted competently and in a timely manner.
 - 2. Supervisors will be evaluated by their raters based on the quality of ratings given subordinates.
 - 3. Supervisors will ensure ratings are applied uniformly.
- F. Employees are expected to be active participants in the PMP process. Their PMP responsibilities include, but are not limited to:
 - 1. Familiarizing themselves with the PMP process by reading employee manuals for the system; and
 - 2. Initiating performance related discussions with their supervisors; and
 - 3. Updating skills needed to perform their jobs as necessary.

1.440.04 Goal Setting Documentation

- A. Raters will counsel their subordinates in one-on-one settings within the first 90 days of rating periods or transfer of employees to new units. Issues covered during these counseling sessions must include, but are not limited to:
 - 1. Duties, responsibilities, and job tasks of assignments based on established assignment descriptions;
 - 2. Levels of performance expected; and
 - 3. Criteria used for evaluating subordinates.
- 4. Agency and University's current strategy plans.**
- B. Raters will conduct and document at least one additional performance review session with each of their subordinates approximately mid-way through rating periods.
- C. Criterion used in goal setting must be consistent with organizational and unit goals established by the agency and will be applicable across all ranks and for all personnel.
- D. Goal Setting Documents will be used as support during all goal setting sessions in order to directly inform subordinates of performance expectations.
 - 1. Goal setting documents are utilized to establish written records of goal setting, performance, and related counseling.
 - 2. Information extracted from the "Goal setting documents" will form the basis for completing the PMP. These records protect the rights of, and prevent misunderstandings by, subordinates.

- E. For initial goal setting sessions, raters will;
 - 1. Schedule sessions and notify subordinates;
 - 2. Review subordinates' last evaluations and descriptions;
 - 3. Read each rated area and decides how each area applies to subordinates' performance;
 - 4. Decide and describe what will be considered at least "Meets Standards" ratings for each rated area;
 - 5. Describe specific examples that are observable and measurable;
 - 6. Reach consensus on special projects or goals to be accomplished; and
 - 7. Provide copies of goal setting documents to subordinates.
- F. For secondary goal setting review sessions, raters will:
 - 1. Schedule sessions and notify subordinates;
 - 2. Review working copies of standards developed during the initial goal setting sessions;
 - 3. Review any positive and negative performance;
 - 4. Decide how well subordinates have achieved each standard of performance; and
 - 5. If necessary, define actions that should be taken to improve subordinates' performance toward achieving goals.
- G. Goals may be updated or revised during rating periods so long as employees are advised of same consistent with applicable components of part F of this section.

1.440.06 Performance Counseling

- A. The agency's participation in the PMP system utilizes counseling as a function of discipline in addition to providing employees with on-going feedback and coaching.
- B. Supervisors are to document performance of subordinates on an on-going basis to assist in performance counseling.
- C. Supervisors should give subordinates opportunities to review, enter responses, and acknowledge entries after initial complaints, incidents, or activities.
- D. Before counseling subordinates in reference to performance observations, superiors should decide if incidents should be handled through the formal disciplinary process for minor or major violations.

1.440.08 PMP Records

- A. PMP Records will be completed consistent with agency directives and training supplied by University Human Resources.
 - 1. The evaluation process places emphasis on agency values, subordinate responsibilities, and superior accountability.
 - 2. PMP Records will be used to evaluate all full-time, non-sworn employees and all sworn ranks through captain. Other forms, supplied by University Human Resources will be used to evaluate senior staff ranks.
 - 3. PMP Records will be completed for all subordinates at least annually.
 - 4. The Lieutenant will generate and distribute evaluation forms to supervisors with time- tables for process completion.
 - 5. Supervisors will abide by process timetables.
- B. Job performance elements/criteria, which form the basis for evaluations, must be specific to employees' assignments during rating periods.
 - 1. Criteria will be observable, measurable, and established prior to rating periods.
 - 2. Raters must examine and document all available sources of information relative to subordinates' ratings in all rated dimensions.
 - 3. Evaluations will cover specific time periods. Actual dates covered by evaluations will be contained in evaluation reports.
 - 4. Job performance will be based only on performance during rating periods. Job performance prior to, or following, evaluation periods will be excluded from those evaluations.
- C. Evaluations require accurate and detailed information. Raters will maintain written documentation of subordinates' job performance throughout rating periods to ensure evaluations are accurate and meaningful.
- D. At the first observation, raters will advise employees in writing whenever employees' performance is deemed to be below expectations or unsatisfactory. Notifications must be made to provide subordinates with opportunities to improve their performance before the end of rating periods.

- E. After evaluations are completed and reviewed, raters will discuss evaluations with subordinates in evaluation interviews. Subordinates will be afforded the opportunity to include their own comments on evaluations during evaluation interviews.

1.440.10 Evaluation Record Rating Levels

- A. The four measurement standards used by the agency in the evaluation process are:
 - 1. 3 – Performance is above standards, accomplishing all goals with progress made toward achieving stretch goals.
 - 2. 2 – Performance meets standards, accomplishing all goals and performed as expected.
 - 3. 1 – Performance met some standards and requires improvement to make acceptable progress toward performance goals
 - 4. 0 – Performance did not meet standards, unrelated to goal achievement
- B. Comments must be included for all ratings of a 3, 1, and/or 0.

1.440.12 Reviewer's and Rater's Role

- A. Reviewers and raters will discuss evaluations prior to the presentation of ratings to subordinates.
 - 1. In cases where there is disagreement, reviewers will discuss the matter with raters and attempt to reach agreement by consensus on appropriate evaluation ratings prior to presenting ratings to subordinates.
 - 2. If agreement cannot be reached, reviewers have authority to attach comments on evaluations.
- B. Raters will be evaluated by their raters based on the quality of ratings given subordinates and how well they provide on-going counseling, coaching, and feedback. Reviewers will ensure that raters apply ratings uniformly.

1.440.14 PMP Presentation

- A. All employees will be counseled at the conclusion of rating periods.
- B. After PMPs have been reviewed, PMPs will be discussed one-on-one by raters with subordinates.
- C. Raters are responsible for explaining to subordinates information which was taken into consideration in preparing evaluations.
 - 1. Specific examples of performance should be discussed in detail.
 - 2. Employees should be commended for work well done as well as helped to understand specific ways their performance can, or must, improve.
 - 3. Plans for improvement will be developed, if necessary.
 - 4. Levels of performance expected, rating criteria, and goals for the next rating period will be discussed.
 - 5. Career counseling relative to advancement, specialization, or training appropriate for employees' positions will be discussed.
- D. After reports have been discussed with rated subordinates, subordinates will be given the opportunity to sign evaluations where indicated on the form and to make written comments to supplement completed performance evaluation reports.
Subordinates' signatures indicate only that they have read the PMP.
- E. If rated subordinates refuse to sign evaluation forms, raters will note this on the forms and record the reasons for refusal if given by subordinates.
- F. Employees are encouraged to resolve rating conflicts with their raters or through the chain of command.
- G. Employees who wish to formally contest their evaluations must file appeals with immediate supervisors. Those notices must specifically state grounds for appeals.

1.440.16 PMP for Probationary Subordinates

- A. Probationary evaluations apply to all personnel serving probationary periods, either as the result of hiring or promotion.
- B. PMPs are only completed for employees who have completed their probationary period. PMPs are completed in April of each year.
- C. Human Resources recommends completing a midyear informal PMP review and providing employees with ongoing feedback throughout the year.

1.440.18 After PMP Presentation

- A. Raters should make notes and record pertinent comments made during PMP presentations.
- B. PMPs will be forwarded to the Office of the Captain.

1.440.20 Early Identification System

- A. The agency has an early identification system (EIS) to provide systematic reviews of specific, significant events involving agency employees. This system is necessary for the agency to exercise its responsibility to evaluate, identify, and assist employees who exhibit signs of performance and / or stress related problems.
 - 1. The EIS is a time-sensitive system designed to effectively organize critical performance and evaluation data in a format conducive to promptly identify early indicators of certain performance and/or stress related problems and to facilitate any necessary or appropriate follow-up activities.
 - 2. The EIS is only one of the methods by which employees are identified as possibly needing assistance with performance and/or stress related problems. The EIS is intended to serve as a systematic approach to highlighting tendencies that may otherwise be overlooked.
- B. Agency directives, as specified in the accompanying table, require targeted incidents to be reported, thereby generating basic records and reports necessary for the EIS.
 - 1. Employees assigned to oversee the routine review function as described in **Reporting Uses of Force** will release necessary and required information to the Captain for the purpose of completing quarterly EIS reports.
 - 2. These reports will result in the EIS follow-up notices being sent to the Captain for employees who, during the most recent 3 month period, are involved in:

Number Incidents	Type of Incident
2	Uses of Force
2	Sustained Complaints
2	Traffic Accidents
	Excessive Sick Leave

- 3. Once the report has been completed, the supervisor will review the incidents and analyze the employee's performance to determine the need for any necessary or appropriate follow-up activities as listed in # E.
 - 4. The sergeant will then initiate any appropriate follow-up activities as directed by the Operations Captain to ensure those activities are completed in a timely manner by the employee.
- C. EIS follow-up notices will contain employees' names, ID numbers, event dates, and brief descriptions of targeted incidents.
 - 1. Follow-up notices mandate that, within one month of notice receipts, employees' raters, reviewers, and commanders review information contained in follow-up notices in addition to other recent employee performance related information provided by raters.
 - 2. Based on analyses of information presented during this review process, commanders will submit timely analyses to the Captain articulating whether formal follow-ups are recommended.

- D. Continued follow-up efforts will minimally require the Captain conduct timely EIS meetings with identified employees, their raters, reviewers, and commanders.
 - 1. EIS meetings are to be facilitative and non-disciplinary in nature.
 - 2. Employees will be informed they have been identified for follow-up in the EIS, purpose of the meetings, and that the meetings are facilitative and non-disciplinary.
- E. EIS meetings will result in options or courses of actions being determined and established by the Captain with input from identified employees, their raters, reviewers, commanders and HR. Options or courses of actions include, but are not limited to:
 - 1. No additional action;
 - 2. Informal counseling and informal monitoring by employees' raters;
 - 3. Formal counseling or corrective actions as appropriate;
 - 4. Formal monitoring for a minimum of 12 weeks with monthly formal reviews and reports;
 - 5. Mandatory remedial or additional training designed to improve employees' skills;
 - 6. Voluntary or mandatory referral to the university's EAP for counseling or referral assistance, etc.;
 - or
 - 7. Reassignment.
- F. Supervisors will conduct annual evaluations of the EIS in order to advise the Captain on the system's effectiveness and propose any necessary changes.