



ALBUQUERQUE POLICE DEPARTMENT  
ADMINISTRATIVE ORDERS

SOP 3-33 (Formerly 3-20 and 3-49)

P&P Draft 05/18/2022

**3-33 PERFORMANCE EVALUATION AND MANAGEMENT SYSTEM (PEMS) (FORMERLY EARLY INTERVENTION AND RECOGNITION SYSTEM (EIRS))**

**Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):**

A. Related SOP(s)

- 1-64 K-9 Unit (Formerly 6-9)
- 2-8 Use of On-Body Recording Devices (OBRD)
- 2-53 Use of Force: Definitions
- 3-14 Supervision
- 3-41 Complaints Involving Department Personnel

B. Form(s)

- PD 2049 Command-Initiated Assessment
- PD 2050 Employee Self-Assessment
- PD 2051 Performance Assessment
- PD 2052 Approving Supervisor Review
- PD 2053 Monitoring Plan
- PD 2054 Monitoring Plan Status Report
- Policy and Procedure Unit SOP Recommendation Form

C. Other Resource(s)

Performance Evaluation and Management System (PEMS) Procedure Manual  
*United States of America v. City of Albuquerque*, No. 1:14-cv-01025 – Document 465  
(D.N.M. 2019)

D. Rescinded Special Order(s)

None

**3-33-1 Purpose**

The purpose of this policy is to provide procedures for the Performance Evaluation and Management System (PEMS), a proactive-management tool that promotes employee and supervisory awareness using an automated notification program and a standardized review process. The primary purpose of PEMS is to provide timely and reliable data to designated personnel and supervisors in order to make informed decisions, as early as possible, regarding personnel's well-being, training, career development, and performance concerns. PEMS is a non-punitive process designed to identify both commendable performance and areas that need improvement, in order to enhance the overall performance of sworn personnel and efficiency of the Albuquerque Police Department (Department).



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### **3-33-2 Policy**

It is the policy of the Department to use a data-driven system to monitor and manage performance to advance the mission and goals of constitutional policing. It is also the policy of the Department to train supervisors to interpret data to encourage excellence, improve performance, manage risk and liability, and address underlying stressors in order to promote employee well-being.

### **3-33-3 Definitions**

#### **A. Assessment Form**

The collection of forms used to document a performance assessment and any actions taken to improve performance.

#### **B. Assessment Notification**

A notification generated by PEMS that the performance of a designated employee has exceeded an assessment threshold.

#### **C. Assessment Threshold**

The upper and lower limits of the established performance ranges for the evaluation period.

#### **D. Designated Employee**

Sworn personnel, with the rank of Lieutenant or lower and Police Service Aides (PSA) are monitored by PEMS.

#### **E. Evaluation Period**

A rolling twelve (12) month period over which data are analyzed to compare the performance of a designated employee against established performance ranges. Performance range calculations will be determined in accordance with the guidelines in the PEMS Procedure Manual.

#### **F. Monitoring Plan**

A non-punitive plan developed by the supervisor and designated employee, based on performance assessment, to establish specific action taken and deadlines for reviews and completion. The purpose of the plan is to support the designated employee in achieving professional goals, improved performance, and career development.

#### **G. Performance Evaluation and Management System (PEMS)**



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A process that analyzes employee data that are derived from City of Albuquerque and Department systems that enable the Department to define performance ranges and thresholds.

### H. Performance Evaluation and Management Unit (PEMU)

The unit responsible for implementing, developing, and maintaining the overall data-driven strategy to support employee well-being and professional growth.

### I. Performance Measure

The identified categories for which data are collected and analyzed to capture performance consistent with the goals, values, and mission of the Department.

### J. Performance Range

The area of variation between the upper and lower assessment thresholds for a designated employee for identified categories, which reflect the expected requirements of the job.

### K. Performance Review Board (PRB)

The board responsible for reviewing ten percent (10%) of all assessment notifications and Monitoring Plans to ensure consistency throughout the Department.

### L. Supervisor

A Department employee at the rank of sergeant or above who is responsible for completing a performance assessment when they receive an assessment notification. They are responsible for developing and implementing any required Monitoring Plans.

1. Reviewing Supervisor: A Department employee at the rank of lieutenant or above who is responsible for reviewing a performance assessment completed by a supervisor. They are responsible for ensuring Monitoring Plans address all identified commendable performance or performance areas that need improvement, and monitoring the designated employee's progress.
2. Approving Supervisor: A Department employee at the rank of commander or above who is responsible for ensuring performance assessments are thorough and accurate, and that deadlines are met for assessments and Monitoring Plan reviews or completion.

### **3-33-4 General Requirements**

#### A. System Access

1. Department personnel will have access to PEMS data as follows:



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- a. The Chief of Police and all ranks above commander will have access to the data for all Department personnel;
  - b. Commanders/division heads will have access to data for personnel assigned to their division;
  - c. Lieutenant/management-level supervisors, not including those in an acting capacity, will have access to the data for Department personnel under their direct supervision;
  - d. Sergeants/immediate supervisors, not including those in an acting capacity, will have access to data for personnel under their direct supervision;
  - e. Department personnel will have access to their own data; and
  - f. Department personnel assigned to the PEMU will have access to the data for all Department personnel.
2. Acting sergeants and acting lieutenants will not have access to the data in their capacity as an acting supervisor. In those situations, the next-level supervisor will be responsible for conducting the necessary reviews.
  3. PEMS assessments, monitoring plans and

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B. Confidentiality

1. All PEMS information is confidential and Department personnel are prohibited from sharing PEMS information with persons outside of the employee and their chain of command.
2. Information shall be released only in accordance with applicable laws.
3. Misuse of the PEMS, including unauthorized disclosure of this information, shall be subject to discipline, up to and including termination.

N/A

C. Training

1. Upon promotion to the rank of sergeant or higher, supervisors will receive PEMS training, including, but not limited to:
  - a. Using the PEMS electronic program;
  - b. Evaluating performance measures and making appropriate comparisons to identify any significant individual or group patterns;
  - c. Identifying and developing strategies to improve or commend employee performance; and
  - d. Assessing updates to PEMS processes or performance measures.

**3-33-5 Data Analysis**

A. PEMS Data



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1. The system will analyze data compiled from various digital platforms and data sources regarding:
  - a. Use of force incidents, as well as the supervisors' use of force reviews;
  - b. Injuries and deaths of persons in custody;
  - c. Identified violations of SOP Use of On-Body Recording Devices (OBRD);
  - d. All civilian or administrative complaints and their dispositions;
  - e. All judicial proceedings where a designated employee is the subject of a protective or restraining order;
  - f. All vehicle pursuits and traffic collisions involving Department-issued equipment;
  - g. All instances in which the Department is informed by a prosecuting authority that a declination to prosecute any crime occurred, in whole or in part because the officer failed to activate their OBRD;
  - h. All disciplinary action taken against a designated employee;
  - i. All non-punitive corrective action required of a designated employee;
  - j. All awards and commendations awarded to a designated employee, including those received from community members, as well as special acts performed by a designated employee;
  - k. Demographic category for civilians involved in a use of force or search and seizure incident sufficient to assess bias;
  - l. All criminal proceedings initiated against an officer, as well as all civil or administrative claims filed, and all civil lawsuits served upon the city and/or its sworn personnel or agents, allegedly resulting from Department operations or the actions of a Department-designated employee; and
  - m. All reports in which a designated employee is a suspect or offender.
  
2. The system will also include the following information for Department pattern analysis:
  - a. Reports regarding all critical firearm discharges, consistent with SOP Use of Force: Definitions, and discharges at animals;
  - b. The number of electronic control weapons (ECW) assigned to a designated employee and the number of ECW uses;
  - c. Information contained in any use of force tracking system;
  - d. Police Service Dog (PSD) bite data and information, including bite ratios, consistent with SOP K-9 Unit; and
  - e. Data regarding specialized unit deployments and tactical deployments, including, but not limited to:
    - i. Locations;
    - ii. Number of arrests;
    - iii. Type of evidence or property seized;
    - iv. Whether a forcible entry was required;
    - v. Whether a weapon was discharged by a unit member;
    - vi. Whether a person attempted to flee from sworn personnel;
    - vii. Whether a person was killed or injured; and
    - viii. Whether a domestic animal was killed or injured.



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3. Each designated employee will monitor their performance data for accuracy and report any discrepancies via an Interoffice Memorandum addressed to the PEMU Sergeant, through their chain of command.
  - a. PEMU personnel will review all submitted reports of discrepancies to verify data or make appropriate modifications and will advise the designated employee and chain of command of their findings.

B. Storage and Retrieval

1. All data used in PEMS will be extracted from City or Department-approved systems. Systems will include, but are not limited to:
  - a. Human resources management;
  - b. Training;
  - c. Payroll;
  - d. On-the-job actions;
  - e. Internal Affairs Force Division (IAFD) data;
  - f. Dispatch data;
  - g. Data collected by partner agencies; and
  - h. Publicly available data.
2. All PEMS assessments and Monitoring Plans for a designated employee will be retained throughout the term of their employment and for five (5) years following the employee's separation from employment.

C. Analysis and Reporting

1. PEMS data will be sorted into seven (7) performance measures for analysis and evaluation:
  - a. Uses of force;
  - b. Complaints against sworn personnel;
  - c. Vehicle crashes;
  - d. Vehicle pursuits;
  - e. Court-related issues;
  - f. Training and certification; and
  - g. Personnel management.
2. The PEMU will evaluate data collected for each performance measure to determine the performance ranges and assessment thresholds by rank, and by similar duties and responsibilities, consistent with the PEMS Procedure Manual. Data analysis will identify patterns in performance that exceed the expected ranges for that performance measure.



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- a. For example, if the use of force ratio for sworn personnel were one (1) incident per 1,200-1,500 calls for service, the expected performance range for sworn personnel's use of force incidents would be 1:1200 to 1:1500.

### **3-33-6 Performance Evaluation and Management Unit (PEMU)**

#### A. PEMU personnel will:

1. Be a separate unit with the responsibility of establishing, administering, and maintaining the system and the overall management of PEMS;
2. Ensure the integrity and validity of the data used by PEMS;
3. Evaluate PEMS data based on a rolling twelve (12) month period;
4. Establish assessment thresholds by analyzing the historical norms of all Department personnel functioning in the same or similar assignments; and
5. Analyze data by comparing the performance of each designated employee to an established assessment threshold.

#### B. Assessment Thresholds for Each Performance Measure

##### 1. PEMU personnel will:

- a. Analyze performance data of designated personnel during the data period and compare that data to the historical data of all Department personnel functioning in the same or similar assignments to establish data-driven assessment thresholds;
- b. Send assessment notifications to appropriate supervisors; then, monitor supervisory response to notifications to ensure all documentation is completed in the allotted time; and
- c. Regularly evaluate the thresholds, data tables, data fields, list of documents used, reports generated, and queries used; and make recommendations for changes as appropriate.

2. The Parties to the Court-Approved Settlement Agreement (CASA) shall jointly review all proposals that may limit the functions of the Early Intervention System that are required by the CASA, before such proposals are implemented to ensure that they continue to comply with the requirements of the CASA.

#### C. Assessment Notification Procedures

1. The immediate supervisor of an employee will receive an assessment notification when the performance of a designated employee has exceeded the established assessment thresholds.



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- a. The supervisor will complete the Performance Assessment and forward it the Reviewing Supervisor.
2. The Reviewing Supervisor will ensure the assessment is thorough and accurate and forward the assessment to the Approving Supervisor.
3. The Approving Supervisor will:
  - a. Ensure the assessment is accurate and complete; and
  - b. Complete the Approving Supervisor Review and forward the assessment to the PEMS Unit.
4. Assessment notifications are only an indicator of a deviation from established standards, which require supervisory follow-up and do not draw any conclusions or determinations as to commendable performance or areas that need improvement.

**6** D. PEMU personnel shall submit an annual report for internal use by the Office of the Chief, Superintendent of Police Reform, and executive staff. The annual report will include, at a minimum:

1. Number of data-driven assessments by division;
2. Number of policy mandated assessments by division;
3. Number of command initiated assessments by division; and
4. Number of Monitoring Plans in effect for the year, including:
  - a. The designated employee, and the responsible supervisor;
  - b. The successful completion of Monitoring Plans;
  - c. The unsuccessful completion of Monitoring Plans; and
  - d. The Monitoring Plans that are currently active.

**N/A** 3-33-7 **Use of PEMS Analysis**

A. Mandated Assessment Thresholds

1. Policy-Mandated Assessment Thresholds
  - a. The PEMS will generate mandatory assessment notifications when an employee exceeds a threshold identified in department standard operating procedures. Policy-mandated thresholds include, but are not limited to:
    - i. A designated employee who is on a Monitoring Plan for a use of force who then engages in another use of force;
    - ii. Sick leave use;
    - iii. Overtime;
    - iv. PSD bite ratios; or



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v. Training and certification requirements.

2. Command-Initiated Assessment

- a. Any officer with the permanent rank of Sergeant or higher may submit an assessment request when they identify a particular performance deficiency that requires immediate correction.
  - i. The supervisor shall identify a particular performance pattern that requires immediate correction; or
  - ii. A unique incident that requires an immediate assessment to identify any performance factors that may have led to the incidents occurrence. Unique incidents include, but are not limited to:
    1. Officer-involved shooting (OIS); and
    2. Officer-involved vehicle crash with great bodily harm or a fatality.
- b. Command-Initiated Assessments are submitted on the Command-Initiated Assessment form.
  - i. The command-initiated request are forwarded through the chain of command to the PEMS Unit.
  - ii. A supervisor at the rank of Commander or higher will have the final decision authority for initiating a Command-Initiated Assessment.
  - iii. If a supervisor denies a request for a Command-Initiated Assessment, they shall document, in writing, the justification for the denial.

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B. Data-Driven Thresholds

1. PEMU personnel will continually analyze historical data to determine the performance range and thresholds for each performance measure to allow for peer group comparisons between designated personnel with similar assignments and duties on the same watch/section Department-wide, regardless of area command or division.
2. A designated employee's performance data is analyzed and compared to the expected performance range and calculated thresholds to identify personnel that have exceeded the upper and lower assessment thresholds. These performance ranges and calculated thresholds compare designated personnel with similar assignments and duties.

**3-33-8 Supervisory Use Responsibility**

**N/A** A. Supervisors will conduct daily reviews of PEMS to identify commendable performance and areas that need improvement for the designated personnel they supervise (refer to SOP Supervision for sanction classifications and additional duties).

1. The established thresholds allow supervisors to evaluate performance ranges to identify designated personnel whose performance is commendable or to identify



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areas that need improvement. Supervisors will develop a plan to intervene and correct areas that need improvement, and record all commendations and notices of needed improvement using PEMS subsystems.

2. Assessments assist supervisors with monitoring and evaluating those designated personnel under their supervision.

N/A

- B. Upon receiving an assessment notification for a designated employee, supervisors will conduct a thorough review of commendable performance and identify any areas that need improvement (refer to SOP Supervision for sanction classifications and additional duties). Supervisors will assess and evaluate the data and identify patterns and any issues related to:

1. Indicators of high-performing employees;
2. Policy violations;
3. Line inspections for equipment deficiencies and violations;
4. Training needs and recommendations; and
5. Employee performance.

N/A

- C. Supervisors will meet with the designated employee. During the meeting, they will discuss identified patterns, consider the designated employee's input, and identify any events exhibiting commendable actions by the employee or areas of performance that need improvement (refer to SOP Supervision for sanction classifications and additional duties).

D. Assessment Process

1. Supervisor Responsibility

- a. When a supervisor receives an assessment notification, they will:
  - i. Assess the designated employee's performance for the past twelve (12) months;
  - ii. Determine if there is a commendable performance or areas that need improvement and document such on the Performance Assessment form.
  - iii. Critically analyze the employee's performance to determine if it relates to policy, training, equipment, and/or ability;
  - iv. Identify the involved policies and review to determine whether there is conflict in policies, ambiguity within policy, absence of policy, or ineffective policy;
    1. The supervisor will submit a policy change recommendation using the Policy and Procedure Unit web-based SOP Recommendation Form.
  - v. Review related training to determine if they can identify potential conflicts between training and written policy;
    1. The supervisor will submit a training recommendation to the Training Committee.



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- vi. Consider equipment needs and evaluate whether the equipment is available, functional, and adequate and whether adequate training regarding the equipment exists;
  1. The supervisor will submit an Interoffice Memorandum through the chain of command documenting equipment needs.
- vii. Evaluate the performance of the designated employee to determine whether they are meeting the minimum requirements of the job in the performance category; and
  1. When the supervisor identifies areas that need improvement, develop a Monitoring Plan in order to correct the areas that need improvement.
  2. If performance improvement issues are evident, the supervisor will develop a Monitoring Plan using the Performance Evaluation and Management System Monitoring Plan form.
  3. A Monitoring Plan will be completed and submitted in PEMS. The plan will include:
    - a. The pattern(s) addressed;
    - b. The method for addressing the pattern;
    - c. A timeline for completion; and
    - d. Follow-up actions required;
      1. If the action relates to commendable performance, the supervisor will recognize or encourage continued commendable performance from the employee, which may include, but is not limited to, award nominations; letters of commendation; temporary duty assignments; and career development opportunities.
      2. If the action relates to areas that need improvement, the supervisor will make referrals for employee assistance programs; training; coaching; or enhanced supervision.
- viii. Forward the assessment to the reviewing supervisor.

### 2. Reviewing Supervisor Responsibility

- a. The reviewing supervisor will either:
  - i. Approve the assessment and Monitoring Plan; and
    1. Take into account the designated employee's input; and
    2. Finalize the assessment and Monitoring Plan; or
  - ii. Reject the assessment and/or Monitoring Plan, and:
    1. Meet with the supervisor and make necessary modifications or adjustments to the assessment and/or Monitoring Plan; and
    2. Once approved, proceed with the approved assessment and Monitoring Plan steps.
- b. The reviewing supervisor will forward the assessment and Monitoring Plan to the approving supervisor.

### 3. Approving Supervisor Responsibility

- a. The approving supervisor will either:
  - i. Approve the assessment and Monitoring Plan; or



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- ii. Reject the assessment and/or Monitoring Plan; and
  - 1. Meet with the supervisor and reviewing supervisor to make modifications or adjustments.
  - 2. Once approved, proceed with the approved assessment and Monitoring Plan steps.
- iii. Complete the Approving Supervisor Review to determine:
  - 1. If the immediate supervisor's actions contribute to the identified performance of the officer.
  - 2. If the reviewing supervisor's actions contributed to the identified performance of the officer.
  - 3. Audit the assessment to determine if the supervisor and reviewing supervisor met the required timelines.
- b. The approving supervisor will forward all assessments and Monitoring Plans to PEMU personnel.

**6** E. Supervisors shall document all assessments and Monitoring Plans generated in response to PEMS, consistent with the PEMS Procedure Manual.

- 1. Supervisors have fourteen (14) calendar days to complete their assessment and Monitoring Plan, when required, and forward them to the reviewing supervisor.
- 2. Reviewing supervisors have seven (7) calendar days to complete their review and forward it to the approving supervisor.
- 3. Approving supervisors have seven (7) calendar days to complete their review and approve the assessment and any Monitoring Plans.
- 4. Deadlines for completion of the assessment and reviews may be extended by up to seven (7) calendar days with the written approval of the appropriate:
  - a. Commander/division head for the supervisor or reviewing supervisor; or
  - b. Bureau Deputy Chief for the approving supervisor.

**N/A** 5. Supervisors will continue to exercise all supervisory duties (refer to SOP Supervision for sanction classifications and additional duties).

**N/A** F. If a potential violation of Department policy is identified, a supervisor shall report the violation to the IAPS Division (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties).

**N/A** G. Supervisors will document all assessments, Monitoring Plans, and reviews in PEMS (refer to SOP Supervision for sanction classifications and additional duties).



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- 2-53 Use of Force: Definitions
- 3-14 ~~Supervisory Leadership~~ Supervision
- 3-41 Complaints Involving Department Personnel

B. Form(s)

- ~~PD 2049 Performance Evaluation and Management System Command-Initiated Assessment~~
- ~~PD 2050 Performance Evaluation and Management System Employee Self-Assessment~~
- ~~PD 2051 Performance Evaluation and Management System Performance Level 1 Assessment~~
- ~~PD 2052 Performance Evaluation and Management System Level 2 Assessment Approving Supervisor Review~~
- ~~PD 2053 Performance Evaluation and Management System Monitoring Plan~~
- ~~PD 2054 Performance Evaluation and Management System Monitoring Plan Status Report~~
- Policy and Procedure Unit SOP Recommendation Form

C. Other Resource(s)

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D. Rescinded Special Order(s)

None

**3-33-1 Purpose**

The purpose of this policy is to provide procedures for the Performance Evaluation and Management System (PEMS), a proactive-management tool that promotes employee and supervisory awareness using an automated notification program and a standardized review process. The primary purpose of PEMS is to provide timely and reliable data to designated personnel and supervisors in order to make informed decisions, as early as possible,



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regarding personnel's well-being, training, career development, and performance concerns. PEMS is a non-punitive process designed to identify both commendable performance and areas that need improvement, in order to enhance the overall performance of sworn personnel and efficiency of the Albuquerque Police Department (Department).

**3-33-2 Policy**

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**3-33-3 Definitions**

A. Assessment Form

The collection of forms used to document a ~~Level 1 or Level 2 assessment~~ performance assessment and any actions taken to improve performance.

B. Assessment Notification

A notification generated by PEMS that the performance of a designated employee has exceeded an assessment threshold. ~~The assessment notification is classified as either a Level 1 or Level 2 assessment by PEMS as based on an objective, data-driven classification criteria.~~

C. Assessment Threshold

The upper and lower limits of the established performance ranges for the evaluation period.

D. Designated Employee

Sworn personnel, with the rank of Lieutenant or lower and Police Service Aides (PSA), ~~designated by the Chief of Police and~~ are monitored by PEMS.

E. Evaluation Period

A rolling twelve (12) month period over which data are analyzed to compare the performance of a designated employee against established performance ranges. Performance range calculations will be determined in accordance with the guidelines in the PEMS Procedure Manual.

F. Monitoring Plan



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A non-punitive plan developed by the supervisor and designated employee, based on performance assessment, to establish specific action taken and deadlines for reviews and completion. The purpose of the plan is to support the designated employee in achieving professional goals, improved performance, and career development.

### G. Performance Evaluation and Management System (PEMS)

A process that analyzes employee data that are derived from City of Albuquerque and Department systems that enable the Department to define performance ranges and thresholds.

### H. Performance Evaluation and Management Unit (PEMU)

The unit responsible for implementing, developing, and maintaining the overall data-driven strategy to support employee well-being and professional growth.

### I. Performance Measure

The identified categories for which data are collected and analyzed to capture performance consistent with the goals, values, and mission of the Department.

### J. Performance Range

The area of variation between the upper and lower assessment thresholds for a designated employee for identified categories, which reflect the expected requirements of the job.

### K. Performance Review Board (PRB)

The board responsible for reviewing ~~all Level 2 assessment notifications and Monitoring Plans and~~ ten percent (10%) of all ~~Level 1~~ assessment notifications and Monitoring Plans to ensure consistency throughout the Department.

### L. Supervisor

A Department employee at the rank of sergeant or above who is responsible for completing a performance assessment when they receive an assessment notification. They are responsible for developing and implementing any required Monitoring Plans.

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  - d. Sergeants/immediate supervisors, not including those in an acting capacity, will have access to data for personnel under their direct supervision;
  - e. Department personnel will have access to their own data; and
  - f. Department personnel assigned to the PEMU will have access to the data for all Department personnel.
2. Acting sergeants and acting lieutenants will not have access to the data in their capacity as an acting supervisor. In those situations, the next-level supervisor will be responsible for conducting the necessary reviews.

2.3. PEMS assessments, monitoring plans and

**3** B. Confidentiality

1. All PEMS information is confidential and Department personnel are prohibited from sharing PEMS information with persons outside of the employee and their chain of command, ~~and the Internal Affairs Professional Standards (IAPS) Division.~~
2. Information shall be released only in accordance with applicable laws.
3. Misuse of the PEMS, including unauthorized disclosure of this information, shall be subject to discipline, up to and including termination.

**N/A** C. Training

1. Upon promotion to the rank of sergeant or higher, supervisors will receive PEMS training, including, but not limited to:
  - a. Using the PEMS electronic program;
  - b. Evaluating performance measures and making appropriate comparisons to identify any significant individual or group patterns;



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- c. Identifying and developing strategies to improve or commend employee performance; and
- d. Assessing updates to PEMS processes or performance measures.

### **3-33-5 Data Analysis**

#### **A. PEMS Data**

1. The system will analyze data compiled from various digital platforms and data sources regarding:
  - a. Use of force incidents, as well as the supervisors' use of force reviews;
  - b. Injuries and deaths of persons in custody;
  - c. Identified violations of SOP Use of On-Body Recording Devices (OBRD);
  - d. All civilian or administrative complaints and their dispositions;
  - e. All judicial proceedings where a designated employee is the subject of a protective or restraining order;
  - f. All vehicle pursuits and traffic collisions involving Department-issued equipment;
  - g. All instances in which the Department is informed by a prosecuting authority that a declination to prosecute any crime occurred, in whole or in part because the officer failed to activate their OBRD;
  - h. All disciplinary action taken against a designated employee;
  - i. All non-punitive corrective action required of a designated employee;
  - j. All awards and commendations awarded to a designated employee, including those received from community members, as well as special acts performed by a designated employee;
  - k. Demographic category for civilians involved in a use of force or search and seizure incident sufficient to assess bias;
  - l. All criminal proceedings initiated against an officer, as well as all civil or administrative claims filed, and all civil lawsuits served upon the city and/or its sworn personnel or agents, allegedly resulting from Department operations or the actions of a Department-designated employee; and
  - m. All reports in which a designated employee is a suspect or offender.
2. The system will also include the following information for Department pattern analysis:
  - a. Reports regarding all critical firearm discharges, consistent with SOP Use of Force: Definitions, and discharges at animals;
  - b. The number of electronic control weapons (ECW) assigned to a designated employee and the number of ECW uses;
  - c. Information contained in any use of force tracking system;
  - d. Police Service Dog (PSD) bite data and information, including bite ratios, consistent with SOP K-9 Unit; and
  - e. Data regarding specialized unit deployments and tactical deployments, including, but not limited to:



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- i. Locations;
- ii. Number of arrests;
- iii. Type of evidence or property seized;
- iv. Whether a forcible entry was required;
- v. Whether a weapon was discharged by a unit member;
- vi. Whether a person attempted to flee from sworn personnel;
- vii. Whether a person was killed or injured; and
- viii. Whether a domestic animal was killed or injured.

3. Each designated employee will monitor their performance data for accuracy and report any discrepancies via an Interoffice Memorandum addressed to the PEMU Sergeant, through their chain of command.

- a. PEMU personnel will review all submitted reports of discrepancies to verify data or make appropriate modifications and will advise the designated employee and chain of command of their findings.

### B. Storage and Retrieval

1. All data used in PEMS will be extracted from City or Department-approved systems. Systems will include, but are not limited to:

- a. Human resources management;
- b. Training;
- c. Payroll;
- d. On-the-job actions;
- e. Internal Affairs Force Division (IAFD) data;
- f. Dispatch data;
- g. Data collected by partner agencies; and
- h. Publicly available data.

2. All PEMS assessments and Monitoring Plans for a designated employee will be retained throughout the term of their employment and for five (5) years following the employee's separation from employment.

### C. Analysis and Reporting

1. PEMS data will be sorted into seven (7) performance measures for analysis and evaluation:

- a. Uses of force;
- b. Complaints against sworn personnel;
- c. Vehicle crashes;
- d. Vehicle pursuits;
- e. Court-related issues;
- f. Training and certification; and
- g. Personnel management.



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2. The PEMU will evaluate data collected for each performance measure to determine the performance ranges and assessment thresholds by rank, and by similar duties and responsibilities, consistent with the PEMS Procedure Manual. Data analysis will identify patterns in performance that exceed the expected ranges for that performance measure.
  - a. For example, if the use of force ratio for sworn personnel were one (1) incident per 1,200-1,500 calls for service, the expected performance range for sworn personnel's use of force incidents would be 1:1200 to 1:1500.

**3-33-6 Performance Evaluation and Management Unit (PEMU)**

A. PEMU personnel will:

1. Be a separate unit with the responsibility of establishing, administering, and maintaining the system and the overall management of PEMS;
2. Ensure the integrity and validity of the data used by PEMS;
3. Evaluate PEMS data based on a rolling twelve (12) month period;
4. Establish assessment thresholds by analyzing the historical norms of all Department personnel functioning in the same or similar assignments; and
5. Analyze data by comparing the performance of each designated employee to an established assessment threshold.

B. Assessment Thresholds for Each Performance Measure

1. PEMU personnel will:

- a. Analyze performance data of designated personnel during the data period and compare that data to the historical data of all Department personnel functioning in the same or similar assignments to establish data-driven assessment thresholds;
- b. Send assessment notifications to appropriate supervisors; then, monitor supervisory response to notifications to ensure all documentation is completed in the allotted time; and
- c. Regularly evaluate the thresholds, data tables, data fields, list of documents used, reports generated, and queries used; and make recommendations for changes as appropriate.

2. The Parties to the Court-Approved Settlement Agreement (CASA) shall jointly review all proposals that may limit the functions of the Early Intervention System that are required by the CASA, before such proposals are implemented to ensure that they continue to comply with the requirements of the CASA.



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C. Assessment Notification Procedures

1. ~~A~~ The immediate supervisor of an employee will receive an assessment notification when the performance of a designated employee has exceeded the established assessment thresholds.
  - a. The supervisor will complete the Performance Assessment and forward it the Reviewing Supervisor.
2. The Reviewing Supervisor will ensure the assessment is through and accurate and forward the assessment to the Approving Supervisor.
3. The Approving Supervisor will:
  - a. Ensure the assessment is accurate and complete; and
  - ~~b.~~ Complete the Approving Supervisor Review and forward the assessment to the PEMS Unit.
- ~~a~~4. Assessment notifications are only an indicator of a deviation from established standards, which require supervisory follow-up and do not draw any conclusions or determinations as to commendable performance or areas that need improvement.
- ~~2.~~ PEMS will categorize the assessment notification as a Level 1 or Level 2 assessment based on objective, data-driven criteria.
  - a. A Level 1 assessment indicates the designated employee has exceeded the assessment threshold in one (1) performance measure.
  - b. A Level 2 assessment indicates the designated employee has exceeded the assessment thresholds in two (2) or more performance measures.

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D. PEMU personnel shall submit an annual report for internal use by the Office of the Chief, Superintendent of Police Reform, and executive staff. The annual report will include, at a minimum:

- ~~2.~~ Number of Level 2 assessments by division;
- Number of Level 1 assessments by division; and
1. Number of data-driven assessments by division;
2. Number of policy mandated assessments by division;
3. Number of command initiated assessments by division; and
- ~~4.~~ Number of Monitoring Plans in effect for the year, including:
4.
- ~~5.~~ Number of Monitoring Plans in effect for the year, including:
  - a. The designated employee, and the responsible supervisor;



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- b. The successful completion of Monitoring Plans;
- c. The unsuccessful completion of Monitoring Plans; and
- d. The Monitoring Plans that are currently active.

**N/A** 3-33-7 Use of PEMS Analysis

A. Mandated Assessment Thresholds

1. Policy-Mandated Assessment Thresholds

- a. The PEMS will generate mandatory assessment notifications when an employee exceeds a threshold identified in department standard operating procedures are exceeded, Policy-mandated thresholds including, but are not limited to:
  - i. A designated employee who is on a Monitoring Plan for a use of force who then engages in another use of force;
  - ii. Sick leave use;
  - iii. Overtime;
  - iv. PSD bite ratios; or
  - v. Training and certification requirements.

2. Command-Initiated Assessment

- a. Any officer ~~at the rank of Commander~~ with the permanent rank of Sergeant or higher may submit ~~initiate~~ an assessment request when they identify a particular performance deficiency that requires immediate correction.
  - i. ~~The Commander~~ supervisor shall identify a particular performance pattern deficiency that requires immediate correction; or
  - ii. A unique incident that requires an immediate assessment to identify any performance factors that may have led to the incidents occurrence. Unique incidents include, but are not limited to:
    - 1. Officer-involved shooting (OIS); and
    - 2. Officer-involved vehicle crash with great bodily harm or a fatality.
- b. Command-initiated ~~Initiated assessments~~ Assessments are submitted on the ~~Performance Evaluation and Management System~~ Command-Initiated Assessment form.
  - i. The command-initiated request are forwarded through the chain of command to the PEMS Unit.
  - ii. A supervisor at the rank of Commander or higher will have the final decision authority for initiating a Command-Initiated Assessment.
  - ~~b.iii.~~ If a supervisor denies a request for a Command-Initiated Assessment, they shall document, in writing, the justification for the denial.

**N**

~~3. Assessment notifications for mandated assessment thresholds will require a Level 2 assessment.~~

B. Data-Driven Thresholds



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1. PEMU personnel will continually analyze historical data to determine the performance range and thresholds for each performance measure to allow for peer group comparisons between designated personnel with similar assignments and duties on the same watch/section Department-wide, regardless of area command or division.
2. A designated employee's performance data ~~are~~ is analyzed and compared to the expected performance range and calculated thresholds to identify personnel that have exceeded the upper and lower assessment thresholds. These performance ranges and calculated thresholds compare designated personnel with similar assignments and duties.
- ~~3. PEMS assessment notifications will be designated as a Level 1 or Level 2 assessment.~~
  - ~~a. A Level 1 assessment indicates an employee exceeds the designated threshold in a single performance measure.~~
  - ~~b. A Level 2 assessment indicates that the employee has exceeded the designated threshold for two (2) or more performance measures.~~

**3-33-8 Supervisory Use Responsibility**

- N/A** A. Supervisors will conduct daily reviews of PEMS to identify commendable performance and areas that need improvement for the designated personnel they supervise (refer to SOP Supervision for sanction classifications and additional duties).
1. The established thresholds allow supervisors to evaluate performance ranges to identify designated personnel whose performance is commendable or to identify areas that need improvement. Supervisors will develop a plan to intervene and correct areas that need improvement, and record all commendations and notices of needed improvement using PEMS subsystems.
  2. Assessments assist supervisors with monitoring and evaluating those designated personnel under their supervision.
- N/A** B. Upon receiving an assessment notification for a designated employee, supervisors will conduct a thorough review of commendable performance and identify any areas that need improvement (refer to SOP Supervision for sanction classifications and additional duties). Supervisors will assess and evaluate the data and identify patterns and any issues related to:
1. Indicators of high-performing employees;
  2. Policy violations;
  3. Line inspections for equipment deficiencies and violations;
  4. Training needs and recommendations; and
  5. Employee performance.



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N/A

C. Supervisors will meet with the designated employee. During the meeting, they will discuss identified patterns, consider the designated employee's input, and identify any events exhibiting commendable actions by the employee or areas of performance that need improvement (refer to SOP Supervision for sanction classifications and additional duties).

D. Assessment Process

1. Supervisor Responsibility

a. When a supervisor receives an assessment notification, they will:

i. Assess the designated employee's performance for the past twelve (12) months;

ii. Determine if there is a commendable performance or areas that need improvement and ~~will address and document such on the appropriate~~ Performance Assessment form;

~~1. Level 1 assessments are documented on the Performance Evaluation and Management System Level 1 Assessment form.~~

~~1. Level 2 assessments are documented on the Performance Evaluation and Management System Level 2 Assessment form.~~

~~iii.~~ iii. Critically analyze the employee's performance to determine if it relates to policy, training, equipment, and/or ability;

~~iv.~~ iv. Identify the involved policies and review to determine whether there is conflict in policies, ambiguity within policy, absence of policy, or ineffective policy;

1. The supervisor will submit a policy change recommendation using the Policy and Procedure Unit web-based SOP Recommendation Form.

~~vii.~~ v. Review related training to determine if they can identify potential conflicts between training and written policy;

1. The supervisor will submit a training recommendation to the Training Committee.

~~viii.~~ vi. Consider equipment needs and evaluate whether the equipment is available, functional, and adequate and whether adequate training regarding the equipment exists;

1. The supervisor will submit an Interoffice Memorandum through the chain of command documenting equipment needs.

~~ix.~~ vii. Evaluate the performance of the designated employee to determine whether they are meeting the minimum requirements of the job in the performance category; and

1. When the supervisor identifies areas that need improvement, develop a Monitoring Plan in order to correct the areas that need improvement.

~~2. For a Level 2 assessment notification, evaluate both the designated employee who generated the assessment notification and that designated employee's immediate supervisor to determine if they contributed to the commendable performance or the areas that need improvement.~~



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~~3~~2. If performance improvement issues are evident, the supervisor will develop a Monitoring Plan using the Performance Evaluation and Management System Monitoring Plan form.

~~4~~3. A Monitoring Plan will be completed and submitted in PEMS. The plan will include:

- a. The pattern(s) addressed;
- b. The method for addressing the pattern;
- c. A timeline for completion; and
- d. Follow-up actions required;
  1. If the action relates to commendable performance, the supervisor will recognize or encourage continued commendable performance from the employee, which may include, but is not limited to, award nominations; letters of commendation; temporary duty assignments; and career development opportunities.
  2. If the action relates to areas that need improvement, the supervisor will make referrals for employee assistance programs; training; coaching; or enhanced supervision.

~~viii.~~ viii. Forward the assessment to the reviewing supervisor.

2. Reviewing Supervisor Responsibility

a. The reviewing supervisor will either:

- i. Approve the assessment and Monitoring Plan; and
  1. Take into account the designated employee's input; and
  2. Finalize the assessment and Monitoring Plan; or
- ii. Reject the assessment and/or Monitoring Plan, and:
  1. Meet with the supervisor and make necessary modifications or adjustments to the assessment and/or Monitoring Plan; and
  2. Once approved, proceed with the approved assessment and Monitoring Plan steps.

b. The reviewing supervisor will forward the assessment and Monitoring Plan to the approving supervisor.

~~b.~~

3. Approving Supervisor Responsibility

a. The approving supervisor will either:

- i. Approve the assessment and Monitoring Plan; or
- ii. Reject the assessment and/or Monitoring Plan; and
  1. Meet with the supervisor and reviewing supervisor to make modifications or adjustments.
  2. Once approved, proceed with the approved assessment and Monitoring Plan steps.

iii. Complete the Approving Supervisor Review to determine:

1. If the immediate supervisor's actions contribute to the identified performance of the officer.



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2. If the reviewing supervisor's actions contributed to the identified performance of the officer.
3. Audit the assessment to determine if the supervisor and reviewing supervisor met the required timelines.

~~e.~~  
e.b. The approving supervisor will forward all assessments and Monitoring Plans to PEMU personnel.

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- E. Supervisors shall document all assessments and Monitoring Plans generated in response to PEMS, consistent with the PEMS Procedure Manual.
1. Supervisors have fourteen (14) calendar days to complete their assessment and Monitoring Plan, when required, and forward them to the reviewing supervisor.
  2. Reviewing supervisors have seven (7) calendar days to complete their review and forward it to the approving supervisor.
  3. Approving supervisors have seven (7) calendar days to complete their review and approve the assessment and any Monitoring Plans.
  4. Deadlines for completion of the assessment and reviews may be extended by up to seven (7) calendar days with the written approval of the appropriate:
    - a. Commander/division head for the supervisor or reviewing supervisor; or
    - b. Bureau Deputy Chief for the approving supervisor.

N/A

5. Supervisors will continue to exercise all supervisory duties (refer to SOP ~~Supervisory Leadership~~ Supervision for sanction classifications and additional duties).

N/A

- F. If a potential violation of Department policy is identified, a supervisor shall report the violation to the IAPS Division (refer to SOP Complaints Involving Department Personnel for sanction classifications and additional duties).

N/A

- G. Supervisors will document all assessments, Monitoring Plans, and reviews in PEMS (refer to SOP ~~Supervisory Leadership~~ Supervision for sanction classifications and additional duties).