



University of Pennsylvania Police Department 4040 Chestnut Street, Philadelphia, Pa 19104		 
Directive: 40	Subject: Performance Evaluation	Effective Date: 02/09/1998
Order of: Maureen S. Rush, Superintendent of Police		Amended Date: 05/26/2021

I. Purpose

The purpose of this directive is to describe the performance appraisal process.

II. Policy

The University of Pennsylvania Police Department (UPPD) must be able to depend on satisfactory work performance from all of its employees. It is therefore policy of the UPPD to regularly and formally evaluate the performance of its employees. The purposes of this appraisal process are to: encourage constructive dialogue between employees and their supervisors, to clarify job responsibilities and performance standards, to assure that job performance and accomplishment information is recorded in each employee's employment history, to provide a basis for decisions on compensation and to help identify training needs.

Those employees covered by a collective bargaining agreement (CBA) should refer to the appropriate contract article.

III. Scope

This directive shall affect all UPPD employees.

IV. Definitions

- A. Rated Employee: The employee whose performance is evaluated by a rater.
- B. Rater: The supervisor who evaluates the performance of a subordinate employee.
- C. Rating: The extent to which the employee has met the standards for the position in each category named and overall.

V. Procedure

- A. Administration

1. The performance appraisal and staff development program is governed by the University of Pennsylvania Policy and Procedures Manual, Human Resources Policy No. 619, as it is administered by the Division of Human Resources.
2. The Superintendent of Police is responsible for the overall administration of the employee performance evaluation process within the UPPD.
3. Detailed instructions of the performance evaluation process are provided by the Division of Human Resources/Staff and Labor Relations Department. (See Human Resources Policy No. 619. Also see the University of Pennsylvania Performance and Staff Development Plan.)

B. Documentation

1. An annual performance appraisal of each UPPD full-time and part-time employee will be documented and placed in the UPPD personnel records and the Division of Human Resources' personnel records. The evaluation of the employee's performance shall cover a specific time period (to be listed on the performance appraisal). Performance of the employee prior to or following the rating period should be excluded from the rating for that period.
2. Performance appraisals of entry-level introductory period employees shall be completed at least quarterly by the employee's immediate supervisor.
3. The criteria used to form the basis of the performance appraisal shall be specific to the assignment of the rated employee during the rating period.
4. Employees will be evaluated by their immediate supervisor. If the rated employee has had more than one (1) supervisor during the evaluation period, the present supervisor, in consultation with any previous supervisor(s), will complete the performance evaluation.
5. Prior to the performance appraisal for non-sworn personnel and employees not covered by a collective bargaining agreement (CBA), the rated employee shall be given a "Self-Appraisal Worksheet" by the supervisor doing the evaluation. The rated employee shall complete the worksheet and return it to the rating supervisor.
6. The rater will then complete a "Performance and Staff Development Plan" for the rated employee.
7. Raters shall substantiate all ratings by giving specific explanatory comments for the ratings in the narrative section of the rating categories.
8. Measurement definitions or summary of performance as listed on the performance appraisal are as follows: (one category must be selected)

- a. Staff member's performance is clearly and consistently outstanding in most aspects of current responsibilities. Performance consistently exceeds the established goals/expectations.
- b. Staff member's performance is reliable and consistently meets and at times exceeds all established goals and/or expectations for the position.
- c. Staff member's performance consistently meets established goals/expectations for the position.
- d. Staff member's performance does not consistently meet all established goals/expectations for the position and requires improvement in the areas noted below.

Note: Explanatory comments shall be required of the rater when performance ratings are unsatisfactory or outstanding.

- 9. After the performance appraisal is completed by the employee's supervisor, the rater will forward the written evaluation through the chain of command to the Superintendent of Police for review. The Superintendent of Police may add comments to the performance appraisal.
 - a. After review by the Superintendent of Police, the performance appraisal will be returned to the rater. The appraisal will then be discussed with the employee and signed by the rater and the employee. The employee will be given the opportunity to make written comments to supplement the completed performance appraisal.
 - b. A copy of the completed and signed appraisal will be forwarded to the rated employee.
- 10. Criteria for performance evaluation of supervisors will include their ability to provide performance guidance and feedback to their staff members as well as the appropriate and timely completion of their staff member's performance appraisals.
- 11. Newly promoted raters shall receive training relative to the performance appraisal process prior to evaluating employees.
- 12. Raters shall be evaluated by their immediate supervisor regarding the quality of ratings given employees. The supervisor will ensure that the raters apply ratings uniformly.

C. Performance Appraisal Discussion

- 1. Raters will meet with each individual rated employee to discuss his/her performance appraisal. The discussion will include such topics as:
 - a. results of the performance appraisal just completed;
 - b. level of performance expected, rating criteria or goals for the new reporting period; and

- c. career counseling relative to such topics as advancement, specialization, or training appropriate for the employee's position.

D. Filing

1. All completed and signed original performance appraisal forms will be forwarded to the Captain of Staff and Administrative Services. He/she will forward a copy of the appraisal to the Office of the Vice President for inclusion in the UPPD personnel files. The original signed performance appraisal will be forwarded to the Division of Human Resources for inclusion in University's personnel files.

E. Notification of Unsatisfactory Rating

1. Whenever a rated employee's overall performance is deemed "Performance Needs Improvement," the rater must complete a "Performance Improvement Plan." Per the CBA, in cases where an officer receives a rating deemed "Performance Needs Improvement", the officer must work with management and the Penn Police Association (PPA) in developing an improvement plan in order to address the correction of the identified deficiencies. Failure to successfully complete the performance plan may result in the contractually agreed discipline process.
2. If during the course of the rating period, the rated employee's overall performance is deemed "Performance Needs Improvement," the rater will advise the rated employee not less than ninety (90) days prior to the rated employee's next performance appraisal date. Some flexibility concerning the ninety (90) day period is allowable if applicable.

F. Appeal Process

1. Rated employees who wish to contest their performance appraisal may do so in accordance with the CBA or the Division of Human Resources' Policy No. 619.3, whichever is applicable.

G. Retention of Records

1. Performance evaluations shall be maintained in the rated employee's Human Resources and Departmental personnel records for a minimum of three years.

H. Compliance

Violations of this directive, or portions thereof, may result in disciplinary action.

I. Officers Assigned to Other Agencies

Officers of this department assigned to or assisting other law enforcement agencies will be guided by this directive.

J. Application

This directive constitutes departmental policy, and is not intended to enlarge the employer's or employee's civil or criminal liability in any way. It shall not be construed as the creation of a higher legal standard of safety or care in an evidentiary sense with respect to third party claims insofar as the employer's or employee's legal duty as imposed by law. Violations of policy will only form the basis for departmental administrative sanctions. Violations of law will form the basis for civil and criminal sanctions in a recognized judicial setting.