


DPS STANDARD OPERATING PROCEDURE			
	SUBJECT:	SECTION(S):	DISTRIBUTION:
	PERFORMANCE Evaluation System DPS SOP 2011-12	ALL	ALL PERSONNEL
ISSUING AUTHORITY:		EFFECTIVE DATE:	SUPERSEDES:
Craig A. Stone Assoc. V.P. & Chief, Campus Safety and Emergency Management Services (Electronically Signed)		JANUARY 20, 2011 REVISED DATE: October 23, 2023	

Performance Evaluation System

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REFERENCES:

- SOP 2009-15 Allocation & Distribution, Reserve & Auxiliary Patrol Personnel
- * Performance Review Form
- * Performance Review Self-Assessment
- * Performance Appraisal Appeal
- * Performance Review Probationary-Newly Hired/Promoted Employee
- * Performance Review Part-Time Public Safety Officer
(* Maintained in the Forms Folder on the G Drive)

ATTACHMENTS: None

I. APPLICABILITY: This Standard Operating Procedure is applicable to all Syracuse University Department of Public Safety (DPS) employees.

II. PURPOSE: The purpose of this policy is to establish the department's performance evaluation system and procedures for administering the process.

Performance evaluation is an integral part of the Syracuse University Department of Public Safety and the University's management programs. A performance evaluation or appraisal is one measure of a person's ability to perform assigned duties as directed by supervisors and to perform in accordance with departmental policies and procedures.

The results of thorough performance evaluations will aid the department in providing an environment in which each member can pursue personal career goals while helping the department meet its goals and objectives.

III. POLICY: The Department recognizes that effective job performance by all employees is essential to achieving its organizational goals and objectives. In order to identify elements of expected job performance, and to encourage, improve and reward employees seeking to consistently meet and surpass expectations in their job performance, the Department has designed a performance appraisal system to support and document that development. It is the policy of the DPS to evaluate the performance of all members on a regular basis and to conduct such evaluation in a fair and impartial manner.

IV. DEFINITIONS: (3.1.1 b) (35.1.1 a)

The Department's evaluation system utilizes the Performance Partnership process through Human Resources, which ensures alignment between individual, departmental and University goals and provides opportunities for staff to develop themselves professionally. The overall performance rating relative to the expectations of the position for the rating period are defined below:

- A. Exceeds Expectations: Performance frequently exceeds expectations of the position. Often excels in demonstrating the knowledge, skills and abilities that result in the effective performance of the position requirements. Job assignments are handled in an extremely competent manner; great performance.

- B. Meets Expectations: Performance meets the expectations of the position. Staff member is fully qualified and competent; job assignments are performed in a manner consistent with performance expectations; good performance.
- C. Does Not Meet All Expectations: Performance is not consistently meeting all expectations of the position. Continued development/improvement is needed; fair performance.
- D. Below Expectations: Performance is unacceptable and well below expectations of the position; immediate and continued improvement is required; poor performance. *Conversations with appropriate senior leadership and the Sr. HR Business Partner should occur prior to giving this rating.*

IV. PROCEDURES:

A. General Information and Guidelines on Performance Evaluations:

- 1. Evaluations reflect observations and perceptions by rating personnel and are, therefore, inherently subjective. Nevertheless, personnel shall be rated as having demonstrated job-related behavior that is rated as detailed in the Definitions Section above. It is noted that there will be provisions within the evaluation instrument to highlight extraordinary and superior performance in specific areas, as well as the means to comment on the employee's professional development as may be required.
- 2. The performance evaluation system provides a standard format which is to be used by a supervisor to assess the conduct of, and work performed by an employee for his/her permanent record for a given time period.
- 3. The performance system includes measurement definitions, procedures for use of forms, rater responsibilities, and specifies the need for rater training and review.

B. Purpose: Description of the Department's Performance Evaluation System: (04/29/21)

- 1. Performance Based: The Department's Performance Evaluation System is performance based. **(3.1.1 b)**
 - a. 'Meets Expectations' Rating: Indicates that an employee's performance achieves expectations and fully meets job expectations on a consistent basis. Employees are expected to maintain a rating of at least "Meets Expectations" rating in each category of the performance evaluation.
 - b. 'Does Not Meet All Expectations' and 'Below Expectations' Ratings: Indicate that an employee's performance is rated below minimal expectations and requirements and requires improvement. Employees who receive these performance ratings in one or more categories will receive remedial training in the deficient area(s) and will be required to demonstrate proficiency in the specified deficient areas; and the training and improved behavior, or lack of improvement, shall be documented on a 6 Month Follow-up Performance Review Form.
 - i. Repeated 'Does Not Meet All Expectations' and 'Below

Expectations' ratings may result in dismissal from the department or as it applies to supervisors, a reduction in rank.

2. The Department's Performance Evaluation System serves to:
 - a. Provide a basis for fair and impartial measurement of personnel in terms of their individual responsibilities and day-to-day performance.
 - b. Provide supervisors the opportunity to direct and maintain efforts designed to identify deficiencies and to improve individual performance.
 - c. Initiate and maintain a flow of valuable communication between employees and supervisors.
 - d. Illustrate employee career goals, strengths and weaknesses.

C. Procedure For Utilizing Evaluation Forms: (3.1.1c) (35.1.1 b)

1. Supervisor-raters and employees will only use DPS or Human Resources approved forms for evaluations of sworn and non-sworn personnel: (Maintained in the Forms Folder on the G Drive)
 - a. Performance Review Form
 - b. Performance Review Self-Assessment
 - c. Performance Appraisal Appeal
 - d. Performance Review Probationary- Newly Hired/Promoted
 - e. Performance Review Part-Time Public Safety Officer
2. The Evaluation process is designed to be participatory in nature and the employee will complete a self-assessment which will be completed and provided to the supervisor-rater and discussed with the supervisor prior to the evaluation instrument being completed. The completed self-evaluation form will be made a part of the total evaluation package for each employee.
3. The employee is given an opportunity to complete the self-evaluation form on himself/herself prior to the meeting with the rating supervisor.
4. When the employee and the rater meet to formalize the evaluation process, they are expected to have the opportunity to discuss the performance that was the basis for a rating prior to the recording of the final rating. **(35.1.7 a)**
5. The rating supervisor is expected to make the final decision and discuss the results with the employee prior to the end of the evaluation meeting.
6. The supervisor-rater will clearly explain to the employee the rating criteria, the level of performance expected, and the goals for the next reporting period. **(35.1.7 b)**
 - a. Specific examples of performance will be discussed in detail.
 - b. The employee will be commended for work well done and helped to understand in what specific ways they need to improve.

7. Career counseling will be a component of the evaluation meeting discussion and may include the discussion of advancement, specialization and advancement opportunities relating to the employee. **(35.1.7 c)**
8. All completed forms and documentation that are a part of the evaluation process shall become part of the officer's departmental personnel files and a copy forwarded to the University's Human Resource Department.

D. Supervisory [Rater] Responsibilities: (3.1.1 d, e) (35.1.1 c)

1. The supervisor-rater of an employee will generally be the immediate supervisor at the end of the rating period.
2. Performance Evaluation Interview: Supervisors shall conduct a performance evaluation interview with each member evaluated. Supervisors conducting evaluations shall make an appointment with the member being rated. The interview will permit discussion of the results of the evaluation just completed, level of performance expected for the next rating period, career goals and counseling when and if necessary. When arranging an evaluation meeting supervisors must.
 - a. Allocate sufficient time without interruption to conduct the interview
 - b. Choose a private location to prevent interruption.
3. Supervisors will evaluate their subordinates in a fair and impartial manner, and, as much as possible, base evaluations on objective criteria.
4. Supervisors are expected to diligently monitor their subordinate's performance for competency and efficacy and should remember that:
 - a. Mediocre performance or 'Does Not Meet All Expectations' or 'Below Expectations' rated performance on the part of an employee should not be first brought to his/her attention during an evaluation interview.
 - b. The employee should receive counseling and remedial training as needed/required throughout the year, and
 - c. These counseling session should be documented as Supervisory conversation sessions and then serve as a component for an objective evaluation, and
5. At a minimum, and at least 90 days prior to the end of a rating period, an employee's immediate supervisor-rater should notify the employee of areas where his/her performance is deemed to be 'Does Not Meet All Expectations' or 'Below Expectations' ratings and define actions that the employee should take to improve his/her performance.
 - a. If unsatisfactory performance continues, this information is to be included in the individual categories of the evaluation review instrument as well as in the narrative "Comment" area of the form.
 - b. This notification should take place in person and be followed-up in writing, which can include email.
6. Supervisors are expected to note and document specific examples of the member's performance during the rating period both positive and negative in nature if possible. Accurate and effective evaluations require well

planned, accurate and detailed information.

7. Supervisors should ensure that each employee's evaluation be representative of the employee's total performance and contribution for an entire evaluation period.
8. Raters should take sufficient time and put effort into each evaluation.
9. Supervisors should ensure that their subordinates are familiar with the criteria and rating factors that are used in the performance evaluation.
10. During the rating period Supervisors might consider counseling subordinates as to the achievement of the level of performance expected of them, or to provide, the necessary training to elevate subordinate performance to an acceptable or desired level.
11. The supervisor-rater may wish to contact previous, or other department supervisors who have had contact with the employee during the review period for additional performance evaluation information. This will to provide insight into the employee's potential, as well as to refer to the employee's previous self-evaluation for background needed in order to craft a plan for improving an employee's performance through the development of their personal skills and attainment of their stated job goals.
12. The rater may provide information on factors often considered in promotions, layoffs, transfers, reclassifications and to the successful completion of a probationary period, if that applies to the situation.

E. Supervisors use of Performance Evaluation Forms:(3.1.1c) (35.1.1 b)

1. Supervisor-raters will only use Department or Human Resources approved forms for evaluations of sworn and non-sworn personnel references and detailed in this SOP and will complete all evaluation forms accurately and in a timely manner.
2. The rater will ensure that the employees they are rating understand the evaluation process and are familiar with the Personnel Performance Review and self-appraisal process and mechanics of completing the self - appraisal package and the employee's responsibility to complete the self-appraisal prior to the evaluation interview.
3. After the rater and the employee have discussed the employee's performance in an evaluation interview, the rater is expected to complete the annual performance review form and forward it through the chain of command for approval.

F. Supervisory [Rater] Training: (3.1.1 f) (35.1.1 d)

1. The Commander of Administrative and Operational Support, or a designee, including any command officer, will ensure that all supervisors responsible for evaluating employees receive training in the performance evaluation system prior to undertaking the evaluation process.

G. Annual Performance Evaluation: (3.1.1 a) (35.1.2)

1. A performance evaluation will be completed annually for each full-time DPS member including academic year employees. The DPS Chief's Position may be exempted from this annual rating requirement. **(35.1.5 a)**
2. Annual performance evaluations will be completed and forwarded to the Chief's Office no later than **July 15th** of each fiscal year.
3. All full-time employee evaluations will be collated within the department and then forwarded to the University's Department of Human Resource no later than **August 15th**.
4. A performance evaluation will be completed annually for all part-time temporary officers (those defined as Reserve Officers per SOP # 2009-15, Allocation and Distribution; Reserve and Auxiliary Patrol Personnel) and will be filed in their DPS training records.

H. Performance Evaluations for Probationary Employees: (04/29/21)

1. All newly hired sworn, non-sworn, and recently promoted employees shall receive written evaluations during their probationary period.
 - a. This does not include the FTEP period, where applicable, in which they are evaluated by that program.
2. Bargaining unit employees are to be evaluated every four months once their FTEP period has ended by their immediate supervisor during the probationary period as defined by contract of their new assignment and also, on an annual basis.
3. Non-bargaining unit positions that engage in a formal FTEP period (Communications Specialists, sworn Supervisors, SCS Supervisors) are to be evaluated every four months once their FTEP period has ended by their immediate supervisor for 12 months and also, on an annual basis.
4. Non-bargaining unit positions that do not engage in a formal FTEP period are to be evaluated every four months by their immediate supervisor for 12 months and also, on an annual basis.
5. Satisfactory evaluations will serve as one factor in the retention of new employees.

I. Performance Criteria: (3.1.2 a) (35.1.4)

1. Cover Only Current Rating Period: All evaluations are to be based only on performance occurring during the rating period specified on the report.
2. Task Oriented to Positions Held in Period: Each member is to be rated for performance in the position(s) held during the rating period and the evaluation will accurately reflect the tasks which the member performs relative to that position.

J. Performance Evaluation System Requirements: (3.1.1 a) (35.1.2)

1. Written Evaluation at Least Annually: Written performance evaluation reports shall generally be given annually, or as specified in other sections of this SOP, or as otherwise specified by the Chief based on a need to analyze employee performance trends, conduct an employee performance assessment, and/or conduct remedial training.
2. Evaluation Period and Type of Evaluation on Each Page: The actual dates covered by the evaluation are to be shown on the face of each report and each report will likewise specify the type of evaluation: **(3.1.2 a)**
 - a. Annual
 - b. Probationary or Promotion
 - c. Other as indicated
3. Narratives: Supervisors [Raters] are to substantiate ratings in the lowest or highest categories and give specific written reasons in the narrative section of the Performance Review Form, based on objective rationale, for the ratings in the space provided on the performance evaluation. **(3.1.2 b) (35.1.5 b) (35.1.6)**
4. Evaluation Signed by Rater, Raters Supervisor and Employee: Evaluation forms will be reviewed by the employee and endorsed by both the supervisor and the employee. The employee's signature shall only be an indication that they have read and understood the contents of the evaluation. Once signed the raters supervisor will sign the completed evaluation form. **(3.1.2 d) (35.1.5 c) (10/23/23)**
5. Employee Refusal to Sign: If the employee refuses to sign the evaluation form, the supervisor will note that on the form and record the reason provided.
6. Modifications and Appeals: The employee during the evaluation interview may request to add any required or additional comments to the evaluation. Additionally, in the event that the employee and the supervisor cannot agree with respect to the employee's evaluation, and the subordinate feels that the evaluation is unfair or inaccurate; the employee may choose to complete a Performance Appraisal Appeal Form (Forms Folder – G Drive) which will, in turn, be attached to the Evaluation Instrument. **(35.1.5 d,f)**
7. Copy of Evaluation Available to Employee: The employee is entitled and will receive a copy of his/her evaluation. This can be provided in either a hard copy or electronic form. **(35.1.5 e)**
8. Retention: Performance evaluations will be maintained within both the employee's departmental performance folder as well as within the University's Human Resource Department. **(35.1.5 g)**

K. Required Review of Raters and the Evaluation Process: (35.1.8)

1. Command and supervisory personnel should recognize and appreciate that the evaluation of their subordinate's performance is one of their key supervisory responsibilities.
2. High-ranking supervisors/command officers will evaluate supervisor-raters

regarding their fairness and impartiality of evaluations given, their participation in counseling evaluated employees, and their ability to carry out the rater's role in the performance evaluation system. Higher-ranking supervisors/command officers will ensure that the raters apply ratings uniformly and that they:

- a. Secure corrective action when bias or a misinterpretation of standards is evident.
 - b. Make certain that reports are completely, promptly, and thoroughly prepared.
 - c. Check the statements made in the 'comments sections' to see that the reasons are specific, substantial, and accurate.
 - d. Make themselves available to discuss the evaluation instrument with the rater, and with the employee when requested, or when otherwise appropriate.
 - e. Ensure that employees understand and recognize the validity of the evaluation process.
3. Signed by Rater's Supervisor: Each written Performance Review report will be reviewed and signed by the rater's supervisor. **(3.1.2 c)**

POLICY REVISION HISTORY

NO	SECTION REVISED	DATE ISSUED
1	Reviewed and Revised Re titles and Format	4/12/13
2	Performance Evaluations re Probationary Employees pg. 7	8/08/13
3	Updated forms and revised process	8/15/14
4	Reviewed/Revised	01/19/15
5	Reviewed/Revised re IACLEA	12/29/15
6	Reviewed/Revised	06/12/17
7	Reviewed/ Revised re IACLEA & CALEA LE-1	02/12/18
8	Reviewed/Revised	04/29/21
9	Revised re CALEA ADV – Raters Supervisor Signature	10/23/23