



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-01

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldерwoman Dowell asked if DHR is part of the staffing analysis for CPD and PSA.

DHR was not involved in the staffing analysis project with CPD nor PSA. Based on your inquiry, we reached out to CPD and received the attached copy of the professional services agreement and will follow-up with CPD to understand how we can assist.

As always, please let me know if you have any further questions.

ATTACHMENT A

Chicago Police Department Staffing Analysis Consultant

Introduction

In January 2019, the City of Chicago entered into a policing Consent Decree in *State of Illinois v. City of Chicago*, N.D. Ill. 17-cv-06260 (the "Consent Decree"). The Consent Decree sets forth numerous requirements for the Chicago Police Department ("CPD") to reform training, policies, and practices to ensure constitutional, effective, and transparent policing. CPD has developed ad hoc staffing analysis reports for various purposes over the years. While these previous efforts are many, none attempted a comprehensive staffing review of the entire Department.

Both police operations and reform strategies require careful planning of staffing levels and workforce allocation. It is imperative that CPD accomplish the changes the Consent Decree requires while maintaining the Department's need to ensure public safety. It is the CPD's hope that this staffing analysis will not only assist the Department with meeting the organization's operational needs, but will also facilitate a comprehensive community-oriented policing strategy that allows the CPD to engage in problem solving to address both quality-of-life and public safety concerns.

Paragraph 356¹ of the Consent Decree requires that CPD ensure staffing is allocated according to the requirements of the Consent Decree. Several paragraphs in the Consent Decree include staffing and other resource requirements. The unity of command/span of control requirement in the Bureau of Patrol of no more than 10 police officers to 1 sergeant is by far the largest component. A 1-to-1 field training officer to probationary police officer ratio, sufficient instructors to train recruits and officers, sufficient investigators to conduct misconduct investigations in a timely manner, sufficient clinicians for the professional counseling division, and sufficient certified CIT officers are also required by the Consent Decree. Further, sufficient resources for district efforts that incorporate strategies for

¹ See Appendix A

building community partnerships and using problem-solving techniques are also a requirement pursuant to ¶16 of the Consent Decree.

Additionally, the PERF BJA Report² recommends that there be enough detectives to handle a manageable caseload. Furthermore, CALEA requires a comprehensive workload assessment, task analysis, and classification plan.³ Please see Appendices A, B, and C for specific requirements.

To ensure the Department has sufficient staffing and efficient workforce allocation in the areas mentioned above, the Department requires a comprehensive agency-wide staffing level and workforce allocation analysis that addresses every Department bureau and unit and at every rank and position to include sworn and civilian members. Three core components frame this analysis: workforce allocation for the police patrol function, staffing methodology for non-patrol bureaus, and replicability for future analysis. For Patrol, the workforce allocation model should do the following:

- (1) Address the consent decree and other requirements;
- (2) Solve for how to achieve unity of command and span of control;
- (3) Account for demand factors such as population, crime rates, calls for service, consistent response times across districts, and officer time on/off radio;
- (4) Solve for ensuring the same team of officers works the same sector geography daily as well as make recommendations on the size of that geography for consideration;
- (5) Incorporate other staffing assumptions based on the Department's community policing strategy; and
- (6) Conduct an examination of total resources to determine where sufficient staffing to complete required tasks is negatively impacted by the resources available.

From operations to investigations to administrative roles, the Department relies on multiple job functions to execute its mission. The Department has multiple complexities that must be considered, including multiple collective bargaining agreements, 24/7/365 coverage, and a large degree of specialization across every Bureau of the Department. The workforce allocation model needs to develop staffing methodology for all non-patrol bureaus in the

² See Appendix B

³ See Appendix C

Department, inclusive of Consent Decree and other external requirements as well as national best practices. The Department is seeking to learn from other police departments' staffing level and workforce allocation analyses as well as other large organizations with similar complexities. The study should also seek to assist the department in identifying where increased civilianization in certain roles may aid in efficiency. While balancing these complexities, the Department must consider the well-being of all sworn and non-sworn members as burnout has been repeatedly cited as an issue that hinders sufficient staffing.

The Department requires a data-driven and updatable model, which is a work-load based⁴ model for non-patrol units and a geographic sector integrity⁵ model for patrol units, to propose workforce allocations with a dedicated steering committee and management system to manage workforce movement going forward. The model, steering committee, and management system will ensure our analysis aligns with the long-term considerations set forth in the Consent Decree and maximizes operational efficiency. The data-driven and updatable model would review current staffing, surface regular (e.g. annual) changes, and:

- Include clearly stated assumptions and data inputs that comply with currently known external requirements (stated above) and advance operational goals;
- be capable of adjusting assumptions for strategic needs, changing circumstances external and internal to the department and regular data analysis of inputs;
- include a repeatable process that enables long-term maintenance of these models by CPD, including roles, responsibilities and technical requirements;
- managed by a dedicated permanent Committee who reports to the Superintendent or their designee; and
- includes a management system for reviewing and making decisions based on the outputs of the model.

⁴ Workload based model is results from a workload analysis which involves the systematic evaluation and distribution of tasks and projects among employees to achieve a balance between productivity, quality, and employee allocation.

⁵ Geographic sector-integrity models involve officers being assigned to a consistent geographic area to ensure that members build a strong familiarity with the community they operate in. It will allow officers to become familiar with and actively contribute to problem solving efforts and address chronic crime conditions. Sectors should be staffed with necessary resources to address calls for service.

Further, this analysis should embody a workforce consistent with the Department's mission: "[CPD] as part of, and empowered by, the community, is committed to protecting the lives, property, and rights of all people, to maintain order, and enforce the law impartially. CPD will provide quality police service in partnership with other members of the community. To fulfill CPD's mission, CPD will strive to attain the highest degree of ethical behavior and professional conduct at all times."

A comprehensive final report including the data-driven model and related assumptions will be made publicly available. Publicly available content will not include any personally identifiable information.

Work Scope

Service to be performed by the consultant will be broken into the following phases with community engagement and status updates for both internal and external stakeholders (to include the IMT and the OAG) incorporated at each phase:

Foundation Phase: Guiding Principles

- Consultant will work with CPD and other identified stakeholders to align on vision, objectives, and guardrails to guide development of data-driven, geography-driven and updatable workforce allocation model
- Considerations will be given to incorporate the mission of the Department, including community policing principles, and requirements of CBU agreement and contracts (e.g. use of overtime)
- Establish steering committee, identify stakeholders assigned to participate and determine cadence of meetings (e.g. monthly throughout this effort). Department will consider appointing representatives from CPD leadership, funders, Mayor's Office representative, community representative(s), and CCPSA representative.
- Consultant will work with any additional local community engagement consultants engaged by the Department to integrate feedback from direct community engagement throughout this scope of work (in each phase as relevant)
- Consultant will work with CPD and other identified stakeholders to understand the scope, deliverables, and timeline of concurrent strategic efforts to determine

opportunities for coordination with and input into the workforce allocation analysis and model development. In addition, the consultant may be requested to provide feedback or input on these concurrent efforts. These other efforts are including but not limited to:

- Community policing strategy, including definition of role of beat officer and all other sworn officers as community policing officers (and related community engagement)
- Analysis of 911 calls for service (and related community engagement)
- Consultant will identify a list of data that is desired and/or needed to conduct the current state analyses in Phase 1.

Phase 1: Current State Analysis

The purpose of this phase is to develop a current state analysis, which includes the allocation of workforce and the process for allocation across all bureaus. Further, consideration of national best practices for workforce allocation processes will be reviewed.

Activities in this phase include:

- Document current allocation of CPD workforce by role across all Bureaus. Allocations should be assessed based on:
 - Budgeted roles
 - Roles filled on paper
 - Roles filled in practice
- Document current models used by CPD to allocate workforce across all Bureaus:
 - Bureau of Patrol
 - Bureau of Internal Affairs
 - Bureau of Detectives
 - Bureau of Counter-terrorism
 - Office of Constitutional Policing and Reform, to include:
 - Office of Community Policing (incl. Special Activities and Hate Crimes Units)
 - Training & Support Group
 - Force Review Division

- Professional Counseling Division (incl. peer support members, clinicians, and drug & alcohol counselors)
- Audit Division
- Document and assess the Department's current procedures for allocating personnel between units (to include a review of existing staffing models, the Notice of Job Opportunity (NOJO) process, transfer meetings, and other processes used to determine the assignment and transfer of personnel between units, including decision-making roles and responsibilities for these processes.
- Review best practices of processes/procedures used by peer departments to make staffing allocation decisions.
- Identify any gaps between what data is wanted and/or needed to conduct the staffing analyses and what data is actually being collected. These gaps may inform project design and assumptions for Phases 2 and 3, including whether any data should be collected on a temporary basis for the study.

Deliverables during this phase may include:

- Report of current allocation of workforce across all CPD Bureaus/Units/Divisions, by role and models currently used
- Consultant will refer to the Department's identification of specialized units and responsibilities, as well as the district strategic plans developed through community input
- Documentation of current state models and procedures for allocating personnel between units
- Synthesis of best practices of peer departments for personnel allocation
- Internal and external communication plans and community education materials for Phase 2

Phase 2: Bureau of Patrol Staffing Model

The second phase of the analysis should focus primarily on Bureau of Patrol staffing. This will include unity of command, span of control, geographic integrity, and other relevant

consent decree and external requirements. Additionally, demand factors such as population, crime rates, calls for service, consistent response times across districts, officer time on/off radio and any other staffing assumptions based on the Department's community policing strategy should be factors considered in developing recommendations for the size of patrol district sectors. When analyzing workload, the consultant should also consider the following factors:

- Event-specific training (DNC, Lollapalooza, Pride, etc.);
- Increased record-keeping associated with the Consent Decree, including data needed to show full compliance for section-specific requirements;
- "other work," such as: caseloads, court, training during shifts, police reports, evidence processing, administrative details, and break time.

In addition to recommending standard organizational charges for each district, activities may include:

- Assessing what changes are needed to ensure unity of command, a span of control of no more than 10 officers to 1 sergeant, and consistency of patrol deployments to the same geography.
- Reviewing best practices by peer departments for the assumptions and thresholds used in workload-based/demand-driven staffing models.
- Recommending assumptions and relevant thresholds to ensure the model is workload based, demand driven, and ensures equitable response times. These may include population density, crime trends/rates, call patterns, response times, or officer time on/off radio.

Deliverables during this phase may include:

- Synthesis of assumptions and thresholds used by peer departments (e.g. NYPD, LAPD) to guide staffing allocation models;
- Recommended standardized district organizational charts for Bureau, including relevant roles and reporting hierarchies;
- Proposed workload based and demand driven staffing model, including documentation of all key assumptions, metrics, and data sources;

- Proposed changes for geographic boundaries to sectors and beats needed to ensure unity of command, a span of control of no more than 10 officers to 1 sergeant, and consistency of patrol deployments to the same geography.
- Internal and external communication plans and community education materials for Phase 3

Phase 3: Staffing Analysis for Non-Patrol Bureaus

The primary focus of this phase is to develop staffing methodologies for all bureaus outside of the Bureau of Patrol. The Consultant will review best practices by peer departments for the assumptions and thresholds used in workload-based/demand-driven staffing models and then validate, augment, standardize, and/or create workload-based staffing models for select high-priority units. Each of the units below has recently utilized various workload-based staffing models that seek to quantify staffing needs in each unit.

These Bureaus include:

- Bureau of Internal Affairs – recommend model for number of BIA investigators, Accountability Sergeants, and other positions required, pursuant to requirements of paragraph 494b of the Consent Decree; and, recommend assumptions and methodology based on best practices.
- Bureau of Detectives – recommend model with assumptions and methodology based on PERF and CALEA requirements, as well as best practices. Consultant will consider factors such as scheduling requirements, caseload size and case assignment process, disposition of cases, closure rates, time to closure, and solvability.
- Bureau of Counterterrorism – recommend model with assumptions and methodology based on any external and CALEA requirements, as well as best practices. Consider factors such as: volume of narcotics and gang investigations at any point in time and the resources needed to fulfill those assumptions, as well as special events and the resources necessary in the special functions unit to adequately handle the overall number of special activities that the department routinely encounters. Additionally, factors such as when units are assigned to saturation patrol or other non-investigation driven assignments should be considered.

- Office of Constitutional Policing and Reform – Recommended model, assumptions and methodology based on consent decree and other external requirements and best practices, including the following units:
 - Office of Community Policing (incl. Crime Victim Services, Special Activities, and Hate Crimes Unit)
 - Training and Support Group – to include number of instructors and other positions required at the Academy
 - Tactical Review and Evaluation Division
 - Professional Counseling Division – to include peer support members, clinicians, and drug & alcohol counselors
 - Audit Division

Workload analysis on the above positions should also consider factors such as (1) increased record-keeping associated with the Consent Decree, including data needed to show full compliance for section-specific requirements; and evolving requirements and expectations for IT and records infrastructure. In addition, the consultant will include a review of best practices for staffing and training at the leadership level across Bureaus, assess the level of staffing and training needed at the leadership level, and make recommendations to ensure accountability, fidelity to strategic priorities, and consent decree implementation.

Deliverables during this phase may include:

- Synthesis of assumptions and thresholds used by peer departments (e.g. NYPD, LAPD) to guide staffing allocation models for relevant Bureaus;
- Recommended standardized district organizational charts for Bureau, including relevant roles and reporting hierarchies;
- Proposed workload-based and demand-driven staffing model, including documentation of all key assumptions, metrics, and data sources
- Recommendations for staffing and training at the leadership level across Bureaus (command staff)
- Internal and external communication plans and community education materials for Phase 4

Phase 4 – Design Process and Institutional Structure for Regular Staffing Analysis Across all Bureaus

The consultant will develop the process to replicate the comprehensive staffing methodology across Bureaus moving forward as well as recommendations for how CPD can institutionalize an improved staffing-decision-making structure in the future.

Activities during this phase may include:

- Document model development process (assumptions, thresholds, formula, data sources) across all Bureaus
- Outline a repeatable process, including steps, relevant roles, responsibilities, standard operating procedures, roles and decision-making structures for executing the staffing model and allocating personnel between units in coordination with all labor rules and contract requirements, which will be informed by best practices.

Deliverables of this phase may include:

- An updatable, data-driven model for workload-based staffing for each Bureau with comprehensive documentation (assumptions with rationale, formula, data sources, metrics for monitoring effectiveness, and documentation needed for regular updates)
- Recommendations for objectives and the structure of a dedicated Workforce Allocation Committee within CPD to execute the data-driven and updatable model
- Make workforce allocations recommendations on an ongoing basis
- A process for executing annual staffing analysis, review and reallocation processes including roles, responsibilities, decision-making processes and standard operating procedures, including options for how to incorporate meaningful community engagement as part of the annual process, e.g. direct engagement and a notice and comment process for each annual review

Phase 5 – Develop Implementation Plan

Activities to include:

- Outline recommended steps, major milestones, and timeline to stand up the dedicated Workforce Allocation Committee, which will consider resource requirements, training, internal communications and external communications plans

- Outline internal training requirements for CPD personnel across the Department
- Outline internal and external communications plan to accompany standing up the new dedicated Workforce Allocation Committee and annual reallocation process
- Develop community education materials that explain the substance and the rationale behind the staffing model
- Support community engagement consultant as needed to prepare for direct community engagement, notice and comment period as part of implementation

Deliverables may include:

- Implementation plan for standing up the dedicated Workforce Allocation Committee
- Training requirements for relevant CPD personnel
- Internal and external communications plans
- An overview of data, if any, that would be important to collect in the future to make the study replicable, efficient, and measurable over time

Preferred Qualifications

The Department is seeking an experienced, equity-minded consultation team with expertise in both law enforcement and workforce allocation. Other preferred qualifications include:

- Demonstrated ability to work collaboratively with multiple entities
- Demonstrated ability to produce excellent work product in a timely and efficient manner
- Significant experience working on complex compliance and regulatory matters
- Experience in providing comprehensive assessments of large organizations or across several agencies/departments
- Demonstrated commitment to the principles of equity and diversity in staffing
- Demonstrated ability to communicate clearly and effectively
- Demonstrated commitment to transparency and authentic community engagement

Equal Opportunity Employer

The City of Chicago is committed to creating an inclusive environment that promotes equity, including through equal opportunities. To advance these outcomes, the City of Chicago encourages minorities, women, veterans, and all other qualified applicants to apply.

The City of Chicago is proud to be an Equal Opportunity Employer. All qualified applicants will receive consideration for selection without regard to race, color, religion, gender, gender identity or expression, sexual orientation, national origin, genetics, disability, age, or veteran status.

Appendix A | CONSENT DECREE PARAGRAPHS

III. IMPARTIAL POLICING

A. Guiding Principles

49. The Parties agree that policing fairly, with courtesy and dignity, and without bias is central to promoting broad community engagement, fostering public confidence in CPD, and building partnerships between law enforcement and members of the Chicago community that support the effective delivery of police services.

B. Impartial Policing Policies and Procedures

1. General Policies and Procedures

52. In developing or revising policies and training referenced in this section, CPD will seek input from members of the community and community-based organizations with relevant knowledge and experience through community engagement efforts.

IV. CRISIS INTERVENTION

A. Guiding Principles

85. CPD officers will interact with individuals in crisis with dignity and respect. The use of trauma-informed crisis intervention techniques to respond appropriately to individuals in crisis will help CPD officers reduce the need to use force, improve safety in police interactions with individuals in crisis, promote the connection of individuals in crisis to the healthcare and available community-based service systems, and decrease unnecessary criminal justice involvement for individuals in crisis. CPD will allow officers sufficient time and resources to use appropriate crisis intervention techniques, including de-escalation techniques, to respond to and resolve incidents involving individuals in crisis. To achieve these outcomes, the City and CPD will implement the requirements set out below.

B. Crisis Intervention Team Program

91. Additionally, the City and CPD will ensure that the CIT Program has sufficient, dedicated district-level resources, consistent with the needs of each district identified by the District Commander and the CIT Coordinator, and approved by the Chief of the Bureau of Patrol, as needed to carry out the overall objectives and functions of the CIT Program at the district-

level, which include, but are not limited to:

- a. supporting officers in the district with incidents involving individuals in crisis;
- b. delivering CIT Program-approved roll call trainings and mental health awareness initiatives;
- c. establishing relationships between the district and local service providers and healthcare agencies;
- d. referring and, when appropriate, connecting individuals in crisis with local service providers;
- e. engaging with the community to raise awareness of the CIT Program and issues involving individuals in crisis; and
- f. providing administrative support to the coordinator of the CIT Program.

C. Certified CIT Officer Designation

92. Certified CIT Officers are officers who receive specialized training in responding to individuals in crisis. Certified CIT Officers retain their standard assignment and duties but may also take on specialized crisis intervention duties and are prioritized to respond to calls in the field identified as involving individuals in crisis, as assigned.

94. Under the direction of the CIT Coordinator, supervisors and instructors teaching crisis intervention-related topics will assist in identifying and recruiting qualified officers with apparent or demonstrated skills and abilities in crisis de-escalation and interacting with individuals in crisis to apply to receive CIT training

96. CPD's Basic CIT Training is an in-depth, specialized course that teaches officers how to recognize and effectively respond to individuals in crisis. In addition to the crisis intervention-related topics covered in the training provided to all officers, the Basic CIT Training will address signs and symptoms of individuals in crisis, suicide intervention, community resources, common mental health conditions and psychotropic medications, the effects of drug and alcohol abuse, perspectives of individuals with mental conditions and their family members, the rights of individuals with mental conditions, civil commitment criteria, crisis de-escalation, and scenario-based exercises.

97. CPD's CIT Refresher Training is a specialized, advanced training to further develop and

expand Certified CIT Officers' skills in recognizing and appropriately responding to calls for service that involve individuals in crisis. The CIT Refresher Training will include a review of the concepts, techniques, and practices offered in the Basic CIT Training as well as relevant and/or emerging topics in law enforcement responses to individuals in crisis, general and specific to CPD. Additionally, the CIT Refresher Training may cover the content included in the in-service crisis intervention training.

98. Certified CIT Officers may satisfy the in-service training requirements, as outlined in Part H, by completing the CIT Refresher Training.

99. Within 365 days of the Effective Date, the CIT Program staff, in coordination with the Education and Training Division will develop the CIT Refresher Training. The CIT Program staff will review and revise the CIT Refresher Training as necessary to ensure that Certified CIT Officers receive up-to-date training. The CIT Program will seek input from the Advisory Committee in the development of the refresher training.

100. All Certified CIT Officers who completed the Basic CIT Training before the development of the CIT Refresher Training must complete their first CIT Refresher Training within four years of the date that the CIT Refresher Training is developed. All Certified CIT Officers who complete Basic CIT Training on or after the date that the CIT Refresher Training is developed must complete their first CIT Refresher Training within three years of receiving the Basic CIT Training.

101. Certified CIT Officers who fail to complete the CIT Refresher Training within three years of taking their most recently required CIT Training, whether the Basic CIT Training or a prior CIT Refresher Training, will be deemed out of compliance with the CIT Program's CIT Refresher Training requirement. CPD will confirm on a quarterly basis that Certified CIT Officers remain in compliance with the CIT Refresher Training requirement. Any Certified CIT Officer found to be out of compliance during the quarterly review may not continue to be identified by CPD as a Certified CIT Officer and may not continue to be prioritized to respond to calls for service involving individuals in crisis. Each quarter, CPD will inform OEMC of officers who are out of compliance with the CIT Refresher Training requirement. An officer out of compliance with the CIT Refresher Training requirement must complete the most

recently offered version of the CIT Refresher Training before CPD may resume identifying the officer as a Certified CIT Officer and before OEMC may resume prioritizing that officer to respond in the field to calls involving individuals in crisis.

102. All newly assigned Field Training Officers (“FTOs”) and promoted Sergeants and Lieutenants will continue to receive the Basic CIT Training. To be considered Certified CIT Officers, FTOs, Sergeants, and Lieutenants must meet the eligibility criteria and training requirements established by the CIT Program and this Agreement.

103. The CIT Program staff responsible for the CIT training curriculum will, where it would add to the quality or effectiveness of the training and when feasible and appropriate, encourage and seek the participation of professionals and advocates who work with individuals in crisis, and persons with lived experiences of behavioral or mental health crisis, including those with involvement in the criminal justice system, in developing and delivering CPD CIT trainings.

105. CPD will continue to maintain an up-to-date list of Certified CIT Officers, including their unit of assignment. D. Certified CIT Officer Implementation Plan and Response to Incidents

D. Certified CIT Officer Implementation Plan and Response to Incidents

106. CPD will require that, when available, at least one Certified CIT Officer will respond to any incident identified as involving an individual in crisis. Certified CIT Officers will continue to be prioritized for dispatch to incidents identified as involving individuals in crisis, as assigned. CPD will review and revise the appropriate policies to ensure that, in situations in which a Certified CIT Officer is not available to respond to a call or incident identified as involving an individual in crisis, the responding officer engages in crisis intervention response techniques, as appropriate and consistent with CPD policy and their training, throughout the incident. Responding officers will document all incidents involving an individual in crisis in a manner consistent with this Agreement

107. Within 180 days of the Effective Date, and quarterly thereafter, CPD will collect and analyze the number of calls for service identified as involving individuals in crisis for every

watch in each district to evaluate the number of Certified CIT Officers needed to timely respond to incidents and to assess the Department's progress towards achieving the response ratio targets. The number of Certified CIT Officers on each watch in every district will be driven by the demand for crisis intervention services for the particular watch and district.

108. Within 180 days of the Effective Date, CPD will develop an implementation plan ("CIT Officer Implementation Plan") based on, at a minimum, its analysis of the demand for crisis intervention services for each watch in each district. The CIT Officer Implementation Plan will identify the number of Certified CIT Officers necessary, absent extraordinary circumstances, to meet the following response ratio targets:

- a. a sufficient number of Certified CIT Officers to ensure that Certified CIT Officers are available on every watch in each district to timely respond to at least 50% of the calls for service identified as involving individuals in crisis, absent extraordinary circumstances ("initial response ratio target"); and
- b. a sufficient number of Certified CIT Officers to ensure that Certified CIT Officers are available on every watch in each district to timely respond to at least 75% of the calls for service identified as involving individuals in crisis, absent extraordinary circumstances ("second response ratio target").

109. The CIT Officer Implementation Plan will further identify the steps that are necessary to meet and maintain the initial response ratio target by January 1, 2020, and the second response ratio target by January 1, 2022 and the strategies, methods, and actions CPD will implement to make progress to timely achieve and maintain these response ratio targets.

110. Within 180 days of completing the CIT Officer Implementation Plan, and annually thereafter, CPD will submit a report to the Monitor and the Office of the Attorney General ("OAG") regarding the progress the Department has made to meet: (a) the response ratio targets ("Implementation Plan Goals") identified in the Implementation Plan and (b) the number of Certified CIT Officers identified as necessary to achieve the response ratio targets. The Monitor and OAG will have 30 days to respond in writing to CPD's progress report. The Monitor and CPD will publish CPD's report and the Monitor's and OAG's

response, if any, within in 45 days of the date CPD submitted the progress report to the Monitor and OAG.

111. Through the execution of the CIT Officer Implementation Plan, CPD will ensure that it maintains a sufficient number of Certified CIT Officers on duty on every watch of each district to help ensure that a Certified CIT Officer is available to timely respond to each incident identified as involving individuals in crisis, absent extraordinary circumstances.

F. Crisis Intervention Reporting and Data

120. CPD will collect, analyze, and report data regarding the number and types of incidents involving individuals in crisis and responses of CPD officers to such events to assess staffing and deployment of Certified CIT Officers and department-wide responses to individuals in crisis. The CIT Program will review the data contained within the submitted CIT Reports, or any similar form of documentation CPD may implement, to evaluate the overall response and effectiveness by CPD officers and identify any district-level and department-wide trends regarding responses to incidents identified as involving individuals in crisis.

121. CPD will identify and assign a sufficient number of data analysts to collect and analyze data related to the CIT Program and CPD's response to incidents involving individuals in crisis.

G. Crisis Intervention Plan

122. Within 365 days of the Effective Date, and on an annual basis thereafter, the City will publish a written Crisis Intervention Plan. The development of the Crisis Intervention Plan will be based on the regular review of aggregate data and a sample of incidents conducted by CPD and OEMC. The CIT Coordinator will consider quantitative crisis-intervention data, qualitative data on officers' and community members' perception of the effectiveness of the CIT Program, CPD member feedback regarding crisis intervention-related training, actual incident information, staffing and deployment analysis of available Certified CIT officers, research reflecting the latest in best practices for police responses to individuals in crisis, and any feedback and recommendations from the Advisory Committee. OEMC will consider the response to, identification of, and dispatch of calls for service involving individuals in crisis by OEMC tele-communicators, research reflecting the latest in best practices for tele-

communicator responses to individuals in crisis, and any feedback and recommendations from the Advisory Committee.

123. The purpose of the Crisis Intervention Plan will be to evaluate the City's identification of and response to incidents involving individuals in crisis and recommend any changes to staffing and deployment, policy, or training to ensure consistency with CPD and OEMC policy, this Agreement, and best practices. CPD will implement the Crisis Intervention Plan in accordance with the specified timeline for implementation. The Crisis Intervention Plan will:

- a. report the number, type, and outcome of incidents involving individuals in crisis, the number of Certified CIT Officers available and on duty in each district and on each watch, the percentage of calls for service involving individuals in crisis for which Certified CIT Officers were the first officers to respond to the scene for each watch in every district, and the response times for calls for service involving individuals in crisis for each watch in every district;
- b. evaluate the CIT Program's compliance with the objectives and functions identified above;
- c. identify strategies to ensure that CPD has a sufficient number of Certified CIT Officers to meet its response ratio targets for calls for service involving individuals in crisis;
- d. describe any additional resources, including program staff or equipment, the CIT Program needs to perform its functions;
- e. identify safety issues and trends regarding interactions between individuals in crisis and officers;
- f. identify deficiencies and opportunities for improvement in identifying and dispatching calls for service involving individuals in crisis;
- g. recognize and highlight CIT Program and Certified CIT Officer successes, including successful individual officer performance;
- h. develop response strategies for repeat calls for service involving individuals who are frequently in crisis;
- i. recommend any changes to crisis intervention-related strategies, policies, and procedures;
- j. recommend any changes to CPD and OEMC trainings related to individuals in crisis, including any case studies and teaching scenarios; and

- k. include a timeline and plan for implementing recommended changes.

V. USE OF FORCE

A. Objectives

155. CPD officers have the authority to use force, but that authority is limited by the law and Department policy. The provisions of this Agreement seek to facilitate compliance with the law and Department policy regarding the use of force to reduce the circumstances in which using force is necessary, and to ensure accountability when CPD officers use force that is not objectively reasonable, necessary, and proportional under the totality of the circumstances.

156. CPD's use of force policies and training, supervision, and accountability systems will be designed, implemented, and maintained so that CPD members:

- a. act at all times in a manner consistent with the sanctity of human life;
- b. act at all times with a high degree of ethics, professionalism, and respect for the public;
- c. use de-escalation techniques to prevent or reduce the need for force whenever safe and feasible;

VII. TRAINING

D. Instructor Selection and Development

282. All CPD training instructors must be appropriately qualified for their instructional roles and use only approved curricula and lesson plans. CPD will actively recruit and retain qualified instructors to ensure that CPD has sufficient qualified instructors to meet the needs of the Department and requirements of the Training Plan.

H. Field Training and Evaluation Program

298. An effective field training program is necessary for reinforcing the policies, practices, and skills taught in recruit training and instilling in new police officers the principles of safe, effective, and lawful policing that will guide them throughout their careers. CPD will sufficiently staff, supervise, and manage its field training program ("Field Training and Evaluation Program") to train and evaluate new officers in the necessary skills required to deescalate or use force in accordance with the sanctity of life, the law, CPD policy, and this Agreement.

H. Field Training and Evaluation Program

301. CPD will review and revise as necessary its FTO selection policies and procedures to establish and implement a program that effectively attracts and retains qualified FTOs

302. CPD's policies and procedures will continue to delineate the criteria and methodology for selecting FTOs. Subject to its collective bargaining agreements with the CPD unions, CPD will review and, as appropriate, revise its eligibility criteria and promotional practices to ensure that FTOs are selected based on their applications, previous performance as police officers, FTO training examination scores, and disciplinary histories.

305. CPD will revise the Field Training and Evaluation Program to ensure that no more than one PPO is assigned to an FTO during each training cycle. The City will provide CPD with the necessary support and resources to designate a sufficient number of FTOs to meet the requirements of this Agreement. Officers performing FTO duties in a temporary capacity are considered FTOs under this Agreement so long as they meet the requirements set forth for FTOs in this Agreement, except for the selection requirements.

306. CPD will ensure that PPOs in the Field Training and Evaluation Program train with different FTOs during each of their training cycles.

307. CPD will ensure that PPOs awaiting assignment to an FTO will not be placed on assignments in the field without adequate supervision. CPD will track and document all instances of PPOs placed in field assignments prior to starting the Field Training and Evaluation Program.

VII. SUPERVISION

A. Guiding Principles

343. CPD should have the staffing necessary to promote lawful, safe, effective, and community-centered policing; provide effective supervision; ensure officer safety and accountability; and implement the terms of this Agreement.

C. Staffing, Allocation, and Deployment

1. Generally

356. As otherwise set out in this Agreement, CPD will ensure that it makes staffing and allocation decisions that provide for:

- a. the number of patrol field supervisors to ensure span of control and unity of command as required in this Part;
- b. the number of well-trained, qualified FTOs, as required in Part H of the Training section of this Agreement;
- c. the number of well-trained, qualified staff to train recruits and officers, as required in Part D of the Training section of this Agreement;
- d. the number of well-trained, qualified staff to conduct timely misconduct investigations, as required in the Accountability and Transparency section of this Agreement;
- e. the number of certified CIT Officers, as required in Part D of the Crisis Intervention section of this Agreement; and
- f. the number of officer assistance and wellness staff as required in the Officer Wellness and Support section of this Agreement.

2. Unity of Command and Span of Control

360. By January 1, 2020, CPD will develop a staffing model to achieve the principles of unity of command and span of control. CPD's staffing model will identify methods to implement unity of command and a span of control ratio of no more than ten officers to one Sergeant for all field units on each watch in each of CPD's patrol districts. To achieve this objective, CPD will maintain, at a minimum, one Sergeant for each sector.

361. In order to achieve unity of command and a span of control of no more than ten officers to one Sergeant in the field units on each watch in each patrol district, the staffing model may consider:

- a. staffing requirements for watch operations, including, but not limited to, watch personnel assigned to field duties and watch administration functions;
- b. staffing requirements for all other district law enforcement functions, including, but not limited to, district administration, community policing, and tactical teams;

- c. data-driven resource allocation methods incorporating district-specific factors, including, but not limited to, calls for service, public violence, and property crime; and
- d. any other considerations CPD deems relevant to achieving unity of command and a span of control ratio of no more than ten officers to one Sergeant in all field units on each watch of the City's patrol districts.

364. Beginning no later than January 31, 2020, CPD will begin to implement a staffing model to achieve unity of command and a span of control ratio of no more than ten officers to one Sergeant assigned to field units on each watch in each patrol district.

366. CPD will continue to maintain unity of command and a span of control ratio of no more than ten officers to one Sergeant for district tactical teams and area saturation teams.

367. CPD may review and revise its staffing model as necessary to ensure that all field units on each watch in each patrol district achieve unity of command and a span of control ratio of no more than ten officers to one Sergeant.

IX. OFFICER WELLNESS AND SUPPORT

1. Officer Support Systems Plan

383. The needs assessment should analyze, at a minimum:

- a. staffing levels in CPD's Professional Counseling Division;
- b. the current workload of the licensed mental health professionals and drug and alcohol counselors employed by CPD;
- c. how long it takes CPD members requesting counseling services to be seen by a licensed mental health professional or drug and alcohol counselor;
- d. the professional specialties of CPD's licensed mental health professionals;
- e. the frequency and reasons for referrals of CPD members to clinical service providers external to CPD and the quality of those services;
- f. CPD member feedback, through statistically valid surveys that ensure anonymity to participants consistent with established Professional Counseling Division guidelines, regarding the scope and nature of the support services needs of CPD members and

- the quality and availability of services and programs currently provided through the Employee Assistance Program;
- g. similar mental health services offered in other large departments, including the ratio of licensed mental health professionals to sworn officers and the number of counseling hours provided per counselor per week;
 - h. guidance available from law enforcement professional associations;
 - i. the frequency and adequacy of CPD's communications to CPD members regarding the support services available to them;
 - j. the frequency, quality, and demand for in-service trainings related to stress management, officer wellness, and related topics; and
 - k. the quality of recruit training related to stress management, officer wellness, and related topics.

389. At least annually, the Director of the Professional Counseling Division will provide a written report to the Superintendent, through his or her chain of command, that includes anonymized data regarding support services provided to CPD members, how long it takes CPD members requesting counseling services to receive them, and other metrics related to the quality and availability of these services. This report will also contain resource, training, and policy recommendations necessary to ensure that the support services available to CPD members reasonably address their identified needs and comply with the Officer Support Systems Plan

391. CPD will initially increase the staffing level in its Professional Counseling Division to at least ten full-time licensed mental health professionals (or a combination of full and part-time licensed mental health professionals capable of providing an equivalent amount of weekly clinical therapy hours) by January 1, 2020. CPD may contract with licensed mental health professionals external to CPD on an interim basis while CPD completes the process for creating these new positions and hiring individuals to fill them. Additional changes to staffing levels will be made consistent with the results of the needs assessment and Officer Support Systems Plan.

392. CPD will ensure that its staff of licensed mental health professionals includes individuals with specialized training in one or more of each of the following subjects: posttraumatic stress disorder, domestic violence, alcohol and substance abuse, anger

management, depression, and anxiety.

393. In order to provide support services that are culturally appropriate, sensitive to differing circumstances, and attentive to the issues facing all CPD members, including, but not limited to, women, people of color, religious minorities, and LGBTQI individuals, CPD will ensure that: a. the licensed mental health professionals and counselors employed by CPD are trained and equipped to provide services in a manner respectful of these diverse experiences and perspectives; b. CPD members receiving services have the opportunity to provide feedback regarding whether such services are culturally appropriate and adapted to diverse experiences and perspectives; and c. appropriate corrective action is taken to the extent necessary based on feedback received.

3. Alcohol and Other Addiction Services

399. CPD will ensure the number of drug and alcohol counselors available, either on staff or through referrals, meets the needs of CPD members consistent with the needs assessment and the Officer Support System Plan.

X. ACCOUNTABILITY AND TRANSPARENCY

1. Investigative Practices

a. Preliminary Investigations

459. Within 30 days of receiving an allegation: a. COPA and BIA will assess the allegation to determine whether the complainant has alleged potential misconduct; and b. if potential misconduct is alleged, COPA, BIA, or the district will initiate a preliminary investigation into the complaint.

460. Preliminary investigations will take all reasonable steps to discover any and all objective verifiable evidence relevant to the complaint or administrative notification through the identification, retention, review, and analysis of all available evidence, including, but not limited to: all time-sensitive evidence, audio and video evidence, physical evidence, arrest reports, photographic evidence, GPS records, computer data, and witness interviews. All reasonable steps will be taken to preserve relevant evidence identified during the preliminary investigation.

494. CPD will require that:

b. beginning in 2020, and by January 31, 2022, each District Commander designates at least two Accountability Sergeants who will report to the District Commander, and whose primary responsibility is receiving, processing, and investigating complaints against CPD members;

G. Staffing and Equipment Needs

522. Within 365 days of the Effective Date, COPA, the Deputy PSIG, and BIA will create separate staffing and equipment-needs plans. Such plans will include analyses setting forth the basis for the plans' staffing requirements and equipment needs assessments. CPD will implement the staffing and equipment-needs plans in accordance with the specified timeline for implementation.

523. On an annual basis, COPA, the Deputy PSIG, and BIA will review and revise, if needed, each entity's respective staffing and equipment-needs plans.

524. BIA's staffing and equipment-needs plans will include the investigation staffing and equipment needs of the districts.

525. Within 60 days of the Effective Date, the City will propose a permanent method of selecting the Chief Administrator of COPA. In creating the permanent selection method for COPA's Chief Administrator, the City will consider the views and recommendations of community stakeholders.

APPENDIX B | PERF RECOMENDATIONS

Recommendation #1: The CPD should revise its organizational structure to create a specific “Homicide Unit” within the Bureau of Detectives.

Recommendation #3: The Bureau of Detectives should be organized and staffed in a way that promotes accountability and collaboration. Each Detective Area should include squads of specifically trained detectives who handle only homicides (and possibly serious, life-threatening assaults).

Recommendation #4: The City and the Police Department should increase the number of homicide sergeants and detectives to meet the Bureau of Detectives’ authorized strength.

Recommendation #16: The CPD Bureau of Detectives should ensure that all units involved in homicide and nonfatal shooting investigations have the staffing needed to respond to the scene quickly and perform their jobs effectively and efficiently.

Recommendation #54: The Bureau of Detectives should evaluate the staffing levels of the Forensic Services Division and, if necessary, increase the authorized strength of the unit. The staffing levels should ensure an adequate number of personnel are available to respond to homicides and thoroughly process and test evidence in a timely fashion.

Recommendation #57: The CPD should consider creating a new classification of ETs who have the interest, training, and experience to work homicide scenes.

APPENDIX C | CALEA STANDARDS

21.2.4

(N/A O M M) Workload Assessments

A written directive requires documented workload assessments of all organizational components be conducted at least once every four years and shall include:

- a. designation of position responsible for assessments;*
- b. assessment methodology to be used for each component; and*
- c. conclusions and recommendations for distribution / allocation of personnel.*

Commentary

The intent of the standard is to encourage the equalization of individual workloads among and within organizational components. The written directive should include the position within the organization having responsibility for coordinating the workload assessment process. Due to unique characteristics of some components within an organization, the methodology used to conduct workload assessments may vary. The methodology used for each component should be clearly defined to ensure as much consistency as possible. The analysis should specify all incidents and factors used in making each workload assessment and indicate any time and location factors necessary to complete a task. The method used to determine workload assessments in the patrol component may differ from other components within the agency. However, all components should receive an assessment.

Basing the allocation of personnel on workload demands can have a significant influence on the efficiency and effectiveness of the agency. The agency should attempt to prevent over or understaffing by ensuring that the personnel strength of an organizational component is consistent with the workload. The nature or number of tasks and their complexity, location, and time required for completion are some of the factors influencing workload demands. The process of allocating personnel to each organizational component also permits the agency to determine the overall number of personnel required to meet its needs and fulfill its objectives.

The allocation of personnel to the patrol component should, at a minimum, take into account the number of incidents handled by patrol personnel during the specified

period; the average time required to handle an incident at the patrol level, which can be computed through a sampling of cases; calculation of the percent of time, on the average, that should be available to the patrol officer for handling incidents during a specified period, such as an eight-hour shift; and time lost through days off, holidays, and other leave, compared to total time required for each patrol assignment.

Patrol personnel should be distributed in accordance with temporal and geographic distribution of incidents or in accordance with community policing strategies. This is one of the primary means of improving the agency efficiency and effectiveness. The agency's system for determining the appropriate proportional distribution should take into account incidents, locations, variations in workload, and deployment strategies. (N/A O M M)

21.1.1

(O O O O) Task Analysis

A written task analysis of every class of full-time employee in the agency is conducted, maintained on file and includes, at a minimum:

- a. *the work behaviors (duties, responsibilities, functions, tasks, etc.);*
- b. *the frequency with which the work behaviors occur;*
- c. *how critical the work behaviors are; and*
- d. *the job-related knowledge, skills, and abilities needed to perform the work behaviors effectively.*

Commentary

A task analysis is basic to proper human resource management. Analyses should be required for all classes of full-time employees in the agency. Hiring, promotion, training, and job performance evaluation criteria should be established by task analysis.

Pertinent information about work behaviors may be obtained through observation, individual or group interviews, content analysis of work products, and questionnaires. After the work behaviors have been defined either in terms of

duties, tasks, functions, or other grouping scheme, a similar process should be employed to define the knowledge, skills, and abilities required of the employee in performing the important work behaviors.

The task analysis should produce information about the employee class that is specific, objective, comprehensive, and, most importantly, verifiable by independent review. The results of the study should be incorporated in job descriptions prepared by the agency.

Analyses should be guided by personnel, either inside or outside the agency, who possess training and/or experience in evaluating jobs. Incumbents and their first- and second-level supervisors should be viewed as significant sources of information concerning the employee classes under study.

The analyses should be updated when significant changes in the employee classes occur, whether through attrition, modification, or deletion of duties and responsibilities, e.g., may be done in conjunction with changes in departmental functions, staff inspection, or changes in organizational strategies. (O O O O)

21.2.1

(N/A O O O) Classification Plan

The agency has a written classification plan, that includes:

- a. categorization of every job by class on the basis of similarities in duties, responsibilities, and qualification requirements;*
- b. class specifications;*
- c. provisions for relating compensation to classes; and*
- d. provisions for reclassification.*

Commentary

Classification involves describing the different kinds of work performed in an agency and consolidating similar jobs into classes based upon similarity of duties and responsibilities. Since classes in a law enforcement agency are usually linked to rank, the classification plan should specify the class titles and general duties, responsibilities, and qualifications for each traditional rank in the agency, such as police officer, deputy sheriff, sergeant, lieutenant, captain, and chief. Agencies utilizing full or part-time personnel, or volunteers charged with performing sworn law enforcement duties, should describe and have classification plans for each of these positions. The establishment of a structured classification plan with general requirements for each class should allow agencies to achieve more efficient administration, compensation, and equitable treatment of personnel. (N/A O O O)



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-02

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Ramirez asked to provide the number of City employees by ward.

Below is a count of City of Chicago employees by ward.

Ward	Employee by Wards
1	247
2	150
3	534
4	538
5	346
6	620
7	486
8	749
9	684
10	794
11	797
12	295
13	2048
14	297

Ward	Employee by Wards
15	300
16	293
17	503
18	1251
19	3878
20	368
21	1042
22	230
23	1156
24	314
25	415
26	359
27	404
28	339
29	814
30	579
31	350
32	224
33	303
34	219
35	353
36	475
37	384
38	1671
39	859
40	296
41	3069
42	248
43	125
44	183
45	1263
46	266
47	348
48	232
49	282
50	257
Undetermined	115
Grand Total	32352

As always, please let me know if you have any further questions.



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-03

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Vasquez asked to provide list of EEO complaints and categories since May 2023 and nature of occurrences.

Due to the sensitive nature of the complaints, we welcome a conversation with you about the EEO complaints received since May 2023.

As always, please let me know if you have any further questions.



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-04

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Vasquez asked to provide step-by-step procedures on how disciplines are dealt with.

For your reference, please review the attached DHR Discipline Presentation file.

As always, please let me know if you have any further questions.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Employee Discipline

DHR – Labor Relations

Donald O’Neill, Andre Payne, CM Winters Palacio



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO



DEPARTMENT OF HUMAN RESOURCES CITY OF CHICAGO

FUNCTION :	DHR - Labor Relations Standard Operating Procedure
SOP:	Discipline
PURPOSE:	To establish the Department of Human Resource's procedures for discipline.
AUDIENCE:	City of Chicago Labor Relations & Human Resources Liaison's
AUTHORITY:	Department of Human Resources (DHR) Personnel Rules, Rule XVIII: Section 1-6

I. RULES

DHR has the right and obligation to take appropriate disciplinary action against any employee who has violated the City of Chicago Personnel Rules, policies and procedures, and any applicable collective bargaining agreement.

Discipline shall be administered as soon as possible after the employer has had a reasonable opportunity to further investigate the matter as appropriate.



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CITY OF CHICAGO

II. Definition

- **Progressive Discipline** - A systemic approach to prevent unwanted behavior and deter its occurrence by administering disciplinary actions based upon various factors, including, but not limited to, the severity of the infraction, the number of times it has occurred, and the totality of the circumstances surrounding the misconduct.
- Employees have a right to discipline that is administered in a fair and consistent manner. DHR reserves the right to **progress** to a higher level of disciplinary action based on the circumstances, severity, and frequency of the violation.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

PROCESS, FLOW & PROCEDURES

Gather Evidence & Consult with Labor Relations

Once an employee's immediate supervisor identifies or is made aware of a violation, the immediate supervisor must first gather any relevant evidence and consult with DHR-Labor Relations for guidance on conducting the pre-disciplinary meeting.

✓ **Fact Check :**

- ✓ Did the employee's conduct violate the City's Personnel Rules or any City policy?
- ✓ Has the employee received prior discipline for similar misconduct over the past 18-months?
- ✓ Did the employee or Union provide a defense for the employee misconduct?
 - ✓ i.e. Concerns for employee ADA, FMLA, VESSA, etc.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

PROCESS, FLOW & PROCEDURES

After consultation with Labor Relations, the immediate supervisor completes and presents the accused employee with a Pre-Disciplinary Meeting Notice.

- ✓ This notice includes a description of the violation, the rule violated, the date and location of occurrence, the meeting date and time as well as any supporting documentation (e.g. witness statements, time, and attendance records, etc.).
- ✓ The pre-disciplinary meeting will be scheduled by the employee's supervisor to occur 72 hours or more after the notice is received by the accused employee based on the employee's availability and that of Collective Bargaining Union (CBU) representation, if applicable.
- ✓ Pre-disciplinary meetings are conducted on the scheduled meeting date and time.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

FORMS, DOCUMENTS & RESOURCES

Documents needed to complete this process are available electronically on the City's intranet



DEPARTMENT OF HUMAN RESOURCES
 CITY OF CHICAGO

TO: Employee
 FROM: Manager / Supervisor
 RE: PRE-DISCIPLINARY NOTICE
 DATE: July 1, 2024

You are scheduled to report to 121 N. LaSalle Street, Suite 1104 for a Pre-Disciplinary Meeting on July 4, 2024.

This meeting is being held in accordance with the City of Chicago, Personnel Rule XVIII, Section 1, and your collective bargaining agreement. You are entitled to Union representation at this meeting.

Specifically, the alleged misconduct is:

Subsection – 54. Any act of violence in the workplace or violation of the City's Violence in the Workplace Policy.

Violence, as the term is used in the City's Violence in the Workplace Policy, includes written or verbal communications, whether direct or indirect, which are of a threatening, intimidating or coercive nature; the threat or use of physical force, including fighting or horseplay; stalking; vandalism or destruction of property; and the use or possession of any weapon and/or ammunition, unless the specific weapon and/or ammunition is authorized by the City for a particular work assignment. For the purpose of this paragraph, violence does not include actions taken by sworn Police Officers or security personnel within the scope of their employment, but does include such employees' actions with respect to co-workers.

cc: <Name>
 Department Head

<Name>
 Union Rep - Local #

121 NORTH LASALLE STREET, CHICAGO, ILLINOIS 60602



CITY OF CHICAGO
 NOTICE OF PROGRESSIVE DISCIPLINE

CONFIDENTIAL

Employee's Name:	Employee's Title:
Supervisor's Name:	Supervisor's Title:
Division/Bureau/Dept:	Date of Incident: See incident description below.

You are receiving this notice according to the provisions of Rule XVIII of the City of Chicago Personnel Rules due to a violation of:

Category	
<input type="checkbox"/> Criminal or Improper Conduct	<input type="checkbox"/> Misrepresentation
<input checked="" type="checkbox"/> Violation of City Policy or Rule	<input type="checkbox"/> Tardiness or Absenteeism
<input checked="" type="checkbox"/> Conduct Involving Job Performance or Substandard Work Performance	

Subsection
Subsection Number: Personnel Rule XVIII, Section 1 (25); Personnel Rule XVIII, Section 1 (39); Personnel Rule XVIII, Section 1 (50)

<input type="checkbox"/> Verbal Counseling	Date of Verbal Counseling:
Verbal Counseling does not require employee's signature and is not placed in the employee's personnel file folder.	
Level of Discipline	
<input checked="" type="checkbox"/> Notice of Reprimand	<input type="checkbox"/> Notice of Suspension
<input type="checkbox"/> Oral <input checked="" type="checkbox"/> Written	Effective date: Return to work date:
Date of Reprimand: August 23, 2023	Effective time: Number of calendar days of suspension:

Prior Notices of Progressive Discipline		
Date of Notice	Level of Discipline	Category/Subsection



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Pre-Disciplinary Meeting

- ✓ Individuals in attendance at the meeting may include the employee, the supervisor, the presiding manager over his or her DHR section (Section Manager), and a CBU representative.
 - ❑ At the meeting, the accused employee will have an opportunity to respond to the violation and present additional information, if applicable.
 - ❑ Any new information provided by any of the attendees will be reviewed at the meeting.
 - ❑ If new information is inconsistent with the violation presented at the meeting, the complaining supervisor may have to conduct additional activities (e.g. research, interviewing witnesses, etc.), include such information as supporting documentation, and schedule a new meeting.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

At the pre-disciplinary meeting...

- Remember, the pre disciplinary meeting is a fact-finding discussion. It is okay to regroup to consult with management or Labor Relations; no decisions need to be finalized during this meeting.
- Unions usually will posture in a Union meeting with management.
 - The Union steward or representative may behave badly, use profanity, name calling, be angry, engage in personal attacks. Do not discipline or retaliate or hold a grudge. End the meeting, walk out.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Determination of Discipline & Notification to the Employee

Once the pre-disciplinary meeting is completed, the supervisor makes a determination of disciplinary action to be taken and notifies Labor Relations.

- ✓ The immediate supervisor provides the Pre-Disciplinary Meeting Notice and any supporting documentation to DHR Labor Relations for review.

Labor Relations reviews such documentation for fairness, consistency and uniformity and provides a recommendation to the Section Manager for his or her consideration.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

PERSONNEL RULE XVIII, SECTION 2(b)
PROGRESSIVE DISCIPLINE

DISCIPLINARY ACTION(s):

Reprimand, oral or in writing, expresses formal disapproval an employee's actions, but carry's no loss of privileges and is made part of the employee's record.

Suspension, is the temporary removal from employment, accompanied by a concurrent and temporary loss of the privileges of employment, including, but not limited to, salary or wages. The department head has authority to suspend an employee for thirty (30) days or less.

Demotion, is the reduction of the grade or class of employment and corresponding permanent reduction in salary or wages.

Discharge, is the act of dismissal from employment and the permanent loss of all privileges of employment. Discharge includes the withdrawal of any right to reinstatement from layoff or leave of absence.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Determination of Discipline & Notification to the Employee

The Notice of Progressive Discipline is completed by the immediate supervisor, detailing the nature and effective date(s) of the disciplinary action to be implemented:

- In the case of disciplinary suspensions, effective dates of suspension may be determined by the employee supervisor based on operational needs.
- Once complete, the complaining supervisor signs the notice and presents it to the accused employee for his or her signature to acknowledge receipt.
- The complaining supervisor retains this notice and provides copies to the accused employee, DHR Labor Relations and a CBU representative.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Employee Appeal

Employee Accepts, Appeals or Grieves Action – The accused employee has the option to accept, appeal or grieve the disciplinary action as follows:

Accept – If accepted by the employee, the discipline process is complete.

Grieve – The employee may file a grievance in accordance with his or her respective CBA

Appeal – The employee may appeal to Labor Relations in accordance with his or her CBA agreement or to the City of Chicago Human Resources Board (HRB).

Timeframe – The timeline for grievance must be filed are specified in an employee's CBA

If disciplinary action is taken after the meeting or further investigation, the employee may request in writing to the department head a review of the said disciplinary action on a form provided by the Employer.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Employee Appeal



Said request for review shall be in writing and submitted within **three (3)** working days of receipt of written notice of discipline. Said review form shall be printed on the back of the notice of discipline together with instructions for the appeal. Failure to submit a written request for review of disciplinary action within **three (3)** working days of receipt of notice of disciplinary action will preclude the employee's right to review Procedure For Department Review of Disciplinary Action



Within 5 working days after an employees receives written notice of any proposed disciplinary action, including a suspension for ten (10) days or less which is not appealable to the Personnel or Police Board, or in the case of suspensions of 11 or mores days which may be appealed to arbitration in lieu of the Police or Personnel Board upon the written request of the Union, the Employer shall conduct a meeting with the union and employee.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

The employee appeals or the union files a grievance...

Make sure to understand what the union is claiming. If it is not clear from reading the grievance, get clarification from the union as to:

- ✓ What the City allegedly did that the union believes violated the Contract;
- ✓ When the alleged violation occurred;
- ✓ What specific provisions of the Contract, or alleged past practices, the union believes were violated;
- ✓ On whose behalf the union is seeking a remedy;
- ✓ What remedy is the union seeking.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

The employee appeals or the union files a grievance...

Put the union on written notice of any arbitrability issues the City is raising. The most common bases for the City to claim that a grievance is not arbitrable are:

- i. The grievance was not filed, or appealed, in accordance with the time limits specified in the Contract.
- a. Explain to the Union the City's position on the grievance.
- b. Explore any possible settlement of the grievance.
- c. Explain to the union why the grievance may be frivolous, provide any information that will assist the union in determining to withdraw the grievance and move on to discuss the next matter.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Possibilities for Settlement ???

Provide a final written response to Grievances not settled during the grievance procedure after discussion with the union. This will begin the timeline for the union to demand arbitration and allow the City department to keep its docket clear of stale grievances.

- ✓ Summarize the union's position, including the specifics of what the union is alleging. This will help foreclose any attempts by the union to expand the grievance after completion of the grievance procedure.
- ✓ Briefly and clearly state the City's position on the grievance.
- ✓ Note any arbitrability issues raised by the City and the date the response was provided to the Union.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Possibilities for Settlement ???

Written settlement agreements should be kept as simple as possible & should include the following:

- a. The union's agreement to withdraw the grievance (and any related claims)
- b. Exactly what the City will be doing in exchange for the withdrawal;
- c. That the agreement is not an admission of wrongdoing by the City;
- d. That the agreement is not intended to set any precedent.
- e. Obtain the Union's signature on any written settlement.

Contact DOL or DHR Labor Relations to assist drafting a settlement agreement.



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO

Employee Discipline

Additional guidance may be obtained by contacting the following DHR Labor Relations personnel:

- Donald O'Neill, 312-744-7898, Email: donald.o'neill@cityofchicago.org
- Andre Payne, 312-744-7154, Email: andre.payne@cityofchicago.org
- CM Winters Palacio, 312-742-2132, Email: cm.winterspalacio@cityofchicago.org



DEPARTMENT OF HUMAN RESOURCES
CITY OF CHICAGO



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-05

The following information is being provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Vasquez asked for the performance review criteria, especially for leadership positions.

For your reference, we are providing you with the Employee Performance Management Program (EPMP) Tool Kit, the components are listed below. Please note, the documents listed in bold font provide an overview as well as detailed instructions that may be of particular interest for those in leadership positions. This Tool Kit also provides performance review criteria, and the forms needed to execute performance reviews.

EPMP TOOL KIT:

EPMP Documentation providing additional information, FAQs and Instructions

- **EPMP - What to Expect (EPMP Overview)**
- **EPMP - Supervisor Instructions (Step-by-step instructions for Supervisors)**

EPMP Forms

- EPMP – Performance Ratings Guide: General & Supervisory Performance Factors
- EPMP – Goal Setting Worksheet
- EPMP – Mid-Year Checkpoint Meeting Form
- EPMP – Annual Expectations Meeting Form
- EPMP – Performance Evaluation Form – General
- EPMP – Performance Evaluation Form – General & Supervisory (for Supervisors)
- EPMP - Performance Evaluation Form – Probationary

In addition, we are providing you with the EPMP Kickoff presentation, EPMP training for supervisors as well as a list of supplemental Knowledge City trainings that may be of interest. Thank you.

Employee Performance Management Program (EPMP)

Responsibilities

The Department of Human Resources is responsible for providing operating departments with an Employee Performance Management Program. The EPMP provides a roadmap for operating departments to conduct annual employee performance reviews. The EPMP includes the instructions and forms as well as a supervisors training program.

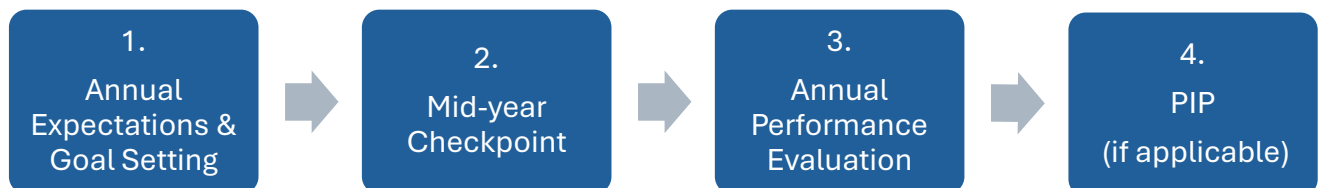
Operating departments must begin the annual performance review process for all employees before the end of 2024, concluding with formal reviews by the end of 2025.

Employees as well as managers and supervisors have the responsibility to participate in the EPMP.

What to Expect

All employees are required to participate in the annual performance management program. The EPMP will kick off in October of 2024. Forms and documents will be provided and shared online, informing of the steps and procedures for conducting annual performance evaluations.

The EPMP is a four-step process that includes planning for and conducting an annual expectations meeting, planning for and conducting a mid-year check point, planning for and conducting annual performance evaluation and, if necessary, creating a performance improvement plan.



Step 1- Annual Expectations Meeting (Before the end of 2024)

Employees should expect to receive, review and/or complete the following:

1. Copy of job specification
2. Copy of the department/division goals
3. Goal Setting Worksheet

Employees should also expect to attend and participate in the annual expectations meeting. During the meeting the supervisor will thoroughly review the performance factors, essential duties and how the employee's core responsibilities align with the performance factors. The employee and supervisor will also discuss and document the employee's goals. A mid-year check point and annual review timeline will be determined.

Step 2: Mid-year Checkpoint (June/July 2025)

The mid-year checkpoint is not a formal review, rather an opportunity to check in on progress toward goals and to discuss general performance.

In preparation for the mid-year checkpoint employees should be prepared to discuss their performance to date. Supervisors will provide general feedback including highlighting accomplishments and/or strengths as well as suggestions for continued improvement.

Supervisors will complete and submit the Mid-Year Checkpoint Meeting form.

Step 3: Annual Performance Evaluation (October – December 2025)

In preparation for the Annual Performance Evaluation Meeting, employees have the option of completing and submitting a Performance Evaluation Form as a self-evaluation. This can be turned in prior to the scheduled meeting.

Employees should also work on developing a new set of goals for the upcoming year.

Supervisors will review and prepare for the meeting.

During the meeting supervisors will discuss each rating and examples on the evaluation form. Discussion of ratings and employee participation is highly encouraged. Comments from the supervisor and employee can be captured on the evaluation form. Both the employee and supervisor are expected to sign the form.

Goals and expectations for the following year should also be discussed and documented at the meeting.

Step 4: Performance Improvement Plan

If an employee receives an overall rating of “Does not meet expectation” in more than 2 performance factor or “Meets Most Expectations” in 6 of the performance factors, a Performance Improvement Plan (PIP) must be developed with the employee within 10 business days.

Note: Performance Improvement Plans can also be utilized outside of the performance evaluation process to address performance issues as needed. PIPs are not exclusive to the EPMP.

Understanding the General Performance Factors

All employees must be assessed in each of the general performance factors. The employee’s job specification and core duties are all related to these factors.

Accountability – Accepts personal responsibility for performance and behavior.

Communication – Understands others and transmits information in a clear, accurate and timely manner.

Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.

Integrity – Demonstrates honesty and forthrightness in all interactions.

Job Knowledge – Understands the purpose, functions and responsibilities of the job.

Quality of Work – Performs work at a consistent rate and meets department performance metrics.

Time and Taks Management – Uses time, resources and technology efficiently to ensure completion of assignments.

Supervisors will rate employee performance on each of these factors, providing one of the following ratings for each factor.

- 1- Does not meet expectations
- 2- Meets most expectations
- 3- Consistently meets expectations
- 4- Exceeds expectations

Frequently Asked Questions (FAQs)

Are all employees required to have a performance review?

Yes, all employees, with the exception of interns, are required to have a performance review.

Will DHR be monitoring compliance?

No, each department is responsible for managing its own annual EPMP process including recordkeeping and compliance.

How will employees participate in the EPMP?

Employees should be encouraged to participate fully by preparing for expectation setting, writing goals, and actively participating in the mid-year checkpoint as well as the formal review and self-evaluation.

My department already has an EPMP implemented. Do we have to use your forms and abide by your schedule?

No, you do not have to use the forms that will be provided or abide by DHR's schedule. We have provided these resources and best practices to support each department to ensure that you have what is needed to implement a successful program. Do what works best for your department.

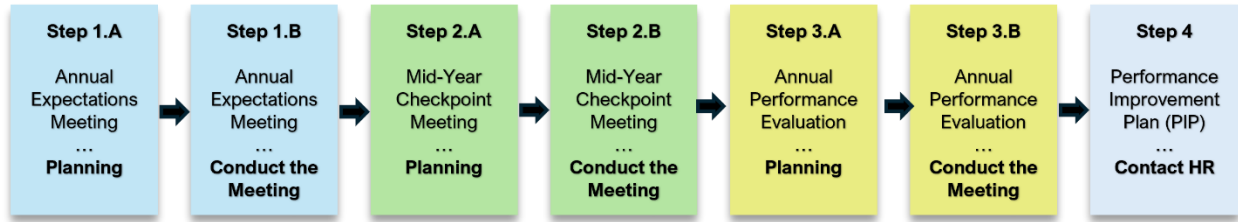
What is a Performance Improvement Plan (PIP)?

A Performance Improvement Plan (PIP) is an agreement between the employee and the manager or supervisor in relation to the performance expectations of the employee. A PIP is put into place to give the employee the opportunity to improve their work performance. Generally, there are check-ins and timelines associated with a PIP. The PIP can also include specific action steps for both the employee and manager.

Performance Improvement Plans can also be utilized outside of the performance evaluation process to address performance issues as needed. PIPs are not exclusive to the EPMP.

**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR INSTRUCTIONS**

Employee Performance Evaluation (EPMP) Cycle:



Steps 1A – 1B - Annual Expectations Meeting
Date Conducted:
Forms Used: <ul style="list-style-type: none"> • Goal Setting Worksheet: Employee completes form. • Performance Evaluation Form: Blank form to discuss with employee. • Performance Rating Guide: Discuss with employee. • Annual Expectations Meeting Form: Supervisor completes.

Steps 2A – 2B - Mid-Year Check Point Meeting
Date Conducted:
Forms Used: <ul style="list-style-type: none"> • Annual Expectations Meeting Form: Supervisor reviews • Mid-Year Checkpoint Meeting Form: Supervisor completes form.

Steps 3A – 3B - Annual Performance Evaluation
Date Conducted:
Forms Used: <ul style="list-style-type: none"> • Performance Evaluation Form: <u>Optional</u> for employee to self-evaluate performance. • Goal Setting Worksheet: Employee to complete for the following calendar year. • Performance Evaluation Form: Supervisor completes for calendar year

Step 4 - Performance Improvement Plan – Consult Human Resources
Dates Conducted:
Form Used: <ul style="list-style-type: none"> • Performance Improvement Plan

**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR INSTRUCTIONS**

STEP	INSTRUCTIONS
Performance Management Cycle	<p>Review Cycle – Runs on a calendar year starting in January and ending in December. For new employees, a partial evaluation starting the day after the probationary period ends through December will be completed.</p>
<p>STEP 1A.</p> <p>Annual Expectations Meeting</p> <p><u>Planning</u></p>	<p><i>Conduct at least a week prior to the start of the evaluation period.</i></p> <p>Instructions for Employee:</p> <ul style="list-style-type: none"> • Provide the employee with a blank <u>Goal Setting Worksheet</u>, a copy of their job specification, and the Department’s goals for their review. • The employee should submit a completed <u>Goal Setting Worksheet</u> by the following week, prior to the scheduled Annual Expectations Meeting. <p>Meeting Preparation - Complete the <u>Annual Expectations Meeting Form</u>:</p> <ul style="list-style-type: none"> • Part I: Review the Performance Factors and <u>Performance Ratings Guide</u> and be prepared to explain the significance of each factor. • Part II: Review the employee’s class specification and essential job duties of the position. • Part III: Cut/paste the goals submitted by the employee or attach the goals worksheet to the form. If the goals are not relevant or need clarification, be prepared to discuss with employee. • On the bottom of the form, indicate the month for the Mid-Year Checkpoint Meeting (6-months later) and the Annual Performance Evaluation (1-year later). • Submit the form to your supervisor (reviewer) and obtain his/her signature to proceed.
<p>STEP 1B.</p> <p>Annual Expectations Meeting</p> <p><u>Conducting the Meeting</u></p>	<p>During the Meeting:</p> <p>General Overview of Employee Performance Management Program (EPMP):</p> <ul style="list-style-type: none"> • Provide the employee with a blank <u>Performance Evaluation Form</u> and <u>Performance Ratings Guide</u> to follow along during the discussion. • Discuss the 4 Steps involved with the EPMP: Annual Expectations Meeting, Mid-Year Checkpoint Meeting, Annual Performance Evaluation, and Performance Improvement Plan (if required). <p>Review the <u>Annual Expectations Meeting</u> form with employee:</p> <ul style="list-style-type: none"> • Part I: Discuss the Performance Factors and briefly explain how each is significant to the employee’s job. • Part II: Review the employee’s class specification and critical job duties. • Part III: Review the Performance/Employee Goals the employee submitted. • Point out when the Mid-Year Checkpoint Meeting and Annual Performance Evaluation will be conducted. Employee and Supervisor both sign the form.
<p>STEP 2A.</p> <p>Mid-Year Checkpoint Meeting</p> <p><u>Planning</u></p>	<p><i>Schedule approximately 6-months after the Annual Expectations Meeting.</i></p> <p>Instructions for Employee:</p> <ul style="list-style-type: none"> • Ask the employee to be prepared to discuss his or her performance to date and progress made toward achieving their annual goals. <p>Meeting Preparation – The meeting is not a formal review but an opportunity for the employee to receive feedback during the review cycle. Review the completed <u>Annual Expectations Meeting Form</u> and reflect on:</p> <ul style="list-style-type: none"> • Impact of the employee’s job performance and progress related to their goals. • Key accomplishments and/or strengths • Suggestions for improvement

**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR INSTRUCTIONS**

<p>STEP 2B.</p> <p>Mid-Year Checkpoint Meeting</p> <p><u>Conducting the Meeting</u></p>	<p>During the meeting:</p> <ul style="list-style-type: none"> • Ask the employee to discuss his or her performance to date. • Review each of the employee’s annual goals. If needed, provide suggestions for how the employee can achieve his/her goals over the next 6 months. • Highlight the employee’s key accomplishments and/or strengths. • Offer general suggestions for continued improvement and address any problem areas. <p><i>Note: Be sure your feedback is objective and related to the performance factors. After conducting the meeting, complete and submit the <u>Mid-Year Checkpoint Meeting form</u>. Do not evaluate the employee using the Performance Factors at this meeting.</i></p>
<p>STEP 3A.</p> <p>Annual Performance Evaluation</p> <p><u>Planning</u></p>	<p>Instructions for Employee (two-weeks prior to the meeting):</p> <ul style="list-style-type: none"> • <i>(Optional):</i> Ask the employee to self-evaluate by completing and submitting a <u>Performance Evaluation Form</u> and submit one week prior to the Annual Performance Evaluation Meeting. • Ask the employee to develop a new set of goals for the upcoming year using the <u>Goal Setting Worksheet</u> and submit prior to the Annual Performance Evaluation Meeting. <p>Meeting Preparation:</p> <ul style="list-style-type: none"> • Before reviewing the employee’s self-evaluation, objectively review the employee’s performance in relation to his/her job specification by completing the <u>Performance Evaluation Form</u>. • Read each performance factor on the <u>Performance Rating Guide</u> and assign a rating for each factor. Cite specific, factual examples to support each rating. • After completing your evaluation, review the employee’s self-evaluation and compare it to your review. Analyze gaps and adjust if appropriate. Ensure your evaluation is objective and performance based. Have your supervisor (reviewer) sign the form. • Be prepared to share positive feedback on the employee’s accomplishments citing specific examples. Focus on positive performance examples before discussing areas for development. Strive for consensus. <p><i>Note: Be prepared to conduct the Annual Expectations Meeting for the upcoming year after you finish the Annual Performance Evaluations, see Steps 1A. and 1B.</i></p>
<p>STEP 3B.</p> <p>Annual Performance Evaluation</p> <p><u>Conducting the Meeting</u></p>	<p>During the meeting:</p> <ul style="list-style-type: none"> • Give the employee an opportunity to discuss achievements and/or problem areas. • Discuss each rating and examples on the evaluation form. Discuss areas of disagreement. • Strive for agreement and consensus on areas for improvement. • At the conclusion of the discussion, the employee and supervisor may include comments on the evaluation form. Employee and supervisor sign the form. • Review the <u>Annual Expectations Meeting Form</u> and goals for the upcoming year. <p><i>Note: Be sure your feedback is objective and related to the performance factors. Stay calm and objective throughout the meeting and focus on how you and the employee can work together on improving the employee’s performance.</i></p>
<p>STEP 4</p> <p>Performance Improvement Plan (PIP)</p>	<p>If the employee receives an overall rating of “Does not Meet Expectation” in more than 2 performance factors or “Meets Most Expectations” in 6 of the performance factors, a Performance Improvement Plan (PIP) must be developed with the employee within ten business days.</p>



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM

PERFORMANCE RATINGS GUIDE: GENERAL PERFORMANCE FACTORS

*All employees must be assessed in each of the general performance factors below. Use facts, data, and the department **Performance Matrix** to determine the appropriate rating category for the individual under review.*

Accountability - Accepts personal responsibility for performance and behavior.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Fails to fulfill commitments • Refuses to acknowledge errors or to modify behavior • Makes excuses for problems arising from personal behavior 	<ul style="list-style-type: none"> • Follows through on commitments • Acknowledges errors • Takes responsibility for actions 	<ul style="list-style-type: none"> • Fulfills commitments on or ahead of due date • Accepts responsibility for errors • Takes personal ownership for correcting work problems 	<ul style="list-style-type: none"> • Fulfills all commitments ahead of due date • Requests regular feedback from supervisors, peers, and/or direct reports • Raises issues without blaming others • Develops additional skills as a result of feedback
Communication - Understands others and transmits information in a clear, accurate, and timely manner.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Has difficulty stating or writing key points • Speaks without listening • Submits material without proofreading • Makes little effort to adapt to the communication style of others 	<ul style="list-style-type: none"> • Listens without interrupting • Expresses thoughts clearly both verbally and in writing • Proofreads documents for accuracy before submission • Calls attention to issues or information in a timely manner 	<ul style="list-style-type: none"> • Expresses complex ideas concisely both verbally and in writing • Effectively adapts to others' communication styles • Constructs well-written documents without guidance 	<ul style="list-style-type: none"> • Communicates persuasively both verbally and in writing • Consistently checks for understanding • Excels in public speaking; demonstrates ability to address a variety of groups
Customer/Public Service Focus - Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Provides poor or inconsistent service • Fails to provide others with timely, appropriate information • Avoids customers or responds grudgingly • Makes excuses rather than addressing the needs of others 	<ul style="list-style-type: none"> • Listens actively to customers' needs and requests • Provides timely, appropriate responses to questions and requests • Demonstrates courtesy during interactions with others 	<ul style="list-style-type: none"> • Asks appropriate questions to clarify needs • Identifies and eliminates barriers to effective service • Establishes credibility and trust with customers 	<ul style="list-style-type: none"> • Exceeds customer expectations by anticipating needs and making recommendations • Consistently demonstrates tact and professionalism in difficult customer situations • Seeks regular feedback from others in order to improve service
Integrity - Demonstrates honesty and forthrightness in all interactions.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Reveals confidential information • Shows inconsistency between words and behavior • Fails to fulfill ethics training requirement(s) • Fails to take prompt action in cases of unethical behavior 	<ul style="list-style-type: none"> • Maintains confidentiality • Demonstrates truthfulness in interactions with others • Demonstrates understanding of the City's ethics policy 	<ul style="list-style-type: none"> • Protects confidential and sensitive information • Maintains fair and consistent dealings with others at all times • Communicates potential conflicts of interest 	<ul style="list-style-type: none"> • Promotes the value of trust and respect for confidentiality throughout the organization • Avoids and/or prevents situations that may be a conflict of interest • Immediately confronts lapses of integrity

Job Knowledge - Understands the purpose, function, and responsibilities of the job.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> Lacks knowledge in essential areas of the job Provides inaccurate information due to gaps in job knowledge Neglects to keep abreast of policies or procedures 	<ul style="list-style-type: none"> Demonstrates an understanding of the principles of the job function Applies appropriate knowledge and methods to perform work Keeps abreast of policies and procedures 	<ul style="list-style-type: none"> Demonstrates in-depth understanding of the job function Informs self and others of new and existing policies and procedures Responds to training willingly; applies new policies, procedures or methods immediately 	<ul style="list-style-type: none"> Solves complex problems using advanced professional expertise Serves as a subject matter expert Responds to training with enthusiasm Continuously seeks out new information in area of expertise
Problem Solving - Uses logic, methods and experience to resolve challenges or improve work processes.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> Rarely offers suggestions to improve work processes Regularly needs assistance to locate information or resolve issues Resists changes in procedures, processes, or duties 	<ul style="list-style-type: none"> Identifies steps for improving processes Resolves issues with normal amount of supervisory guidance Responds to changes in job duties or procedures 	<ul style="list-style-type: none"> Regularly works with others to develop and submit ideas for improving processes Locates information or resolves issues with very little supervisory guidance Identifies alternatives for resolving issues 	<ul style="list-style-type: none"> Frequently takes a leadership role in creating process improvements Works to achieve agreement on time frames or objectives that can be realistically met Seeks out changes in job duties or procedures that improve overall productivity
Quality of Work - Performs work that is complete, accurate, and meets department performance metrics.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> Produces work that is careless or unusable Does not consistently meet standards and/or department performance metrics for accuracy Causes other to spend time correcting his/her work 	<ul style="list-style-type: none"> Produces accurate, complete, and reliable documents, data, and/or reports Meets established standards and/or department performance metrics for accuracy Attends to detail with direction 	<ul style="list-style-type: none"> Rarely releases work product with errors Consistently meets and occasionally exceeds standards and/or department performance metrics for accuracy Double-checks the accuracy of information without a supervisory directive to do so 	<ul style="list-style-type: none"> Demonstrates a pattern of producing work of reliably high quality without supervisory guidance Consistently exceeds standards and/or department performance metrics for accuracy Regularly identifies and implements methods for improving work quality
Quantity of Work - Performs work at a consistent rate and meets department performance metrics.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> Produces an inconsistent volume of work output Does not meet productivity standards or metrics of work output Works at an unreasonably slow pace or suppresses work output Reduces the productivity of others who await his/her work 	<ul style="list-style-type: none"> Maintains a consistent volume of work output Meets productivity standards or metrics of work output Works at a rate consistent with job experience 	<ul style="list-style-type: none"> Consistently exceeds standards for volume of work output Consistently meets and occasionally exceeds productivity standards or metrics for work output Implements methods for improving productivity 	<ul style="list-style-type: none"> Consistently exceeds productivity standards or performance metrics for work output Identifies and implements methods for improving productivity Assumes additional tasks or assists others in completing their work without prompting
Time and Task Management - Uses time, resources, and technology efficiently to ensure completion of assignments.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> Misses deadlines and/or exceeds budgetary limits Focuses exclusively on current tasks while losing sight of long-range objectives Requires considerable assistance in prioritizing tasks 	<ul style="list-style-type: none"> Meets deadlines reliably Looks ahead when assessing priorities and planning work Prioritizes assignments appropriately 	<ul style="list-style-type: none"> Completes multiple tasks in highly challenging or uncertain situations Develops or uses systems to organize and keep track of information ("to-do" lists, calendars, follow-up files, etc.) Plans with a realistic sense of time demands 	<ul style="list-style-type: none"> Regularly organizes and completes tasks ahead of deadline Identifies potential delays or backlogs and takes steps to deal with them Reports the status of tasks at all times without prompting



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM RATINGS GUIDE: SUPERVISORY PERFORMANCE FACTORS

Individuals who supervise more than one employee must be assessed in each of the supervisory performance factors below. Use facts, data, and the department **Performance Matrix** to determine the appropriate rating category for the individual under review.

Delegation - Prioritizes and assigns tasks according to staff's abilities and strengths.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Micro-manages tasks • Provides incomplete information when delegating work • Neglects to explain the objectives of tasks • Assigns inappropriate tasks for subordinates' skill levels • Fails to consider subordinates' work loads when assigning work 	<ul style="list-style-type: none"> • Establishes priorities for employees and assigns work accordingly • Applies an appropriate level of personal involvement in tasks • Responds to changing conditions 	<ul style="list-style-type: none"> • Identifies and builds on staff strengths • Keeps up to date with changing circumstances and prepares employees for new demands • Explains the bigger picture when assigning work 	<ul style="list-style-type: none"> • Delegates tasks to develop employees' skills, when appropriate • Structures teams to ensure the best use of time and the most effective outcome • Empowers employees to exercise their own judgment
Enforcement of Work Standards and Timelines - Holds staff responsible for job performance and addresses problems appropriately.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Fails to hold employees accountable for poor performance • Fails to identify work expectations • Neglects to monitor employee progress • Provides performance evaluations that are late, careless, or unconstructive 	<ul style="list-style-type: none"> • Approves administrative matters in a timely manner • Regularly reviews employees' performance • Administers progressive discipline when necessary • Submits performance evaluations to meet deadlines 	<ul style="list-style-type: none"> • Holds timely discussions with staff regarding performance • Understands value of and implements progressive discipline when necessary • Submits performance evaluations on or ahead of deadline 	<ul style="list-style-type: none"> • Documents frequent discussions with staff regarding performance • Provides useful, ongoing verbal and written feedback to staff to improve performance • Consistently submits valid and reliable performance evaluations ahead of deadline
Personal Leadership - Motivates staff and serves as a positive role model.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Fails to develop or communicate expectations • Insulates self from unit; doesn't get involved to assist staff • Fails to secure or provide needed resources • Acts irrationally or disrespectfully in stressful situations 	<ul style="list-style-type: none"> • Conveys sense of urgency, when necessary • Demonstrates self-control during difficult situations • Expresses views in a factual, objective manner 	<ul style="list-style-type: none"> • Addresses conflict directly • Treats employees with equal dignity and respect • Encourages staff to share their points-of-view 	<ul style="list-style-type: none"> • Creates a vision or goal and successfully communicates it to staff • Consistently leads by example; gets involved to help resolve problems and meet deadlines • Negotiates conflict fairly and effectively • Encourages response and dissent to ideas and issues
Staff Development - Provides appropriate information, training, feedback, and encouragement to enhance staff performance.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<p><i>Demonstrates one or more of the following:</i></p> <ul style="list-style-type: none"> • Fails to identify areas of improvement for employees • Provides inconsistent or irregular feedback • Fails to communicate reasonable standards for employee achievement 	<ul style="list-style-type: none"> • Helps staff to define goals • Provides direct feedback • Communicates clear standards for employee achievement 	<ul style="list-style-type: none"> • Addresses job performance problems immediately • Consistently provides balanced feedback in a constructive manner • Provides positive feedback and public recognition; gives credit when due 	<ul style="list-style-type: none"> • Seeks out development and training opportunities for staff • Demonstrates objective judgment at all times; supports feedback with facts and data • Frequently and regularly conducts individual progress meetings with staff



**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
GOAL SETTING WORKSHEET**

Name: _____ **Position:** _____ **Date:** _____

The goal-setting portion of the EPMP can be very rewarding for the employee and supervisor alike if the following guidelines are kept in mind:

- Goals are discussed and agreed upon jointly by employee and supervisor.
- Resources (if necessary to achieve goals) are negotiated in advance.
- Progress is monitored on a regular basis.

Use the SMART goal model, as outlined below, to write effective goals:

- Specific:** Planned task, outcome or result is clearly stated
Measurable: Accomplishment of the goal can be charted, components observed, or progress assessed
Achievable: Goal is challenging but realistic
Relevant: Goal supports department/bureau/division objectives and goals and is related to scope of work
Time-bound: Deadline(s) are set for accomplishment of goal during review period or set interval for component pieces

Goals may be identified from the following sources: routine job functions (review job specification); focus-areas already identified in organization; new areas of innovation; individual professional development needs (new skills, knowledge, experience, certifications, training, etc.); linking individual goals to broader organization goals; new initiatives within the division; personal goals that assist with on-the-job performance.

Instructions: All employees must submit TWO GOALS. Minimally, 2 general job-related goals; additional goals are optional.

	S - SPECIFIC GOAL	M - MEASURABLE	A - ACHIEVABLE	R - RELEVANT	T - TIMEBOUND
Example	<i>Write a procedural manual outlining the department's protocol for procurement of goods and services.</i>	<i>Comprehensive, multi-chapter manual will receive approval from bureau Deputy & DPS.</i>	<i>Support resources are in place; eight months is a reasonable time period for completing all components of goal.</i>	<i>Supports the Contracts Division and my scope of work.</i>	<i>Draft of Manual completed by 10/31/2013. Final version approved & implemented by 12/31/.</i>
Example	<i>Obtain my ASE Master Technician Certification.</i>	<i>Successfully complete all required courses and exams.</i>	<i>I have the foundation for advanced learning as a Machinist and the needed time.</i>	<i>Supports the department's work and my job title.</i>	<i>Complete by December 31.</i>
General Goal: (Required)					
General Goal: (Required)					
Additional Goal: (Optional)					
Additional Goal: (Optional)					



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
MID-YEAR CHECKPOINT MEETING FORM

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Date

Instructions: Use this form to document that the Mid-Year Checkpoint Meeting has occurred. Indicate areas discussed by checking off the relevant boxes below and/or specifying particular themes or topics.

CHECK ONE OR MORE BOXES, IF DISCUSSED:	
<input type="checkbox"/>	Reviewed Annual Expectations Meeting Form
<input type="checkbox"/>	Reviewed employee goals and progress YTD
<input type="checkbox"/>	Reviewed employee's general job performance
<input type="checkbox"/>	Discussed key accomplishments and/or strengths
<input type="checkbox"/>	Discussed suggestions for improvement/growth
<input type="checkbox"/>	Other themes or topics discussed (specify below):

NOTE: This is not a performance review. The Mid-Year Checkpoint Meeting provides an opportunity for each employee to receive feedback during the review cycle and to determine how things are going. It also provides an opportunity for the employee to ask any questions or raise any concerns that the supervisor consider and/or address.

Supervisor Signature	Date
Employee Signature	Date

<input type="checkbox"/> Copy to employee	<input type="checkbox"/> Copy to supervisor file	<input type="checkbox"/> Copy to next level supervisor	<input type="checkbox"/> Copy to Human Resources
---	--	--	--



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title		
Supervisor's Name	Supervisor's Title		
Division	Rating Period (1 yr.)	from	to

At the beginning of the review period, schedule a meeting with the employee and use this form to discuss job performance expectations, critical job duties and employee goals.

I. Performance Factors: Review the General Performance Factors and the associated Rating Guide and be prepared to explain the significance of each to the employee. For individuals with supervisory responsibilities, review each Supervisory Performance Factor in addition to the required General Performance Factors. Check each of the boxes below to indicate that you explained each factor to the employee. Provide the employee with a blank copy of the Performance Evaluation Form for reference during the course of the rating period and provide the relevant Performance Rating Guide(s); have the employee initial below after receiving both forms.

Performance Factors		
General		Supervisory
<input type="checkbox"/> Accountability	<input type="checkbox"/> Job Knowledge	<input type="checkbox"/> Delegation
<input type="checkbox"/> Communication	<input type="checkbox"/> Problem Solving	<input type="checkbox"/> Enforcement of Work Standards and Timeliness
<input type="checkbox"/> Customer/Public Service Focus	<input type="checkbox"/> Quality of Work	<input type="checkbox"/> Personal Leadership
<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

- Issued Performance Evaluation Form; Employee Initials: _____
- Issued Performance Rating Guide(s); Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

Critical Job Duties

III. Performance/Employee Goals (Employee Completes): Either cut-and-paste the goals submitted by the employee or attach the goals worksheet to the form. Employees should identify at least two goals. Consult the departments, bureaus and/or division goals as requested.

Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

<input type="checkbox"/> Copy to employee	<input type="checkbox"/> Copy to supervisor file	<input type="checkbox"/> Copy to next level supervisor	<input type="checkbox"/> Copy to Human Resources
---	--	--	--

Mid-Year Checkpoint is scheduled on: _____ **Annual Evaluation is scheduled on:** _____



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM - GENERAL

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation

The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)

EMPLOYEE NAME: _____ Title: _____

Supervisor Name: _____ Title: _____

Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:

Part I General Performance Factors _____ / 4.00 (Enter Overall Rating from page 2)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:

I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature:	Date:
------------------------------	--------------

I hereby certify that I have reviewed this form in advance of the Performance Evaluation Meeting and support the evaluation:

Next Level Supervisor (Reviewer) Signature:	Date:
--	--------------

I hereby certify that I have reviewed this evaluation and understand that I will receive a copy. I am aware that my signature indicates only that I have received the evaluation. It does not necessarily indicate agreement with the rating. I understand that I may write comments above post-review. Employees represented by AFSCME also have the right to submit a rebuttal to performance evaluations in their personnel files.

Employee Signature:	Date:
----------------------------	--------------

Copy and distribute to: <input type="checkbox"/> employee <input type="checkbox"/> supervisor <input type="checkbox"/> next level supervisor <input type="checkbox"/> Human Resources

Part I – GENERAL PERFORMANCE FACTORS

All employees must be assessed in each of the general performance factors. Consult the departments/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the **Performance Rating Guide** to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.

Rating Guide:	1 = Does Not Meet Expectations	2 = Meets Most Expectations
	3 = Consistently Meets Expectations	4 = Exceeds Expectations

Accountability – Accepts personal responsibility for performance and behavior.		Rating
Examples:		[]
Communication – Understands others and transmits information in a clear, accurate, and timely manner.		Rating
Examples:		[]
Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.		Rating
Examples:		[]
Integrity – Demonstrates honesty and forthrightness in all interactions.		Rating
Examples:		[]
Job Knowledge – Understands the purpose, function, and responsibilities of the job.		Rating
Examples:		[]
Problem Solving – Uses logic, methods and experience to resolve challenges or improve processes.		Rating
Examples:		[]
Quality of Work – Performs work that is complete, accurate, and meets department performance objectives and productivity goals.		Rating
Examples:		[]
Quantity of Work – Performs work at a consistent rate and meets department performance objectives and productivity goals.		Rating
Examples:		[]
Time and Task Management – Uses time, resources, and/or technology efficiently to ensure completion of assignments.		Rating
Examples:		[]

Overall Rating for Part I =
(Ratings Total / 9)

[]



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM – GENERAL & SUPERVISORY

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation

The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)

EMPLOYEE NAME: _____ Title: _____

Supervisor Name: _____ Title: _____

Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:

Part I General Performance Factors _____ / 4.00 (Enter Overall Rating from page 2)

Part II Supervisory Performance Factors _____ / 4.00 (Enter Overall Rating from page 3)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:

I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature:	Date:
------------------------------	--------------

I hereby certify that I have reviewed this form in advance of the Performance Evaluation Meeting and support the evaluation:

Next Level Supervisor (Reviewer) Signature:	Date:
--	--------------

I hereby certify that I have reviewed this evaluation and understand that I will receive a copy. I am aware that my signature indicates only that I have received the evaluation. It does not necessarily indicate agreement with the rating. I understand that I may write comments above post-review. Employees represented by AFSCME also have the right to submit a rebuttal to performance evaluations in their personnel files.

Employee Signature:	Date:
----------------------------	--------------

Copy and distribute to: <input type="checkbox"/> Employee <input type="checkbox"/> Supervisor <input type="checkbox"/> Next level supervisor <input type="checkbox"/> Human Resources

Part I – GENERAL PERFORMANCE FACTORS

All employees must be assessed in each of the general performance factors. Consult the departments/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the **Performance Rating Guide** to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.

Rating Guide:	1 = Does Not Meet Expectations	2 = Meets Most Expectations
	3 = Consistently Meets Expectations	4 = Exceeds Expectations

Accountability – Accepts personal responsibility for performance and behavior.		Rating
Examples:		
Communication – Understands others and transmits information in a clear, accurate, and timely manner.		Rating
Examples:		
Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.		Rating
Examples:		
Integrity – Demonstrates honesty and forthrightness in all interactions.		Rating
Examples:		
Job Knowledge – Understands the purpose, function, and responsibilities of the job.		Rating
Examples:		
Problem Solving – Uses logic, methods and experience to resolve challenges or improve processes.		Rating
Examples:		
Quality of Work – Performs work that is complete, accurate, and meets department performance objective and productivity goals.		Rating
Examples:		
Quantity of Work – Performs work at a consistent rate and meets department performance objectives and productivity goals.		Rating
Examples:		
Time and Task Management – Uses time, resources, and/or technology efficiently to ensure completion of assignments.		Rating
Examples:		

[Go to Part II](#)

Overall Rating for Part I =
(Ratings Total / 9)

--

Part II – SUPERVISORY PERFORMANCE FACTORS

Individuals who supervise one or more employees must be assessed in each of the supervisory performance factors. Consult the departments/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the **Performance Rating Guide** to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.

Rating Guide:	1 = Does Not Meet Expectations	2 = Meets Most Expectations
	3 = Consistently Meets Expectations	4 = Exceeds Expectations

Delegation	– Prioritizes and assigns tasks according to staff's abilities and strengths.	Rating
Examples:		
Enforcement of Work Standards and Timelines	– Holds staff responsible for job performance and addresses problems appropriately.	Rating
Examples:		
Personal Leadership	– Motivates staff and serves as a positive role model.	Rating
Examples:		
Staff Development	– Provides appropriate information, training, feedback, and encouragement to enhance staff performance.	Rating
Examples:		

[Return to Summary](#)

Overall Rating for Part II =
(Ratings Total / 4)

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EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
PERFORMANCE EVALUATION FORM: PROBATIONARY

Rating Period: From: _____ To: _____

Employee Name: _____

Employee Title: _____

Evaluation Date: _____

Supervisor Name: _____

Supervisor Title: _____

GENERAL PERFORMANCE FACTORS
 All probationary employees must be assessed in each of the factors below.

Accountability - Accepts personal responsibility for performance and behavior.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Communication - Understands others and transmits information in a clear, accurate, and timely manner.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Customer/Public Service Focus - Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Integrity - Demonstrates honesty and forthrightness in all interactions.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Job Knowledge - Understands the purpose, function, and responsibilities of the job.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Problem Solving - Uses logic, methods and experience to resolve challenges or improve processes.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Quality of Work - Performs work that is complete, accurate, and meets departmental performance metrics.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Quantity of Work - Performs work at a consistent rate and meets departmental performance metrics.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Time and Task Management - Uses time, resources, and technology efficiently to ensure completion of assignments.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Attendance - (Attach CATA records)	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Punctuality - (Attach CATA records)	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations

SUMMARY: IMMEDIATE SUPERVISOR	I recommend continued employment beyond the probationary period	<input type="checkbox"/> YES <input type="checkbox"/> NO
Comments:		
Signature		Date

SUMMARY: NEXT LEVEL SUPERVISOR	I recommend continued employment beyond the probationary period	<input type="checkbox"/> YES <input type="checkbox"/> NO
Signature		Date

Copy and distribute to: employee supervisor next level supervisor department HR representative



Employee Performance Management Program (EPMP) Kickoff Meeting

Department of Human Resources
September 12, 2024

EPMP Kickoff Meeting Agenda

- What is the EPMP and why does my department have to participate?
- What do we need to do?
- Will DHR provide support?
- EPMP Roadmap/City-Wide Rollout Schedule
- EPMP FAQs
- Next Steps and EPMP Schedule Snapshot
- Additional Questions?



What is the EPMP and why does my department have to participate?

- The **Employee Performance Management Program** (EPMP) is the City's tool to facilitate Annual Employee Performance Reviews.
- All operating City departments have the responsibility to participate in the EPMP.
- ***Performance management is people management.*** It's an ongoing process ensuring individual and departmental goals align. This makes the individual, the department, and the City more successful.

What do we need to do?

Participate in the EPMP Four-Step Process



4 Performance Improvement Plan (PIP)
If Applicable, PIPs can also be utilized outside of the performance evaluation process to address performance issues, as needed. PIPs are **not** exclusive to EPMP.

What support will DHR provide?

★ **EPMP Support from the Department of Human Resources (DHR) will include the following:**



- EPMP Online Training for Supervisors
- *KnowledgeCity* courses and other resources to address SMART Goals, Employee Engagement and Day-to-Day Skills Development



- EPMP Roadmap/City-Wide Rollout Schedule for conducting annual employee performance reviews



- EPMP instructions and forms*
**forms will be available on DHR's webpage on the City of Chicago Intranet Portal and may be tailored to each department's needs*



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title		
Supervisor's Name	Supervisor's Title		
Division	Rating Period (1 yr.)	from	to

At the beginning of the review period, schedule a meeting with the employee and use this form to discuss job performance expectations, critical job duties and employee goals.

I. Performance Factors: Review the General Performance Factors and the associated Rating Guide and be prepared to explain the significance of each to the employee. For individuals with supervisory responsibilities, review each Supervisory Performance Factor in addition to the required General Performance Factors. Check each of the boxes below to indicate that you explained each factor to the employee. Provide the employee with a blank copy of the Performance Evaluation Form for reference during the course of the rating period and provide the relevant Performance Rating Guide(s); have the employee initial below after receiving both forms.

Performance Factors		
General		Supervisory
<input type="checkbox"/> Accountability	<input type="checkbox"/> Job Knowledge	<input type="checkbox"/> Delegation
<input type="checkbox"/> Communication	<input type="checkbox"/> Problem Solving	<input type="checkbox"/> Enforcement of Work Standards and Timeliness
<input type="checkbox"/> Customer/Public Service Focus	<input type="checkbox"/> Quality of Work	<input type="checkbox"/> Personal Leadership
<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

Issued Performance Evaluation Form; Employee Initials: _____

Issued Performance Rating Guide(s); Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

Critical Job Duties

III. Performance/Employee Goals (Employee Completes): Either cut-and-paste the goals submitted by the employee or attached the goals worksheet to the form. Employees should identify at least two goals (minimum requirement: 1 safety goal and 1 general job-related goal). Consult the departments, bureaus and/or division goal's as requested.

Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

Copy to employee Copy to supervisor file Copy to next level supervisor Copy to Human Resources

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____



Annual Expectations Meeting Form



Name: _____

Position: _____

Date: _____

The goal-setting portion of the EPMP can be very rewarding for the employee and supervisor alike if the following guidelines are kept in mind:

- Goals are discussed and agreed upon jointly by employee and supervisor.
- Resources (if necessary to achieve goals) are negotiated in advance.
- Progress is monitored on a regular basis.

Use the SMART goal model, as outlined below, to write effective goals:

- Specific: Planned task, outcome or result is clearly stated
- Measurable: Accomplishment of the goal can be charted, components observed, or progress assessed
- Achievable: Goal is challenging but realistic
- Relevant: Goal supports department/bureau/division objectives and goals and is related to scope of work
- Time-bound: Deadline(s) are set for accomplishment of goal during review period or set interval for component pieces

Goals may be identified from the following sources: routine job functions (review job specification); focus-areas already identified in organization; new areas of innovation; individual professional development needs (new skills, knowledge, experience, certifications, training, etc.); linking individual goals to broader organization goals; new initiatives within the division; personal goals that assist with on-the-job performance.

Instructions: All employees must submit TWO GOALS. Minimally, 2 general job-related goals; additional goals are optional.

	S - SPECIFIC GOAL	M - MEASURABLE	A - ACHIEVABLE	R - RELEVANT	T - TIMEBOUND
<i>Example</i>	<i>Write a procedural manual outlining the department's protocol for procurement of goods and services.</i>	<i>Comprehensive, multi-chapter manual will receive approval from bureau Deputy & DPS.</i>	<i>Support resources are in place; eight months is a reasonable time period for completing all components of goal.</i>	<i>Supports the Contracts Division and my scope of work.</i>	<i>Draft of Manual completed by 10/31/2013. Final version approved & implemented by 12/31/.</i>
<i>Example</i>	<i>Obtain my ASE Master Technician Certification.</i>	<i>Successfully complete all required courses and exams.</i>	<i>I have the foundation for advanced learning as a Machinist and the needed time.</i>	<i>Supports the department's work and my job title.</i>	<i>Complete by December 31.</i>
General Goal: (Required)					
General Goal: (Required)					
Additional Goal: (Optional)					
Additional Goal: (Optional)					

Goal Setting Worksheet



EPMP Roadmap/City-Wide Rollout Schedule



Date	Action to be Taken
September 12, 2024	EPMP Kick-Off Meeting
September-December 2024	Performance Review Training will be available via E-Learning for HR Leads, Deputies and Supervisors
	The following EPMP Documents will be available on DHR's webpage on the City of Chicago Intranet Portal <ul style="list-style-type: none">• <i>Annual Expectations Meeting Form</i>• <i>Performance Rating Guide: General Performance Factors</i>• <i>Goal Setting Worksheet</i>
	<i>What to Expect in a Performance Review and other FAQs</i> will be forwarded to each department by DHR

EPMP Roadmap/City-Wide Rollout Schedule



Date	Action to be Taken
December 31, 2024	Departments complete the following EPMP Docs* for the 2025 Employee Evaluation: <ul style="list-style-type: none">• Annual Expectations for 2025• Goal Setting Worksheet for 2025
January 1, 2025	2025 Employee Evaluation Cycle begins (<i>January-December</i>)
July 31, 2025	Departments complete Mid-Year EPMP Checkpoint Reviews*
December 31, 2025	Departments complete 2025 Annual Performance Evaluations* and EPMP Docs* for the 2026 Employee Evaluation Cycle

****These and all EPMP forms are available on DHR's webpage on the City of Chicago Intranet Portal.***



EPMP FAQs

- **Are all employees required to have an annual performance review?**

All employees, with the exception of interns, are required to have an annual performance review.

- **Will DHR be monitoring compliance?**

No, each department is responsible for managing its own annual EPMP process including recordkeeping and compliance.

- **How will employees participate in the EPMP?**

Employees should be encouraged to participate fully by preparing for expectation setting, writing goals, and actively participating in the mid-year checkpoint as well as the formal review and self-evaluation.



EPMP FAQs, continued

- **My department already has an EPMP implemented. Do we have to use your forms and abide by your schedule?**

No, you do not have to use the forms that will be provided or abide by DHR's schedule. We have provided these resources and best practices to support each department to ensure that you have what is needed to implement a successful program. Do what works best for your department.

- **May I enroll other staff members in the EPMP Training?**

The EPMP Training is intended for Supervisors and Managers and/or any individual that has direct reports. However, each department can request to enroll other employees as needed through your assigned DHR Training & Development Analyst/Trainer by 9/20/24.



EPMP FAQs, continued

- **What is a Performance Improvement Plan (PIP)?**

A Performance Improvement Plan (PIP) is an agreement between the employee and the manager or supervisor in relation to the performance expectations of the employee. A PIP is put into place to give the employee the opportunity to improve their work performance. Generally, there are check-ins and timelines associated with a PIP. The PIP can also include specific action steps for both the employee and manager.



Next steps

Identify who in your department should take the EPMP training and e-mail your DHR Training & Development Analyst/Trainer with this information by **Noon on Friday, Sept 20, 2024.**
DHR will register everyone for the training by the end of the following week.

Complete the training as soon as possible so that you may begin preparing for the EPMP process.

Schedule time with your staff to discuss the program and provide them with their *Goal Setting Worksheet* to complete.

Prepare the *Annual Expectations Meeting Form* for each of your employees.

Schedule a meeting with each of your employees to review the *Annual Expectations Meeting Form* and their completed *Goal Setting Worksheet* by **Dec 31, 2024** in preparation for the **2025 Employee Evaluation Cycle.**

September

Sept-Oct

Oct-Nov

Nov-Dec

December

EPMP Roadmap/City-Wide Rollout Schedule SNAPSHOT



Date	Action to be Taken
September 12, 2024	EPMP Kick-Off Meeting
September-December 2024	Performance Review Training available via E-Learning for HR Leads, Deputies and Supervisors
October 2024	EPMP Documents will be available on DHR's webpage on the City of Chicago Intranet Portal.
	<i>What to Expect in a Performance Review and other FAQs</i> will be forwarded to each department by DHR
December 31, 2024	EPMP Docs for 2025 Employee Evaluation Cycle to be completed by depts <ul style="list-style-type: none"> • Annual Expectations for 2025 • Goal Setting Worksheet for 2025
January 1, 2025	2025 Employee Evaluation Cycle begins (<i>January-December</i>)
July 31, 2025	Mid-Year EPMP Checkpoint Reviews to be completed by depts
December 31, 2025	2025 Annual Performance Evaluations to be completed <i>AND</i> EPMP Docs for 2026 Employee Evaluation Cycle to be completed by depts

**CITY OF CHICAGO
DHR TRAINING & DEVELOPMENT ANALYST DEPARTMENT ASSIGNMENTS**

Administrative Hearings	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	City Clerk	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Dept of Law	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Mayor's Office of People with Disabilities	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110
Animal Care & Control	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	City Council	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Dept of Procurement Services	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	OEMC	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110
Aviation	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	City Treasurer	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	Dept of Streets & Sanitation	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	Office of the Inspector General	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068
Board of Elections	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	COPA	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Dept of Technology & Innovation	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Planning & Development	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068
Board of Ethics	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Dept of Buildings	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Dept of Transportation	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Police Board	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110
Budget & Management	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	Dept of Cultural Affairs & Special Events	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Dept of Water Management	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Public Safety Administration	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068
Business Affairs	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Dept of Environment	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	(2FM) Fleet & Facility Management	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Dept of Water Management	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110
CCPSA- Community Commission for Public Safety & Accountability	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Dept of Family & Support Services	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569	Human Relations	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110		
Chicago Fire Dept	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	Dept of Finance	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	Human Resources	Scott Morishita Scott.Morishita@cityofchicago.org 312-744-9569		
Chicago Public Library	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Dept of Health	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	License Appeals	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068		
Chicago Police Dept	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110	Dept of Housing	Mark Rapp Mark.Rapp@cityofchicago.org 312-744-9068	Mayor's Office	Tracy Colwell Tracy.Colwell@cityofchicago.org 312-744-8110		

Additional Questions?

- **Kasey L. Lee**
kasey.lee@cityofchicago.org
- **Kelly Stepto-Royston**
kelly.stepto-royston@cityofchicago.org
- **DHR's Training and Development Team**
traininganddevelopment@cityofchicago.org
- **KnowledgeCity**
<https://www.knowledgecity.com/>
- **DHR's EPMP Intranet Page**
<https://my.chicago.gov/intranet/homepage/depts/human-resources/employee-performance-management-program.html>



Employee Performance Management Program Overview



Performance management is people management. An ongoing process to align *individual and* departmental goals. Performance management helps make the individual employee, the department and the city more successful.

Performance management is a cycle. It begins with planning and goal setting, then moves to tracking and monitoring, and ends with reviewing results and modifying as needed.

This learning module is designed to review the steps of managing an employee's performance by setting expectations, monitoring, providing feedback, and conducting performance evaluations for new and existing employees. We will review the following topics in this session.

- Stages of Performance Management
- Setting Smart Goals & Performance Expectations
- Performance Monitoring
- Performance Evaluations (Annual & Probationary)
- Tips for Conducting Effective Performance Review Meetings

Select the first lesson below or click “*Start Course*” above when you’re ready to begin.

To complete the course, you must complete each section below.



EPMP Course Navigation Tips



What is Performance Management?



Performance Management Cycle



Planning for Performance Management



Performance Monitoring



Performance Evaluations (Annual & Probationary)



Conducting Effective Performance Review Meetings



Performance Management Forms



Performance Management - A Final Review

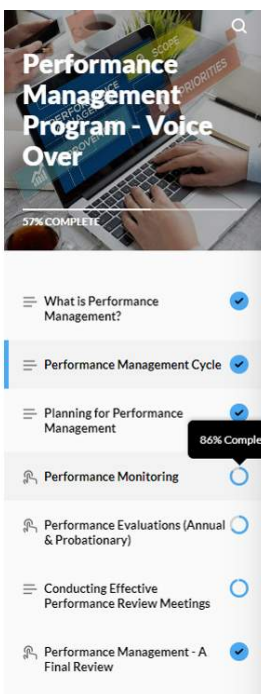
EPMP Course Navigation Tips

Course Navigation Tips

The EPMP course has a few interactive sections that require the learner to open sections and move through them in order to complete.

Learners have the option of listening to the course by clicking on each of the audio files for the relevant section.

Below are a few of the features and navigational buttons that allow you to track progress and move through each of the lessons.



The screenshot shows a course navigation menu for the 'Performance Management Program - Voice Over'. The menu items are:

- What is Performance Management? (Completed)
- Performance Management Cycle (Completed)
- Planning for Performance Management (Completed)
- Performance Monitoring (86% Completed)
- Performance Evaluations (Annual & Probationary) (Not Completed)
- Conducting Effective Performance Review Meetings (Not Completed)
- Performance Management - A Final Review (Completed)

Annotations and their descriptions:

- Blue vertical bar:** Indicates the lesson you are currently in.
- Red arrow pointing to the hamburger menu icon:** Minimize and expand the lesson menu.
- Red arrow pointing to the progress bar:** Status bar shows the percentage of the course completed.
- Red arrow pointing to the check mark:** Check mark indicates the lesson is completed.
- Red arrow pointing to the progress circle:** Hover over the circle to show lesson percentage completed.

Additional text on the left side of the image:

Navigate to any lesson by clicking on it.

Course navigation information

Each lesson must have a checkmark to receive a course completion

Click on the *play* button to listen to the audio clip.




The *continue* button will move you to the next section of content.

CONTINUE

 Click on the > to move through the section information.

+ Click on the + sign to open sections.

 Click on the markers to reveal additional information.

Course navigation buttons

Let's get started!

Click continue to start the next lesson.

CONTINUE

What is Performance Management?



00:37

Introduction - Audio

Introduction

As a manager, how do you help your staff develop and improve their success rate? Whether it's planning, monitoring, or reviewing an employee's work, there are certainly a lot of moving parts to consider. But all of those elements will fall under the umbrella of performance management.

What exactly does it mean to manage performance and how is that done? In this lesson, we'll introduce some basics. First, you'll learn what performance management is and what steps are involved in the cycle. Then, you'll learn why the cycle is an ongoing process that's critical to success.



PERFORMANCE MANAGEMENT

WHAT IS PERFORMANCE MANAGEMENT?



00:33

What Is Performance Management? - Audio

What Is Performance Management?

Performance management is **people management**. It's how you lead, develop, and communicate with employees so that their work connects to your team goals as well as department and City goals.

The topic of performance management can bring dread to managers and employees alike. However, a successful system can positively impact the bottom line, provide a path for goals to be achieved and increase employee morale. In this section we will

review why managing performance is important and cover the four (4) stages of performance management.



01:55

Benefits of Performance Management - Audio

Benefits of Performance Management

So, what are some of the benefits from a year-round performance management process? Performance management is critical for several reasons. Namely, it:

- Ensures job clarity.** With a strong performance management system in place, employees understand their roles and objectives. Regular discussions eliminate job ambiguity and employees know what they're supposed to do. Plus, with clearly defined plans, employees also understand how to perform those daily activities. Simply put, staff members know what success looks like, and they know how to get there.
- Builds accurate employee assessments.** A well-established performance management system helps create an atmosphere of equality. Rather than basing decisions on hunches, managers can accurately track employee progress, objectively understand performance, and make fair and impartial decisions.
- Boosts engagement and motivation.** Regular performance management creates an atmosphere in which employees feel encouraged, supported, and involved. Staff members learn how their goals align with company goals, which boosts engagement and shows them that their work means something. Plus, with a

system of ongoing feedback, employees are likely to feel motivated to reach their maximum potential.



Promotes staff development. Consistent performance management provides staff with real-time feedback and support. Employees understand their strengths, and they know what competencies require improvement. These discussions give employees direction for how to develop and stretch their abilities —thus helping staff members reach their maximum potential.



Improves overall workplace results. The primary goal of performance management is to improve employee results. And, with each employee's goals aligning with your organization's overall business objectives, that means as your staff develops, so will your team and department.

CONTINUE

Lesson 3 of 9

Performance Management Cycle

The Performance Management Cycle



00:16

Performance management follows a clearly defined process. It's an ongoing cycle that can be broken down into four core steps: **plan**, **monitor**, **develop** and **review**.

Click through this step-by-step interaction to learn more.

Step 1

Mission



00:10



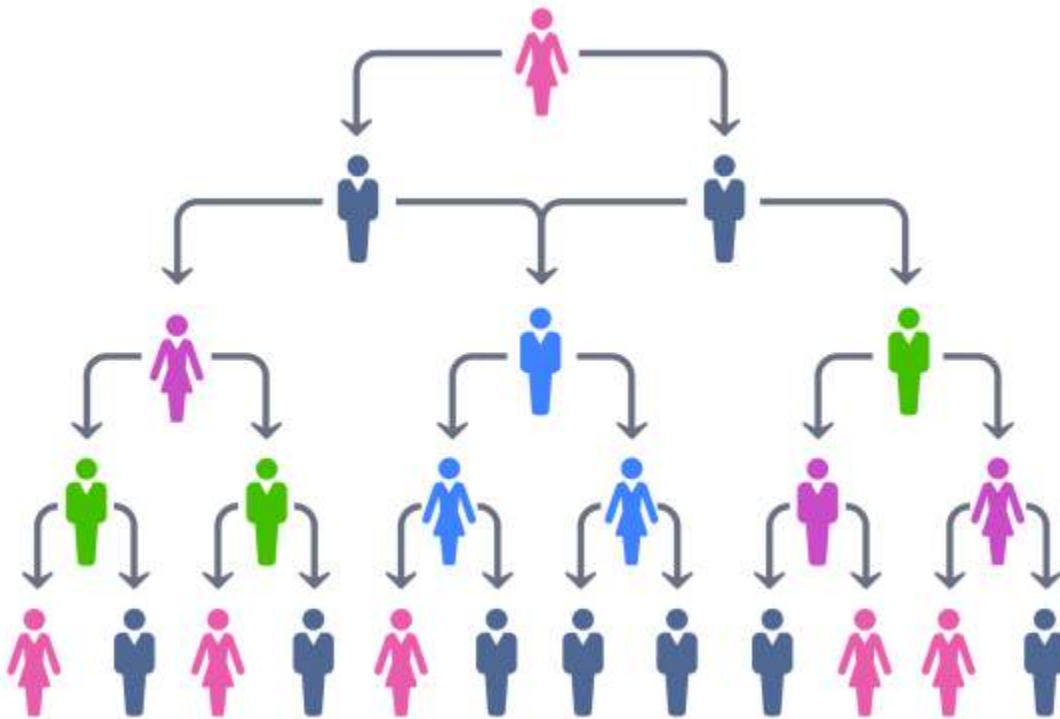
To begin, it is important to understand the mission of the division and the department. The mission statement defines the department and why you do what you do.

Step 2

Where Does it Start?



00:37

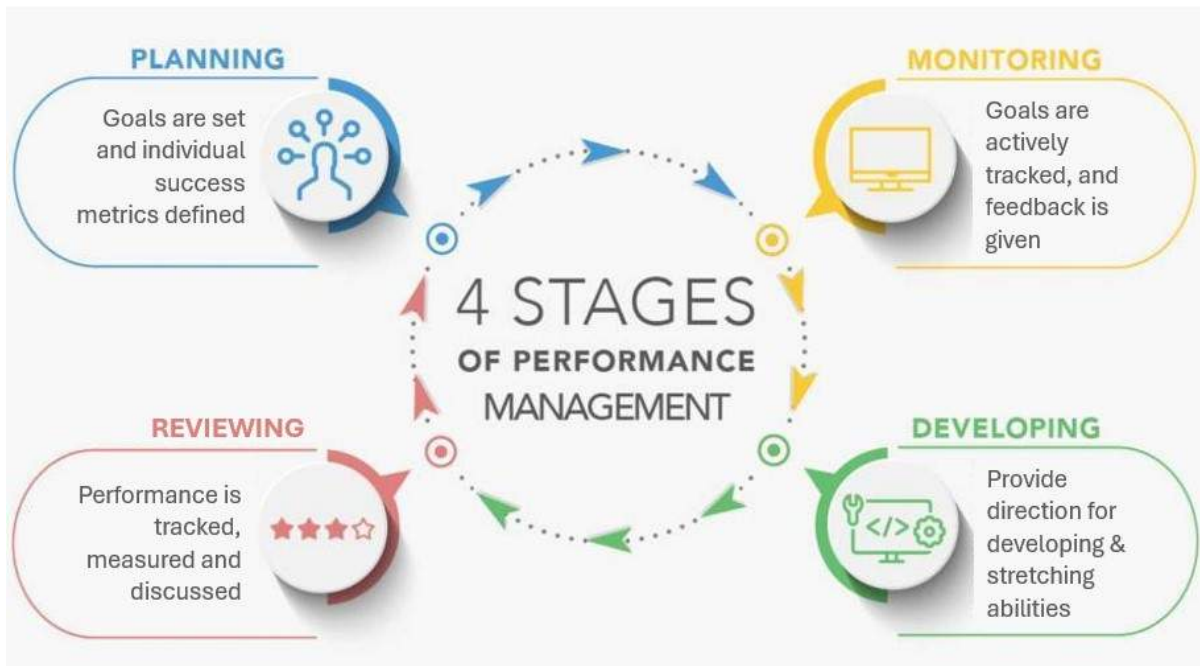


Goals and directives are provided, and performance expectations are implemented to adhere to your department's mission statement. They flow from the top down. This means that each level should think about their goals. For example:

1. Commissioner/Executive Director/First Deputy - What are your goals for the deputies?
2. Deputies - What are your goals for the directors/managers?
3. Directors/Managers - What are your goals for the supervisors?

4. Supervisors - What are your goals for your team members?

The 4 Stages of Performance Management



1. **Planning** - The first step of the performance management cycle involves creating a strategic development plan to improve the skills, knowledge, and competencies of your staff. The purpose of this step is to help employees understand where they should spend their time, where they can improve, and how they can achieve the desired results.

2. **Monitoring** - Employees are expected to **act** and deliver on the planned performance. As a manager, your responsibility during this stage is to **track** and **monitor** development so that you can provide helpful coaching and feedback.

3. **Developing** - Provide training, promote positive performance, and address poor performance.

4. *Reviewing* – Provide performance evaluations for performance in the previous year.

Summary



00:31

Rather than creating plans and reviewing results as isolated events, quality performance management takes place throughout the year. It's an ongoing process, and the various stages—**plan**, **monitor**, **develop** and **review**—should be continuous and happening in a self-renewing cycle.

Consistency is critical to success because it creates reliable communication and real-time feedback, which allows you to stay in touch with your staff, share your expectations, understand their needs, and boost overall performance.

CONTINUE

Check Your Understanding

Based on what you've learned, how many of the sentences below are true? Select all statements that are correct.

-
- Performance management includes planning, monitoring, developing and reviewing an employee's work.

 - Performance management involves connecting an employee's work to their individual goals.

 - Performance management involves connecting an employee's work to your department goals.

 - Performance management works best when employees receive continuous feedback, annual and one-on-one reviews.

SUBMIT



Complete the content above before moving on.

Planning for Performance Management



00:20

4 Stages of Performance Management - Audio



00:16

What does it mean to Plan? - Audio



What does it mean to Plan?

Planning is nothing but thinking before the action takes place. It helps us to take a peek into the future and decide in advance the way to deal with our employee's performance, to ensure success. It involves logical thinking and rational decision making.



00:18

Steps in the Planning Process - Audio



Steps in the Planning Process Include:

- Developing objectives.
- Developing tasks to meet those objectives.
- Determining the resources needed to implement tasks.
- Creating a timeline.

- Determining the tracking and assessment method.
- Finalizing the plan.
- Distributing the plan to employees.



00:58

Setting SMART Goals - Audio

Setting SMART Goals

Start the planning process by setting S.M.A.R.T goals for the staff that you supervise. Consider what your employees main objectives include. You can set as many goals as needed as it relates to the employee's essential job duties.

For example, if you manage a Staff Assistant and one of their main duties is to make sure supplies are ordered for the division, then a S.M.A.R.T goal might be to "reach out to the vendor to order all needed supplies the first week of each new quarter using the office supply spreadsheet to track what was ordered and when the orders were received."

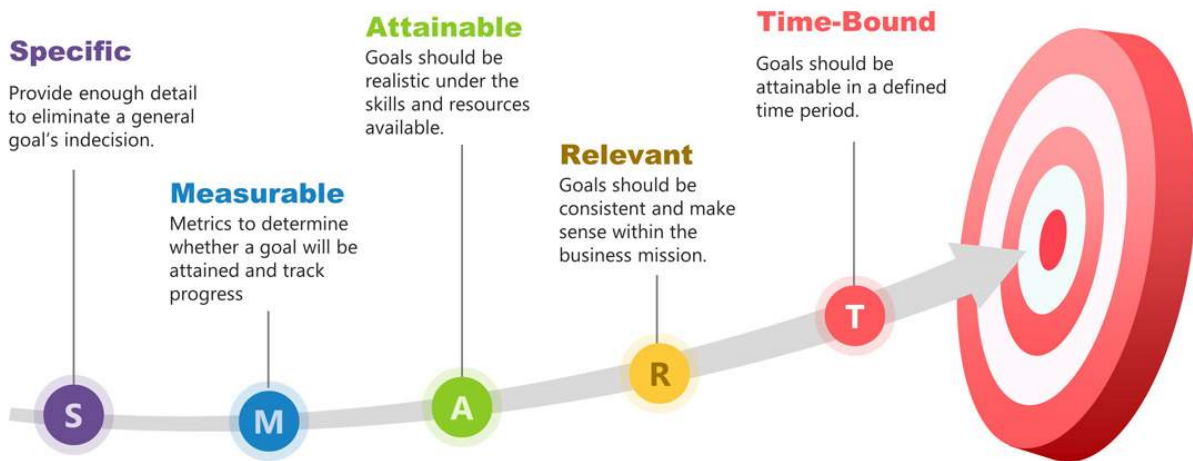
This goal is specific (it is not ambiguous), it can be measured (i.e., were all of the supplies in the spreadsheet ordered?), it is attainable using the resources provided, it is relevant (i.e., related to the job functions), and is time-bound (i.e., within the first week of each new quarter).

Now, that you have started setting your S.M.A.R.T goals, you can work to create performance expectations for your staff.



SMART Goals Diagram - Audio

SMART Goals



Performance Expectations - Audio

Performance Expectations

Performance expectations **MUST** adhere to the following:

- Performance expectations **MUST** be aligned with the employee's job description.
- Performance expectations should clearly explain what the supervisor expects from the employee in terms of work product, how performance will be measured,

and how goals will be met.

- Performance expectations must be reviewed with the employee at the start of each year or within two weeks of the start of a new employee.
- Performance expectations must be completed using a standardized form.

Documenting Performance Expectations



01:58

Review Job Description, Sample & Expectations Form

Review Job Description

Know what your employee's do by reviewing the job description.

You cannot set performance expectations without a general knowledge of how the city classifies the job title the employee holds.

Employee's job classifications ("descriptions") can be found on the City of Chicago's website at: https://www.chicago.gov/city/en/depts/dhr/supp_info/job_specifications.html

This will help you determine some of the "essential functions" of the job. Essential functions are the core duties of the position. It answers the question, "What was the employee hired to do?"



Sample: Administrative Assistant II —

Here is an example of an Administrative Assistant II's job description. The "Essential Duties" serves as a general guide regarding the type of duties the employee can be assigned. The duties can be more specific based on the work required by the division.

CLASS TITLE: Administrative Assistant II

CHARACTERISTICS OF THE CLASS: Under general supervision, the class performs administrative, clerical and secretarial duties for a city manager; and performs related duties as required.

ESSENTIAL DUTIES: Compiles documents and obtains data from various sources to prepare programmatic and administrative reports; creates and maintains spreadsheets and formats and types reports using various software packages; reviews incoming correspondence and drafts standard responses for supervisor's signature; proofreads documents and correspondence submitted for supervisor's review; maintains supervisor's appointment calendar and schedules and organizes meetings; answers telephones, responds to inquiries and directs calls; orders office supplies and coordinates equipment repair and maintenance; processes payment vouchers, benefits claim forms and travel and mileage reimbursement requests; maintains petty cash records to track office expenditures; maintains personnel and time records for section employees; organizes and maintains program records and office files; explains program procedures and departmental policies to the general public and staff; relays directives and distributes information to staff as directed; performs various clerical duties to relieve supervisor of administrative and clerical detail.

RELATED DUTIES: May supervise staff performing routine clerical functions; may participate in the conduct of special projects and studies to improve the efficiency of administrative operations.

MINIMUM QUALIFICATIONS:

Setting Performance Expectations —

Now, it's time to put the S.M.A.R.T goals (based on the employee's job description) on a standardized form. This is the "Annual Expectations Meeting Form." Complete this form by doing the following.

1. Enter the employee's name and title, the supervisor's name and title (you are the supervisor), your department, the division, and the rating period (should be January 1st through December 31st of the current year).
2. Check performance factors. Check all of the "general" performance factors for any non-supervisory employees. Check all of the "supervisory" performance factors in addition to all of the "general" performance factors for any supervisory employees.
3. Outline the employee's job duties. This is where you will need the employee's job description to highlight the duties they will be expected to perform. Be sure to include a general clause such as, "performs related duties as required" this way you can add additional duties as they arise. *If you are unsure whether an employee can perform a certain duty, first check to see if the duty is in the job description, if not then check with your departments Human Resources team to confirm.
4. Under, "Expectations/Performance Metrics" this is where you would list the S.M.A.R.T goals. Be sure to explain how each goal will be monitored and measured!



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Rating Period (1 yr.) from _____ to _____

At the beginning of the review period, schedule a meeting with the employee and use this form to discuss job performance expectations, critical job duties and employee goals.

I. Performance Factors: Review the General Performance Factors and the associated Rating Guide and be prepared to explain the significance of each to the employee. For individuals with supervisory responsibilities, review each Supervisory Performance Factor in addition to the required General Performance Factors. Check each of the boxes below to indicate that you explained each factor to the employee. Provide the employee with a blank copy of the Performance Evaluation Form for reference during the course of the rating period and provide the relevant Performance Rating Guide(s); have the employee initial below after receiving both forms.

Performance Factors		
General		Supervisory
<input type="checkbox"/> Accountability	<input type="checkbox"/> Job Knowledge	<input type="checkbox"/> Delegation
<input type="checkbox"/> Communication	<input type="checkbox"/> Problem Solving	<input type="checkbox"/> Enforcement of Work Standards and Timeliness
<input type="checkbox"/> Customer/Public Service Focus	<input type="checkbox"/> Quality of Work	<input type="checkbox"/> Personal Leadership
<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

Issued Performance Evaluation Form; Employee Initials: _____
 Issued Performance Rating Guide(s); Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

Critical Job Duties

III. Performance/Employee Goals (Employee Completes): Either cut-and-paste the goals submitted by the employee or attach the goals worksheet to the form. Employees should identify at least two goals. Consult the departments, bureaus and/or division goals as requested.

Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

Copy to employee Copy to supervisor file Copy to next level supervisor Copy to Human Resources

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____

CONTINUE





Specific	Measurable	Attainable	Relevant	Time-Bound
Make sure your goals are focused and identify a tangible outcome. Without the specifics, your goal runs the risk of being too vague to achieve. Being more specific helps you identify what you want to achieve. You should also identify what resources you are going to leverage to achieve success.	You should have some clear definition of success. This will help you to evaluate achievement and also progress. This component often answers how much or how many and highlights how you'll know you achieved your goal.	Your goal should be challenging, but still reasonable to achieve. Reflecting on this component can reveal any potential barriers that you may need to overcome to realize success. Outline the steps you're planning to take to achieve your goal.	This is about getting real with yourself and ensuring what you're trying to achieve is worthwhile to you. Determining if this is aligned to your values and if it is a priority focus for you. This helps you answer the why.	Every goal needs a target date, something that motivates you to really apply the focus and discipline necessary to achieve it. This answers when. It's important to set a realistic time frame to achieve your goal to ensure you don't get discouraged.

Setting S.M.A.R.T Goals & Performance Expectations

Start the year with a plan regarding what your expectations are for the staff that you manage. In order to do this, begin with setting S.M.A.R.T goals that are aligned with the employee's job description.

Once you have set S.M.A.R.T goals, then you will need to document those goals and how you will measure them on a standardized performance expectation form.

Finally, you will present the performance expectations to the employee to lay the foundation regarding what you will expect from the employee for the rest of the year.

What are the 4 stages of performance management in the correct order?



Planning, Developing, Monitoring, Reviewing

- Developing, Planning, Monitoring, Reviewing
- Planning, Monitoring, Developing, Reviewing
- Monitoring, Developing, Planning, Reviewing

SUBMIT



Complete the content above before moving on.

"S.M.A.R.T" stands for what in terms of goals?

- Specific, Measurable, Attainable, Relevant, Time-Bound
- Specific, Mission, Achievable, Reachable, Time-Sensitive



Standardized, Measurable, Attainable, Reachable,
Time-Based



Subjective, Measurable, Achievable, Relevant,
Timely

SUBMIT



Complete the content above before moving on.

Performance Monitoring



00:18

Performance Monitoring - Audio

Performance Monitoring

Performance monitoring is important! When we do not monitor the performance of our staff then there is no way to gauge whether they are reaching the S.M.A.R.T goals set for them. You are expected to monitor the performance of your staff to ensure that they are not only performing their job duties but performing them successfully.

Click on each section below to learn more.



04:59

Performance Monitoring Accordion section - Audio

What is Performance Monitoring? —

Put simply, employee performance monitoring is the practice of tracking the work of employees including the quality, quantity, and efficiency of work. When you monitor the performance of employees, you can paint a picture of how effective and efficient the employee is and how the business is operating.



Why Measure Performance? —

We measure performance because...

- What you do not measure, you cannot improve.
- If you cannot improve, you cannot grow.
- Measurement provides the basis for employee evaluation.
- Measurement provides objectivity to differentiate between performers and non-performers.
- In some cases step increases may be tied to performance metrics.

Employees need to know that you care about how they are performing. When you measure performance, it gives the employee an objective measure regarding whether they are meeting their set expectations.



Here are some things that you should measure... —

What do your employees do? Processes, addresses issues, enters data, answers phones or questions, etc.

How well they do it? Quality, pre-established processes, errors made, complaints received.

How long does it take them? Are they performing in a timely manner? How long should it take them on average, set benchmarks.

How many do they do? Quantity, how many should they produce, what is the average, again set benchmarks.



Supervisors should do the following: —

- Measure **quantity** and **quality** of each employee's work equitably and consistently.
- Meet with the employee throughout the year to discuss their overall performance, including but not limited to, how they are doing with every performance factor they will be evaluated on i.e., customer/public service focus, time management (which includes absenteeism, punctuality, patterns, etc.), accountability, productivity, quality of work, and communication.
- Discuss with the employee their strengths and areas where improvement is needed (provide additional training as needed).

Coaching and feedback should be given as often as needed.

It is best practice to schedule time every month or at the least every quarter to give feedback to your staff. For new employees, every week through the probationary period.

NOTE: Employees should not be “surprised” if their performance evaluation “does not meet expectations.” Communication is key!



Private Settings —

Whenever you have to meet with an employee to discuss their performance in any capacity, please remember that you may be sharing confidential or sensitive feedback with them. These conversations should take place in a private, distraction free work setting that will allow the employee the opportunity to hear and ask questions about the feedback in order to gain understanding. Please refrain from speaking to the employee in front of their peers, at their cubicle where others can hear, or in the field/outside where distractions can occur.

- **Schedule a set time and date to meet with the employee to provide feedback.** You should send the employee a calendar invite and allow them to accept the meeting.
- **If you have to provide feedback via MS Teams, Zoom, or other virtual platforms, please consider your background.** Request that all parties have their cameras on to personalize the meeting. Be prepared to share any documents on the screen as needed.

The setting should be private and free from any distractions. As the supervisor, refrain from checking emails and answering the phone while meeting with your employees to give feedback.



Other Considerations When Coaching an Employee —

- The coaching session should be one-on-one with the employee and the employee's direct supervisor present.
- Prepare for the meeting by printing out any documents you will need to address the employee's performance. This may include things such as CATA records, examples of their work product, any emails sent regarding performance, etc.
- The supervisor should start with an introduction to explain the purpose of the meeting.
- Share with the employee any areas identified as strengths and areas of improvement as it pertains to the employee's performance. (You can use the sandwich approach by telling the employee something they do well, what they can improve, and end with something positive like, "I am confident in your abilities to make the necessary improvements").
- Listen to the employee! Listen for understanding and not with the intent to respond.
- Address any concerns they may have and provide what you plan to do to address their concerns.
- Make them feel empowered by giving them words of encouragement as needed.
- Follow up with the employee, if necessary to address any next steps mentioned in the session. This can be done via email.

Coaching does not require union representation since these sessions are not disciplinary in nature. Additionally, only the employee's direct supervisor should be present, there is no need for additional levels of supervision in the meeting. This could cause concern for the employee. Supervisors should address any concerns about meeting with the employee one-on-one with their next level supervisor. Your departmental HR team should be informed of concerns, if necessary.



00:26

Summary - Audio

Summary

Monitoring employees may sound like something an organization would do only if it did not trust its employees. However, numerous advantages come with monitoring

employee's performance. Employees perform better when they have goals to strive for and work towards. Measuring employee performance helps calibrate those goals by providing insight into where the employee is doing well, could be stretched, and areas that could be improved.

CONTINUE

Performance Evaluations (Annual & Probationary)

Performance Evaluations



01:03

- Evaluating the performance of your employees allows the opportunity to provide a comprehensive review of how they performed over a specified period of time (i.e., the previous calendar year from January 1st through December 31). Here are some things to consider...
- If you have provided feedback throughout the year as required, then conducting their performance evaluation should be a fairly simple process because they are already aware of their performance, whether good or bad.
- The evaluation is where all your feedback comes together. Be **OBJECTIVE!** Evaluations should NOT be based on subjective factors such as, your personal feelings towards an employee (e.g., "I don't like them, so I am going to give them a poor evaluation").
 - Evaluations should be strictly based on factual information that resulted from the S.M.A.R.T goals set on the performance expectation form.
 - Look at the outcomes of what was measured (i.e., were deadlines met, did they get complaints/compliments, how many complaints/compliments, were they punctual, etc.).

- Be transparent! Have reports ready to review that highlight the outcomes of what was measured.



There Are Two Types of Performance Evaluations:



00:17

1. Probationary Performance Evaluation – Given to new employees and employees that are new to a position within the department.
2. Annual Performance Evaluation – Given to ALL subordinate staff annually, usually at the start of each year for the previous year's performance.



Let's Start With How to Evaluate New Employees!



00:29

Employees that are new to a position, whether hired internally or externally MUST BE:

- Properly trained to learn the essential duties of the new position.
- Provided with written procedures and training materials.
- Provided with the resources needed to perform the essential duties of the job.
- Performance expectations must be CLEARLY communicated to the employee.
- Continuous feedback must be provided throughout probationary or evaluation period.
- Supervisors must document communication.



Probationary Evaluation Form



00:23

The probationary evaluation form allows the supervisor to document whether the employee "meets expectations" or "does not meet expectations" for the general performance factors listed.

In the summary section you are answering, "Yes" or "No" to whether you, "recommend continued employment beyond the probationary period". If the answer is "no," please consult with the Labor Relations Supervisor.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
PERFORMANCE EVALUATION FORM: PROBATIONARY

Rating Period: From: _____ To: _____	
Employee Name: _____	
Employee Title: _____	
Evaluation Date: _____	
Supervisor Name: _____	
Supervisor Title: _____	
GENERAL PERFORMANCE FACTORS	
All probationary employees must be assessed in each of the factors below.	
Accountability - Accepts personal responsibility for performance and behavior.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Communication - Understands others and transmits information in a clear, accurate, and timely manner.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Customer/Public Service Focus - Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Integrity - Demonstrates honesty and forthrightness in all interactions.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Job Knowledge - Understands the purpose, function, and responsibilities of the job.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Problem Solving - Uses logic, methods and experience to resolve challenges or improve processes.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Quality of Work - Performs work that is complete, accurate, and meets departmental performance metrics.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Quantity of Work - Performs work at a consistent rate and meets departmental performance metrics.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Time and Task Management - Uses time, resources, and technology efficiently to ensure completion of assignments.	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Attendance - (Attach CATA records)	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
Punctuality - (Attach CATA records)	<input type="checkbox"/> Meets Expectations <input type="checkbox"/> Does Not Meet Expectations
SUMMARY: IMMEDIATE SUPERVISOR	I recommend continued employment beyond the probationary period <input type="checkbox"/> YES <input type="checkbox"/> NO
Comments: _____	
Signature _____	Date _____
SUMMARY: NEXT LEVEL SUPERVISOR	I recommend continued employment beyond the probationary period <input type="checkbox"/> YES <input type="checkbox"/> NO
Signature _____	Date _____
Copy and distribute to: <input type="checkbox"/> employee <input type="checkbox"/> supervisor <input type="checkbox"/> next level supervisor <input type="checkbox"/> department HR representative	

Probationary or Evaluation Period



00:35

New employees will have a "probationary period," which means that they have not completed a probationary period with any other City of Chicago department. Probationary periods are six (6) months for non-represented employees and twelve (12) months for represented employees.

If an employee has already completed a probationary period with another City of Chicago department, then they do NOT have a probationary period. In this case they have an "evaluation period," which can be anywhere from sixty (60) days to 120 days based on the collective bargaining agreement they are governed by. For non-represented employees their evaluation period is sixty (60) days.

Employee Status	City of Chicago Personnel Rule IX, Section 1	SEIU Local 73	AFSCME	Teamsters	Laborer's International Union of North America
New employees appointed to Career Service Positions (not already City employees)	Six (6) months	Twelve (12) months	Twelve (12) months	Twelve (12) months	Twelve (12) months
Career Service Employees (Evaluation Period)	Sixty (60) days	120 days	Sixty (60) days, but may be extended an additional 30 days, up to 120 days.	Sixty (60) days	Sixty (60) days

Now Let's Focus on Annual Performance Evaluations!



00:23

- Every employee must receive an annual performance evaluation.
- Performance evaluation forms are available on the [intranet](#).
- Performance data must support every evaluation, whether good or bad.
- Evaluations are to be presented in a professional one-on-one setting.
- Start with evaluating supervisors/managers first and then subordinates.



Annual Performance Evaluation Form (Page 1)



00:28

This is the first page of the annual performance evaluation form.

- This is where you input the employee's name, supervisor's name, and the evaluation period.
- The overall rating score appears for all of the performance factors.
- Employee and supervisor can add any comments they have about the evaluation.
- Employee and supervisor signatures are required, along with the date. Please note, that the signature only acknowledges presentation and not agreement.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM – GENERAL & SUPERVISORY

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation
The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)
EMPLOYEE NAME: _____ Title: _____
Supervisor Name: _____ Title: _____
Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:
Part I General Performance Factors _____ / 4.00 (Enter Overall Rating from page 2)
Part II Supervisory Performance Factors _____ / 4.00 (Enter Overall Rating from page 3)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:
I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature: _____ Date: _____

I hereby certify that I have reviewed this form in advance of the Performance Evaluation Meeting and support the evaluation:

Next Level Supervisor (Reviewer) Signature: _____ Date: _____

I hereby certify that I have reviewed this evaluation and understand that I will receive a copy. I am aware that my signature indicates only that I have received the evaluation. It does not necessarily indicate agreement with the rating. I understand that I may write comments above post-review. Employees represented by AFSCME also have the right to submit a rebuttal to performance evaluations in their personnel files.

Employee Signature: _____ Date: _____

Copy and distribute to: Employee Supervisor Next level supervisor Human Resources

Part I – General Performance Factors



01:13

All employees will be rated on the following...

Quality of Work – Performs work that is complete accurate and meets department performance metrics. Uses logic, methods and experience to resolve challenges or improve work processes. Understands the purpose, function and responsibilities of the job.

Time Management – Follows policies and procedures for work time reporting. Uses time, resources, and technology efficiently to ensure completion of assignments. Performs work at a consistent rate and meets department performance metrics.

Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with service offered.

Accountability – Accepts personal responsibility for performance and behavior. Demonstrates honesty and forthrightness all interactions.

Communication – Understands others and transmits information in a clear, accurate, and timely manner.

Provide a rating for each category using the following rating scale:

A rating of 1 means the employee **"Does Not Meet Expectations,"**

a rating of 2 means the employee, **"Meets Some Expectations,"**

a rating of 3 means the employee, **"Meets Expectations,"** and

a rating of 4 means the employee **"Exceeds Expectations."**

Part I – GENERAL PERFORMANCE FACTORS	
<small>All employees must be assessed in each of the general performance factors. Consult the department/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the Performance Rating Guide to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.</small>	
Rating Guide: 1 = Does Not Meet Expectations 2 = Meets Most Expectations 3 = Consistently Meets Expectations 4 = Exceeds Expectations	
Accountability – Accepts personal responsibility for performance and behavior.	Rating
Examples: <input type="text"/>	<input type="text"/>
Communication – Understands others and transmits information in a clear, accurate, and timely manner.	Rating
Examples: <input type="text"/>	<input type="text"/>
Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.	Rating
Examples: <input type="text"/>	<input type="text"/>
Integrity – Demonstrates honesty and forthrightness in all interactions.	Rating
Examples: <input type="text"/>	<input type="text"/>
Job Knowledge – Understands the purpose, function, and responsibilities of the job.	Rating
Examples: <input type="text"/>	<input type="text"/>
Problem Solving – Uses logic, methods and experience to resolve challenges or improve processes.	Rating
Examples: <input type="text"/>	<input type="text"/>
Quality of Work – Performs work that is complete, accurate, and meets department performance objective and productivity goals.	Rating
Examples: <input type="text"/>	<input type="text"/>
Quantity of Work – Performs work at a consistent rate and meets department performance objectives and productivity goals.	Rating
Examples: <input type="text"/>	<input type="text"/>
Time and Task Management – Uses time, resources, and/or technology efficiently to ensure completion of assignments.	Rating
Examples: <input type="text"/>	<input type="text"/>
Go to Part II	Overall Rating for Part I = <input type="text"/> (Ratings Total / 9)

Part II – Supervisory Performance Factors

01:11

Only complete the supervisory performance factors when completing the evaluation for an employee that supervises other employees. These factors include the following...

Delegation - Prioritizes and assigns tasks according to staff's abilities and strengths.

Enforcement of Work Standards and Timeliness - Holds staff responsible for job performance and addresses problems appropriately.

Personal Leadership - Motivates staff and serves as a positive role model.

Staff Development - Provides appropriate information, training, feedback, and encouragement to enhance staff performance.

*Do not just provide a numeric rating. You also **MUST** provide a comment in the "Example" box regarding why you gave the rating.

For example, if you give a rating of a 4 for the quality of work, then you would provide an example of this, (e.g., "*The audits that you complete every Friday are detailed, provides a summary of the organization and whether they are accurately accounting for funds*").

Provide as many examples as possible, in each box for each factor. **The more detailed the better!** This is especially important if you are providing a rating of 1 or 2. Even though the employee should know because of the feedback given throughout the year, this is where you would state whether they made improvement or not.

Part II – SUPERVISORY PERFORMANCE FACTORS	
<small>Individuals who supervise one or more employees must be assessed in each of the supervisory performance factors. Consult the departments/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the Performance Rating Guide to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.</small>	
Rating Guide: 1 = Does Not Meet Expectations 2 = Meets Most Expectations 3 = Consistently Meets Expectations 4 = Exceeds Expectations	
Delegation – Prioritizes and assigns tasks according to staff's abilities and strengths.	Rating
Examples: <input type="text"/>	<input type="text"/>
Enforcement of Work Standards and Timelines – Holds staff responsible for job performance and addresses problems appropriately.	Rating
Examples: <input type="text"/>	<input type="text"/>
Personal Leadership – Motivates staff and serves as a positive role model.	Rating
Examples: <input type="text"/>	<input type="text"/>
Staff Development – Provides appropriate information, training, feedback, and encouragement to enhance staff performance.	Rating
Examples: <input type="text"/>	<input type="text"/>
Return to Summary	Overall Rating for Part II = <input type="text"/> <small>(Ratings Total / 4)</small>

Summary



00:43

Performance evaluations allow for an overall assessment that helps employees prioritize. Employees learn what their key strengths are and where they should focus their development efforts. Evaluations also serve as a way to make sure that performance issues or concerns are clearly identified and addressed, not overlooked or ignored.

The purposes of the annual performance evaluation process are to promote communication, provide useful feedback about job performance, facilitate better working relationships, provide a record of performance and contribute to professional development.

The purpose of evaluating the performance of new employees is to determine if they are a good "fit" for the organization or for them to determine if the organization is a good "fit"

for them.



CONTINUE

Knowledge Check

What are some things that should be measured? *Select all that apply.*

-
- What employees want to do?

 - How well employees do it (i.e., quality, errors, complaints)?

 - How long it takes the employee to do it (i.e., timeliness, how long it takes on average, benchmarks)?

 - What does not get done and why it was not done?

SUBMIT



Complete the content above before moving on.

Supervisors should consider which of the following when coaching an employee? *Select all that apply.*



Coaching should be done in a professional and

- distraction free environment.
- Supervisors can coach employees on their lunch break.
- Supervisors should schedule a specific date and time to meet with the employee.
- All of the above.

SUBMIT



Complete the content above before moving on.

Supervisors should do which of the following regarding coaching and providing feedback to an employee?



Talk to the employee at their workstation regarding their performance.



Talk to the employee about the quality and quantity of their work.



Supervisors do not have to coach an employee if their performance is good.

SUBMIT



Complete the content above before moving on.

Conducting Effective Performance Review Meetings



00:26

What Is a Performance Review?

A **performance review** is a formal evaluation of a team member's general performance as well as their progress toward achieving individualized goals.

The goal of a performance review is to highlight a team member's strengths and successes; identify opportunities for growth or address performance issues; and talk about action steps for improvement. A performance review is also an opportunity for the team member to give feedback or address any concerns that they have.



00:18

Encourage Self-Evaluation

Ask the employee to self-evaluate their performance by completing a blank evaluation form. The employee can provide comments on job performance such as achievements, skills learned, challenges and identify any skills to develop or polish. Have them consider or keep the following questions in mind:



00:31

Preparing for Performance Reviews

A last-minute dash to evaluate your team's performance won't result in a meaningful (or accurate) performance review. Take the following steps to do the proper prep work and conduct reviews that are complete, insightful, and actionable.

- *What are the top three areas you could improve in?*
- *What achievement are you most proud of this year?*
- *Where have you fallen short in your career goals or job expectations?*
- *What is one new skill you'd like to learn—or goal you'd like to pursue—in the upcoming year?*
- *How can I better support you?*



02:15

Meet One-On-One and Give Feedback Frequently

Too many managers make the mistake of conducting just one performance review every year. It's unrealistic to cover a team member's performance from an entire year in a single, 30-minute or hour-long session.

Instead, meet with team members one-on-one and give regular feedback throughout the year as needed. Consider one-on-one meetings as informal or mini-review sessions. They give you a chance to check in with team members, talk about how they're doing; to express positive feedback and address problems as they arise.

“When you see it, say it,” is a good motto for managers to adopt when highlighting outstanding performance and addressing performance issues. Don't wait until the annual performance review to give positive feedback or talk about a problem. Meet with the team member as soon as

possible to discuss any issues and brainstorm solutions. With regular feedback team members should never be surprised or caught off guard by the contents of their formal performance review.

Take Notes —

This leads to the next tip, which is to take notes. Keep a file on each team member, and take notes from every one-on-one meeting or feedback session you have with them throughout the year.

Also, make a habit of gathering periodic reports on team performance metrics. For example, if you manage a customer support team, then you might collect data at the end of each month on team members' customer satisfaction ratings. You might even pull a few positive and negative customer feedback responses that each team member received for that month.

Be diligent and consistent with your notes and documentation. Not only will it give you a more comprehensive picture of a team member's progress and performance throughout the year, but it also will increase visibility on how your team is doing at any given moment.

Do Your Final Prep Work —

Finally, start your final prep work for performance reviews at least two to six weeks in advance. Final prep includes the following steps:

- Review the team member's written job description, duties, performance factors and the goals you jointly agreed upon
- Collect all qualitative and quantitative data on a team member's performance
- Complete a written performance evaluation based on the employee's job description, expectations, and performance metrics or observed behaviors
- Prepare your talking points for the meeting
- As an option, give each team member a blank Performance Evaluation Form for them to self-evaluate their performance and to submit to you prior to the Annual Performance Evaluation meeting.



00:12

Now that you've done the prep work, learn how to structure your performance review meeting in the upcoming section. Meetings should last roughly 30-60 minutes. They should take place in an environment that's quiet, private, and distraction-free.

How to Structure the Meeting



00:19

Having a clear structure for your performance reviews will make the meeting go more smoothly and ensure that you don't miss anything. It also allows you to provide ample time for the team member to respond, ask questions, or share their insights with you. Follow these six steps to structure the performance review meeting:

Step 1

Set Expectations



00:29

First, open the meeting by setting expectations. Explain the goals of conducting a performance review and why it's beneficial to the team member's professional development. The team member may be feeling nervous, so it's important to set the right tone for the rest of the meeting. Be friendly, transparent, and positive in your communications. Share how performance reviews are an open dialogue. They're designed to recognize the team member's accomplishments and promote continuous improvement.

Step 2

Ask the Team Member to Share Their Self-Evaluation



00:34

Second, open the floor to the team member. Ask them to share the self-evaluation that they prepared for their performance review.

Starting with the team member's self-evaluation will help you both get comfortable, and it will give you important insights into how a team member views themselves. For example, if your constructive feedback echoes how a team member perceives themselves, they'll likely feel less defensive when you agree with them. Or, if your constructive feedback contradicts how a team member perceives themselves, then you'll need to approach it with more sensitivity.

Step 3

Give Your Positive Feedback



00:27

After you've had a chance to react and comment on the team member's self-evaluation, you can then transition into sharing your evaluation of their performance. Start with positive feedback. Identify their strengths, highlight their accomplishments, and give praise where it's due.

Acknowledge their contributions! Give plenty of time and space for the employee to understand the biggest ways that they've added value or contributed to the department—and to feel appreciated for it.

Step 4

Address Opportunities for Improvement



00:19

Next, address opportunities that the team member has for improvement. Are there any performance issues, including unmet goals or expectations? Or what are your stretch goals to challenge top performers? Always make sure that constructive feedback is backed up with specific examples or data.

Step 5

Invite the Team Member to Respond



00:17

This next step is crucial. Invite the team member to respond to your evaluation and feedback. Ask if they have any comments or additional context that they'd like to share with you. Be open to hearing their perspective or interpretation of a situation.

Step 6

Summarize Your Review and Discuss Action Plans



00:20

Finally, the last step is to summarize the performance review from a higher level. What are the main highlights or takeaways from the review? Then, discuss next steps or action plans. Give two to three practical actions that the team member can take—or you can take—to improve.

Summary



00:31

Performance review meetings don't have to be overly complicated. Set the right expectations at the beginning of the meeting, and then open the floor to hear the team member's self-evaluation. Then, transition into your own evaluation of the team member's biggest strengths or achievements, followed by the top areas in which they could improve. Finally, give the team member a chance to comment on your feedback or discuss your evaluation further before summarizing the main takeaways from the review and what action steps you both can take moving forward.



00:23



Keep signed copies. Have the team member sign your document at the end of the meeting to confirm that they received it. (The employee's signature does not necessarily indicate agreement with the rating.)

Keep a copy of both your written performance evaluation and the team member's self-evaluation for your records. A signed document will demonstrate that the employee is aware of any performance issues and has an opportunity to improve.



5 Tips to Better Communicate Your Performance Reviews

Great feedback won't make an impact if it's not communicated in a way that's easy to digest, understand, and implement. And constructive feedback won't change behavior if it's communicated in a way that makes the other person feel defensive or insulted. Sometimes, it's not what you say, but how you say it, that counts—especially when it comes to delivering performance reviews.

Follow these five tips to better communicate your feedback:



Be specific. Generic or vague feedback such as “you’re doing great” doesn’t add much value. Do you love a team member’s positive attitude and how it energizes the rest of the team? Are you impressed by a team member’s ability to research and synthesize information quickly? Be specific to make feedback more valuable.



Give examples. Back your feedback up with evidence. Share data or give specific examples to illustrate your point.



Focus on behaviors— not traits. Another tip is to focus on observed behaviors and results rather than personality traits. Use objective language to describe an unmet expectation. Don't insult the other person or attack their character.



Don't share your written evaluation beforehand. Don't share your written evaluation with the team member before your meeting. Wait until you talk about it together and provide context in-person or over video chat.



Keep it simple. Don't list all of a team member's achievements or all of their shortcomings. Instead, focus on communicating two to three key messages or themes for each. Make it easy to remember.





Try the start, stop, continue technique. You might find it helpful to try the start, stop, continue technique to make your performance reviews more actionable. This method involves citing behaviors that the team member should start, stop, and continue doing. For example, you might ask a team member to start documenting their processes, stop second-guessing or doubting their work, and continue turning in their reports on time.

CONTINUE

Performance Management Forms

Forms and Documents

All of the Employee Performance Management Program forms and documents can be found on the intranet: [City of Chicago Intranet :: Employee Performance Management Program](#)

Let's take a look at a few of them. Click on the + for details.

Goal Setting Worksheet



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
GOAL SETTING WORKSHEET

Name: Position: Date:

The goal-setting portion of the EPMP can be very rewarding for the employee and supervisor alike if the following guidelines are kept in mind:

- Goals are discussed and agreed upon jointly by employee and supervisor.
- Resources (if necessary to achieve goals) are negotiated in advance.
- Progress is monitored on a regular basis.

Use the SMART goal model, as outlined below, to write effective goals:

- Specific:** Planned task, outcome or result is clearly stated
- Measurable:** Accomplishment of the goal can be charted, components observed, or progress assessed
- Achievable:** Goal is challenging but realistic
- Relevant:** Goal supports department/bureau/division objectives and goals and is related to scope of work
- Time-bound:** Deadline(s) are set for accomplishment of goal during review period or set interval for component pieces

Goals may be identified from the following sources: routine job functions (review job specification); focus-areas already identified in organization; new areas of innovation; individual professional development needs (new skills, knowledge, experience, certifications, training, etc.); linking individual goals to broader organization goals; new initiatives within the division; personal goals that assist with on-the-job performance.

Instructions: **All employees must submit TWO GOALS.** Minimally, 2 general job-related goals; additional goals are optional.

	S - SPECIFIC GOAL	M - MEASURABLE	A - ACHIEVABLE	R - RELEVANT	T - TIMEBOUND
<i>Example</i>	<i>Write a procedural manual outlining the department's protocol for procurement of goods and services.</i>	<i>Comprehensive, multi-chapter manual will receive approval from bureau Deputy & DPS.</i>	<i>Support resources are in place; eight months is a reasonable time period for completing all components of goal.</i>	<i>Supports the Contracts Division and my scope of work.</i>	<i>Draft of Manual completed by 10/31/2013. Final version approved & implemented by 12/31/.</i>
<i>Example</i>	<i>Obtain my ASE Master Technician Certification.</i>	<i>Successfully complete all required courses and exams.</i>	<i>I have the foundation for advanced learning as a Machinist and the needed time.</i>	<i>Supports the department's work and my job title.</i>	<i>Complete by December 31.</i>
General Goal: (Required)					
General Goal: (Required)					
Additional Goal: (Optional)					
Additional Goal: (Optional)					



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
GOAL SETTING WORKSHEET

Name: _____ Position: _____ Date: _____

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<i>Example</i>	<i>Obtain my ASE Master Technician Certification.</i>	<i>Successfully complete all required courses and exams.</i>	<i>I have the foundation for advanced learning as a Machinist and the needed time.</i>	<i>Supports the department's work and my job title.</i>	<i>Complete by December 31.</i>
General Goal: (Required)					
General Goal: (Required)					
Additional Goal: (Optional)					
Additional Goal: (Optional)					



GOALS

Employees should fill in their goals according to the SMART goal model:

- Specific**
- Measurable**
- Achievable**
- Relevant**
- Timebound**



Name: _____ Position: _____ Date: _____

The goal-setting portion of the EPMP can be very rewarding for the employee and supervisor alike if the following guidelines are kept in mind:

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Example	Obtain my ASE Master Technician Certification.	Successfully complete all required courses and exams.	I have the foundation for advanced learning as a Machinist and the needed time.	Supports the department's work and my job title.	Complete by December 31.
General Goal: (Required)					
General Goal: (Required)					
Additional Goal: (Optional)					
Additional Goal: (Optional)					

Goal Setting Worksheet

Each employee should complete the Goal Setting Worksheet to include their name, job title or position, and the date.

Employees must identify at least TWO goals.

Annual Expectations Meeting Form



**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM**

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Rating Period (1 yr.) from _____ to _____

At the beginning of the review period, schedule a meeting with the employee and use this form to discuss job performance expectations, critical job duties and employee goals.

I. Performance Factors: Review the General Performance Factors and the associated Rating Guide and be prepared to explain the significance of each to the employee. For individuals with supervisory responsibilities, review each Supervisory Performance Factor in addition to the required General Performance Factors. Check each of the boxes below to indicate that you explained each factor to the employee. Provide the employee with a blank copy of the Performance Evaluation Form for reference during the course of the rating period and provide the relevant Performance Rating Guide(s); have the employee initial below after receiving both forms.

Performance Factors		
General		Supervisory
<input type="checkbox"/> Accountability	<input type="checkbox"/> Job Knowledge	<input type="checkbox"/> Delegation
<input type="checkbox"/> Communication	<input type="checkbox"/> Problem Solving	<input type="checkbox"/> Enforcement of Work Standards and Timeliness
<input type="checkbox"/> Customer/Public Service Focus	<input type="checkbox"/> Quality of Work	<input type="checkbox"/> Personal Leadership
<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

Issued Performance Evaluation Form. Employee Initials: _____
 Issued Performance Rating Guide(s). Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

Critical Job Duties

III. Performance/Employee Goals (Employee Completes): Either cut-and-paste the goals submitted by the employee or attach the goals worksheet to the form. Employees should identify at least two goals. Consult the departments, bureaus and/or division goals as requested.

Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

Copy to employee Copy to supervisor file Copy to next level supervisor Copy to Human Resources

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name		Employee's Title	
Supervisor's Name		Supervisor's Title	
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Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

<input type="checkbox"/> Copy to employee	<input type="checkbox"/> Copy to supervisor file	<input type="checkbox"/> Copy to next level supervisor	<input type="checkbox"/> Copy to Human Resources
---	--	--	--

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____

Employee Information

- Employee's name and job title
- Supervisor's name and job title
- Division
- Rating period



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Rating Period (1 yr.) from _____ to _____

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<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

- Issued Performance Evaluation Form; Employee Initials: _____
 Issued Performance Rating Guide(s); Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

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Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

Copy to employee Copy to supervisor file Copy to next level supervisor Copy to Human Resources

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____

Performance Factors

Select all of the relevant performance factors.

If the employee is also a supervisor, be sure to select the supervisory factors as well.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Rating Period (1 yr.) from _____ to _____

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Issued Performance Evaluation Form; Employee Initials: _____
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Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____



Signatures

Employee & relevant supervisors must sign off on the expectations form.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Rating Period (1 yr.) from _____ to _____

At the beginning of the review period, schedule a meeting with the employee and use this form to discuss job performance expectations, critical job duties and employee goals.

I. Performance Factors: Review the General Performance Factors and the associated Rating Guide and be prepared to explain the significance of each to the employee. For individuals with supervisory responsibilities, review each Supervisory Performance Factor in addition to the required General Performance Factors. Check each of the boxes below to indicate that you explained each factor to the employee. Provide the employee with a blank copy of the Performance Evaluation Form for reference during the course of the rating period and provide the relevant Performance Rating Guide(s); have the employee initial below after receiving both forms.

Performance Factors		
General		Supervisory
<input type="checkbox"/> Accountability	<input type="checkbox"/> Job Knowledge	<input type="checkbox"/> Delegation
<input type="checkbox"/> Communication	<input type="checkbox"/> Problem Solving	<input type="checkbox"/> Enforcement of Work Standards and Timeliness
<input type="checkbox"/> Customer/Public Service Focus	<input type="checkbox"/> Quality of Work	<input type="checkbox"/> Personal Leadership
<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

- Issued Performance Evaluation Form; Employee Initials: _____
 Issued Performance Rating Guide(s); Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

Critical Job Duties

III. Performance/Employee Goals (Employee Completes): Either cut-and-paste the goals submitted by the employee or attach the goals worksheet to the form. Employees should identify at least two goals. Consult the departments, bureaus and/or division goals as requested.

Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

Copy to employee Copy to supervisor file Copy to next level supervisor Copy to Human Resources

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____



Goals

Add the SMART goals from the Goal Worksheet.

Remember, there must be at least two goals.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
ANNUAL EXPECTATIONS MEETING FORM

Employee's Name	Employee's Title
Supervisor's Name	Supervisor's Title
Division	Rating Period (1 yr.) from _____ to _____

At the beginning of the review period, schedule a meeting with the employee and use this form to discuss job performance expectations, critical job duties and employee goals.

I. Performance Factors: Review the General Performance Factors and the associated Rating Guide and be prepared to explain the significance of each to the employee. For individuals with supervisory responsibilities, review each Supervisory Performance Factor in addition to the required General Performance Factors. Check each of the boxes below to indicate that you explained each factor to the employee. Provide the employee with a blank copy of the Performance Evaluation Form for reference during the course of the rating period and provide the relevant Performance Rating Guide(s); have the employee initial below after receiving both forms.

Performance Factors		
General		Supervisory
<input type="checkbox"/> Accountability	<input type="checkbox"/> Job Knowledge	<input type="checkbox"/> Delegation
<input type="checkbox"/> Communication	<input type="checkbox"/> Problem Solving	<input type="checkbox"/> Enforcement of Work Standards and Timeliness
<input type="checkbox"/> Customer/Public Service Focus	<input type="checkbox"/> Quality of Work	<input type="checkbox"/> Personal Leadership
<input type="checkbox"/> Integrity	<input type="checkbox"/> Quantity of Work	<input type="checkbox"/> Staff Development
	<input type="checkbox"/> Time and Task Management	

Issued Performance Evaluation Form; Employee Initials: _____
 Issued Performance Rating Guide(s); Employee Initials: _____

II. Job Duties/Expectations (Supervisor Completes): Review the employee's job specification and highlight any critical job duties and/or expectations not explicitly stated. Describe these in the table below and review with the employee.

Critical Job Duties

III. Performance/Employee Goals (Employee Completes): Either cut-and-paste the goals submitted by the employee or attach the goals worksheet to the form. Employees should identify at least two goals. Consult the departments, bureaus and/or division goals as requested.

Performance/Employee Goals

Next Level Supervisor (Reviewer) Signature	Date
Supervisor Signature	Date
Employee Signature	Date

Copy to employee Copy to supervisor file Copy to next level supervisor Copy to Human Resources

Mid-Year Checkpoint is scheduled on: _____ Annual Evaluation is scheduled on: _____



Critical Job Duties

Use the job description to help identify the critical job duties and responsibilities.

Performance Factors



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
PERFORMANCE RATINGS GUIDE: GENERAL PERFORMANCE FACTORS

All employees must be assessed in each of the general performance factors below. Use facts, data, and the department Performance Matrix to determine the appropriate rating category for the individual under review.



Accountability - Accepts personal responsibility for performance and behavior			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> • Fails to fulfill commitments • Refuses to acknowledge errors or to modify behavior • Makes excuses for problems arising from personal behavior 	<ul style="list-style-type: none"> • Follows through on commitments • Acknowledges errors • Takes responsibility for actions 	<ul style="list-style-type: none"> • Fulfills commitments on or ahead of due date • Accepts responsibility for errors • Takes personal ownership for correcting work problems 	<ul style="list-style-type: none"> • Fulfills all commitments ahead of due date • Requests regular feedback from supervisors, peers, and/or direct reports • Raises issues without blaming others • Develops additional skills as a result of feedback
Communication - Understands others and transmits information in a clear, accurate, and timely manner			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> • Has difficulty stating or writing key points • Speaks without listening • Submits material without proofreading • Makes little effort to adapt to the communication style of others 	<ul style="list-style-type: none"> • Listens without interrupting • Expresses thoughts clearly both verbally and in writing • Proofreads documents for accuracy before submission • Calls attention to issues or information in a timely manner 	<ul style="list-style-type: none"> • Expresses complex ideas concisely both verbally and in writing • Effectively adapts to others' communication styles • Constructs well-written documents without guidance 	<ul style="list-style-type: none"> • Communicates persuasively both verbally and in writing • Consistently checks for understanding • Excels in public speaking; demonstrates ability to address a variety of groups
Customer/Public Service Focus - Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> • Provides poor or inconsistent service • Fails to provide others with timely, appropriate information • Avoids customers or responds grudgingly • Makes excuses rather than addressing the needs of others 	<ul style="list-style-type: none"> • Listens actively to customers' needs and requests • Provides timely, appropriate responses to questions and requests • Demonstrates courtesy during interactions with others 	<ul style="list-style-type: none"> • Asks appropriate questions to clarify needs • Identifies and eliminates barriers to effective service • Establishes credibility and trust with customers 	<ul style="list-style-type: none"> • Exceeds customer expectations by anticipating needs and making recommendations • Consistently demonstrates tact and professionalism in difficult customer situations • Seeks regular feedback from others in order to improve service
Integrity - Demonstrates honesty and forthrightness in all interactions			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> • Reveals confidential information • Shows inconsistency between words and behavior • Fails to fulfill ethics training requirements • Fails to take prompt action in case of unethical behavior 	<ul style="list-style-type: none"> • Maintains confidentiality • Demonstrates truthfulness in interactions with others • Demonstrates understanding of the City's ethics policy 	<ul style="list-style-type: none"> • Protects confidential and sensitive information • Maintains fair and consistent dealings with others at all times • Communicates potential conflicts of interest 	<ul style="list-style-type: none"> • Promotes the value of trust and respect for confidentiality throughout the organization • Avoids and/or prevents situations that may be a conflict of interest • Immediately confronts lapses of integrity



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
PERFORMANCE RATINGS GUIDE: GENERAL PERFORMANCE FACTORS

All employees must be assessed in each of the general performance factors below. Use facts, data, and the department Performance Matrix to determine the appropriate rating category for the individual under review.

Accountability - Accepts personal responsibility for performance and behavior			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Fails to fulfill commitments Refuses to acknowledge errors or to modify behavior Makes excuses for problems arising from personal behavior 	<ul style="list-style-type: none"> Follows through on commitments Acknowledges errors Takes responsibility for actions 	<ul style="list-style-type: none"> Fulfills commitments on or ahead of due date Accepts responsibility for errors Takes personal ownership for correcting work problems 	<ul style="list-style-type: none"> Fulfills all commitments ahead of due date Requests regular feedback from supervisors, peers, and/or direct reports Raises issues without blaming others Develops additional skills as a result of feedback
Communication - Understands others and transmits information in a clear, accurate, and timely manner			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Has difficulty stating or writing key points Speaks without listening Submits material without proofreading Makes little effort to adapt to the communication style of others 	<ul style="list-style-type: none"> Listens without interrupting Expresses thoughts clearly both verbally and in writing Proofreads documents for accuracy before submission Calls attention to issues or information in a timely manner 	<ul style="list-style-type: none"> Expresses complex ideas concisely both verbally and in writing Effectively adapts to others' communication styles Constructs well-written documents without guidance 	<ul style="list-style-type: none"> Communicates persuasively both verbally and in writing Consistently checks for understanding Excels in public speaking; demonstrates ability to address a variety of groups
Customer/Public Service Focus - Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Provides poor or inconsistent service Fails to provide others with timely, appropriate information Avoids customers or responds grudgingly Makes excuses rather than addressing the needs of others 	<ul style="list-style-type: none"> Listens actively to customers' needs and requests Provides timely, appropriate responses to questions and requests Demonstrates courtesy during interactions with others 	<ul style="list-style-type: none"> Asks appropriate questions to clarify needs Identifies and eliminates barriers to effective service Establishes credibility and trust with customers 	<ul style="list-style-type: none"> Exceeds customer expectations by anticipating needs and making recommendations Consistently demonstrates tact and professionalism in difficult customer situations Seeks regular feedback from others in order to improve service
Integrity - Demonstrates honesty and forthrightness in all interactions			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Reveals confidential information Shows inconsistency between words and behavior Fails to fulfil ethics training requirements Fails to take prompt action in case of unethical behavior 	<ul style="list-style-type: none"> Maintains confidentiality Demonstrates truthfulness in interactions with others Demonstrates understanding of the City's ethics policy 	<ul style="list-style-type: none"> Protects confidential and sensitive information Maintains fair and consistent dealings with others at all times Communicates potential conflicts of interest 	<ul style="list-style-type: none"> Promotes the value of trust and respect for confidentiality throughout the organization Avoids and/or prevents situations that may be a conflict of interest Immediately confronts lapses of integrity

General Performance Factors

This guide provides details for each of the general performance factors.

- Accountability
- Communication
- Customer/Public Service Focus
- Integrity
- Job Knowledge
- Quality of Work
- Quantity of Work
- Time and Task Management

Job Knowledge - Understands the purpose, function, and responsibilities of the job.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Lacks knowledge in essential areas of the job • Provides inaccurate information due to gaps in job knowledge • Neglects to keep abreast of policies or procedures	• Demonstrates an understanding of the principles of the job function • Applies appropriate knowledge and methods to perform work • Keeps abreast of policies and procedures	• Demonstrates in-depth understanding of the job function • Informs self and others of new and existing policies and procedures • Responds to training willingly, applies new policies, procedures or methods immediately	• Solves complex problems using advanced professional expertise • Serves as a subject matter expert • Responds to training with enthusiasm • Continuously seeks out new information in area of expertise
Problem Solving - Uses logic, methods and experience to resolve challenges or improve work processes.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Rarely offers suggestions to improve work processes • Regularly needs assistance to locate information or resolve issues • Resists changes in procedures, processes, or duties	• Identifies steps for improving processes • Resolves issues with normal amount of supervisory guidance • Responds to changes in job duties or procedures	• Regularly works with others to develop and submit ideas for improving processes • Locates information or resolves issues with very little supervisory guidance • Identifies alternatives for resolving issues	• Frequently takes a leadership role in leading process improvements • Works to achieve agreement on time frames or objectives that can be realistically met • Seeks out changes in job duties or procedures that improve overall productivity
Quality of Work - Performs work that is complete, accurate, and meets department performance metrics.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Produces work that is careless or unusable • Does not consistently meet standards and/or department performance metrics for accuracy • Causes others to spend time correcting his/her work	• Produces accurate, complete, and usable documents, data, and/or reports • Meets established standards and/or department performance metrics for accuracy • Attends to detail with direction	• Rarely releases work product with errors • Consistently meets and occasionally exceeds standards and/or department performance metrics for accuracy • Double-checks the accuracy of information without a supervisory directive to do so	• Demonstrates a pattern of producing work of reliably high quality without supervisory guidance • Consistently exceeds standards and/or department performance metrics for accuracy • Regularly identifies and implements methods for improving work quality
Quantity of Work - Performs work at a consistent rate and meets department performance metrics.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Produces an inconsistent volume of work output • Does not meet productivity standards or metrics of work output • Works at an unreasonably slow pace or suppresses work output • Reduces the productivity of others who assist his/her work	• Maintains a consistent volume of work output • Meets productivity standards or metrics of work output • Works at a rate consistent with job experience	• Consistently exceeds standards for volume of work output • Consistently meets and occasionally exceeds productivity standards or metrics for work output • Implements methods for improving productivity	• Consistently exceeds productivity standards or performance metrics for work output • Identifies and implements methods for improving productivity • Assumes additional tasks or assists others in completing their work without prompting
Time and Task Management - Uses time, resources, and technology efficiently to ensure completion of assignments.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Misses deadlines and/or exceeds budgetary limits • Focuses exclusively on current tasks while losing sight of long-range objectives • Requires considerable assistance in monitoring tasks	• Meets deadlines reliably • Looks ahead when assessing priorities and planning work • Prioritizes assignments appropriately	• Completes multiple tasks in highly challenging or uncertain situations • Develops or uses systems to organize and keep track of information (to-do lists, calendars, follow-up files, etc.) • Plans with a realistic sense of time demands	• Regularly organizes and completes tasks ahead of deadline • Identifies potential delays or backlogs and takes steps to deal with them • Reports the status of tasks at all times without prompting



**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
RATINGS GUIDE: SUPERVISORY PERFORMANCE FACTORS**

Individuals who supervise more than one employee must be assessed in each of the supervisory performance factors below. Use facts, data, and the department **Performance Matrix** to determine the appropriate rating category for the individual under review.

Delegation - Prioritizes and assigns tasks according to staff's abilities and strengths.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Micro-manages tasks • Provides incomplete information when delegating work • Neglects to explain the objectives of tasks • Assigns inappropriate tasks for subordinates' skill levels • Fails to consider subordinates' work loads when assigning work	• Establishes priorities for employees and assigns work accordingly • Applies an appropriate level of personal involvement in tasks • Responds to changing conditions	• Identifies and builds on staff strengths • Keeps up to date with changing circumstances and prepares employees for new demands • Explains the bigger picture when assigning work	• Delegates tasks to develop employee's skills, when appropriate • Structures teams to ensure the best use of time and the most effective outcome • Empowers employees to exercise their own judgment
Enforcement of Work Standards and Timelines - Holds staff responsible for job performance and addresses problems appropriately.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Fails to hold employees accountable for poor performance • Fails to identify work expectations • Neglects to monitor employee progress • Provides performance evaluations that are late, careless, or unconstructive	• Approves administrative matters in a timely manner • Regularly reviews employees' performance • Administers progressive discipline when necessary • Submits performance evaluations to meet deadlines	• Holds timely discussions with staff regarding performance • Understands value of and implements progressive discipline when necessary • Submits performance evaluations on or ahead of deadline	• Documents frequent discussions with staff regarding performance • Provides useful, ongoing verbal and written feedback to staff to improve performance • Consistently submits valid and reliable performance evaluations ahead of deadline
Personal Leadership - Motivates staff and serves as a positive role model.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Fails to develop or communicate expectations • Involves self from unit; doesn't get involved to assist staff • Fails to secure or provide needed resources • Acts irrationally or disrespectfully in stressful situations	• Conveys sense of urgency, when necessary • Demonstrates self-control during difficult situations • Expresses views in a factual, objective manner	• Addresses conflict directly • Treats employees with equal dignity and respect • Encourages staff to share their points-of-view	• Creates a vision or goal and successfully communicates it to staff • Consistently leads by example; gets involved to help resolve problems and meet deadlines • Negotiates conflict fairly and effectively • Encourages response and dissent to ideas and issues
Staff Development - Provides appropriate information, training, feedback, and encouragement to enhance staff performance.			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
Demonstrates one or more of the following: • Fails to identify areas of improvement for employees • Provides inconsistent or irregular feedback • Fails to communicate reasonable standards for employee achievement	• Helps staff to define goals • Provides direct feedback • Communicates clear standards for employee achievement	• Addresses job performance problems immediately • Consistently provides balanced feedback in a constructive manner • Provides positive feedback and public recognition; gives credit when due	• Seeks out development and training opportunities for staff • Demonstrates objective judgment at all times; supports feedback with facts and data • Frequently and regularly conducts individual progress meetings with staff



**EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM
RATINGS GUIDE: SUPERVISORY PERFORMANCE FACTORS**



Individuals who supervise more than one employee must be assessed in each of the supervisory performance factors below. Use facts, data, and the department Performance Matrix to determine the appropriate rating category for the individual under review.

Delegation - Prioritizes and assigns tasks according to staff's abilities and strengths			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Micro-manages tasks Provides incomplete information when delegating work Neglects to explain the objectives of tasks Reassigns inappropriate tasks for subordinates' skill levels Fails to consider subordinates' work loads when assigning work 	<ul style="list-style-type: none"> Establishes priorities for employees and assigns work accordingly Applies an appropriate level of personal involvement in tasks Responds to changing conditions 	<ul style="list-style-type: none"> Identifies and builds on staff strengths Keeps up to date with changing circumstances and prepares employees for new demands Explains the bigger picture when assigning work 	<ul style="list-style-type: none"> Delegates tasks to develop employees' skills, when appropriate Structures teams to ensure the best use of time and the most effective outcome Empowers employees to exercise their own judgment
Enforcement of Work Standards and Timelines - Holds staff responsible for job performance and addresses problems appropriately			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Fails to hold employees accountable for poor performance Fails to identify work expectations Neglects to monitor employee progress Provides performance evaluations that are late, careless, or unconstructive 	<ul style="list-style-type: none"> Approves administrative matters in a timely manner Regularly reviews employees' performance Administers progressive discipline when necessary Submits performance evaluations to meet deadlines 	<ul style="list-style-type: none"> Holds timely discussions with staff regarding performance Understands value of and implements progressive discipline when necessary Submits performance evaluations on or ahead of deadline 	<ul style="list-style-type: none"> Documents frequent discussions with staff regarding performance Provides useful, ongoing verbal and written feedback to staff to improve performance Consistently submits valid and reliable performance evaluations ahead of deadline
Personal Leadership - Motivates staff and serves as a positive role model			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Fails to develop or communicate expectations Insults self from unit; doesn't get involved to assist staff Fails to secure or provide needed resources Acts irrationally or disrespectfully in stressful situations 	<ul style="list-style-type: none"> Conveys sense of urgency, when necessary Demonstrates self-control during difficult situations Expresses views in a factual, objective manner 	<ul style="list-style-type: none"> Addresses conflict directly Treats employees with equal dignity and respect Encourages staff to share their points-of-view 	<ul style="list-style-type: none"> Creates a vision or goal and successfully communicates it to staff Consistently leads by example; gets involved to help resolve problems and meet deadlines Negotiates conflict fairly and effectively Encourages response and dissent to ideas and issues
Staff Development - Provides appropriate information, training, feedback, and encouragement to enhance staff performance			
Does Not Meet Expectations 1	Meets Most Expectations 2	Consistently Meets Expectations 3	Exceeds Expectations 4
<ul style="list-style-type: none"> Demonstrates one or more of the following: <ul style="list-style-type: none"> Fails to identify areas of improvement for employees Provides inconsistent or irregular feedback Fails to communicate reasonable standards for employee achievement 	<ul style="list-style-type: none"> Helps staff to define goals Provides direct feedback Communicates clear standards for employee achievement 	<ul style="list-style-type: none"> Addresses job performance problems immediately Consistently provides balanced feedback in a constructive manner Provides positive feedback and public recognition; gives credit when due 	<ul style="list-style-type: none"> Seeks out development and training opportunities for staff Demonstrates objective judgment at all times; supports feedback with facts and data Frequently and regularly conducts individual progress meetings with staff

Supervisory Performance Factors

Supervisory Employees will also be measured by the following performance factors:

Delegation

Enforcement of Work Standards & Timelines

Personal Leadership

Staff Development

Performance Evaluation Form - General & Supervisory



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM – GENERAL & SUPERVISORY

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation

The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)

EMPLOYEE NAME: _____ Title: _____

Supervisor Name: _____ Title: _____

Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:	
Part I General Performance Factors	_____ / 4.00 (Enter Overall Rating from page 2)
Part II Supervisory Performance Factors	_____ / 4.00 (Enter Overall Rating from page 3)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:
 I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature: _____	Date: _____
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I hereby certify that I have reviewed this form in advance of the Performance Evaluation Meeting and support the evaluation:

Next Level Supervisor (Reviewer) Signature: _____	Date: _____
---	-------------

I hereby certify that I have reviewed this evaluation and understand that I will receive a copy. I am aware that my signature indicates only that I have received the evaluation. It does not necessarily indicate agreement with the rating. I understand that I may write comments above post-review. Employees represented by AFSCME also have the right to submit a rebuttal to performance evaluations in their personnel files.

Employee Signature: _____	Date: _____
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Copy and distribute to: Employee Supervisor Next level supervisor Human Resources





EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM – GENERAL & SUPERVISORY

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation
The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)
EMPLOYEE NAME: _____ Title: _____
Supervisor Name: _____ Title: _____
Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:

Part I General Performance Factors	_____ / 4.00 (Enter Overall Rating from page 2)
Part II Supervisory Performance Factors	_____ / 4.00 (Enter Overall Rating from page 3)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:
I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature: _____ Date: _____

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Next Level Supervisor (Reviewer) Signature: _____ Date: _____

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Employee Signature: _____ Date: _____

Copy and distribute to: Employee Supervisor Next level supervisor Human Resources



Comments

These boxes allow for the employee and supervisor to add comments after the review discussion.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM – GENERAL & SUPERVISORY

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation

The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)

EMPLOYEE NAME: _____ Title: _____

Supervisor Name: _____ Title: _____

Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:	
Part I General Performance Factors	_____ / 4.00 (Enter Overall Rating from page 2)
Part II Supervisory Performance Factors	_____ / 4.00 (Enter Overall Rating from page 3)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:
 I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature: _____	Date: _____
-----------------------------	-------------

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Next Level Supervisor (Reviewer) Signature: _____	Date: _____
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Employee Signature: _____	Date: _____
---------------------------	-------------

Copy and distribute to: Employee Supervisor Next level supervisor Human Resources

General Info

Add the employee and supervisor's information including job titles and rating period.



EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM (EPMP)
PERFORMANCE EVALUATION FORM – GENERAL & SUPERVISORY

Date: _____ Check One: Employee Self-Evaluation Annual Performance Evaluation

The Rating Period (1-yr) is from _____ (month/year) to _____ (month/year)

EMPLOYEE NAME: _____ Title: _____

Supervisor Name: _____ Title: _____

Reviewer Name: _____ Title: _____

RATING SUMMARY FOR EVALUATION PERIOD:

Part I General Performance Factors _____ / 4.00 (Enter Overall Rating from page 2)

Part II Supervisory Performance Factors _____ / 4.00 (Enter Overall Rating from page 3)

Employee Comments (Optional; post-review):

Supervisor Comments (Optional; post-review):

ACKNOWLEDGMENTS:
I hereby certify that this report constitutes an accurate evaluation using my best judgment of the work performed by this employee for the rating period indicated above:

Supervisor Signature: _____ Date: _____

I hereby certify that I have reviewed this form in advance of the Performance Evaluation Meeting and support the evaluation:

Next Level Supervisor (Reviewer) Signature: _____ Date: _____

I hereby certify that I have reviewed this evaluation and understand that I will receive a copy. I am aware that my signature indicates only that I have received the evaluation. It does not necessarily indicate agreement with the rating. I understand that I may write comments above post-review. Employees represented by AFSCME also have the right to submit a rebuttal to performance evaluations in their personnel files.

Employee Signature: _____ Date: _____

Copy and distribute to: Employee Supervisor Next level supervisor Human Resources



Signatures



Part I – GENERAL PERFORMANCE FACTORS	
<small>Employees must be assessed in each of the general performance factors. Consult the departments/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the Performance Rating Guide to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.</small>	
Rating Guide: 1 = Does Not Meet Expectations 2 = Meets Most Expectations 3 = Consistently Meets Expectations 4 = Exceeds Expectations	
Accountability – Accepts personal responsibility for performance and behavior.	Rating
Examples: _____	_____
Communication – Understands others and transmits information in a clear, accurate, and timely manner.	Rating
Examples: _____	_____
Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.	Rating
Example: _____	_____
Integrity – Demonstrates honesty and forthrightness in all interactions.	Rating
Examples: _____	_____
Job Knowledge – Understands the purpose, function, and responsibilities of the job.	Rating
Examples: _____	_____
Problem Solving – Uses logic, methods and experience to resolve challenges or improve processes.	Rating
Examples: _____	_____
Quality of Work – Performs work that is complete, accurate, and meets department performance objective and productivity goals.	Rating
Examples: _____	_____
Quantity of Work – Performs work at a consistent rate and meets department performance objectives and productivity goals.	Rating
Examples: _____	_____
Time and Task Management – Uses time, resources, and/or technology efficiently to ensure completion of assignments.	Rating
Examples: _____	_____
Go to Part II	Overall Rating for Part I = _____ (Ratings Total / 5)



Part I – GENERAL PERFORMANCE FACTORS	
<small>All employees must be assessed in each of the general performance factors. Consult the department/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the Performance Rating Guide to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.</small>	
Rating Guide: 1 = Does Not Meet Expectations 2 = Meets Most Expectations 3 = Consistently Meets Expectations 4 = Exceeds Expectations	
Accountability – Accepts personal responsibility for performance and behavior.	Rating
Examples: <input type="text"/>	<input type="text"/>
Communication – Understands others and transmits information in a clear, accurate, and timely manner.	Rating
Examples: <input type="text"/>	<input type="text"/>
Customer/Public Service Focus – Attends to the needs of the public and/or internal and external customers. Maintains satisfaction with services offered.	Rating
Examples: <input type="text"/>	<input type="text"/>
Integrity – Demonstrates honesty and forthrightness in all interactions.	Rating
Examples: <input type="text"/>	<input type="text"/>
Job Knowledge – Understands the purpose, function, and responsibilities of the job.	Rating
Examples: <input type="text"/>	<input type="text"/>
Problem Solving – Uses logic, methods and experience to resolve challenges or improve processes.	Rating
Examples: <input type="text"/>	<input type="text"/>
Quality of Work – Performs work that is complete, accurate, and meets department performance objective and productivity goals.	Rating
Examples: <input type="text"/>	<input type="text"/>
Quantity of Work – Performs work at a consistent rate and meets department performance objectives and productivity goals.	Rating
Examples: <input type="text"/>	<input type="text"/>
Time and Task Management – Uses time, resources, and/or technology efficiently to ensure completion of assignments.	Rating
Examples: <input type="text"/>	<input type="text"/>
Go to Part II	Overall Rating for Part I = <input type="text"/> (Ratings Total / 9)

Ratings

Provide a rating and examples/justification for each of the general performance factors.

The rating totals will automatically add up and should be added to the first page of the evaluation.



Part II – SUPERVISORY PERFORMANCE FACTORS

Individuals who supervise one or more employees must be assessed in each of the supervisory performance factors. Consult the department/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the Performance Rating Guide to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.

Rating Guide:	1 = Does Not Meet Expectations	2 = Meets Most Expectations
	3 = Consistently Meets Expectations	4 = Exceeds Expectations

Delegation – Prioritizes and assigns tasks according to staff's abilities and strengths.	Rating
Examples: <input type="text"/>	<input type="text"/>
Enforcement of Work Standards and Timelines – Holds staff responsible for job performance and addresses problems appropriately.	Rating
Examples: <input type="text"/>	<input type="text"/>
Personal Leadership – Motivates staff and serves as a positive role model.	Rating
Examples: <input type="text"/>	<input type="text"/>
Staff Development – Provides appropriate information, training, feedback, and encouragement to enhance staff performance.	Rating
Examples: <input type="text"/>	<input type="text"/>

[Return to Summary](#)

Overall Rating for Part II =
(Ratings Total / 4)



Part II – SUPERVISORY PERFORMANCE FACTORS	
<small>Individuals who supervise one or more employees must be assessed in each of the supervisory performance factors. Consult the departments/bureau/division's goals and employee job specification to review the impact of the employee's performance. Use the Performance Rating Guide to determine the appropriate RATING for each factor below and provide concrete examples for each. Enter a rating for each factor.</small>	
Rating Guide: 1 = Does Not Meet Expectations 2 = Meets Most Expectations 3 = Consistently Meets Expectations 4 = Exceeds Expectations	
Delegation – Prioritizes and assigns tasks according to staff's abilities and strengths.	Rating
Examples: <input type="text"/>	<input type="text"/>
Enforcement of Work Standards and Timelines – Holds staff responsible for job performance and addresses problems appropriately.	Rating
Examples: <input type="text"/>	<input type="text"/>
Personal Leadership – Motivates staff and serves as a positive role model.	Rating
Examples: <input type="text"/>	<input type="text"/>
Staff Development – Provides appropriate information, training, feedback, and encouragement to enhance staff performance.	Rating
Examples: <input type="text"/>	<input type="text"/>
Return to Summary	Overall Rating for Part II = <input type="text"/> <small>(Ratings Total / 4)</small>

Part II - Supervisory

Provide the rating and examples/justification for each of the supervisory performance factors.

The rating totals will automatically add up and should be added to the first page of the evaluation.

Performance Management - A Final Review



In order to successfully participate in the City's annual Performance Management Program, you should....

Understand & Follow the 4 Stages of Performance Management

There are 4 stages of performance management that we must follow to ensure that our employees have what they need to be successful. These four stages include:

1. Planning
2. Monitoring
3. Developing
4. Reviewing



Set S.M.A.R.T Goals & Expectations

At the start of each year, supervisors should sit down with the employee and have a conversation to review the S.M.A.R.T goals and expectations with them. This will set the tone

for the year!

"SMART" is an acronym that stands for specific, measurable, attainable, relevant (realistic), and time-bound. Each element of the SMART framework works together to create a goal that is carefully planned, clear and trackable.

SMART GOALS	
S	SPECIFIC State exactly what you want to accomplish
M	MEASURABLE Use smaller, mini-goals to measure progress
A	ATTAINABLE Make your goal reasonable
R	RELEVANT Set a goal that is relevant to your life
T	TIME-BOUND Give yourself time, but set a deadline

Performance Expectations MUST:



00:24

- Be aligned with the employee's job description.
- Clearly explain what the supervisor/manager expects from the employee in terms of work product, how performance will be measured, and how goals will be met.
- Be reviewed with the employee at the start of each year or within two weeks of the start of new employee.

- Completed using the Performance Management Program Forms



00:21

Probationary Employees audio



New employees require expectations and goal setting, coaching and evaluations too!

Probationary Employees

Employees that are new to a position, whether hired internally or externally **MUST BE:**

- Properly trained and give any written procedures and training materials.
- Provided with the resources needed to perform the job.
- Given CLEAR performance expectations.
- Given continuous feedback throughout probationary/evaluation period.



00:22

Annual Performance Evaluations audio



Annual Performance Evaluations

- Every employee must receive an annual performance evaluation (exceptions are Deputies).

- Evaluations are presented at the start of each year using the Employee Performance Management Program Forms.
 - Performance data must support every evaluation/rating.
 - Evaluations are to be presented in a professional one on one setting.
-



00:24

Supervisor's Responsibilities audio



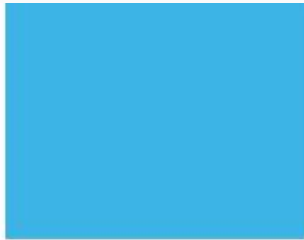
Supervisor's Responsibilities

It is your responsibility as a supervisor to:

- set expectations for your employees at the start of the year,
- monitor their performance throughout the year and,

- give them feedback via coaching.

If you follow these steps then when it is time for the employee's performance evaluation, it should be a piece of cake. They will be well aware of their performance!



Each lesson must have a  checkmark to receive a course completion!



For any questions related to the City's Employee Performance Management Program, please reach out to your department's Human Resources Lead.

DHR

[NEXT](#)



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-06

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Lopez asked for policy updates since the commissioner assumed her position and what were the previous policies.

For your reference, please see the attached prior and current versions of updated policies. Since March of this year, DHR has updated the FMLA policy and the Ineligible fUpor Rehire policy. We have also implemented a new Military Leave policy, there was not a previous policy. Previously there was some language in the Personnel Rules (Rule XI – Leaves of Absence, page 33) that is also attached.

As always, please let me know if you have any further questions.

CITY OF CHICAGO

POLICY REGARDING INELIGIBILITY FOR REHIRE

Effective Date: February 1, 2019

I. Policy Statement

The Policy Regarding Ineligibility for Rehire (Policy) is enacted in order to provide clarity as to what situations or circumstances could lead to a designation of ineligible for rehire (IFR). The City of Chicago (City) is committed to ensuring that all personnel are of the highest character.

II. Overview

This policy clarifies when separated employees will be designated ineligible for rehire or resigned under inquiry, and outlines the notice and appeal processes in place regarding these potential designations.

Employees designated as ineligible for rehire will receive notice of their designation, and can request removal of their designation by petitioning the Commissioner of Human Resources.

III. Definitions

“Employee” means an individual employed by the City of Chicago, whether part-time or full-time, paid or volunteer, sworn or not sworn.

“Resign[ation] or Retire[ment] in lieu of discharge” occurs when an employee resigns or retires after having been served with charges or having been otherwise informed by the City, in a formal disciplinary setting, that the employee will be terminated.

“Independent investigation” is an investigation done by a City agency or department’s internal affairs division or an independent investigatory agency outside of the accused’s department.

“Independent investigatory agencies” include, but are not limited to, the Office of Inspector General (OIG), the Civilian Office of Police Accountability (COPA), the Department of Human Resources Equal Employment Opportunity Office (DHR EEO), the Chicago Police Department’s Bureau of Internal Affairs (CPD BIA), and the Chicago Fire Department’s Internal Affairs Division (CFD IAD).

“Resigned Under Inquiry” means that an employee has resigned from City service while under investigation by an independent investigatory agency prior to the conclusion of that investigation.

IV. Ineligible For Rehire Process and Procedures

A. Separated employees who will receive Ineligible For Rehire designations

A former employee of the City of Chicago shall be deemed ineligible for rehire by the City if the employee's termination from City employment results from one of the following employment actions:

1. Termination Disciplinary (career service employees),
2. Discharge (non-career service employees),
3. Resignation or Retirement in lieu of Discharge, or
4. Employees who resigned or retired during an investigation by an independent investigatory agency in which the individual is the subject matter of the investigation and that investigation ultimately substantiated serious misconduct by the employee. This would cover the time period up until employees are provided notice of the charges.

Appropriate documentation from the applicable operating department will be required to support the separation action. DHR will work with City departments to ensure that the appropriate documentation is included in the former employee's personnel file. The list will be maintained by the Commissioner of Human Resources or the Commissioner's designee.

B. Notification

The City, via a written notice from the Department of Human Resources, will notify employees that they will be ineligible for rehire (IFR):

1. At the time the employee's dismissal is sought through Discharge or Termination Disciplinary.
2. At the time the employee Resigns or Retires in lieu of discharge.
3. At the time an investigation substantiates that the separated employee committed serious misconduct.

Except in cases that present legitimate privacy or safety concerns, a copy of any applicable investigatory report issued by an independent agency shall be included in the notice with appropriate redactions if necessary.

C. Requests for Removal of IFR Designation

Separated employees who are ineligible for rehire may petition the Commissioner of Human Resources for removal of the designation by submitting a request in writing with supporting documentation. The petition must include all reasons why the cause for the designation is no longer valid or should be excused. Reasons for removal of the designation include, but are not limited to, additional evidence, changed circumstances such as additional experience, additional education or training, or a period of good work performance from another employer. Evidence in support of the reasons should be submitted.

The Commissioner shall give due consideration to any exigent circumstances, subsequent remediation, or subsequent evidence that supports the removal of the IFR designation. The Commissioner shall also give due consideration to the reason for the termination, and the nature of the misconduct that gave rise to the termination.

A request to remove the designation may be made at any time after it has been placed; however, the Commissioner will only consider a request for removal of the designation once every two (2) years. The Commissioner's decision on whether to remove the designation is discretionary.

V. Resigned Under Inquiry Process and Procedures

A. Separated employees who receive a Resigned Under Inquiry designation

A former employee of the City of Chicago may be deemed Resigned Under Inquiry in instances where the employee resigned or left City service while they were the subject of an active investigation by an independent investigatory agency but before findings in the investigation were issued or before the investigation concluded.

A written request from the independent investigatory agency requesting that the former employee be designated Resigned Under Inquiry must be made to the Commissioner of Human Resources.

The Resigned Under Inquiry designation shall be used for the sole purpose of DHR notifying the appropriate investigative agency that the former employee is attempting to return to City employment or has returned to City employment, so that the investigative agency may resume and complete its investigation, if it chooses.

B. Removal of Designation

The Resigned Under Inquiry designation shall remain in place until or unless one of the following occurs:

1. The independent investigatory agency who requested the designation concludes their investigation and that investigation ultimately substantiated serious misconduct by the employee. The procedures described above in Section IV of this Policy will then take effect.
2. The independent investigatory agency who requested the designation concludes their investigation and that investigation does not substantiate serious misconduct by the employee.
3. The independent investigatory agency otherwise notifies the Commissioner of Human Resources that the former employee should no longer be designated as having Resigned Under Inquiry.

CITY OF CHICAGO

POLICY REGARDING INELIGIBILITY FOR REHIRE

Effective Date: May 6, 2024

I. Policy Statement

The Policy Regarding Ineligibility for Rehire (“Policy”) is enacted in order to provide clarity as to what situations or circumstances could lead to a designation of Ineligible for Rehire (“IFR”). The City of Chicago (“City”) is committed to ensuring that all personnel are of the highest character and that all policies are fair and equitable. The IFR designation is a hiring standard and designation, not a disciplinary action.

II. Overview

This Policy clarifies when former employees will be designated Ineligible for Rehire and outlines the notification and appeal processes in place regarding the Ineligible for Rehire designation.

Employees designated as Ineligible for Rehire will receive notice of their designation and can request removal of their designation by petitioning the Commissioner of Human Resources (“DHR Commissioner”) or their designee.

III. Definitions

“Employee” means an individual employed by the City, whether part-time or full-time, paid or volunteer, sworn or not sworn.

“Independent investigation” is an investigation done by a City agency, a department’s internal affairs division, or an independent investigatory agency outside of the accused’s department.

“Independent investigatory agencies” include, but are not limited to, the Office of Inspector General (“OIG”), the Civilian Office of Police Accountability (“COPA”), the Department of Human Resources’ Equal Employment Opportunity Division (“DHR EEO”), the Chicago Police Department’s Bureau of Internal Affairs (“CPD BIA”), and the Chicago Fire Department’s Internal Affairs Division (“CFD IAD”).

“Resign(ation) or Retire(ment) in lieu of discharge” occurs when an employee resigns or retires after having been served with charges or having been otherwise informed by the City, in a formal disciplinary setting, that the employee will be terminated.

“Resigned or Retired Under Inquiry” occurs when an employee resigns or retires from City service while under investigation by an independent investigatory agency prior to the conclusion of that investigation.

“Serious misconduct” means conduct that is a violation of the Personnel Rules, and/or the Chicago Police Department’s Rules and Regulations, and/or other departmental rules that govern conduct where such conduct is or may be deemed a reason to terminate an employee.

IV. Ineligible for Rehire Process and Procedures

A. Former employees who will receive Ineligible for Rehire designations

A former employee of the City shall be deemed Ineligible for Rehire by the City if the employee's separation from City employment results from one of the following employment actions or one of the following circumstances are present:

1. Termination or discharge of any employee for violation of the City's Personnel Rules, and/or the Chicago Police Department's Rules and Regulations, and/or other departmental rules that govern conduct, as documented by the operating department at the time of termination or discharge (applies to career-service employees and non-career service employees).
2. Resignation or Retirement in lieu of termination or discharge.
3. Employees who resign or retire under inquiry and the investigation ultimately substantiates serious misconduct by the employee. This would cover the period up until employees are provided with notice of the charges or otherwise informed in a formal disciplinary setting that they will be discharged or terminated. If notice of the charges has already been provided or the employee was otherwise informed of the impending discharge or termination, the employee is considered to have resigned or retired "in lieu of termination or discharge." Employees who resign or retire under inquiry will be designated IFR only if the investigation substantiates serious misconduct.
4. It is discovered that the former employee had engaged in serious misconduct as defined under Section III of the Policy, while still employed with the City.

Operating departments must submit a memo to the Department of Human Resources detailing the violations of the City's Personnel Rules, and/or the Chicago Police Department's Rules and Regulations, and/or other departmental rules that govern conduct, and attach substantiating documents for a former employee to be designated Ineligible for Rehire. Operating departments must check the applicable box on the Department of Human Resources End of Employment form which designates the former employee as Ineligible for Rehire. The Department of Human Resources will work with City departments to ensure that the appropriate documentation is included in the former employee's personnel file.

Ineligible for Rehire designations will be maintained by the DHR Commissioner or the DHR Commissioner's designee.

B. Notification

The City, via a written notice mailed to their home addresses from the Department of Human Resources, will notify employees that they are Ineligible for Rehire (IFR) at the following times:

1. When the employee is terminated or discharged for violation of the City's Personnel Rules, and/or the Chicago Police Department's Rules and Regulations, and/or other departmental rules that govern conduct.
2. When the employee resigns or retires in lieu of discharge.
3. When an investigation substantiates that the former employee committed serious misconduct.

Except in cases that present legitimate privacy or safety concerns, a copy of any applicable investigatory report issued by an independent agency shall be included in the notice with appropriate redactions if necessary.

4. When it is discovered that the former employee had engaged in serious misconduct while still employed with the City, in accordance with Section IV. A. 4. of the Policy.

Except in cases that present legitimate privacy or safety concerns, information forming the basis for the IFR designation shall be included in the notice with appropriate redactions if necessary.

C. Requests for Removal of IFR Designation

Former employees who are Ineligible for Rehire may petition the DHR Commissioner or their designee for removal of the IFR designation by submitting a request in writing with supporting documentation to the Department of Human Resources via mail or email. The petition must include all reasons why the cause for the IFR designation is no longer valid or should be excused. Reasons for removal of the IFR designation include, but are not limited to, changed circumstances such as additional experience, additional education or training, or a period of good work performance from another employer. Evidence in support of the reasons must be submitted. No appeals may be delivered in person or via phone. Any attempt to influence the DHR Commissioner or their designee outside of the process described above in this paragraph is forbidden.

The DHR Commissioner or their designee shall give due consideration to subsequent remediation or subsequent evidence that supports the removal of the IFR designation. The DHR Commissioner shall also give due consideration to the reason for the discharge or termination, the nature of the misconduct that gave rise to the termination, and/or the reason for the IFR designation.

A request to remove the IFR designation may be made no earlier than one year after the designation was placed; however, the DHR Commissioner or their designee will consider a request to remove the designation earlier if the basis for the request is that the designation was made in error. A request for removal of the IFR designation may be made only once every two (2) years. The DHR Commissioner's or designee's decision whether to remove the designation is final and discretionary.

V. Resignation or Retirement Under Inquiry Process and Procedures

A. Former employees who receive a Resigned or Retired Under Inquiry designation

A former employee of the City of Chicago will be deemed Resigned or Retired Under Inquiry in instances where the employee resigned or retired from City service while they were the subject of an investigation by an independent investigatory agency but before findings in the investigation were issued or before the investigation concluded.

A written request from the independent investigatory agency requesting that the former employee be designated Resigned Under Inquiry must be made to the DHR Commissioner.

The Resigned or Retired Under Inquiry designation shall be used for the sole purpose of the Department of Human Resources notifying the appropriate investigative agency that the former

employee is attempting to return to City employment or has returned to City employment, so that the investigative agency may resume and complete its investigation, if it chooses.

A Resigned or Retired Under Inquiry designation shall not result in an Ineligible for Rehire designation unless the investigation results in findings that the former employee engaged in serious misconduct.

If a former employee who is designated Resigned Under Inquiry is rehired, and the investigation subsequently substantiates serious misconduct, this policy will not affect the City's ability to discharge or terminate this employee for the misconduct, subject to any applicable collective bargaining agreements.

B. Removal of Designation

The Resigned or Retired Under Inquiry designation shall remain in place until or unless one of the following occurs:

1. The independent investigatory agency who requested the designation concludes their investigation and that investigation ultimately substantiates serious misconduct by the employee. The procedures described above in Section IV of this Policy will then take effect.
2. The independent investigatory agency who requested the designation concludes their investigation and that investigation does not substantiate serious misconduct by the employee.
3. The independent investigatory agency otherwise notifies the DHR Commissioner that the former employee should no longer be designated as having Resigned Under Inquiry.



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor’s Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-07

The following information is provided in response to questions posed at our department’s hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Lopez asked to provide hiring sequences by department.

The chart below shows the average hiring sequence by department, capturing the average number of days from the posting for the position and the employee start date.

Row Labels	Average of Days Between Posting to Start date
Business Affairs and Consumer Protection	101
Chicago Public Library	99
City Clerk	101
Commission on Human Relations	130
Community Commission for Public Safety and Accountability	110
COPA	92
Department of Administrative Hearings	133
Department of Animal Care & Control	132
Department of Aviation	116
Department of Buildings	145
Department of Cultural Affairs	151
Department of Finance	97

Row Labels	Average of Days Between Posting to Start date
Department of Fleet & Facility Management	84
Department of Housing	117
Department of Housing and Economic Development	93
Department of Human Resources	99
Department of Law	97
Department of Police	143
Department of Procurement Services	122
Department of Public Health	104
Department of Public Safety Admin	128
Department of Streets & Sanitation	110
Department of Technology and Innovation	122
Department of Transportation	113
Department of Water Management	103
Family and Support Services	92
Fire Department	92
Office for People with Disabilities	92
Office of Budget & Management	105
Office of Emergency Management & Communication	82

Please let me know if you have any further questions.



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-08

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Lopez asked to provide hiring accreditation for onboarding specialists.

For your reference, please review the attached job specification for the onboarding specialist role in the Department of Human Resources.

As always, please let me know if you have any further questions.



Code: 1358
Family: Human Resources
Service: Administrative
Group: Statistical, Technical, and Analytical
Series: Personnel

CLASS TITLE: ONBOARDING SPECIALIST - DHR

CHARACTERISTICS OF THE CLASS

Under supervision, the class title is allocated to the Department of Human Resources (DHR) and is responsible for providing human resources (HR) services and support to professional HR staff in the delivery of employment services and activities to City departments, and performs related duties as required

ESSENTIAL DUTIES

- Assists Employment Services' professional staff in tasks related to the employment onboarding process to ensure full compliance with the requirements of the City's Employment Plan and federal requirements
- Distributes onboarding packets to prospective employees
- Schedules prospective employees for pre-employment screening (e.g., fingerprinting, drug tests, physical exams, etc.)
- Reviews documents for accuracy and completeness and uploads to City's digital filing systems
- Conducts education, employment, and other employment related verifications
- Creates and distributes official start letters to candidates and department HR personnel
- Processes hire information in the Applicant Tracking System (ATS)
- Provides information and responds to inquiries from HR personnel in operating departments, City employees, candidates and the general public regarding the City's employment hiring process, guidelines, procedures, and processes
- Represents DHR at various community events and job fairs and prepares materials and presentations for distribution
- Coordinates and participates in the development and delivery of employment programs (e.g., new employee orientation, promotional process, etc.)
- Maintains and coordinates with Recruitment Manager on requests for recruitment staff office supplies

NOTE: *The list of essential duties is not intended to be inclusive; there may be other duties that are essential to particular positions within the class.*

MINIMUM QUALIFICATIONS

Education, Training, and Experience

- Two years of work experience in human resources/personnel work AND/OR an Associate's Degree or higher from an accredited college or university plus two years of administrative office experience in a fast paced environment

Licensure, Certification, or Other Qualifications

- None

WORKING CONDITIONS

- General office environment

EQUIPMENT

- Standard office equipment (e.g., telephone, printer, photocopier, fax machine, calculator)
- Computers and peripheral equipment (e.g., personal computer, computer terminals, scanner)

PHYSICAL REQUIREMENTS

- No specific requirements

KNOWLEDGE, SKILLS, ABILITIES, AND OTHER WORK REQUIREMENTS

Knowledge

Some knowledge of:

- City's collective bargaining units, agreements, and grievance process
- applicable human resources policies, procedures, rules, and regulations
- applicable computer software packages and applications

Knowledge of applicable City and department policies, procedures, rules and regulations

Skills

- *ACTIVE LEARNING - Understand the implications of new information for both current and future problem-solving and decision-making
- *ACTIVE LISTENING - Give full attention to what other people are saying, take time to understand the points being made, ask questions as appropriate, and not interrupt at inappropriate times
- *CRITICAL THINKING - Use logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions, or approaches to problems
- *COORDINATION WITH OTHERS - Adjust actions in relation to others' actions
- *INTERPERSONAL SKILLS – Build internal and external work relationships

Abilities

- COMPREHEND ORAL INFORMATION - Listen to and understand information and ideas presented through spoken words and sentences
- SPEAK - Communicate information and ideas in speaking so others will understand
- COMPREHEND WRITTEN INFORMATION - Read and understand information and ideas presented in writing
- WRITE - Communicate information and ideas in writing so others will understand
- REASON TO SOLVE PROBLEMS - Apply general rules to specific problems to produce answers that make sense

All employees of the City of Chicago must demonstrate commitment to and compliance with applicable state and federal laws, and City ordinances and rules; the City's Ethics standards; and other City policies and procedures.

The City of Chicago will consider equivalent foreign degrees, accreditations, and credentials in evaluating qualifications.

* May be required at entry.

City of Chicago
Department of Human Resources
October, 2022



CITY OF CHICAGO

DEPARTMENT OF HUMAN RESOURCES

MEMORANDUM

To: The Honorable Jason Ervin
Chairman, Committee on the Budget and Government Operations

From: Sandra Blakemore
Commissioner
Department of Human Resources

CC: Kennedy Bartley
Chief External Affairs Officer, Mayor's Office

Date: December 16, 2024

Re: Request for Information from Annual Appropriation Committee Hearing

ID#: 33-09

The following information is provided in response to questions posed at our department's hearing on December 3, 2024, to discuss the proposed 2025 budget.

Aldersperson Lopez asked to provide layoff policy and procedures for employees.

Rule XII of the City of Chicago Personnel Rules describes the general process utilized to enact a Reduction in Force. A copy of the Personnel Rules is attached for your review.

As always, please let me know if you have any further questions.

City of Chicago

Personnel Rules



Rahm Emanuel
Mayor

Soo Choi
Commissioner
Department of Human Resources

Revised September 10, 2014

Revised September 10, 2014
CITY OF CHICAGO PERSONNEL RULES

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* * * * * **NOTES ON AMENDMENTS TO THE RULES** * * * * *

Changes effective 09/10/2014 were made to the following Rules:

1. **Goals and Principles of the Personnel Rules** was added. This section also provides definitions for terms used throughout the Personnel Rules.
2. **Rule I:** The entire Rule was revised to make consistent with the Goals and Principles of the City of Chicago Hiring Plan. Duplicative language regarding the Maintenance of the Classification Plan were deleted and merged into revised Rule II.
3. **Rule I, Section 1:** Revises definitions of defined terms to make consistent with the City of Chicago Hiring Plan.
4. **Rule I, Section 6:** Provides additional description of the City of Chicago Pay Plan.

5. **Rule I, Section 7:** Describes position control procedure established by the Department of Human Resources (“DHR”).
6. **Rule I, Section 8:** Clarifies process for Allocation of Positions.
7. **Rule I, Section 9:** Clarifies responsibilities of DHR, department heads, and employees in the reclassification process. Added language to make reclassification process consistent with the Goals and Principles of the Personnel Rules and the City of Chicago Hiring Plan.
8. **Rule I, Section 10:** Merges what was Rule XXVI into this section of Rule I. Clarifies process for appealing reclassification decisions. Provides appeal process for non-Career Service employees.
9. **Rule I, Section 11:** Replaces section with what was Rule I, Section 13.
10. **Rule I, Section 12:** Replaces section with what was Rule I, Section 14.
11. **Rule II:** The entire Rule was revised to make consistent with the Goals and Principles of the City of Chicago Hiring Plan.
12. **Rule III:** The entire Rule was revised to delete duplicative language. The revised rule establishes the process for the assignment of employment statuses and eliminates Provisional Appointments.
13. **Rule IV, Section 3 and Section 4:** Revised to make consistent with the City’s Hiring Plans.
14. **Rule IV, Section 5:** Eliminates residency waiver procedure.
15. **Rule V:** Revised to make consistent with the City’s Diversity and Equal Employment Opportunity Policy (“EEO Policy”).
16. **Rule VI, Section 1:** Revised to make consistent with the City’s Hiring Plans.
17. **Rule VII, Section 1:** Establishes Seasonal Recall Lists and Reasonable Accommodation Lists.
18. **Rule VII, Section 2:** Deletes provision on merger of lists. Clarifies limits on waiver of appointment.
19. **Rule VII, Section 3:** Revised to make consistent with the City’s Hiring Plans.
20. **Rule VII, Section 5:** Replaces “person” with “Career Service employee”.

21. **Rule VII, Section 6:** Clarifies applicability of the rule. Deletes provision allowing DHR Commissioner to place names of employees on leave of absence or on a Reinstatement List on a Layoff List.
22. **Rule VII, Section 7:** Establishes the process for utilizing a Seasonal Recall List.
23. **Rule VII, Section 8:** Establishes the process for utilizing a Reasonable Accommodation List.
24. **Rule VII, Section 9:** Clarifies how names may be removed from the employment lists described in this rule.
25. **Rule VII, Section 10:** Eliminates provision allowing Career Service employees to request a transfer. Establishes procedures for transfers done as part of the City's budgetary process.
26. **Rule VII, Section 11:** Establishes procedures for detailing an employee from one department to another for a temporary period.
27. **Rule VIII, Section 1:** Adds Seasonal Recall Lists and Reasonable Accommodation Lists to the sequence of employment lists.
28. **Rule VIII, Section 2:** Revised section to make consistent with the City's Hiring Plans.
29. **Rule X:** Rule was revised to make consistent with the City's Hiring Plans. Clarifies that any procedures for promotions or career progressions must be codified in the City's Hiring Plans.
30. **Rule XI, Section 2:** Adds language creating an Involuntary Leave of Absence process for Career Service employees who are going through the reassignment process under the City of Chicago Reasonable Accommodation Policy.
31. **Rule XII:** Clarifies the order of separation in layoffs for non-represented employees.
32. **Rule XV, Section 1:** Added language requiring the creation and maintenance of record-keeping for departmental training of employees.
33. **Rule XVI, Section 10:** Deleted language limiting circumstances under which an employee may file a discrimination charge.
34. **Rule XVII:** The entire rule was revised to make consistent with the City's EEO Policy.

35. **Rule XVIII, Section 1:** Subsection 42. Revised to make consistent with the City's EEO Policy.
36. **Rule XVIII, Section 1, Subsection 54:** Clarifies the definition of "violence" to make consistent with the City's Violence in the Workplace Policy. Adds language clarifying that sworn Police Officers acting within the scope of their duties are not covered by the City's Violence in the Workplace Policy.
37. **Rule XVIII, Section 1, Subsection 56:** New subsection added to cover violations of the City's Hiring Plans, the City of Chicago Acting Up Policy, and the policy regarding the Use of Non-City Employees to Perform Services for the City ("Contractor Policy").
38. **Rule XXVI:** Deleted in its entirety. The reclassification process is now governed entirely by Rule 1.

Changes effective 11/18/2010 were made to the following Rule:

1. **Rule VI, Section 3 – Applicants Preference:** The **Veteran's Preference** is now Subsection (a) of Applicants Preference. Veteran's Preference is amended to increase the minimum percent of veterans referred from ten (10) percent to twenty (20) percent. Subsection (b), **Line of Duty Preference**, has been added.

Changes effective 12/10/2009 were made to the following Rules:

1. **Disclaimer:** Personnel Rules are not intended to create any property interests in any job or position for any employee, or create an employment contract between the City of Chicago and any employee.
2. **Rule I, Section 9 – Reclassification of Positions:** Clarifies rules regarding reclassification of positions. Reclassifications must not violate other governing policies or personnel rules, and cannot be used as a means to provide salary increases or to promote or discipline an employee.
3. **Rule IV, Section 5 – Residence:** Changes the requirement to be a resident of the City of Chicago from the time of application to the time of employment. Residency provision applies to all positions not just Career Service positions.
4. **Rule V – Equal Employment Opportunity:** Clarifies rights protected and prohibited conduct under the City's Diversity and Equal Opportunity in Employment Policy.
5. **Rule VI, Section 3 - Veteran's Preference:** Expanded veteran's preference to include Armed forces, National Guard and Reserves; Veterans may have an

honorable or general discharge; Veterans preference can be awarded only once. The preference shall be in the form of five (5) percent added to the final score of those applicants with a passing score for ranked examinations. For all other selection methods, applicants who pass will be given preference in processing. A minimum of ten (10) percent of those referred will be veterans provided there is a sufficient number of veterans who applied.

6. **Rule VIII – Career Service Appointments:** Deleted references to Reemployment lists and types of certifications, as they are inconsistent with the New Hiring Plan.
7. **Rule X - Promotions and Career Progressions:** Added language that this rule may be used to established sequential promotions based on satisfactory performance with demonstrated attained job skills and years of experience in a position within a job family.
8. **Rule XIII - Resignations:** Section on “Requests for Reemployment” is deleted, as it is inconsistent with the New Hire Plan.
9. **Rule XV – Training and Career Development:** Deletes specific reference to the Commissioner of Human Resources for responsibility for certain training initiatives, as the Office of Compliance has absorbed some of those training functions.
10. **Rule XVII – Complaints of Discrimination:** Clarifies procedures to file complaints under the City’s Diversity and Equal Opportunity in Employment Policy;
11. **Rule XVIII, Section 42 – Sexual Orientation and Gender Identity:** Replaced the term “sexual preference” with sexual orientation; added the term “gender identity”.
12. **Rule XX, Section 3 – Outside Employment:** Dual employment approval is suspended for employees on sick leave, medical, FMLA leave or duty disability due their own illness for the period they are on leave. A department head may grant an exception where the outside employment is not inconsistent with the reason for the leave and would result in undue hardship to the employee.
13. **Rule XXVI, Section 1 - Reclassification of Employees:** Revised rule for consistency with the New Hiring Plan; clarifies rules regarding reclassification of employees. New positions that are a higher class grade or title must be approved by the Office of Compliance. Employees appointed to a new position must meet the minimum qualifications of the new position.

14. **Rule XXVIII, Section 2 – Family Illness (Domestic Partner):** Expanded definition of “immediate family member” to include a domestic partner’s mother, father, son or daughter, provided the domestic partner is registered with the Dept. of Human Resources.
15. **Rule XXIX - Conflict of Interest:** Expanded conflict of interest prohibited conduct and disclosure requirements to include domestic partners.

Changes effective 3/10/2007 were made to the following Rules:

1. **Rule IX, Section I - The Probationary Period:** Amended to include people covered under the City’s collective bargaining agreements and entry level Police Officers, Paramedics and Firefighters.
2. **Rule XIX, The drug testing policy:** Amended to include alcohol.
3. **Rule XXII, Section 1:** The term transactions changed to actions.
4. **Rule XXVIII, (All sections except 5):** The legitimate use of sick leave, family illness, definition of illness, reasonable evidence, confidentiality, procedures and application are all amended.

Changes effective 1/19/2007 were made to the following Rules:

1. **Rule VII, Section 4:** Changed to include (MMI) Medical Maximum Improvement under duty disability.
2. **Rule XI, Section 3:** Changed to include (VESSA) Victims’ Economic Security and Safety Act to the list of authorized absences for all employees.

Changes effective 5/13/2003 were made to the following Rule:

1. **Rule XVII,** the time period in which a person can file a charge has been extended from 90 days to one year of the occurrence and the procedures to be followed once a charge has been filed are described in more detail.

DISCLAIMER

Nothing in the City of Chicago's Personnel Rules is intended to create any property interests in any job or position for any employee. The City of Chicago recognizes that employees with career service status or rights under a collective bargaining agreement may have due process rights under the existing law; however, the City of Chicago Personnel Rules are not intended to create such property rights.

The City of Chicago Personnel Rules are meant as a guide to the current policies and procedures used by the City of Chicago with respect to its employees and are subject to change by the City of Chicago unilaterally and at any time. The City of Chicago does not intend that its Personnel Rules, whether provided to employees at the time of employment, after commencement of employment, or at any other time, or through any manner of dissemination, constitute part of any offer of employment or are otherwise the basis for the formation of any contract, whether expressed or implied. These Rules should not be interpreted expressly or by implication as evidence of the existence of an employment contract between the City of Chicago and any employee.

The City of Chicago Personnel Rules may be applied to employees who are either at-will or career service employees unless the language in a particular Rule specifically states that it only applies to career service employees. Career service employees and/or those covered by collective bargaining agreements have no right to continued employment based on the city's Personnel Rules but may have such rights as are granted under the applicable laws or collective bargaining agreements.

Nothing in the City of Chicago Personnel Rules is intended to change the status of an at-will employee. Any at-will employee may be discharged without notice, for any reason or no reason, and an at-will employee has no expectation of continued service.

GOALS AND PRINCIPLES OF THE PERSONNEL RULES

The City of Chicago is committed to employment practices that include the following:

- Base employee selection on a Candidate's knowledge, skills and ability to perform effectively on the job;
- Provide equal opportunity to all qualified Applicants;
- Prohibit the entry of Political Reasons or Factors or other Improper considerations into any stage of the selection and hiring processes for Covered Positions;
- Provide the Hiring Authority with maximum lawful discretion in making selection decisions; and
- Create a transparent hiring system that minimizes the ability to manipulate employment decisions.

These Personnel Rules are intended, in part, to serve as a resource for employees. It contains information on current personnel rules, policies and procedures. To the extent that there is a conflict between these Personnel Rules and the terms of an applicable Collective Bargaining Agreement ("CBA"), the applicable CBA governs. Your department may have additional departmental rules, policies, or procedures that also apply.

Definitions

Covered Position – A Covered Position is any City Position other than an Exempt Position as listed on the Exempt List which shall be published on the publically available internet site of the Department of Human Resources.

Exempt Position – An Exempt Position is a City Position that is excepted from the requirements governing Covered Positions and is listed on the Exempt List which shall be published on the publically available internet site of the Department of Human Resources.

Improper – Improper describes a consideration constituting preferential treatment which is not job related.

Notice of Job Opportunity – The Notice of Job Opportunity shall include the Position's job duties and minimum qualifications from the Class Specification, the predefined screening criteria, the predefined minimum testing score when applicable, whether or not an interview and/or test will be conducted, whether or not the Position will be filled through random selection, and any other relevant information.

Political Reasons or Factors – When these Personnel Rules refer to Political Reasons or Factors this shall include:

1. Recommendations for hiring, promotion or any other employment term for specific persons from public office holders (and/or their staffs) or political party

officials that are not based on actual knowledge of the person's work skills, work experience or other job-related qualifications.

2. Recommendations for hiring, promotion or any other employment term based on the fact that the person worked in a political campaign or belongs to a political organization or to belong to a political organization or party; or the fact that the person chose not to work in a political campaign or to belong to a political organization or a political party. The mere fact that a person worked for a political campaign for elective office does not prohibit consideration of a recommendation related to that person insofar as the basis for that recommendation relates to the person's relevant work experience.
3. Recommendations for hiring, promotion or any other employment term based on the fact that the person contributed money, raised money, or provided something of value to a candidate for public office or a political organization; or the fact that the person chose not to contribute or raise money for a candidate for public office or a political organization.
4. Recommendations for hiring, promotion or any other employment term based on the fact that the person is a Democrat or a Republican or a member of any other political party or group, or the fact that the person is not a member.
5. Recommendations for hiring, promotion or any other employment term based on the fact that the person expressed views or beliefs on political matters such as what candidates or elected officials he or she favored or opposed, what public policy issues he or she favored or opposed, or what views on government actions or failures he or she expressed.

RULE I - OVERVIEW OF THE POSITION CLASSIFICATION PLAN

The Position Classification plan provides a framework for the City's Human Resource management objectives. The plan implements a system of job evaluation for classifying jobs or positions, and helps to facilitate other HR functions such as recruitment and selection, pay structuring, training and development, performance evaluation and organizational and workforce planning.

Section 1 - Definitions

The following are definitions of common position classification terms.

Allocation - The process of assigning a position to a class of positions in the salary schedule based upon an evaluation of its duties and responsibilities.

Class of Positions, or Class - A Class of Positions is a category of Position(s), each of which is sufficiently similar in respect to duties and responsibilities such that the same title may be used to designate each Position in the group, the same salary range may be equitably applied, the same qualifications required, and the same examination used to select qualified employees. A Class of Positions is equivalent to a job title.

Classification - A process by which Positions of a common nature with similar duties and same levels of complexity and responsibility are grouped together into the same category or Classes. It provides the basis for establishing salary schedules and the assignment of classes to Grade levels for compensation administration.

Class Specifications - Class Specifications are descriptions of the duties and responsibilities of a Class of Positions that distinguish one Class from another. They are, in effect, the general descriptions utilized to determine the proper level to which a Position should be assigned, and they include the general job duties and minimum qualifications of the Position. Class Specifications shall include sufficient detail so as to accurately reflect the job duties

Desk Audit - A review of the duties and responsibilities of a Position through an interview with the incumbent and/or incumbent's supervisor usually occurring at the employee's desk or regular place of work.

Employment Status – A designation given to a Class of Positions, each Class identified by title code and title. Positions are designated as Career Service and/or Probationary Career Service unless specifically exempted from the Career Service. There are five Employment Status designations that exempt positions from Career Service as described in Rule II, Section 2.

Grade - A salary range or level within a salary schedule. A salary schedule is typically designed with numerous Grade levels; each Grade level has a number of pay steps from entry to maximum. Classes of Positions are allocated to Grade levels based on an evaluation of its duties and responsibilities and pertinent compensation factors.

Position - A Position is a job to be performed by the full or part time employment of one individual. A position exists whether it is filled or unfilled.

Position Description Questionnaire – A Position’s specific duties and responsibilities and reporting relationships are documented via a Position Description Questionnaire (PER15).

Prevailing Rate – A rate of pay determined by the U.S. Department of Labor based upon the particular geographic area for a given Class. It is the rate established for craft, labor and trade positions within the City service based on acceptable evidence of the wage prevailing in a specific industry.

Reclassification/Reallocation - The process of reassigning a Position to a different Class of Positions based upon a re-evaluation of its duties and/or responsibilities as they may have changed.

Regrade - The process of changing the existing salary Grade Allocation of a Class of Positions to a different salary Grade based on an evaluation of internal and external compensation factors.

Special Rate - A single rate salary designation not covered by a formal pay structure.

Section 2 - Classification of Positions

All Positions shall be grouped into Classes of Positions, or Classes, by the Commissioner of Human Resources. Each Class shall include those Positions sufficiently similar in duties and responsibilities so that similar requirements as to training, experience, knowledge, skill, and the same rates of compensation are applicable to the Class.

Section 3 - Class Titles and Codes

- (a) A standard Class title and code number shall be used to identify each Class in the Classification Plan and all Positions Allocated to that class.
- (b) Each Class title shall be generally descriptive of the work of the Class and indicate, where applicable, its relative importance and responsibility among other Classes.
- (c) The Class title and/or code shall be used to designate Positions of the Class or to identify incumbents in all budget, payroll, and personnel documents, other official records and in internal correspondence or other communications relative to the personnel administrative process.

Section 4 - Preparation and Content of Class Specifications

The Commissioner of Human Resources shall be responsible for the preparation and maintenance of a written Class Specification for each established Class of Positions and such Class Specifications shall constitute the official Class Specifications of Classes in the City Service. Class Specifications shall be based on a review of the duties and responsibilities of Positions appropriately Allocated to a Class, and each Class Specification will be assigned a title code and descriptive title of the Class; define the nature and parameters of the work including the essential duties and responsibilities; provide a statement of education and experience qualifications; and describe the knowledge, abilities and skills and physical requirements for efficient performance of the work; the date the original Class Specification or a revision was approved, and such other pertinent information as the Commissioner of Human Resources deems appropriate.

Section 5 - Interpretation of Class Specifications

The Class Specifications are descriptive and explanatory and not restrictive. They are intended to indicate the kinds of Positions that should be Allocated to the various Classes and shall not be construed as determining the entire range of duties and responsibilities that may be assigned to a given Position or as limiting or modifying the power of any department head to assign other duties appropriate to the Class of Positions, and to direct and control the work of employees under his or her supervision. The use of a particular expression or illustration as to duties shall not be held to exclude others not mentioned that are of similar kind or quality.

Qualifications commonly expected such as honesty, motivation and work interest shall be implied as requirements for each class, even though they may not be specifically mentioned in the specification.

The statement of minimum qualifications in a Class Specification for any Class constitutes the minimum education, training and experience requirements to be used in the selection of candidates for positions in the class.

Section 6 - Classification and Pay Plan (Schedule A)

The Commissioner of Human Resources shall prepare and maintain the Classification and Pay Plan, Schedule A, covering all classified Positions. The pay plan will include comprehensive listings of all current Class titles and their assigned salary Grades or salary designations, salary ordinance (regulations governing the administration of the classification plan and employee benefits for classified positions set forth in the annual appropriation ordinance) and listings of all pay schedules.

Section 7 - Position Control

The Commissioner of Human Resources shall establish a system of Position control to allow for the review of vacant Positions for appropriateness of classification

prior to the initiation of the hiring process, thereby ensuring an efficient and effective recruitment and selection process.

As part of the Position control system, policies and procedures shall be established to ensure proper coordination with operating departments to identify and correct potential misclassifications, identify opportunities to affect cost savings, and to maintain the equity of the City's Position Classification Plan.

Section 8 - Allocation of New Positions

A department head shall submit, to the Commissioner of Human Resources, a Position Description Questionnaire (PER15) for any new Position to be created. The Commissioner shall verify and analyze the duties and responsibilities of each proposed new Position and, on the basis of this study: (a) determine the need for the Position and, when justified, (b) Allocate the proposed new Position to the appropriate Class, or (c) create a new Class of Positions.

The Commissioner of Human Resources shall also have the responsibility to establish the category of Employment Status of the Position based on the provisions of Chapter 2-74-030 of the Municipal Code of Chicago.

Section 9 - Reclassification of Positions

The purpose of a Reclassification instituted pursuant to this section is to ensure that a Position, as defined by its duties and responsibilities is Allocated to the appropriate Class of Positions and therefore properly classified. **Reclassification may not be used as a means for providing salary increases or a promotional tool or in lieu of disciplinary action.**

- (a) Departments may modify the duties of their Positions in order to meet operational needs. Where a department makes a significant change in a Position's duties, the department must ensure that they do not violate the Personnel Rules, the City's Acting Up Policy, obligations under Collective Bargaining Agreements, or any other City policy.

Employees may request of their department heads, in writing, a review of their individual Positions for proper Allocation. However, it is the final decision of the department head to request or not request such review by the Commissioner of Human Resources.

Departments may not withdraw requests to reclassify positions once an evaluation has been conducted or a recommendation has been made.

- (b) A department head shall report to the Commissioner of Human Resources whenever a significant and permanent change is made in the duties and

responsibilities of a position involving either the addition of new duties or the taking away or modification of existing duties.

A department head shall submit a Position Description Questionnaire (PER15) of such Positions to the Commissioner of Human Resources for Position Classification review and evaluation.

- (c) The Commissioner of Human Resources, upon his or her initiative, may initiate periodic reviews of selected Positions to ensure they are properly classified and, if justified, shall Reclassify the Position to a more appropriate class.
- (d) When the Reclassification of a Position requires it, the Commissioner of Human Resources shall create a new class or make other appropriate changes in the Classification and Pay Plan, Schedule A. If the Commissioner of Human Resources finds that any Position is improperly classified in that the person in such Class of Positions is not performing a sufficient portion of the job duties of the Class, the Commissioner of Human Resources shall cause the Position to be reclassified from its current class title to a new class title.
- (e) The Commissioner of Human Resources may require that a reclassified position be posted and filled pursuant to the City of Chicago Hiring Plan when:
 - i. The nature of the reclassified position's work is outside of the Job Group in which the position was originally classified;
 - ii. The reclassified position is not using the Equipment or Licensure designated on the Class Specification for the Class of Positions to which the position was originally classified to perform the essential functions of the position;
 - iii. The reclassified position is using Equipment or Licensure that is not designated on the Class Specification for the Class of Positions to which the position was originally classified to perform the essential functions of the position; or,
 - iv. The reclassified position has been given additional supervisory or managerial duties that were not designated to the Class Specification for the Class of Positions in which the position was originally classified.
- (f) After any applicable appeal process has expired, the Reclassification recommendation shall be deemed final and binding.
- (g) The Commissioner of Human Resources shall transmit to the department head concerned and to the Budget Director correspondence setting forth any change to the allocation of a Position or any modifications of the Classification and Pay Plan. The department head or his/her designee shall notify an employee of a reclassification recommendation affecting their position within five (5) calendar days after the recommendation letter is issued or in accordance with an applicable Collective Bargaining Agreement.

- (h) The Commissioner of Human Resources or her/his designee shall track whether Reclassification recommendations are implemented and shall provide that information to OIG Hiring Oversight.
- (i) Implementation of a Reclassification recommendation shall be taken no later than January 1 of the following budget year. The Commissioner of Human Resources may approve exceptions to this rule with written justification from the department head who received the reclassification recommendation. Notice of any exception shall be provided to OIG Hiring Oversight.
- (j) For an employee currently performing the duties of the new position to be assigned to the new position, the employee must meet the minimum qualifications of the new position. No person reclassified under this Rule shall receive credit for service rendered in the previous position while in the new class title, except for the purpose of determining salary as required in the Regulations Governing the Administration of the Compensation Plan and Employee Benefits for Classified Positions set forth in the Annual Appropriation Ordinance (Classification and Pay Plan, Schedule A). An employee reclassified under this Rule who previously held and accrued Career Service seniority in the new class title shall receive credit for such seniority so long as the employee is entitled to continuous service credit for such previous service. Reclassification as provided for in this section shall have priority over appointments from employment lists as provided in Rule VII.

Section 10 - Review and Appeal of Allocations or Reallocations

- (a) A department head may request a review of the Allocation or reallocation of any classified Position within twenty-one (21) days of notification. Such request shall be directed to the Commissioner of Human Resources and accompanied by a written statement of any reasons why the Reclassification is not warranted. The Commissioner of Human Resources shall designate a review officer who shall determine whether a revaluation is justified, if a review is warranted, the review officer will render a decision concerning the review prior to the effective date of Reclassification. Only one such review shall be permitted per calendar year. If no request for review is filed with the Commissioner of Human Resources within twenty-one (21) days of his or her notification to the department head, the allocation or reallocation shall be considered accepted by the department head.
- (b) Represented employees should utilize the process outlined in their Collective Bargaining Agreement to appeal Classification recommendations.
- (c) Appeal process for non-represented, Career Service and Non-Career Service employees – An additional appeal process applies to employees that are non-represented. Any employee whose Position has been Reclassified and desires a review of the Reclassification shall be entitled to the notice and review procedures as detailed below.

- i. Not less than five (5) calendar days after the issuance of a reclassification recommendation letter, the department head or his/her designee must notify the employee of the reclassification decision.
- ii. An employee must file a written request with the office of the Commissioner of Human Resources within twenty-one (21) calendar days of receipt of the notice of Reclassification, during normal business hours and on normal business days. Extensions of time for filing shall not be granted. Such request shall be accompanied by a written statement of any reasons why the Reclassification is not warranted.
- iii. Upon receipt of such request, the Commissioner of Human Resources shall designate a review officer who shall review the reasons for Reclassification and the employee's statement. The review officer will conduct a review of all relevant documents and may, if necessary, contact the Classification Division, the employing department and/or the employee to obtain clarification on any of the information presented.
- iv. The designated review officer shall render a decision concerning the review prior to the effective date of Reclassification. If such decision is not rendered by the effective date, the recommendation shall be postponed pending the decision. A copy of the review officer's decision is final and shall be sent to the employee, the concerned department head and the Classification Division of the Department of Human Resources.

Section 11 - Grading of Classes

The Commissioner of Human Resources shall assign each Class in the Classification Plan to a Grade in the appropriate salary schedule, or to another appropriate pay basis (e.g., Special Rate or Prevailing Rate). The Class grade, or other pay basis, shall be specified in the Classification and Pay Plan, Schedule A.

The Commissioner of Human Resources may authorize the Regrade of a Class to a higher or lower Grade in any salary schedule. The basis of the request may include:

- (1) request of a department head on the grounds of internal consistency among Classes, or significant change in the duties and responsibilities of a Class; or
- (2) upon the initiative of the Commissioner of Human Resources on the same grounds or because survey data on prevailing practices in the labor market indicate that the current Grade assignment is inappropriate. Upon determination by the Commissioner of Human Resources that Regrade is to be made, notification shall be provided to the department head or department heads concerned and to the Budget Director. Unless reconsideration is requested by a department head within twenty-one (21) days of notification, the Regrade shall be made by amendment of the Classification and Pay Plan, Schedule A, to be effective as soon as possible, consistent with budgetary requirements.

Section 12 - Budgetary Approval and Implementation of Classification Recommendations

The establishment of Positions and the appointment of persons to established Positions are subject to approvals as required by the budgetary process.

No person shall be appointed to any Position until use of such Position and the prospective employee's qualifications have been approved by the Commissioner of Human Resources.

RULE II - ADMINISTRATION OF THE CLASSIFICATION AND COMPENSATION PLAN

Section 1 - Administration of the Classification Plan

The Commissioner of Human Resources shall establish a system for the continuous administration of the Classification Plan which will ensure the periodic coverage of all Classified Positions. Such administration shall include: the evaluation of vacant and encumbered Positions for proper Classification, the consolidation and creation of new Class titles, the preparation of Class Specifications, and the publication of the Classification and Pay Plan (Schedule A).

Section 2 - Administration of the Compensation Plan

The Commissioner of Human Resources shall review current compensation practices in relation to prevailing pay, external salary data and direct and indirect pay practices through the use of tools such as: published surveys and surveys conducted with sister agencies and other municipalities. The Commissioner of Human Resources will submit compensation recommendations to the Mayor and the Budget Director that may include new salary schedules, adjustments to existing schedules, Grade changes and other appropriate changes.

Section 3 - Special Rate Salary Ranges

The Commissioner of Human Resources shall work closely with the Budget Director to establish guidelines for implementing policies regarding the assignment of Special Rate salary ranges.

RULE III - APPOINTMENTS IN THE CITY SERVICE

Section 1 - Assignment and Procedures For The Establishment of Employment Status

The Commissioner of Human Resources shall assign an Employment Status to each Class title in the Classification Plan. Class titles shall be assigned an Employment Status of Career Service or a category of exemption from the Career Service. Employment Status shall be based on an evaluation of the duties and responsibilities of Positions within the Class title and a review of established guidelines and criteria.

The Commissioner of Human Resources shall establish a system for the continuous audit, review and verification of Employment Statuses. When changes in a Class title require it, the Commissioner of Human Resources shall change the Employment Status designation of a Class title.

Designations of Employment Status are made at the sole discretion of the Commissioner of Human Resources.

Section 2 – Kinds of Appointments

Appointment to a Position in the City Service shall be made as one of the following:

1. **Positions Exempt from the Career Service:**
 - (a) Senior Executive Service – these Classes of Positions are exempted based on the managerial nature of their responsibilities for policy development and determination, or for responsibilities that require highly specialized or scientific skills in a specific field or profession.
 - (b) Exempt by Ordinance – these Classes of Positions are exempted by definition of the positions as given in Chapter 2-74-030 of the Municipal Code: (a) elected officials; (b) executive heads of City departments; (c) members of boards or commissions whose appointment is subject to confirmation by the City Council; (d) employees of the Law Department; (e) police officers above the rank of Captain; (f) firefighters above the rank of Battalion Chief; (g) a private secretary for each elected official; (h) administrative assistants to the Mayor; (i) employees of the Mayor's Office appointed by the Mayor; (j) employees of the City Council unless such positions are specifically in Career Service by ordinance; and (k) employees whose work is seasonal and does not exceed 180 days in any calendar year.
 - (c) Exempt Confidential – these Positions are exempted based on the need for flexibility in appointments which are necessary in order to maintain confidentiality.

- (d) Exempt Program - these classes of Positions are exempted based on the need for flexibility in order to effect a program, including, but not limited to, student work experience programs, trainee and apprenticeship programs, federal public service employment programs, due to program requirements i.e. limited or specific funding, specific time period, Positions cannot be subject to Career Service requirements.

2. **Positions in the Career Service:**

- (a) Probationary Career Service appointment - When a person who has not previously completed a probationary period as an employee of the City is certified and appointed, she or he is given a Probationary appointment and serves under the Probationary appointment for the duration of the probationary period. The probationary period will be for six months consistent with Section 1, Rule IX.

In addition to the probationary period served at the time of initial appointment, employees promoted or appointed to a Career Service Position of equal or greater responsibility shall serve a 60-day evaluation period in that new Position, consistent with Section 1, Rule IX.

- (b) Career Service appointment - an employee acquires Career Service status upon satisfactory completion of the appropriate probationary period. If an employee has quit, been separated, retired or has not actively worked for the City for 12 months (except for approved leave of absence and duty disability), or has been on layoff for more than 12 consecutive months if the employee had less than 5 years of service at the time of layoff, or was on layoff for more than 2 years if the employee had 5 or more years of service at the time of layoff, the employee must serve a probationary period upon return to City employment.

- 3. **Emergency appointment.** Whenever a serious emergency exists in which substantial impairment, harm or loss to the citizens, the property of the City, or a program of the City will result, and which makes it impossible to fill a position in the Career Service by the normal procedure, a department head, with the consent of the Commissioner of Human Resources, may appoint any qualified person to such position under an emergency appointment. Such person shall be employed only during such emergency and for a period not to exceed ninety (90) calendar days.

Section 3 – Assignments

Assignments Defined: Under these Rules, an employee’s assignment is defined as the specific job duties to be completed, the work location, work shift, and day-off schedule.

Assignment of Duties: Each employee shall be primarily assigned to complete duties that correspond directly to the duties listed on the employee’s Class Specification (Job Description) under “Essential Duties.”

Section 3A--Acting Out of Title

- a. Definition: Acting out of title occurs when employees perform job duties that fall substantially outside the duties listed under “Essential Duties” of the class of their position. The level, scope, frequency, and/or duration of these duties shall be used to determine whether an employee is acting out of title. The following factors are used to determine whether job duties fall substantially outside of the class of a position:
 - i. Whether duties are reasonably related to the typical duties of positions in the Class;
 - ii. Whether the knowledge, skills, and abilities required to perform the duties are reflected in the job specification for the class; and
 - iii. The number of employees within a class that perform the duties.
- b. Department Responsibilities: A department head or designee shall report to the Commissioner of Human Resources whenever a significant change is made in the duties and responsibilities of a position involving either the addition of new duties or the taking away or modification of existing duties.
- c. DHR Responsibilities: DHR shall promptly review any reports received regarding any changes to the duties and responsibilities of a position. If necessary, DHR shall perform a desk audit of the position as defined in Rule 1, Section 1, of the Personnel Rules.
- d. Remedy: As a result of the desk audit, DHR shall:
 - i. Per Rule 1, Section 9, of the Personnel Rules, reclassify the position to a more appropriate class and the reclassified position shall be posted and filled in accordance with the City of Chicago Hiring Plan;
 - ii. Create a new Class of Positions that accurately reflects the job duties of the position if no such class exists and the newly created Class of Positions shall be posted and filled in accordance with the City of Chicago Hiring Plan; or
 - iii. With the department, create a system to rotate the job duties that fall substantially outside of the class of a position among all individuals within the same class, department, shift, and location as the employee currently performing the job duties that fall substantially outside of the class. Prior to implementation of the rotation, DHR shall notify OIGHO. Upon request, the department shall provide all documentation related to the implementation rotation to OIGHO.
- e. OIGHO Notice: DHR shall report to OIGHO the result of any desk audit.

RULE IV - RECRUITMENT AND APPLICATIONS

Section 1 - Recruitment

Recruitment of candidates for positions in the City Service will be carried out through any methods appropriate to assure that qualified persons have the opportunity to apply and to be considered for such positions. The elements of the recruitment program may include, but not be limited to:

- Recruiting persons in high schools and on college campuses.
- Maintaining effective contacts with sources of available candidates.
- Operating recruitment centers to service different geographical areas of the City.
- Publicizing notices or announcements of examinations through City-wide and community news media, internet technology, and by direct notification to the various sources of available candidates.
- Preparing and distributing materials that are descriptive and informative about employment in the City Service.
- Recruiting to meet the City's equal employment opportunity objectives.

Section 2 - Delegation of Recruitment Responsibility

The Commissioner of Human Resources may delegate all or part of the responsibility for recruitment for a particular Class of Positions to one or more department heads. The Commissioner of Human Resources shall maintain the responsibility of coordinating any such recruitment effort between the Department of Human Resources and the various departments.

Section 3 - Announcement of Examinations/Notice of Job Opportunity

All examination announcements/Notice of Job Opportunities for Positions in the Career Service shall be posted in accordance with the requirements of the City of Chicago Hiring Plan, the Chicago Police Department Hiring Plan for Sworn Positions, and/or the Chicago Fire Department Hiring Plan for Uniformed Positions and may be distributed to the news media, to community organizations, to members of the City Council, and to any other recruitment source deemed appropriate by the Commissioner of Human Resources. The examination announcement/Notice of Job Opportunity shall include the title, duties, salary, and qualifications required for the Class of Positions, as well as information on how to make application, the date of the examination, filing period, and other pertinent information.

Section 4 - Application for Career Service Position

All applications for positions in the Career Service shall be made in accordance with the requirements of the City of Chicago Hiring Plan, the Chicago Police Department

Hiring Plan for Sworn Positions, and/or the Chicago Fire Department Hiring Plan for Uniformed Positions.

Section 5 - Residence

All applicants for positions in the City of Chicago shall be actual residents of the City of Chicago at the time of employment as set forth in Section 2-152-050 of the Municipal Code of Chicago.

Section 6 - General Qualifications

Applicants for positions in the Career Service shall satisfy reasonable requirements established by the Commissioner of Human Resources as to qualifications, character and criminal record.

Section 7 - Rejection of Applications

The Commissioner of Human Resources may reject any applicant for the following reasons:

- (a) The applicant does not possess one or more of the requirements specified in the announcement of the examination.
- (b) The application was not received on the prescribed form on or before the closing date for receiving applications.
- (c) The applicant falsified or failed to complete the application form, or otherwise made a false statement or omission of a material fact or practiced fraud or attempted deception in attempting to secure appointment.
- (d) The applicant is unable to perform the essential functions of the position.
- (e) The applicant currently uses cannabis or controlled substances illegally or abuses intoxicating beverages.
- (f) The applicant has been convicted of a crime related to the employment sought. Persons who have engaged in any act or conduct prohibited by state or federal statute or municipal ordinance will be subject to review of such record by the Commissioner of Human Resources or his or her designated representative and may be subject to disqualification.
- (g) The applicant was previously employed by the City and was dismissed for cause, or resigned not in good standing, or the applicant was dismissed for relevant cause by another employer.

RULE V - EQUAL EMPLOYMENT OPPORTUNITY

The City of Chicago is an Equal Employment Opportunity employer and is committed to providing equal employment opportunity in its hiring, promotions, and transfers. The City of Chicago follows all applicable federal, state, and local laws and ordinances prohibiting discrimination.

Section 1 - Discrimination Prohibited

The City of Chicago, through its Human Rights Ordinance, and the Diversity and Equal Employment Opportunity Policy (“EEO Policy”), prohibits discrimination based on race, color, sex, gender identity, age, religion, disability, national origin, ancestry, sexual orientation, marital status, parental status, and military service or discharge status.

Section 2 - Harassment Prohibited

The City of Chicago prohibits harassment based on race, color, sex, gender identity, age, religion, disability national origin, ancestry, sexual orientation, military service or discharge status.

The City of Chicago, through its Human Rights Ordinance and EEO Policy also prohibits sexual harassment which means any unwelcome sexual advance or request for sexual favors or conduct of a sexual nature when submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or receipt of City services; or when submission to or rejection of such conduct by an individual is used as the basis of an employment or service decision affecting the individual; or when such conduct has the purpose or effect of substantially interfering with the work performance of an employee or creating an intimidating, hostile or offensive work environment. No person should be required to endure sexual harassment by supervisors or coworkers or work in a hostile work environment.

Section 3 - Retaliation Prohibited

It is a violation of this rule, the City’s Equal Employment Opportunity Policy and City ordinance to retaliate against or harass any person who asserts his or her rights regarding employment discrimination by: 1) opposing discriminatory practices in the workplace; 2) complaining about conduct prohibited by this policy; 3) complaining to, cooperating with or assisting the Department of Human Resources’s Diversity and EEO Division , or individual City departments in resolving a complaint of discrimination.

Actions taken against an employee or applicant which materially affect the terms and conditions of employment and which may be considered retaliatory, include but are not limited to: refusal to hire, denial of promotion or job benefits, discipline in excess of an oral reprimand, demotion, suspension, or discharge.

Section 4 - Applicability

This rule applies to applicants, volunteers, consultants and employees, whether paid or unpaid, of the City of Chicago.

Section 5 - Penalties

Employees found to be in violation of this rule will be subject to discipline, up to and including discharge.

RULE VI - EXAMINATIONS

Section 1 - General Provisions

Consistent with the requirements of the City of Chicago Hiring Plan, the Chicago Police Department Hiring Plan for Sworn Positions, and/or the Chicago Fire Department Hiring Plan for Uniformed Positions, examinations shall be prepared and conducted under the direction of the Commissioner of Human Resources. The Commissioner of Human Resources shall determine the minimum requirements for participation in the examination process.

The examination process may include consideration of any or all of the following factors: education, training, experience, knowledge, skills, abilities, personal characteristics, past job performance, seniority, time in grade, physical and/or mental fitness, past behavior, criminal background and other factors as determined to be appropriate by the Commissioner of Human Resources. The method by which such factors are to be considered is to be determined by the Commissioner of Human Resources.

This rule applies to general employment and promotional examinations. Additional provisions applying to promotional examinations are found in Rule X.

Section 2 - Use of Examinations

The Commissioner of Human Resources may establish the use of the various parts or components of the examination process based on several factors including, but not limited to, the efficient administration of the examination process, operational considerations, the relationship of the components to the position or class of positions, and other factors as determined to be appropriate by the Commissioner of Human Resources.

A single component, or several or all components, of the examination process may be used to set pre-examination screening criteria, to establish passing or qualifying

scores, to establish the relative fitness of applicants, to determine eligibility to commence pre-service training and for any other purpose as determined to be appropriate by the Commissioner of Human Resources.

The passing score on an examination or any component of an examination may be based on the scores on the examination or any part thereof, statistical analysis of the distribution of scores, the requirements of the position involved, the number of positions to be filled within a reasonable period of time, and other factors as determined to be appropriate by the Commissioner of Human Resources.

Section 3- Applicants Preference

(a) Veteran's Preference

Qualified applicants who have served on active duty in the Armed Forces of the United States, the Illinois National Guard, or any reserve component of the armed forces of the United States for a cumulative period of 180 days, and who have received an honorable or general discharge, may be awarded veteran's preference when application is submitted with proof of veteran status, unless superseded by a collective bargaining agreement. Veteran's preference can be awarded only once during employment with the City of Chicago. To qualify for the preference, the applicant must be otherwise qualified for the job and must be eligible for the position.

The preference granted under this section shall be in the form of five (5) percent added to the final score of those applicants with a passing score for ranked examinations. For all other selection methods, applicants who meet all qualifications will be given preference in processing. A minimum of twenty (20) percent of those referred will be veterans provided there are a sufficient number of qualified veterans who applied.

(b) Line of Duty Preference

Qualified applicants who are immediate family members of sworn Police and uniformed Fire Department Personnel who died in the line of duty or who were immediate family members of individuals who have served on active duty of the Armed Forces of the United States, the Illinois National Guard, or any reserve component of the United States who died in the line of duty in a combat zone, will be granted preference for an entry sworn Police or uniformed Fire Department position, providing the preference is not superseded by a collective bargaining agreement. The definition of immediate family member, line of duty, and combat zone will be determined by the appropriate authorizing and governing bodies. To qualify for the preference, the applicant must otherwise qualify for the job and must be eligible for the position.

The preference granted under this section shall be in the form of preference in processing.

Applicants who qualify under this section will receive consideration before other qualified applicants for approved, vacant positions unless superseded by a collective bargaining agreement.

Section 4 - Conduct of Examinations

The convenience of the City and the needs of the service may be considered in determining the time and place for holding examinations. Examination procedures shall be conducted, and tests shall be held in such ways and under such conditions as to prevent fraud or other misconduct.

The Commissioner of Human Resources may but is not required to authorize the creation of study guides, reading lists, sample questions and other materials to assist applicants in preparation for examinations. These materials may be made available by any reasonable manner as determined by the Commissioner of Human Resources. The Commissioner of Human Resources may impose a reasonable charge for distribution of these materials. This rule does not require the distribution of such materials to each individual applicant.

Section 5 - Fraudulent Conduct or False Statement by Applicant

Fraudulent conduct or false statements by an applicant or by others with the applicant's connivance, in any application or examination, shall be cause for the exclusion of such applicant from an examination, or for removal of such applicant's name from all employment lists, or for discharge from the service after appointment.

Section 6 - Applicant's Background Investigation

The Commissioner of Human Resources may investigate the background of applicants based on any factor permitted by section 1 of this Rule including, but not limited to, education, training, experience, knowledge, skills, abilities, personal characteristics, past job performance, seniority, time in grade, physical and/or mental fitness, past behavior, criminal background, and any other factors as determined to be appropriate by the Commissioner of Human Resources. The method of investigating such factors shall be determined by the Commissioner of Human Resources.

Section 7 - Confidential Nature of the Examination Process and Material

It is the responsibility of every employee and representative of the Department of Human Resources to treat as confidential any information available to them concerning examination materials and ratings earned by competitors. Any employee engaging in corrupt or negligent practices in connection with examinations shall be subject to disciplinary action.

In order to protect the security of test material and to protect the rights and privacy of applicants, all applications, examination and test material shall be regarded as privileged and confidential and not available for public inspection.

Section 8 - Notification of Examination Results

Applicants shall be notified in writing of their final score and placement on the eligible list or lists generated as a result of the examination process. The Commissioner of Human Resources also may notify applicants of the results of any components of the examination process, as determined to be appropriate by the Commissioner. Where an examination is pass/fail, the notification shall indicate whether the applicant has passed the examination.

Section 9 - Responsibilities of Applicants

All applicants are responsible for reporting to and participating in all tests or parts of an examination, and furnishing all information or materials that are requested, in accordance with the examination announcement and such instructions as are furnished by the Department of Human Resources. Candidates who fail to follow such instructions shall be disqualified. Applicants and persons whose names are placed upon an employment list must notify the Commissioner of Human Resources immediately in writing of any change of address or change of name.

RULE VII - EMPLOYMENT LISTS AND TRANSFERS

Section 1 - Types of Employment Lists

Persons may be certified for appointment to positions from seven types of employment lists:

- (a) Layoff lists, which contain the names of persons who have Career Service status and have been laid off, and are available to be returned to employment in their class of positions. They may also contain the names of persons who were on leave of absence, or on Reinstatement lists, consistent with Section 7 of this Rule.
- (b) Reinstatement Lists, which contain the names of persons who have completed and are returning from leaves of absence and are available for reinstatement in their class of positions.
- (c) Seasonal Recall Lists, which contain the names of employees who have been seasonally terminated and are eligible to be recalled to their class of positions.

- (d) Duty Disability Priority Employment lists, which contain the names of persons who have been determined to be permanently partially disabled while employees of the City. This determination will be based on a medical evaluation and an evaluation of their present functional capabilities.
- (e) Reasonable Accommodation Lists, which contain the names of persons who have completed the City's Reassignment Process without finding a new position and have a certification from the City's Disability Officer that no effective accommodation exists which would allow the employee to perform the essential functions of his/her current position or which would not impose an undue hardship or cause a direct threat to the safety of the employee or others.
- (f) Promotional lists, which contain the names of persons who are qualified for a class of positions as a result of promotional examinations.
- (g) General Employment lists, which contain the names of persons who are qualified as a result of open competitive examinations for appointment to the class of positions covered by the lists. Such lists shall also contain names of former employees whose resignations had been withdrawn and whose names appeared on reemployment lists prior to the abolition of such lists.

Section 2 - General Conditions for Employment Lists

- (a) Departmental Needs - The Commissioner of Human Resources may establish employment lists for particular departments or agencies and/or for positions in the Career Service as a whole. The Commissioner of Human Resources may develop the employment lists to account for departmental needs on the basis of location or area of employment, when satisfied that such action will assist in the administration of certifications and appointments.
- (b) Availability for Employment - It shall be the responsibility of all persons whose names appear on employment lists to advise the Department of their continuing availability for employment upon request of the Commissioner of Human Resources. Failure to respond to the request shall be grounds for removal from a list.
- (c) Effects of Waiver of Appointment - Except as specified elsewhere in these Rules, a person whose name appears on an employment list for entry-level Firefighter/Paramedic or Police Officer or a promotional list for sworn positions in the Department of Police or uniformed positions in the Department of Fire may elect not to accept appointment to a position, provided that he or she properly informs the applicable department within five (5) working days of receiving notification of certification. If this waiver of appointment is approved by the applicable department, the eligible person will remain on the employment list until the waiver is withdrawn or expires. An eligible person shall be entitled to two (2) waivers or a total of six (6) months of time on waiver, whichever comes first. A person on any other Employment

list must accept the first job offer and is not entitled to request waiver of such appointment.

- (d) Causes for Removal - Names of eligible persons may be removed from employment lists by the Commissioner of Human Resources for any of the following reasons:
- (1) Unfavorable background information as it relates to the position;
 - (2) Inability to deliver mail to the eligible person;
 - (3) Proof of fraudulent acts perpetrated by the eligible person in the application and/or examination process;
 - (4) Request of the eligible person;
 - (5) Failure to report to the department at the time set by the department;
 - (6) Failure to report for work after appointment;
 - (7) Failure to complete and pass any pre-employment conditions, such as medical or psychiatric examinations;
 - (8) Failure to advise the Department of Human Resources of current availability for certification and appointment as directed;

Section 3 - General Employment and Promotional Lists

Consistent with the requirements of the City of Chicago Hiring Plan, the Chicago Police Department Hiring Plan for Sworn Positions, and/or the Chicago Fire Department Hiring Plan for Uniformed Positions, the Commissioner of Human Resources may establish general employment and promotional lists in a manner determined to be appropriate for the position. The following methods may be used separately or in combination to place names on such lists:

- (a) in categories or groups of eligible applicants based on relative qualifications, in which relative qualifications are determined by examination scores or other appropriate factors;
- (b) by passing scores on pass/fail examinations;
- (c) by rankings in order of relative excellence;
- (d) by random selection within categories or groups of eligible applicants; and
- (e) by any other method determined to be appropriate by the Commissioner of Human Resources.

Eligible lists may be canceled by the Commissioner of Human Resources at any time.

Nothing in these rules shall limit the Commissioner of Human Resources from using eligible lists for lawful affirmative action including, but not limited to, non-rank order appointments, appointments from within bands of scores and other appropriate methods of selection.

General employment lists may be based upon open and continuous examinations. As persons are qualified on the basis of such examination their names shall be added to the list in the appropriate place.

Section 4 - Duty Disability Priority Employment List

In the interest of returning its Medical Maximum Improvement (MMI) employees to work within their present functional capabilities, the City has established duty Disability Priority Employment lists. A person on such a list will receive priority hiring considerations over persons on Promotional and General Employment lists as long as applicable Collective Bargaining Agreement language does not conflict with such action.

An MMI employee will be placed on a Duty Disability Priority Employment list after a determination of their functional capabilities and an evaluation of their acquired training and experience find they are able as required to perform the duties of that specific job title.

Section 5 - Reinstatement Lists

- (a) Placement of Names on Lists - The name of a Career Service employee seeking reinstatement on a return from a leave of absence shall be added to the appropriate Reinstatement list. Reinstatement lists shall be departmental only. Persons will be ranked on such list according to continuous service with the City as on file with the Department of Human Resources.
- (b) Limit on Retention of Names on List - The name of a Career Service employee seeking reinstatement shall be retained on a Reinstatement list until the employee is reinstated except that his or her name shall be removed: (1) after 12 consecutive months if no offer of reinstatement has been made or, (2) immediately if the employee is offered and declines an appointment.

Section 6 - Layoff Lists

- (a) Placement of Names on Lists – Unless otherwise provided for by a Collective Bargaining Agreement, the names of Career Service employees laid off shall be placed on appropriate Layoff lists according to Career Service seniority in the class as on file in the Department of Human Resources records. These lists shall be departmental only.

(b) Limit on Retention of Names on List - The name of a person shall be retained on a Layoff list until the person is reemployed, except that the person's name will be removed from the Layoff list:

(1) after twelve (12) consecutive months, if the employee had less than five (5) years of continuous service at the time of layoff; and

(2) after two (2) years, if the employee had five (5) or more years of continuous service at the time of layoff.

Also, the employee's name will be removed if she or he is offered and declines an appointment during the layoff period.

Section 7 – Seasonal Recall Lists

Unless otherwise provided for by an applicable Collective Bargaining Agreement, the City may establish classes of positions that are seasonal. Such positions will be established as seasonal prior to posting and recruiting. The names of seasonally terminated employees shall be placed on the appropriate Seasonal Recall Lists according to seniority in the class. These lists shall be departmental only.

(a) Limit on Retention of Names on List – The name of a seasonally terminated employee shall be retained on the Seasonal Recall List until the person is reemployed except that the person's name shall be removed from the list after one year if the employee has not been reemployed.

Also, the employee's name will be removed if she or he is offered and declines a seasonal appointment.

Section 8 – Reasonable Accommodation Lists

The Reasonable Accommodation List shall be available to Career Service employees only.

(a) Placement of Names on List - An employee will be placed on the Reasonable Accommodation List after, (1) the employee has completed the City's Reassignment Process without finding a new position; and (2) the Disability Officer has certified that no effective accommodation exists which would allow the employee, with or without accommodation, to perform the essential functions of his/her current position or which would not impose an undue hardship or cause a direct threat to the safety of the employee or others.

(b) Priority - An employee on the Reasonable Accommodation List will receive priority hiring considerations over persons on Promotional and General Employments lists as long as (1) such action does not conflict with applicable Collective Bargaining Agreement language; (2) the employee meets the minimum

qualifications for the position, and (3) the employee's functional limitations do not prevent the employee from doing the essential functions of the job, with or without accommodation.

- (c) Ranking of Employees - If multiple employees on the list meet the minimum qualifications for the same position and the those employees' functional limitations do not prevent them from doing the essential functions of the position, with or without accommodation, then the employees will be ranked on such list according to continuous service with the City indicated by records maintained by the Department of Human Resources.
- (d) Limit on Retention of Names on List – An employee will remain on the Reasonable Accommodation List for a minimum of 12 months or longer where the employee's reasonable accommodation paperwork, as determined by the City's Disability Officer, provides a basis for the employee to remain on the list for longer than 12 months or until (1) the employee is offered and accepts a position; or (2) the employee requests in writing to the Commissioner of Human Resources to remove his or her name from the Reasonable Accommodation List.
- (e) Submission of New Accommodation Requests - An employee who has been placed on the Reasonable Accommodation list may re-apply for a reasonable accommodation at any time during the period that they are on the list if the employee believes there has been a change in their ability to perform the essential functions of the job. The employee shall re-apply by following the procedures established in the Reasonable Accommodation Policy.

Section 9 - Removal of Names

The Commissioner of Human Resources may review these lists periodically and remove the names of those individuals after sending a letter that their name will be removed, via regular mail, unless the employee is on an approved leave of absence or the employee affirms in writing that they are interested in remaining on the list. Employees who cannot be contacted by regular mail at the address on record may also be removed.

Section 10 - Transfers

A Transfer occurs under the following, limited circumstance: the relocation of an employee to a different City department resulting from the movement of the Position's budget line due to the reassignment of a departmental function. Any transferred employees shall remain in the same job title and shall not be assigned to perform work outside of their job title.

A request for a transfer from the department head of the sending department shall be submitted in writing to the Commissioner of Human Resources no less than one month prior to the employee's anticipated relocation. The transfer must be approved by the

department head of the receiving department, the Budget Director and the Commissioner of Human Resources. The subsequent year's budget shall reflect the movement of the budget line from the transferring department to the receiving department. A Hire Certification Form shall be completed by the department heads involved in the transfer and by any transferred employees. Notice of the transfer shall be provided to the Hiring Oversight Section of the Office of Inspector General.

Section 11 – Details

A detail is the temporary assignment of an employee from one department to another based on operational needs. The detailed employee shall remain in the same job title and not be assigned to perform work outside of their job title.

A request for a detail from the department head of the sending department shall be submitted in writing to the Commissioner of Human Resources with an explanation of the need for the detail, the name and title of the employee to be detailed and the expected duration of the detail. The detail must be approved by the department head of the receiving department and by the Commissioner of Human Resources. A Hire Certification Form shall be completed by the department heads involved in the detail, the person who made the request for the detail if different than one of the department heads involved in the detail, and by the detailed employee. Notice of the detail shall be provided to the Hiring Oversight Section of the Office of Inspector General. If the detail needs to last longer than the duration specified in the request, the requestor shall submit a written request for extension to the Commissioner of Human Resources. The request must provide a justification for the extension and specify the anticipated length of the extension. Notice of all extensions will be provided to Hiring Oversight.

RULE VIII - CAREER SERVICE APPOINTMENTS

Section 1–Sequence of Employment Lists

The list of persons referred to the department head shall be made from available employment lists in the following sequence:

- (a) Layoff lists
- (b) Reinstatement lists
- (c) Seasonal Recall lists
- (d) Duty Disability Priority Employment lists
- (e) Reasonable Accommodation Lists
- (g) General Employment lists

A department head shall not be required to verify eligibles from Layoff or Reinstatement or Duty Disability Priority Employment lists of other departments. However, a department head may request such verification. If a departmental unit is transferred from one department to another, any existing Layoff, Reinstatement, or Duty Disability Priority Employment list will belong to the receiving department.

Section 2 –Appointments to Career Service Positions

Consistent with the requirements of the City of Chicago Hiring Plan, the Chicago Police Department Hiring Plan for Sworn Positions, and/or the Chicago Fire Department Hiring Plan for Uniformed Positions, a department head shall make appointments to Career Service positions from among qualified persons certified to the department head by the Commissioner of Human Resources.

In the case of certifications from Layoff or Reinstatement lists, the department head shall appoint the person or persons certified, unless he or she shows, in writing to the Commissioner of Human Resources, good cause for not appointing such person. In the latter circumstance, and with the approval of the Commissioner of Human Resources, the department head shall request and the Commissioner of Human Resources shall furnish a new certification.

In the case of certification from Duty Disability Priority Employment lists, or Reasonable Accommodation lists, the department head shall appoint from the persons certified, unless, in compliance with Collective Bargaining Agreement language, an eligible bidder is selected.

Whenever establishment of special qualifications for a particular position has been requested by the appointing authority, such as fluency in a language other than English, and approved by the Commissioner of Human Resources, certification shall be limited to those eligible on the appropriate list possessing those special qualifications.

An employee can have Career Service status in only one title. When an employee who has Career Service or Probationary Career Service status in a position leaves that position and is certified and appointed to a new position, she or he is separated permanently from the former position unless the employee has taken a Leave of Absence to a Non-Career Position as described in Rule XI, Section 1(b).

RULE IX - PROBATIONARY PERIOD

Section 1 - Probationary Period

Except as provided herein and in the City's collective bargaining agreements, persons appointed to Career Service positions will be Probationary employees for the first six (6) months of employment, and will receive no seniority or continuous service credit during such probationary period. Any period of absence from work in excess of ten (10)

days shall extend the probationary period for a period of time equal to the absence. Probationary employees continuing in the service of the employer beyond their probationary period shall be Career Service employees.

Employees who have achieved Career Service status in a position who are thereafter promoted or appointed to another Career Service position of equal or greater responsibility shall have an evaluation period not to exceed sixty (60) days, to demonstrate that he/she can perform the duties of the new position. Employees found to be unable to perform the duties of the new position at any time during this sixty (60) day period shall be returned to their former position displacing, if necessary, any employee who has been placed into said position.

A person appointed to an entry-level position as a Police Officer, shall serve a required eighteen (18) month probationary period, regardless of prior Career Service status in another City position, in the interest of public safety. A person appointed to an entry-level position as a Firefighter or Paramedic shall serve a required nine (9) month probationary period, regardless of prior Career Service status in another City position, in the interest of public safety.

Section 2 - Discipline of Probationers

The department head may suspend a Probationary employee. The employee does not have the right to request review of such action.

A department head may discharge an employee during the probationary period and should notify the Commissioner of Human Resources in writing. Failure of the department head to provide notification to the Department of Human Resources shall not affect the termination.

Section 3 - Career Service Status

Any employee who completes a probationary period shall have Career Service status subject to Section 1 hereof.

RULE X - PROMOTIONS AND CAREER PROGRESSIONS

With the exception of requirements under an applicable Collective Bargaining Agreement and the processes detailed in the Chicago Police Department Hiring Plan for Sworn Positions, and/or the Chicago Fire Department Hiring Plan for Uniformed Positions, the City does not conduct promotions or career progressions. If the City decides to implement promotions and career progressions at a future time, the Commissioner of Human Resources shall develop the procedures for such promotions and career progressions, and they shall be submitted to the Hiring Oversight Section of the Office of Inspector General for review and approval. Upon approval of the procedures, they shall be codified in the City's General Hiring Plan.

RULE XI - LEAVES OF ABSENCE

Section 1 -- Voluntary Leaves of Absence for Career Service and Probationary Career Service Employees

Leaves of absence may be granted to Career Service and Probationary Career Service employees provided that the reasons for such leaves are job-related, or are to relieve a hardship condition, or are in response to a reasonable personal requirement, and in all cases are deemed beneficial to the City Service. The City's leave policies will be in compliance with applicable laws. The granting of leaves of absence is a responsibility of the department heads, subject to review and approval by the Commissioner of Human Resources. Leaves of absence may be authorized for the following purposes and under the stated conditions:

- (a) Duty Disability - A leave of absence shall be granted to Career Service and Probationary Career Service employees for duty disability when the employee cannot perform assigned duties because of a job caused injury or illness. Upon providing an approval and release for return to work to the prior position from the City's designated health practitioner, the employee shall be returned to a position in the same class as the position formerly held, unless such position does not exist by reason of a reduction in force, including, but not limited to a lack of appropriated funds for such position.
- (b) Leave to a Non-Career Service Position - A leave of absence without pay shall be authorized to enable a Career Service or Probationary Career Service employee to be elected or accept appointment to an elective office or to a compensated non-Career Service position. Failure to request such leave of absence shall be grounds for discharge. The leave may be extended for so long as the employee serves in that non-Career Service position. An employee seeking return from a leave for appointment or election to another City office or position will be reinstated to a position in the same class as the position formerly held, if such position exists, is vacant and the department head wishes to fill it. If qualified, as determined by the Commissioner of Human Resources, the employee may be reinstated to a similar position of the same grade in the department, if there is a vacant position which the department head wishes to fill. If no vacancy exists as described, the employee's name shall be placed on the appropriate Reinstatement list.
- (c) Personal - A leave of absence without pay may be granted to a Career Service or Probationary Career Service employee for personal reasons of the employee, provided that the purpose of the leave is deemed beneficial to the City Service or is in response to a reasonable personal requirement, including family care responsibility and seeking or accepting public office not covered by Subsection (b) of this Section. Said leaves may be granted for up to three (3) months provided they may be renewed for like three (3) month periods not to exceed a total leave of twelve (12) months.

An employee on personal leave of absence for one year or less will be reinstated to a position in the same class as the position formerly held, if such position exists, is vacant, and the department head wants to fill it. If qualified, as determined by the Commissioner of Human Resources, the employee may be reinstated to a similar position in the same grade within the department, if there is a vacant position which the department head wishes to fill. If no vacancy exists as described, the employee's name shall be placed on the appropriate Reinstatement list.

- (d) Maternity and Medical Leave - Career Service and Probationary Career Service employees shall be granted leaves of absence without pay, upon request, for medical reasons including disability due to maternity. Said medical leaves of absence shall be granted for up to three months, provided said leaves shall be renewable for like three-month periods. The department head shall require satisfactory proof of the need for a medical leave of absence or the extension of such leave.

An employee, who returns from a medical or maternity leave of absence shall be reinstated to a position in the same class as the position formerly held, if such position exists, is vacant and the department head wishes to fill it. Otherwise the employee's name will be placed on a Reinstatement list. A written release from the employee's physician will be required prior to reinstatement except in the case of maternity.

Section 2 – Involuntary Leaves of Absence for Career Service and Probationary Career Service Employees During the Reassignment Period

If the City's Disability Officer has certified that no effective accommodation exists which would allow an employee, with or without accommodation, to perform the essential functions of his/her current position or which would not impose an undue hardship or cause a direct threat to the safety of the employee or others, or an employee is found unfit for duty after being sent for a Fitness for Duty examination, then the employee's Department Head shall allow the employee to take a Voluntary Leave of Absence as set forth in these Rules. If the employee refuses to take a Voluntary Leave of Absence, then the Department Head shall place the employee on an unpaid Involuntary Leave of Absence.

An employee will remain on the Involuntary Leave of Absence until:

- (1) the employee accepts a new position where the employee can perform the essential functions of the position, with or without accommodation; or
- (2) the City's Employment Services Deputy determines that the City is unable to reassign the employee at the conclusion of the Reassignment period; or
- (3) the employee voluntarily takes a Leave of Absence under these Rules; or

- (4) the employee provides an approval and release for return to work to his/her prior position from the City's designated health practitioner or his/her personal physician.

The approval and release to return to work must state that , 1) the health practitioner or physician has reviewed the employee's job description, and 2) the employee can perform the essential functions of his/her current position, with or without accommodation.

Section 3 - Administration of Voluntary Leave of Absence

All voluntary leaves of absence shall be governed by the following procedures:

- (a) Leaves must be applied for by the employee seeking the leave on forms prescribed by the Commissioner of Human Resources. Before the leave begins it must be approved by the department head and, where required, by the Commissioner of Human Resources. All leaves must be reported to the Commissioner of Human Resources.
- (b) The Commissioner of Human Resources shall be responsible for giving both the employee and the department head timely notification of an upcoming expiration of leave of absence. The employee shall then be responsible for notification to the department head concerning her or his intention to return to work.
- (c) If an employee fails to return to work upon expiration of his or her leave of absence, without making application for extension or without being placed on a Reinstatement list, it shall be considered that the employee resigned effective as of the last day of the authorized leave of absence. The Commissioner of Human Resources shall notify the employee that the resignation has been effected by the action of the employee as authorized on the "Request for Leave of Absence" form.
- (d) A leave of absence may be cancelled by the Commissioner of Human Resources if the cause for its original authorization was fraudulent or has ceased to exist. A department head may seek to have an employee on leave of absence discharged, and the right to reinstatement withdrawn by action of the Human Resources Board under the provisions of Rule XVIII, Disciplinary Actions and Procedures.
- (e) All employees who return from leaves of absence shall, as a condition of their return, have the present ability to perform the required work without further training after a reasonable amount of orientation.
- (f) Any person who is on a leave of absence from the City Service shall not be considered in the certification and appointment from eligible lists.

Section 4 - Authorized Absence for All Employees

- (a) Training - Absence with pay may be granted for attendance at a college, university or other training facility for the purpose of training in subjects relating to the work of the employee as part of an approved training program. If such absence is for one month or less, it shall be subject to, reported to and approved by, the Commissioner of Human Resources. If such absence is for more than one month, the Commissioner of Human Resources shall recommend the absence for approval by the Mayor.
- (b) Jury Subpoena - An employee who serves on a jury or is subject to a proper subpoena (except if the employee is a party to litigation) shall be granted leave with pay during the term of such absence, provided that the employee deposits her or his jury duty pay or witness fees with the City Comptroller for those days which the employee was scheduled to work for the City and receives pay or compensatory time for said work.
- (c) Military Training or Special Duty - Any employee who is a member of a reserve force or national guard of the United States or of the State of Illinois, and who is ordered by appropriate authorities to attend a training program or to perform other duties under the supervision of the United States or the State of Illinois, shall be granted paid leave of absence during the period of such activity, not to exceed fourteen (14) calendar days in any calendar year, in the case of a member of a reserve force; and not to exceed fifteen (15) calendar days in the case of the national guard. Employees hired after February 13, 1986, shall deposit their military pay with the City Comptroller for all days compensated by the City of Chicago. Such leave shall not result in deduction from vacation leave credit.
- (d) Family and Medical Leave - The City of Chicago is an employer subject to the federal Family and Medical Leave Act. The U.S. Department of Labor publication entitled "Your Rights Under The Family and Medical Leave Act of 1993", WH Publication 1420, is hereby incorporated as an Addendum to Personnel Rule XI, for the information of City employees. Additional policies and procedures covering Family and Medical Leave shall be promulgated by the Commissioner of Human Resources and other City agencies and departments with authority over such matters, and shall be distributed to the various agencies and departments for implementation.
- (e) VESSA Leave - The City of Chicago is an employer subject to the Victims' Economic Security and Safety Act (VESSA), which protects the employment security and workplace safety of employees who are victims of domestic or sexual violence or employees who have a family or household member who is a victim of domestic or sexual violence. VESSA provides employees with the legal right to an annual allotment of up to twelve (12) weeks of unpaid leave, reasonable accommodations to workplace facilities or job requirements and protection against discrimination. "Family member" includes a parent, spouse, son, or daughter. "Household members" are persons jointly residing in the same household.

Employee Rights Under VESSA

- Employees who are eligible, may take up to twelve (12) workweeks of unpaid leave during the twelve (12) months following their request for VESSA leave.
- VESSA may be taken in increments, intermittently, or on a reduced work schedule.
- The ACT does not create a right for an employee to take unpaid leave that exceeds the unpaid leave time allowed under, or is in addition to, the unpaid leave time permitted by the Family and Medical Leave Act.
- Although VESSA leave may be unpaid, an employee may elect to substitute accrued paid leave for any portion of VESSA leave. However, an employer may not compel an employee to exhaust any portion of his/her paid leave before using (or in substitution of) VESSA leave.
- Group health plan benefits must be maintained through the duration of leave under the conditions coverage would have been provided if the employee had continued in employment.

An employer must reinstate an employee to the same or equivalent position upon his/her return from VESSA leave.

EMPLOYEE RIGHTS AND RESPONSIBILITIES
UNDER THE FAMILY AND MEDICAL LEAVE ACT

Basic Leave Entitlement

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- For incapacity due to pregnancy, prenatal medical care or child birth;
- To care for the employee’s child after birth, or placement for adoption or foster care;
- To care for the employee’s spouse, son or daughter, or parent, who has a serious health condition; or
- For a serious health condition that makes the employee unable to perform the employee’s job.

Military Family Leave Entitlements

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Benefits and Protections

During FMLA leave, the employer must maintain the employee’s health coverage under any “group health plan” on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee’s leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least one year, for 1,250 hours over the previous 12 months, and if at least 50 employees are employed by the employer within 75 miles.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee’s job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer’s operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Employees may choose or employers may require use of accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer’s normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer’s normal call-in procedures.

Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees’ rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee’s leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Unlawful Acts by Employers

FMLA makes it unlawful for any employer to:

- Interfere with, restrain, or deny the exercise of any right provided under FMLA;
- Discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.

FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

FMLA section 109 (29 U.S.C. § 2619) requires FMLA covered employers to post the text of this notice. Regulations 29 C.F.R. § 825.300(a) may require additional disclosures.



For additional information
1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627
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U.S. Department of Labor | Employment Standards Administration | Wage and Hour Division



RULE XIA - LEAVES OF ABSENCE FOR NON-CAREER SERVICE EMPLOYEES

Section 1

Subject to the provisions of this Rule, an employee who does not have Career Service or Probationary Career Service status may be granted a voluntary leave of absence, provided that the reasons for such leaves are job-related, or are to relieve a hardship condition, or are in response to a reasonable personal requirement. The granting of such leaves is the responsibility of the department heads, subject to review and approval by the Commissioner of Human Resources. For the purposes of this Rule, the term "department head" includes the Mayor with respect to department heads.

An employee who does not have Career Service or Probationary Career Service status shall be placed on an involuntary leave of absence during the reassignment period as per Rule XI, Section 2 above.

Section 2

Employees who do not have Career Service status are and remain employees "at will". They may be disciplined or discharged at any time for any reason or no reason. The granting of a leave of absence confers no rights to employment with the City, either before a leave, while on leave, for reinstatement purposes or thereafter.

Section 3

If a non-Career Service employee is granted a leave of absence, the department head may, but shall not be obligated to, keep the position vacant and reinstate the employee upon termination of the leave if the person meets the qualifications for the position. The City's leave policies will be in compliance with applicable laws.

Section 4

Applications for leaves of absence shall be made on forms prescribed by the Commissioner of Human Resources and shall contain a copy of Section 2 of this Rule.

RULE XII - REDUCTIONS IN FORCE

Reductions in force, including layoffs, may be made in the absence of sufficient work or funds, upon abolition of a position because of a change in duties associated with it, or because of a change in organizational structure.

- (a) Notice - Whenever a reduction in force occurs, the appropriate department head shall give written notice to the Commissioner of Human Resources and to the affected employee.
- (b) Order of Separation and Layoffs – Unless otherwise provided for by an applicable Collective Bargaining Agreement, reductions in force shall be made according to class within a department. They shall be made in the following order in the department:
- first, Exempt Program Employees and any Emergency Appointment employees in the class must be separated;
 - next, Probationary Career Service employees in the class must be separated;
 - next, Senior Executive Service and Exempt Confidential Employees must be separated;
 - then Career Service employees in that same class may be laid off.

The department head shall determine the order of separation of any Non-Career Service and of Probationary Career Service employees.

When employees with Career Service status are laid off, such layoffs shall be made according to Career Service seniority in the class from which layoff are to be made within the department. If two (2) or more employees have equal Career Service seniority, the department head shall determine the order of layoff of such employees.

- (c) Reinstatement of Career Service Employees - The names of employees with Career Service status who are laid off shall be placed on appropriate Layoff lists and shall be considered preferentially for reappointment to their former positions in accordance with the Personnel Rules on Employment Lists and on Certifications.

RULE XIII - RESIGNATIONS

An employee shall submit her or his resignation to the department head in writing. The resignation should be submitted at least two weeks prior to leaving the City Service. Failure to give proper and timely notice of resignation shall be a factor considered in any future application for employment with the City.

Once a resignation is given to the appropriate departmental authority by the employee, it cannot be withdrawn by the employee, irrespective of its effective date.

When an employee resigns, the employment relationship with the City is terminated the former employee may apply for positions through the City's existing hiring process.

RULE XIV - PERFORMANCE EVALUATIONS

Section 1 - Performance Evaluation Policy

The performance of all employees shall be evaluated periodically. The evaluation of performance shall be an integral part of the responsibility of each supervisor under the department head. It shall be the responsibility of each department head to assure that performance evaluations of employees are made and used in an appropriate manner.

Section 2 - Performance Evaluation Systems

The Commissioner of Human Resources shall develop performance evaluation systems which may take into account differences in work performed and level of positions involved. The Commissioner of Human Resources will authorize and assist departments in developing performance evaluation systems. The Commissioner of Human Resources may adopt the use of special rating systems for promotions, which may report on an employee's promotional potential as well as performance.

Section 3 - Performance Evaluation Records

The evaluation of the performance of individual employees shall be maintained as a part of the employee's personnel record, and shall be available to the employee upon written request.

Section 4 - Application of Results of Performance Evaluation

The results of performance evaluations shall be considered in determining salary increases for meritorious service or denial of salary increases related to performance. The performance ratings of employees may be used as: a basis for termination or retention; as a factor in promotional examinations; and as a factor in transfers, reinstatements, and disciplinary actions including discharges.

Section 5 - Review of Performance Evaluation

An employee may request a review of a performance evaluation. Any request for review of the performance evaluation must be made in writing to the department head within seven (7) calendar days of the date the employee signed the evaluation. A review of the evaluation shall be made under the direction of the department head.

RULE XV - TRAINING AND CAREER DEVELOPMENT

Section 1 - Responsibility for Training and Record Keeping

Each department head shall have the responsibility to identify training needs, and, based on available resources and staff, to prepare and conduct training programs that will effectively meet those needs which are unique to the operations of the department concerned.

Department heads shall also be responsible for creating and maintaining a system of record-keeping that captures the names of all staff that attend training, dates of training, a description of course content, and any other information relevant to the training.

Section 2 - Types of Training and Career Development Programs

The Commissioner of Human Resources shall ensure that the overall training program of the City provides a proper balance between the training of employees to improve their current effectiveness and the development of employees for career advancement. Appropriate methods of on-the-job and off-the-job training shall be utilized as required to effectively satisfy training needs.

Employee development opportunities will be designed and implemented to assist in preparing individuals in the workforce for more effective and efficient performance, as well as for advancement opportunities.

Section 3 - Use of Non-City Facilities

The Commissioner of Human Resources, or a department head with the approval of the Commissioner of Human Resources, may enter into agreements with universities, colleges and other educational institutions, organizations and individuals for education or training services for employees under planned training programs. The Commissioner of Human Resources may enter into agreements with other public jurisdictions for joint staffing, participation in programs and use of training facilities.

RULE XVI - GRIEVANCE PROCEDURE

Section 1 - Scope of the Grievance Procedure

The grievance procedure is a mechanism for resolving employee problems concerning a department's administration of the terms and conditions of employment. The grievance procedure is not intended to modify or change existing rules and regulations insofar as they are applied in a manner that is not arbitrary, capricious or

discriminatory. Furthermore, the City retains the exclusive right to control and manage the several departments and to direct the work of employees.

This specifically includes, but is not limited to, the right to select, classify and promote employees. Employees in the categories of Probationary Career Service, Career Service, Provisional and Exempt Seasonal may use the grievance procedure as set forth in this Rule.

In order to assure standard implementation of this Rule, the Commissioner of Human Resources is responsible for establishing methods which monitor the use of all sections of this Rule.

Wage rates, salary schedules and fringe benefits are determined by the City Council. These matters, as well as selection and promotion, position classification, discipline and performance evaluation are not subject to this grievance procedure.

Section 2 - Complaint Defined

A complaint is a problem of an individual employee brought to the attention of her or his immediate supervisor orally or in writing.

Section 3 - Grievance Defined

A grievance is a written request for review of a department's administration of written or oral rules and regulations which relate directly to the terms and conditions of employment.

Section 4 - Grievance Review Board

The Grievance Review Board shall consist of three members: the Commissioner of Human Resources, the Budget Director and the Comptroller.

Section 5 - Employee Rights

No eligible employee shall be prohibited or restrained from using this grievance procedure. Individuals who attempt to interfere with an employee's use of this procedure may be subject to disciplinary action.

Beginning at the second step of this procedure (Section 8), the employee has the right to be accompanied by another City employee. Beginning at the third step of this procedure (Section 9), the employee has the right of representation.

Section 6 - Employee Complaint Procedure

1. The grievance procedure is initiated by an employee bringing a problem to the attention of the immediate supervisor orally or in writing. The complaint must be made within ten (10) working days of the occurrence of the problem.
2. The supervisor and the employee are urged to make every effort to resolve the problem.
3. Within five (5) working days of the receipt of the complaint, the supervisor shall orally inform the employee of the decision.

Section 7 - Step One: Filing a Grievance

1. If the employee is dissatisfied with the oral decision, a grievance may be filed with the immediate supervisor.
2. The grievance must be filed on the "Grievance Initiation Form" within ten (10) working days of the oral decision. All questions on this form must be answered, stating as many pertinent specifics as possible.
3. The immediate supervisor shall submit a written report and recommendation to the senior supervisor on the "Grievance Disposition Form" within five (5) working days of receipt of grievance.
4. The senior supervisor or her/his designated representative shall investigate the grievance and the immediate supervisor's report and recommendation. Thereafter, the senior supervisor shall render a decision, in writing, within five (5) working days after receiving the immediate supervisor's report and recommendation. The senior supervisor shall use the "Grievance Disposition Form".

Section 8 - Step Two: Department Head Review

1. If the employee is dissatisfied with the senior supervisor's decision, she or he may request a review of the decision by the department head. The employee must request this review within five (5) working days of the receipt of the senior supervisor's decision. The employee shall use the "Grievance Appeal Form."

The department head or her or his designated representative shall undertake the review using procedures that facilitate timely and fair resolution of the dispute. The department head shall inform the employee in writing of her or his decision within ten (10) working days of the receipt of the employee's request for review.

The department head will, at the time of issuing the written decision, supply the Grievance Review Board with copies of all appropriate material used in the department review. The department head shall also provide a brief, written explanation of the grounds for the disposition of the grievance.

Section 9 - Step Three: Appeal to the Grievance Review Board

1. If the employee is dissatisfied with the department head's review and decision, the employee may make an appeal to the Grievance Review Board within five (5) working days of the receipt of the department head's decision. The employee shall use the "Grievance Appeal Form".
2. The Board shall conduct a hearing of the appeal as soon as practicable. The hearing may be conducted by the Board, Board member(s) or by a Fact Finder designated by the Board. The employee and the department will be given an opportunity to present evidence at the hearing. The hearing will be informal and not bound by strict rules of evidence.

The function of the Fact Finder is to assemble all available facts surrounding the grievance and, thereafter, issue a written report to the Board. The Board shall advise both the employee and the department head of its decision in writing. The decision of the Board is final and binding.

3. If a grieving employee works under the direction of a member of the Grievance Review Board, that Board member shall not participate in the grievance review. The remaining two (2) members of the Board will appoint a third department head to serve on the Board for that grievance.
4. Three (3) months from the date of the Board's decision, the department head shall submit a report to the Board regarding the implementation of the decision.

Section 10 - Discrimination Charges

This grievance procedure may be used by an employee who has a problem involving a discrimination charge.

Section 11 - General Provisions

- (a) Modification of Time Limits - Each party to a grievance shall respond in such manner that the grievance shall be promptly resolved. However, with the written consent of both parties, the time limits outlined in this Rule may be extended for no longer than a matching period of time.
- (b) Failure to Observe Time Limits - Failure of any delegated representative of the City to respond within the time limits shall entitle the employee to carry the grievance to the next higher step in the grievance procedure. Failure of an employee to comply with the time limits outlined in this Rule or as modified shall be deemed to constitute a withdrawal and waiver of her or his claim.

- (c) Use of City Time - The employee shall be allowed reasonable working time to file a grievance, a request for review, or an appeal, and to attend related hearings. This use of time shall not interfere with the regular operations of the department.
- (d) Definition of Working Days - "Working Days" in this Rule shall mean all days other than Saturday, Sunday, and legal holidays. Saturday, Sunday, and legal holidays shall be excluded in computing the number of days within which action must be taken or notice given within the terms of this Rule.
- (e) Withdrawal of Grievance - An employee may request withdrawal of a grievance at any time.
- (f) Effective Date and Precedent Setting Value of Grievance Resolutions - Any resolution of a complaint below the level of the Grievance Review Board shall not set a precedent for the resolution of other grievances. Any resolution of a complaint or grievance by an immediate supervisor or a senior supervisor that would result in the expenditure of funds or additional time off, shall not be effective unless and until approved by the appropriate department head.
- (g) Meetings Between the Parties - All parties to a grievance are urged to meet to resolve the problem.
- (h) Designation of Senior Supervisor(s) - The department head shall designate one or more senior supervisors for the purpose of investigation and resolution of grievances.
- (i) Employees Covered Under Other Grievance Procedures - Any employee covered by a grievance procedure negotiated under collective bargaining processes is not eligible to file a grievance under this Rule.

RULE XVII - COMPLAINTS OF DISCRIMINATION

Section 1 - Rights protected

Any employee or applicant for City employment who believes that he/she has been discriminated against on the basis of race, color, sex, gender identity, age, religion, disability, national origin, ancestry, sexual orientation, marital status, parental status, and military service or discharge status may file a complaint with the City of Chicago Diversity and Equal Employment Opportunity Division of the Department of Human Resources ("EEO Division") or his/her department's EEO Liaison.

Any person who believes that they have been subjected to harassment by a City employee on the basis of race, color, sex, gender identity, age, religion, disability, national origin, ancestry, sexual orientation, military service or discharge status may file a complaint with the EEO Division or his/her department's EEO Liaison.

Section 2 - Exceptions

Any person making a complaint of discrimination or harassment concerning the Chicago Police Department must make that complaint in accordance with the General Orders in effect in that department.

Section 3 - Making Complaints

Anyone who believes that he/she has been subjected to any action, decision or harassment in violation of this policy, or who witnesses another being subjected to improper conduct may make a complaint or report to the EEO Division or his/her department's EEO Liaison.

Supervisors who receive complaints or who become aware of any harassment in violation of this policy must report such conduct to his/her department's EEO Liaison or to the EEO Division. A supervisor who is aware of, or reasonably should be aware of discriminatory, harassing, or retaliatory conduct, whether or not any employee complains about such conduct, but fails to report it may be subject to discipline. Supervisors and managers should also encourage individuals who believe that the City of Chicago's Diversity and Equal Employment Opportunity Policy has been violated to consult with a representative of the EEO Division or to his/her department's EEO Liaison.

An individual who believes that this policy has been violated may report the incident orally or in writing. Where the complaint is taken orally, the supervisor receiving the complaint or the EEO Division staff member shall document the complaint in writing. If the EEO Officer determines that the allegations of the complaint, even if true, would not violate the city of Chicago Diversity and Equal Opportunity Policy ("EEO Policy"), but describes other possible misconduct, the complaint will be forwarded to the EEO Liaison for further review by the department. If the allegations of a complaint describe conduct that is not covered by the EEO Policy, but if true, may constitute other misconduct, the EEO Officer will advise the City of Chicago Office of Inspector General in writing of the complaint. In appropriate situations, the EEO Division will work with departments to address complaints through mediation, counseling, training, or other courses of action as determined by the EEO Officer.

Persons who wish to discuss a possible violation of this policy without revealing their identity may do so by telephoning or writing the EEO Division. In such cases, the EEO Division shall investigate, if warranted, or take such follow-up action as may be appropriate and possible, given the constraints required by anonymity.

If any employee knowingly makes a false accusation of discrimination or knowingly provides false information in the course of an investigation of a complaint, such conduct may be grounds for discipline. A complaint made in good faith, even if found to be unsubstantiated, will not be considered a false accusation.

Section 4 - Time limits

A complaint of unlawful discrimination or harassment must be filed within one year of the last alleged act of discrimination or harassment giving rise to the complaint. A complaint of retaliation must be filed within one year of the date of the action that is alleged to have been retaliatory.

The filing of a complaint of discrimination does not limit, extend, replace, or delay the right of any person to file a similar charge with the Chicago Commission on Human Relations or any state or federal agency having authority to hear matters of discrimination charges.

Section 5 – Confidentiality

All complaints and investigations will be kept confidential to the extent possible. However, in certain circumstances, the EEO Division is required by law to disclose information related to an investigation.

Section 6 – Investigation of Complaints

Upon receiving a complaint or report of discrimination, the EEO Officer will first determine whether the allegations, if true, would constitute a violation of the EEO Policy.

In cases where the allegations, if true, describe conduct that would constitute a violation of the EEO Policy, the EEO Officer will assign the matter a case number and initiate an investigation. The EEO Officer or his/her designee shall direct the investigation of all complaints. The EEO Officer may delegate certain procedures established in the EEO Policy to an EEO Investigator.

When the investigation is complete, the EEO Officer will prepare an Investigation Report containing a summary of the evidence, and a finding of whether a Policy violation has occurred. The report will state whether the allegations are “sustained” or “unsustained”. In instances where the EEO Officer finds that the allegations are sustained, the Investigative Report shall indicate the specific portion of the Policy and related section(s) of the Personnel Rules that have been violated, and shall make a recommendation of discipline to the relevant department head.

All Investigation Reports will be sent to the relevant department head(s) with a copy to the departmental EEO Liaison(s). In sustained cases, a copy of the report will also be submitted to the Corporation Counsel and to the Commissioner of the Department of Human Resources.

The EEO Officer shall provide written notification to the complaining party (“Complainant”) and the accused party (“Respondent”) advising them of the outcome of the investigation. The departmental EEO Liaison will be copied on this notification.

Within 30 days of receiving an Investigation Report making a sustained finding, the department head shall advise the EEO Officer in writing of the actions taken by the department. The department head will indicate whether or not he or she has followed the recommendation stated in the report, taken some other action, or taken no action.

RULE XVIIIA - DISABILITY APPEAL PROCEDURE

Section 1 - Appeal Procedure for Employees/Applicants Rejected

Any applicant or employee who is rejected for City employment based on a physical examination, and who believes such rejection is based on a disability which,

- (a) under law, the City is required to attempt to reasonably accommodate to allow the person to perform the essential functions of the position in question; or,
- (b) does not exist, or exists, but does not prevent the person from performing the essential functions of the position;

may file a written appeal with the Commissioner of Human Resources within ten (10) days of receipt of written notice of such rejection. If mailed, notice shall be deemed to be received five (5) days after mailing. The written appeal may be delivered to the Department of Human Resources, Room 1100, City Hall, during regular business hours, or mailed by certified mail, return receipt requested. The appeal must include the name, address, and telephone number of the person rejected, the position and department or agency involved, the circumstances of the rejection and any matters, including any medical evidence, which the person believes supports the appeal. The Commissioner of Human Resources shall cause the appeal to be investigated which may, but need not, include consultations with City or other physicians. The Commissioner of Human Resources may, but need not, direct that the person be re-examined at City expense. The Commissioner of Human Resources shall render a decision in the appeal which shall be binding on the applicant, employee and agency or department head.

Section 2 - Exemptions

This Rule does not apply to sworn positions in the Department of Police or to any position in the Fire Department.

RULE XVIII - DISCIPLINARY ACTIONS AND PROCEDURES FOR CAREER SERVICE EMPLOYEES

Section 1 - Causes for Disciplinary Action

The City of Chicago has an interest in promotion of order and general welfare of all employees, as well as the general public. The City of Chicago, a public employer, requires that its employees perform their duties in a manner which furthers the efficiency and best interests of the City, and which results in the highest level of public trust and confidence in municipal government.

The department head has the authority and responsibility to take disciplinary action against any employee whose conduct does not further the efficiency and best interests of the City of Chicago. The degree of discipline to be meted out is dependent on various factors including, but not limited to, the seriousness of the offense, the employee's work record and the totality of the circumstances. The following conduct, discussed below, when engaged in by an employee, will result in disciplinary action which may include discharge unless the employer, taking all circumstances into account, deems it to be excusable.

As with all the Personnel Rules, it should be noted that if an employee is covered by a Collective Bargaining Agreement, that agreement shall govern in the event of a conflict between any part of this Rule and any such agreement. Employees covered by such agreement can only be discharged for just cause.

TARDINESS/ABSENTEEISM

1. Absence without leave. While a department head may discipline an employee for an absence without leave of any duration, including discharge in appropriate circumstances, a department head is required to initiate discharge action against an employee who is absent without leave for five (5) consecutive work days.
2. Leaving the department, office or work site without proper authorization.
3. Failing to call in advance when tardy or not showing up for work.
4. Having an irregular or excessive absence or tardiness record or a pattern of repeated absence or tardiness at a specific time or on specific days of the week or month or in relation to holidays.
5. Failure to return to work on time after breaks, lunch or rest periods without prior authorization to extend the time of such breaks, lunch, or rest period.

MISREPRESENTATION

6. Failing to disclose any information requested or providing a false or misleading answer to any question in any application, questionnaire, information form or other document provided by the City.
7. Falsely representing to a superior the quality and/or quantity of work performed by either the employee making the representation or any other employee.
8. Making false, inaccurate or deliberately incomplete statements in an official inquiry, investigation or other official proceeding.
9. Fraud in securing employment.
10. Requesting or accepting a leave of absence on fraudulent grounds.
11. Falsification of any attendance or other employment records.
12. Engaging in a profession, business, trade, investment, occupation or other activity which results in a conflict of interest with present City employment.
13. Use of sick leave in an unauthorized manner for purposes other than allowed under City rules and regulations.

CRIMINAL OR IMPROPER CONDUCT

14. Involvement in the illegal sale, delivery, receipt, possession or use of any controlled substance either on or off the job site during hours of employment or non-working time.
15. Engaging in any act or conduct prohibited by the Municipal Code of the City of Chicago, the Illinois Compiled Statutes, applicable laws of other states, or federal statutes.
16. Possessing, carrying, storing, or using dangerous chemicals or any hazardous substance as defined by the Uniform Hazardous Substances Act of Illinois on the job when not authorized to do so.
17. Misappropriating any funds of the City or any other public or private organization.
18. Gambling or betting during working time or on work premises.
19. Theft or unauthorized possession of City of Chicago or other public property, or use of such property for unauthorized purposes; having other City employees perform services or directing other City employees to perform services for unauthorized purposes or accepting the benefits of such performance.

20. Retaliation against an employee who reasonably and in good faith has filed a grievance, charge or complaint regarding the terms or conditions of employment; and/or against an employee who has properly testified, assisted or participated in any manner in an investigation, proceeding or hearing regarding such grievance, charge or complaint.
21. Using one's official status as a public employee to effectuate the sale, disposal or exchange of property or other object of value belonging to any member of the public through fraud, theft, or misrepresentation or complicity with others in such acts.
22. (Repealed 2/95 and reserved for future amendment; see Rule V and Rule XVIII, Section 1, #42, (a), (b), (c), and (d).
23. Discourteous treatment, including verbal abuse, of any other City employee or member of the public. Provoking or inciting another employee or member of the public to engage in such conduct.
24. Reporting for work under the influence of alcohol or drugs; drinking alcoholic beverages or using drugs not prescribed or in a manner not prescribed by a physician during working hours; possession of alcohol or illegal drugs while on duty.
25. Insubordinate actions, including failure to carry out a rule, order or directive related to the performance of the employee's duty; assaulting, threatening, intimidating or abusing a supervisor either physically or verbally.
26. Restricting production output, encouraging others to do so or supporting others doing so.
27. Giving preferential treatment in the course of employment to any organization or person unless authorized by law.
28. Loss of professional or other license or failing to attain prerequisites necessary to obtain or renew professional or other license when such a license is required to meet the standards of the position.

CONDUCT INVOLVING JOB PERFORMANCE

29. Failing to take action as needed to complete an assignment or perform a task safely.
30. Solicitation of other employees for any purpose, during the working time of the employee soliciting or being solicited, or in areas to which the public has access for the purpose of transacting business relating to City government.

31. Using the office, work site, work locations, work vehicle, work tools or work materials and supplies to conduct a secondary business, trade or occupation.
32. Treating discourteously any member of the public where such person can reasonably believe that the employee is acting within the scope of her or his employment.
33. Interfering with others on the job.
34. Distributing literature in any working area, or area where City business is conducted with members of the public, during the work time of the employee who is distributing or the employee who is receiving the literature, except in the course of performing the duties of the position.
35. Acting negligently or willfully in the course of employment so as to damage public or private property or cause injury to any person.
36. Failing to comply, in carrying out any acts in the scope of employment, with laws or departmental rules governing health, safety, and sanitary conditions.
37. Mismanagement or waste of funds.
38. Inattention to duty including loafing, sleeping on duty, or loitering in the work area.
39. Incompetence or inefficiency in the performance of the duties of the position. This means performance of the duties of the position at a level lower than that ordinarily expected of other employees in similar positions, due either to lack of ability, knowledge or fitness, lack of effort or motivation, carelessness or neglect.
40. Solicitation or acceptance for personal use of any fee or other valuable thing which may be construed as a bribe; that is when such fee, gift, or other valuable thing is solicited by or given to the employee, in hope or expectation of receiving treatment better than that accorded other persons, or using one's office so as to give the appearance of such impropriety.

VIOLATIONS OF CITY POLICY AND RULES

41. Failure to be an actual resident of the City of Chicago.
42. Discrimination against an employee or applicant because of race, color, religion, sex, disability, national origin, ancestry, age, sexual orientation, or gender identity, marital status, parental status and military service or discharge status. Discrimination in the performance of job duties against any member of the public because of race, color, religion, sex, disability, national origin, ancestry, age, sexual orientation, gender identity, marital status, parental status and military service or discharge status.

- (a) Sexual harassment, which means any unwelcome sexual advance or request for sexual favors or conduct of a sexual nature when submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or receipt of City services; or when submission to or rejection of such conduct by an individual is used as the basis of an employment or service decision affecting the individual; or when such conduct has the purpose or effect of substantially interfering with the work performance of an employee or creating an intimidating, hostile or offensive work environment. Conduct which can, in certain circumstances, be considered sexual harassment includes but is not limited to sexually suggestive or offensive remarks, sexually suggestive pictures or graffiti, sexually suggestive gesturing, verbal harassment or abuse of a sexual nature, the displaying of sexual objects, subtle or direct requests for sexual favors, stalking, sexual assault, sending sexually suggestive e-mail or text messages, accessing or viewing sexually suggestive or explicit internet sites and touching, patting or pinching. This definition should not be construed as a legal definition and may not necessarily comport with the way in which the term might be defined elsewhere.
 - (b) Failure of a supervisor, who is dating and/or having physically intimate relationship with any City employee over whom he or she has supervisory authority, to report this fact to his or her department head in writing .
 - (c) Failure of a supervisor, who is aware of or reasonably should be aware of discriminatory, harassing (including sexually harassing) or retaliatory conduct by another employee, to report that conduct as required by the City's EEO Policy, whether or not anyone complains about such conduct.
 - (d) Failure to cooperate with and truthfully answer inquiries of the City's EEO Officer or designee(s) and departmental EEO Liaisons in the course of an investigation under the EEO Policy.
- 43. Failure to comply with the requirements of secondary employment as delineated in Personnel Rule XX, Section 3.
 - 44. Violation of confidentiality of personnel records of City employees or other municipal records.
 - 45. Any act or conduct in violation of, or failing to perform any duty required by, the Ethics Ordinance, Chapter 2-156 of the Municipal Code of Chicago, as amended.
 - 46. Failure to report misconduct by City employees to the proper City authority.
 - 47. Failure to immediately report to a supervisor any on duty accident or injury which the employee is involved in or observes.
 - 48. Violating any departmental regulations, rules or procedures.

49. Unauthorized entry into City facilities, any part thereof, or unauthorized presence on City property.
50. Conduct unbecoming an officer or public employee.
51. Violating the City's drug and alcohol testing policy. A department head is required to initiate a discharge action against any employee who tests positive for illegal drugs and/or alcohol use; refuses to cooperate with testing procedures; is found to be under the influence of illegal drugs or alcohol while on duty and on the employer's premises; is found in possession of alcohol, drugs or drug paraphernalia; or is found selling or distributing drugs or drug paraphernalia on the employer's premises.
52. Failure to pay an overdue debt owed to the City within thirty (30) days of receiving a demand therefore, unless the employee:
 - (a) has entered into an agreement with the City of Chicago through the appropriate department for the payment of all debts owed to the City and is in compliance with the agreement; or
 - (b) is contesting liability for the amount of the debt in a pending administrative or judicial proceeding; or
 - (c) has filed a petition in bankruptcy and the debts owed the City are dischargeable in bankruptcy.
53. Any act or conduct in violation of, or failing to perform any duty required by, Personnel Rule XXIX - Conflict of Interest.
54. Any act of violence in the workplace or violation of the City's Violence in the Workplace Policy. Violence, as the term is used in the City's Violence in the Workplace Policy, includes written or verbal communications, whether direct or indirect, which are of a threatening, intimidating or coercive nature; the threat or use of physical force, including fighting or horseplay; stalking; vandalism or destruction of property; and the use or possession of any weapon and/or ammunition, unless the specific weapon and/or ammunition is authorized by the City for a particular work assignment. For the purpose of this paragraph, violence does not include actions taken by sworn Police Officers or security personnel within the scope of their employment, but does include such employees' actions with respect to co-workers. Specific acts or omissions which are in violation of the Violence in the Workplace Policy include:
 - (a) Failure of a manager or supervisor to implement and maintain safe workplace practices, including the Violence in the Workplace Policy, or failure to communicate the Policy to subordinates.
 - (b) Failure of an employee, including a manager or supervisor, to report an incident of violence in the workplace or any potentially dangerous situation to his or her supervisor or the departmental Violence in the Workplace Liaison.

- (c) Failure of an employee, including a manager or supervisor, to promptly report an incident of violence to law enforcement authorities when the employee knows or should know that a violation of law may have occurred and the employee is unable to report the incident to the employee's supervisor or departmental Violence in the Workplace Liaison.
- (d) Failure of an employee, including a manager or supervisor, to notify his or her supervisor and departmental Violence in the Workplace Liaison when an Order of Protection has been obtained by or against the employee naming City premises.
- (e) Failure of an employee, including a manager or supervisor, to cooperate with a Violence in the Workplace Liaison or the City's Equal Opportunity Division in the course of an investigation of workplace violence under the Violence in the Workplace Policy.
- (f) Failure of an employee, including a manager or supervisor, to assist persons injured as a result of workplace violence, including summoning EMS personnel, staying with the injured person(s) until EMS arrives, and assisting City officials in reaching the emergency contacts of any injured person(s).
- (g) Retaliation against any person for having made a good faith complaint or report of violence in the workplace, or participating in or aiding an investigation of violence in the workplace.

55. Excessive force or other improper use of authority by security personnel.

56. Violating the City of Chicago Hiring Plan, the Chicago Fire Department Hiring Plan for Uniformed Positions, the Chicago Police Department Hiring Plan for Sworn Titles, the policy regarding the Use of Non-City Employees to Perform Services for the City (Contractor Policy), or the City's Acting Up Policy.

Section 2 - Progressive Discipline

- (a) The City of Chicago approves of the concept of progressive and corrective discipline for Career Service employees and recommends its use when appropriate. Progressive discipline is a systematic approach to correct unwanted behavior and deter its occurrence by administering disciplinary actions based upon various factors, including, but not limited to, the severity of the infraction, the number of times it has occurred, and the totality of the circumstances surrounding the misconduct. The City of Chicago uses progressive discipline at its discretion and does not solely rely on this concept in every instance when taking disciplinary action.

While it is not possible to list every act which will or might result in disciplinary action, actions itemized in Section 1 reflect conduct which is deemed to be inappropriate and which may result in disciplinary action. This list is not

exhaustive, but is offered instead to generally provide notice of inappropriate conduct. Supervisors may deem that conduct other than that itemized above is improper and warrants discipline. Further, the department head, or her/his designee, has the discretion to determine what degree of discipline is appropriate after weighing all the situational factors involved in the misconduct.

- (b) **TYPES OF DISCIPLINARY ACTION** - The types of disciplinary action which may be imposed include the following:

Reprimand, which is a censure expressing formal disapproval of the actions of an employee, but carrying no loss of privileges. A reprimand may be oral or in writing, but in either case is made part of the employee's record.

Suspension, which is the temporary removal from employment, accompanied by a concurrent and temporary loss of the privileges of employment, including, but not limited to, salary or wages. The department head has authority to suspend an employee for thirty (30) days or less.

Demotion, which is the reduction of the grade or class of employment and corresponding permanent reduction in salary or wages.

Discharge, which is the act of dismissal from employment and the permanent loss of all privileges of employment. Discharge includes the withdrawal of any right to reinstatement from layoff or leave of absence.

Section 3 - Notification - Suspensions of Thirty (30) Days or Less

Whenever a disciplinary action is to be taken against a Career Service employee, except where the disciplinary action is an oral reprimand, the employee shall be notified in writing and on a timely basis, of such action. The notification shall include a description of and cause for the disciplinary action. As appropriate, the Career Service employee shall further be advised as follows:

- (a) If the disciplinary action is a suspension of not more than ten (10) days, the employee has the right to request a department review of the actions. Such request must be submitted in writing to the department head within five (5) working days of the notification of the disciplinary action.
- (b) If the disciplinary action is a suspension of more than ten (10) days and less than thirty-one (31) days, or a second suspension within a six-month period, the employee has the right to request the Human Resources Board for a hearing to review such action. Such request must be submitted to the Human Resources Board in writing within five (5) working days of notification of the disciplinary action.

The written notice may be personally served or mailed to the employee.

Section 4 - Reviews and Hearings for Career Service Employees

- (a) Departmental Review of Suspensions of Ten (10) Days or Less - The procedure for review of suspensions of ten (10) days or less is determined by the department head, subject to the approval of the Commissioner of Human Resources. This procedure should include, but is not limited to, adequate notice of the time and place of review, an opportunity for the employee to be heard and the right to ask questions. The department head may designate a review officer or a review panel on a case by case basis to review such disciplinary actions.
- (b) Hearings Before the Human Resources Board - Any Career Service employee who is suspended for more than ten (10) days but less than thirty-one (31) days, or who is suspended within a six (6) month period after a previous suspension, may request a review of any such suspension by the Human Resources Board. In all disciplinary actions under the control of the Human Resources Board, hearings shall be conducted by a member or members of the Human Resources Board or by a hearing officer appointed by the Board.
 - (1) Representation - An employee may appear on her or his own behalf, or be represented by an attorney at law licensed to practice in the State of Illinois. The employee shall have the right to know the charges, to present testimony on her or his own behalf and to cross examine other witnesses.
 - (2) Approval, Disapproval or Modification of Disciplinary Action - The Board may approve or disapprove the disciplinary action sought by the employee's department head, or may increase or reduce the severity of the disciplinary action as the facts warrant.
 - (3) Human Resources Board Decisions Final - All findings and recommendations made by the Board member(s) or by a hearing officer shall be certified to the full Human Resources Board. The decision of the Board shall be final as to approving, disapproving, or modifying the decision of the Board member(s) or hearing officer. Also, it shall have the authority to call for an additional hearing before the full Board. Should it require an additional or new hearing, the Board shall afford to the employee all of the protections available at the initial hearing.
 - (4) Certification of Findings and Enforcement - After the Human Resources Board makes its final decision on charges or requests for review, it shall certify the decision to the Commissioner of Human Resources who shall notify the appropriate department head.

Section 5 - Disciplinary Procedure - Discharge, Demotion or Suspension Over Thirty (30) Days

A Career Service employee may be discharged, demoted or suspended for a period exceeding thirty (30) days by the department head or designee subject to appeal to the Human Resources Board upon request of the employee in accordance with procedures

prescribed by the Human Resources Board. Such procedures shall provide for statement of the charges upon which discipline is based together with an explanation of the evidence supporting the charges and an opportunity for the employee to respond to the charges in writing before action is taken. The charges and explanation of evidence need not be in any particular form, but must be sufficient to apprise the employee of the matters on which discipline may be based. The employee's response must be reviewed by the department head or designee responsible for making the decision, provided that such designee may not be the person who initiated the charges against the employee. No permanent employee in the Career Service may be discharged, demoted or suspended for more than thirty (30) days unless the statement of charges and any matters in support are first reviewed by the Departments of Law and Human Resources, before the employee is notified of such action.

Section 6 - Powers and Duties of Department Heads

Department heads shall expressly have the right to discipline a Career Service subordinate for cause subject to the review processes described above. The department head may delegate to subordinates the authority to discipline employees.

RULE XVIII - DISCIPLINARY ACTIONS FOR NON-CAREER SERVICE EMPLOYEE

Non-Career Service employees are employed "at will". They may be disciplined or discharged at any time for any reason or no reason and have no expectation of continued employment. Likewise, they may resign at any time for any reason. Therefore, while the work rules applicable to Career Service employees set forth in Section I of Rule XVIII may be utilized as guidelines by supervisors in dealing with non-Career Service employees, and will be useful to such employees in conforming their conduct to City requirements, discipline is not limited to the reasons stated therein, nor are the hearing and progressive discipline procedures applicable. Department heads shall expressly have the right to discipline or otherwise take action concerning a non-Career Service subordinate. The department head may delegate to subordinates the authority to discipline non-Career Service employees.

RULE XIX - DRUG AND ALCOHOL TESTING POLICY

The City of Chicago has an obligation to maintain a safe, healthy and productive work environment for its employees. An employee under the influence of drugs or alcohol on the job can be a serious safety risk to himself or herself, to other employees, and in certain instances, to the general public. Abuse of drugs or alcohol also has a negative impact on the productivity and health of City employees. In order to maintain a safe and healthy work environment the City of Chicago has established the following drug and alcohol testing policy.

1. Drug and Alcohol Testing

The City may require testing of an employee for whom there is a reasonable suspicion that the employee has used drugs or alcohol or is under the influence of drugs or alcohol while at work, on City property or on City business.

The City may require testing of any employee involved in an accident which results in significant injury requiring medical attention or significant property damage while at work, on City property or on City business.

The City may require testing of any employee involved in a fight while at work, on City property or on City business.

2. Definitions

"Under the influence" - Any mental, emotional, sensory or physical impairment due to the use of drugs or alcohol.

"Illegal drug" - Any drug that is not legally obtainable; that is being used in a manner or for a purpose other than prescribed.

"Reasonable suspicion" means a belief that an employee may be under the influence of drugs or alcohol. Such belief must be based on some objective indicia, which may include, but is not limited to, the following matters: erratic or unusual behavior by an employee, including, but not limited to, noticeable imbalance, incoherence and disorientation, which would lead a person of ordinary sensibilities to conclude that the employee is under the influence of drugs and/or alcohol; observation of possible ingestion of alcohol or use of drugs; and involvement in an accident, fight or other circumstances which could lead a reasonable person to believe that the use of drugs or alcohol may have been involved.

3. Disciplinary Action

Any employee who tests positive for drugs and/or alcohol use or refuses to cooperate with testing procedures will be terminated for a first offense.

4. Employee Assistance Program

The City has established an Employee Assistance Program (EAP) which provides help to employees experiencing personal difficulties. The City encourages anyone with a drug or alcohol problem to utilize the EAP. Use of the EAP is voluntary and confidential. It is the responsibility of all employees to seek assistance from the EAP before alcohol abuse or drug use leads to disciplinary action.

An employee's decision to utilize the EAP will not be used as the basis for disciplinary action. However, participation in an EAP program will not preclude discipline, nor will it be a defense to disciplinary action where the information

leading to the adverse employment action was gathered from sources other than EAP. Under no circumstances will enrollment in an EAP program after disciplinary action has been initiated be deemed a defense to such action. Further, the City is under no obligation to offer participation in an EAP program prior to, or in lieu of, imposition of discipline.

RULE XX - EMPLOYEE RELATIONS

Section 1 - Scope of Employee Relations Program

The program of employee relations to be maintained and conducted within the City Service shall be designed to:

- (a) Provide lines and means of communication between employees and management for facilitating the submission and discussion of suggestions on matters of personnel policy or procedures.
- (b) Provide the means for encouraging the submission of employee suggestions as well as evaluating and rewarding employees for improving efficiency or promoting economy in the conduct of City activities.
- (c) Recognize outstanding service to the City by its employees through certificates, citations and special awards.
- (d) Provide for the promotion of activities concerned with the health, welfare, recreation, counseling and safety of employees.

Section 2 - Responsibility for Employee Relations Programs

The Commissioner of Human Resources shall be responsible for:

- (a) designing all elements of the program of employee relations,
- (b) distributing information, encouraging departmental participation, and furnishing technical advice and assistance to the departments for their employee relations activities,
- (c) administering employee relations activities that are City-wide in character, and
- (d) evaluating employee relations activities to assure that intended benefits are attained.

The department heads shall be responsible for the specific design and conduct of employee relations activities within their respective departments.

Section 3 - Outside Employment

- (a) Criteria - Outside employment is any paid employment performed by an employee in addition to his or her employment with the City. The following criteria will apply to outside employment:
- (1) Such employment shall not interfere with the efficient performance of the employee's duties.
 - (2) Such employment shall not involve a conflict of interest.
 - (3) Such employment shall not occur during the employee's regular or assigned working hours.
 - (4) No employee granted permission to engage in outside employment shall work at said outside employment for a longer period of time than stated in his or her request for permission to engage in such employment.
 - (5) Any employee accepting outside employment shall make arrangements with the outside employer to be relieved from his or her outside duties if and when called for emergency service by the City.
 - (6) For employees who are on sick leave, medical leave, FMLA leave or duty disability leave due to their own illness or injury, approval to work outside employment will be suspended for the period of the leave. Employees who have been approved for FMLA intermittent leave will not be allowed to work outside employment on any calendar day when the intermittent leave is taken. A department head may grant an exception to this subsection 3(a)(6), following receipt of a written request by an affected employee, where the employee has demonstrated that the nature of the outside employment is not inconsistent with the reason for the leave, and that application of this subsection would result in an undue hardship to the employee.
- (b) Procedure - Any employee desiring to perform outside employment shall first file a request in writing with her or his department head for permission to engage in outside employment. The request shall state the type of employment and the hours of work, the name of the prospective employer, and the place where the employee is to be employed. The department head may either approve or disapprove the request.

The department head shall maintain records of such outside employment which shall be available for and subject to audit by the Commissioner of Human Resources.

RULE XXI - PERSONNEL ADMINISTRATION - RELATIONSHIP TO CITY DEPARTMENTS

Section 1 - Responsibility of Heads of Departments for Personnel Administration

The principal responsibilities of each department head for personnel administration include:

- (a) The designation of key employee(s) to be responsible for assisting the department head in managing the personnel matters of the department including employee grievances, review of disciplinary actions, equal employment opportunity and employee training.
- (b) The development and administration of departmental work rules.
- (c) The initiation of personnel actions for employees related to employment, salary adjustments, promotions, discipline and related personnel transactions.
- (d) The assignment and supervision of work of employees.
- (e) The evaluation of the performance of employees.
- (f) The development and implementation of training programs and other programs to improve work effectiveness.
- (g) Cooperation with the Department of Human Resources in connection with such matters as job analyses; recruitment; job-related selection procedures, including Career Service examinations; and other technical matters.
- (h) The maintenance of departmental personnel records.

Section 2 - Departmental Personnel Committee

The Commissioner of Human Resources shall establish one or more departmental personnel committees, consisting of departmental personnel officers and other employees with experience and proven ability, designated by their respective department heads to cooperate with and advise the Commissioner of Human Resources on the application and improvement of any of the elements of the system of personnel administration.

RULE XXII - PERSONNEL RECORDS

Section 1 - Personnel Information Systems

The Commissioner of Human Resources shall establish and maintain a system of personnel records and reports covering all City employees, which shall satisfy the requirements of and be integrated with all elements of the system of personnel

administration and with processing of payrolls. Such system of personnel records and reports shall be as fully automated as is economical and practicable. It shall require the participation of the City departments and agencies as they are involved in the preparation and processing of personnel records, reports and payrolls.

The system of personnel records and reports shall comprise a comprehensive personnel information system, which shall include, but not be limited to, the following:

- (a) A master employee record for each employee, containing personnel actions affecting the employee.
- (b) A record of the status of all occupied positions in the City service.
- (c) Employment lists and certifications.
- (d) A system of personnel action reports and records to cover appointments, promotions, separations and other personnel actions.
- (e) Examination records.
- (f) Employee performance review records.
- (g) Employee leave of absence records.
- (h) Employee files for use within a department and to be transmitted when an employee transfers to another department.
- (i) Payroll-related records maintained by the departments, such as time and attendance records, sick leave records, and vacation leave records.

Section 2 - Confidential Nature of Personnel Records

All personnel records of City employees and records and material relating to the administration of the personnel management system shall be considered confidential and the property of the City. Employee information as to name, class title, and grade level shall be public information, and available in accordance with such procedures as the Commissioner of Human Resources prescribes. Employee information shall be available for inspection by the employee involved at reasonable times and in accordance with such procedures as the Commissioner of Human Resources prescribes. Employee information and related personnel records and reports shall be made available for official purposes at the discretion of, and in accordance with, procedures prescribed by the Commissioner of Human Resources.

Information obtained concerning the medical condition or history of any employee or applicant shall be collected and maintained on separate forms and in separate medical files and be treated as a confidential medical record, except that supervisors and managers may be informed regarding necessary restrictions on the work or duties of the employee and necessary accommodations; first aid and safety personnel

may be informed when appropriate if a disability might require emergency treatment; and governmental officials investigating compliance with the Americans With Disabilities Act of 1990 shall be provided relevant information. Nothing herein shall prohibit the use and/or disclosure of such information by the City consistent with law, nor shall anything herein be deemed to authorize or require an unwarranted invasion of privacy of any applicant or employee.

RULE XXIII - CERTIFICATION OF PAYROLLS

Section 1 - Payroll Changes

A personnel action report must be approved by the Commissioner of Human Resources on an approved form before the related payroll change may take effect.

Section 2 - Review and Certification of Payrolls

Payrolls for services rendered covering compensation for any employee in the City Service shall be forwarded to the Commissioner of Human Resources by department heads or other appropriate officers for certification to the Comptroller or other auditing officer as to the legality of employment and right of any officer or employee to compensation in accordance with the provisions of Chapter 2-74 of the Municipal Code and the Personnel Rules.

The Commissioner of Human Resources shall remove the names of persons from a payroll when such certification cannot be made, and notify the Comptroller and department head involved.

After the Commissioner of Human Resources has examined a given payroll, and has determined that all employees remaining on the payroll have been appointed in accordance with the provisions of the Municipal Code and the Personnel Rules, she or he shall certify the payroll and return it to the Comptroller or other auditing officer for processing.

RULES XXIV AND XXV

NOTE: Rule XXIV (Election Rules) and Rule XXV (Probationary Period - Departmental Employment Service) are no longer applicable.

RULE XXVI - RECLASSIFICATION OF EMPLOYEES

NOTE: **The Reclassification process is now governed by Rule I.**

RULE XXVII

NOTE: Rule XXVII (Attendance) is no longer applicable by action of the City Council.

RULE XXVIII - SICK LEAVE

Section 1 - Legitimate Use of Sick Leave

It is the policy of the City of Chicago that sick leave is an employee benefit to be used only for a legitimate illness or injury of an employee, or a legitimate illness or injury of a member of an employee's immediate family which necessitates the employee's absence from work. Sick leave may also be used for an employee's medical appointments or the medical appointments of an immediate family member.

Section 2 - Family Illness

Abuse of sick leave shall be defined as sick leave taken for any purpose other than an employee's personal illness or illness of an immediate family member that necessitates the employee's absence. An immediate family member includes the employee's (i) mother, father, husband, wife, brother or sister (including blood, step or half), son or daughter (including blood, step or adopted), father-in-law, mother-in-law, daughter-in-law, son-in-law, grandparents or grandchildren; or (ii) domestic partner or the domestic partner's mother, father, son or daughter (including blood, half, step or adopted), provided that the employee's domestic partner is registered with the Department of Human Resources.

Section 3 - Definition of Illness

The terms "illness" or "injury" encompass any sickness, illness or injury that unduly restricts or renders the employee incapable of performing her/his normal duties.

An illness or injury of a member of the employee's immediate family is one where the employee is required to attend or provide needed care for a member of the immediate family who is in fact ill or incapacitated.

Section 4 - Reasonable Evidence

The employee has the burden of establishing that an illness related absence was legitimate. Failure to provide such reasonable evidence as may be required by department supervisory personnel may result in the denial of sick leave benefits or revocation of benefits granted. The determination as to appropriateness of the sick leave

will be made by the employee's supervisor. In addition to denial of sick leave benefits, where the circumstances indicate that the employee is abusing sick leave, disciplinary measures (suspension, termination, etc.) may be taken. Disciplinary action may also be taken when there is excessive absenteeism.

What constitutes reasonable evidence will depend upon the facts and circumstances in each individual case and may include one or more of the following: (a) doctor's note or certification, (b) medical release, (c) employer directed physical examination, (d) telephoning the employee at home to verify her/his being there, (e) employee's personal statement or employee's sick leave certification, or (f) questioning the employee.

Section 5 - Patterns of Abuse

The following patterns of sick leave use may be considered as indicators of sick leave abuse: day(s)

- (a) at the beginning or end of the work week,
- (b) before or after vacation,
- (c) after payday,
- (d) before or after military or jury duty,
- (e) before or after a designated holiday, or
- (f) any other pattern such as every Wednesday or once a month.

Such patterns may be investigated by department supervisory personnel, and corrective action taken where warranted.

Section 6 - Confidentiality

The City is mindful that medical records and other medical information often contain intimate details of a highly personal nature. The confidentiality of any information provided by employees pursuant to this rule will be scrupulously guarded. Only designated department supervisors are authorized to receive or have access to employee medical information. Any unauthorized disclosure of employee medical information may subject the individual(s) who disclosed the information to disciplinary action.

Section 7 - Procedures

The following procedures shall be followed by all City personnel when the employee's absence is or will be due to the illness or injury of the employee or a member of the employee's immediate family or due to an employee's medical appointment or the medical appointment of a member of the employee's immediate family.

- (a) Notification - The employee shall notify her/his supervisor of the absence and the reason therefore in the time period specified by the employee's department or as

soon as is reasonably possible. In emergency situations, this notification may be made on behalf of the employee by any responsible person. The notification shall be made in person or by telephone.

When someone other than the employee is or has been requested to make the required notification, the employee will be solely responsible for the notification being made. If an employee becomes sick or ill during his/her work shift, the employee must notify or cause notification to be made to the appropriate supervisor.

In the event sick leave notification is not made within the time period required by the employee's department, the absence shall be without pay, unless the employee can later substantiate and document that it was impossible to make or cause such notification.

Sick leave notification must be made for each workday that paid sick leave is being requested. An employee with a disabling condition and/or one who is hospitalized may satisfy the notification requirement with a physician's written statement of the nature of the employee's condition, the reason why this condition prohibits work and the expected duration of absence. Such statement may suffice for up to a month. Thereafter, additional statement(s) may be submitted on a monthly basis, or more frequently if the department head requires.

(b) Absences of Three (3) or More Consecutive Work Days

(1) If an employee is absent from work for three (3) or more consecutive work days and the employee received professional medical attention, the employee must submit a doctor's note or certification upon the employee's return to work. The doctor's note or certification will be submitted to the employee's supervisor. A form prescribed by the Commissioner of Human Resources will be utilized for submission of the certification.

(2) If an employee is absent from work for three (3) or more consecutive work days and the employee did not receive professional medical attention, the employee must submit a personal certification upon the employee's return to work. The personal certification will be submitted to the employee's supervisor. A form prescribed by the Commissioner of Human Resources will be utilized for submission of the certification.

(c) Absences of Less Than Three (3) Consecutive Work Days - Where a supervisor has sufficient reason to believe that an employee's absence from work for less than three (3) days is not due to illness, although claimed to be so by the employee, the employee must submit a certification or any other such reasonable evidence as may be necessary to provide sufficient and legitimate justification for the employee's absence. The certification or other evidence will be submitted to the employee's supervisor upon request and in the form requested.

- (d) Absences Due to The Illness or Injury of Immediate Family Member - If an employee is absent from work due to the illness or injury of a member of the employee's immediate family, the employee must submit a personal certification upon the employee's return to work. The personal certification will be submitted to the employee's supervisor on a form prescribed by the Commissioner of Human Resources.
- (e) Absences Due to Medical Appointments - If an employee is absent from work due to a medical appointment or the medical appointment of an immediate family member, the employee must submit a certification of the appointment upon the employee's return to work. The certification of appointment will be submitted to the employee's supervisor on a form prescribed by the Commissioner of Human Resources.
- (f) Medical Releases - If an employee is absent from work due to illness or injury or due to a medical appointment and the employee received professional medical attention and a review of the pertinent medical records is deemed necessary, the employee must provide a Medical Authorization/Release for release of medical records upon request. The Medical Authorization/Release should be submitted to the employee's supervisor on a form prescribed by the Commissioner of Human Resources.
- (g) Employer Directed Medical Examinations - If an employee is or seeks to be absent from work due to an illness or injury, the department head or his/her designee may direct the employee to submit to a medical examination in any of the following instances: a) to verify the employee's medical condition, b) to verify the medical diagnosis of the employee's personal physician, c) to verify the employee's ability to return to work; and/or d) in cases where the department head or his/her designee believes that questionable circumstances exist.

As a result of such physician's statements and examinations, the City may approve or deny the employee's sick leave requests and may establish limits and conditions for any further approved sick leave connected with the employee's illness or injury.

Whenever an employee is directed to submit to a department directed medical examination, the employee must provide a Medical Authorization/Release for release of medical records upon request. The Medical Authorization/Release should be submitted to the employee's supervisor on a form prescribed by the Commissioner of Human Resources.

- (h) Return to Work Certification - If an employee is absent from work due to an illness or injury, the City may require that a physician certify the employee's ability to return to work as a condition precedent to the employee's actual return to work based on recovery from the illness or injury. However, the department head or his/her designee may require a complete physical examination for good cause shown. The physician's certification of an employee's ability to return to work must be submitted directly to the designated City official(s) by the certifying physician on a form prescribed by the Commissioner of Human Resources.

This certification must be provided for any employee who is sick or disabled for ten (10) or more consecutive work days and must be submitted to the department head or other appropriate supervisor before the employee will be permitted to return to work.

The City may also require, at its discretion, that an employee submit to a department directed medical examination in conjunction with the certification received from the employee's physician.

Nothing in this section affects the City's right to otherwise independently review the employee's medical situation.

Section 8 - Application

This rule is applicable to all City employees. Failure to follow its provisions may result in the denial of requested sick leave benefits, and/or other disciplinary action, up to and including termination.

ADDENDUM/RULE 28

The terms "illness" or "injury" as defined herein do not include fatigue due to working overtime or a lack of sleep; or sickness or injury due to intoxication or the employee's own willful, illegal action.

The following are examples of illnesses and/or injuries that are not covered under this policy:

- (a) hangovers but not illnesses or injuries resulting from the long term effects of alcohol abuse;
- (b) lack of sleep unrelated to a covered illness or injury;
- (c) fatigue due to working overtime;
- (d) fatigue due to activities unrelated to a covered illness or injury;
- (e) intentionally self-inflicted injuries;
- (f) injuries that result from and/or occur while the employee is engaged in a violation of City, state or federal criminal ordinances and/or laws and/or statutes;
- (g) injuries that result from and/or occur while the employee is engaged in a violation of City of Chicago Personnel Rules and Procedures;

- (h) injuries resulting from use of illegal drugs but not illnesses or injuries that result from the long term effects of drug abuse.

These examples of illnesses and/or injuries not covered under this policy are illustrative and are not to be considered exhaustive.

This policy is designed to cover only legitimate illnesses and injuries. It is not the policy of this City to reward malingering and/or other improper conduct by providing sick leave benefits to the employees that abuse the sick leave privileges. Therefore, mental and physical conditions that are the result of the employee's own wrongful conduct; and/or, are designed to abuse the sick leave privileges are not legitimate illnesses or injuries, as defined in this policy, and do not entitle such employees to utilize sick leave benefits.

RULE XXIX - CONFLICT OF INTEREST

Section 1 - Definitions

Whenever used in this Rule, the following terms shall have the meanings provided below:

- (a) City Contractor means any person (including his/her agents or employees acting within the scope of their employment) who is paid from the city treasury or pursuant to City ordinance, for services to any City agency, regardless of the nature of the relationship of such individual to the City for purposes other than Chapter 2-156 (Governmental Ethics) of the Municipal Code of Chicago.
- (b) Doing Business means any one or any combination of sales, purchases, leases or contracts to, from or with the City or any City agency in an amount in excess of \$10,000.00 in any 12 consecutive months.
- (c) Financial Interest means
 - (1) any interest as a result of which the owner currently receives or is entitled to receive in the future more than \$2,500.00 per year;
 - (2) any interest with a cost or present value of \$5,000.00 or more; or
 - (3) any interest representing more than 10 percent of a corporation, partnership, sole proprietorship, firm, enterprise, franchise, organization, holding company, joint stock company, receivership, trust, or any legal entity organized for profit; provided, however, financial interest shall not include:
 - any interest of the spouse or domestic partner of an official or employee which interest is related to the spouse or domestic partner's independent occupation, profession or employment;

- any ownership through purchase at fair market value or inheritance of less than one percent of the shares of a corporation, or any corporate subsidiary, parent or affiliate thereof, regardless of the value of or dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended;
 - the authorized compensation paid to an official or employee for his office or employment;
 - any economic benefit provided equally to all residents of the City;
 - a time or demand deposit in a financial institution;
 - an endowment or insurance policy or annuity contract purchased from an insurance company.
- (d) Employee means an individual employed by the City of Chicago, whether part-time or full-time, but excludes elected officials and City contractors.
- (e) Person means any individual, entity, corporation, partnership, firm association, union, trust, estate, as well as any parent or subsidiary of any of the foregoing, whether or not operated for profit.
- (f) Seeking to do business means:
- (1) taking any action within the past six months to obtain a contract or business from the City when, if such action were successful, it would result in the person’s doing business with the City; and
 - (2) the contract or business sought has not been awarded to any person.
- (g) Contract management authority means personal involvement in or direct supervisory responsibility for the formulation or execution of a City contract, including without limitation the preparation of specifications, evaluation of bids or proposals, negotiation of contract terms or supervision of performance.
- (h) “Business relationship” means any contractual or other private business dealing of an employee with a person or entity which entitles the employee to compensation or payment in the amount of \$2,500.00 or more in a calendar year; provided, however, that the exclusions applicable to a “financial interest” shall apply with respect to business relationship.
- (i) “Ownership interest” means any interest representing more than 5 percent of a corporation, partnership, sole proprietorship, firm, enterprise, franchise, organization, holding company, joint stock company, receivership, trust, or any legal entity organized for profit; provided, however, that ownership interest does not mean any ownership through purchase at fair market value or inheritance of less than one percent of the shares of a publicly traded corporation.

Section 2 - Certain Business Relationships Prohibited/Disclosure Requirements

- (a) No non-clerical employee of the Office of the Mayor, or any member of the Mayor's security detail, or entity in which such persons have a financial interest, shall have any employment relationship with any entity other than the City, nor shall such persons have a financial interest, as set forth in section 2-156-010 (1) (Governmental Ethics), in any business. No spouse or domestic partner of such employee shall do business with the City or a sister agency of the City, or have an ownership interest in any entity doing or seeking to do business with the City or a sister agency of the City, or in any entity that is a subcontractor on any City contract, or on the contract of a sister agency of the City.
- (b)
 - (i) No employee of any other executive department or agency, or entity in which such an employee has a financial interest, shall have any employment or business relationship with any person who is doing business with the City if the employee exercises contract management authority with respect to that person's business with the City. No spouse or domestic partner of such employee shall have a financial interest in any contract when the employee exercises contract management authority with respect to that contractor's City business. The ownership interest of the spouse or domestic partner of any employee in any entity that has a contract with a person doing other City business shall be disclosed to the Board of Ethics by the employee, on a form to be prescribed by the Board, on or before May 1 of each year.
 - (ii) No department or agency head shall have any employment relationship with any entity other than the City; nor shall such persons have any business relationship with any person doing business with the City.
- (c) For purposes of this Section 2, the term "sister agency of the City" shall include the Chicago School Reform Board of Trustees or the successor Chicago Board of Education, the Board of Trustees of Community College District 508, the Chicago Transit Authority, the Chicago Park District, the Metropolitan Pier and Exposition Authority, and the Public Building Commission.

Section 3 - Certain Loans Prohibited

For purposes of this Section 2, the term "sister agency of the City" shall include the Chicago School Reform Board of Trustees or the successor Chicago Board of Education, the Board of Trustees of Community College District 508, the Chicago Transit Authority, the Chicago Park District, the Metropolitan Pier and Exposition Authority, and the Public Building Commission.

Section 4 - Recommendation of Business Associates Prohibited

No employee shall recommend, retain or hire as a City employee or City contractor any person with whom the employee has a business relationship.