



Police Department

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DEPARTMENT GENERAL ORDER 20-12

OFFICE of the CHIEF OF POLICE
REPLACES: General Order 10-01 and 10-01A

DATE: April 27, 2020

PROMOTIONAL PROCESS

I. PURPOSE.

To establish a system of procedural guidelines regarding the promotional process for commissioned officers. The objective of such guidelines shall be to select the most qualified candidate, while administering the process in a fair, equitable, and professional manner.

II. DEFINITIONS.

Process Administrator – The Commander of the Support Bureau will typically administer the promotion processes. However, the Chief of Police can designate a different command level employee to administer the process if circumstances dictate a change.

Promotional Process - The combined effect of various elements and procedures leading to a promotion decision, to include minimum qualifications, written tests, performance evaluations, oral boards, Chief's interviews, and supervisory/command potential evaluations.

III. AGENCY ROLE IN PROMOTIONAL PROCESS.

The department will assume a major administrative and operational role in each promotional process involving sworn agency members. As such, the Chief of Police shall be responsible to:

- A. Issue announcements of supervisory and/or command vacancies.
- B. Post a sign-up roster.
- C. Conduct personal interviews with qualifying candidates and assign a score to same.
- D. Review and address any appeals regarding the promotional process.
- E. Make final selections for promotion and issue the appropriate Personnel Orders.

The responsibilities of the Process Administrator:

- A. Schedule the various elements of the promotional process, issue a timeline of the process, and ensure that the necessary Personnel Orders are completed.
- B. Schedule a group meeting(s) with the candidates to explain the steps of the process.
- C. Ensure that adequate testing/evaluation supplies and materials are available.
- D. Coordinate written testing with the Human Resources Department.
- E. Arrange for qualified command personnel from other law enforcement agencies to sit on oral boards.
- F. Obtain performance evaluations on each qualifying candidate from the Human Resources Department.
- G. Participate in the supervisory/command potential evaluations.
- H. Receive and tabulate scores for each element of the promotional process prior to the Chief's interview.
- I. Advise individual candidates, in writing, of their scores prior to the interview segments of the promotional process.
- J. Rank the candidates according to their composite scores and forward such list to the Chief of Police for his review and consideration.
- K. Ensure that promotional materials are protected in a secure environment and that the confidentiality of individual candidate's scores is maintained as a matter of routine policy.

The responsibilities of the Human Resources Department:

- A. Order, administer, and score the written examination.
- B. Forward the results to the Process Coordinator.
- C. Assist with the promotional process as requested and provide an oversight Role in the Supervisory/Command Potential Evaluations and Oral Board Interview.
- D. File all appropriate documentation in each individual employee's personnel file.
- E. Ensure that Personnel Action Forms are correctly processed.

IV. ADMINISTRATIVE AUTHORITY.

The authority to administer promotional processes shall generally be a shared responsibility, with certain activities performed by the City's Human Resources Department and other promotional-related functions performed by the Police Department.

The Process Administrator shall serve as the primary departmental administrator of each promotional process involving non-appointive positions. It shall be the Process Administrator's responsibility to effectively manage the operation and direction, while maintaining proper liaison activities with the Chief of Police and the Human Resources Department. Both the Chief of Police and the Human Resources Department will provide oversight and guidance, as necessary, in regard to each on-going promotional process.

V. ELEMENTS OF PROMOTIONAL PROCESS.

At the conclusion of the sign-up period and prior to the first element of the process, the Process Administrator will schedule group or individual meetings with the candidates to explain each stage of the process and answer any questions. A roster of meeting attendees will be placed into the process file.

The promotional process for sergeant and lieutenant shall consist of five (5) separate promotional process elements. The individual elements and the percentage of the total possible score assigned to each are listed as follows:

- 1). Supervisory/Command Potential Evaluations - 25 percent
- 2). Written Examinations - 25 percent
- 3). Performance Evaluations - 25 percent
- 4). Oral Boards - 15 percent
- 5). Chief's Interviews - 10 percent

When a promotional process is announced, those officers who meet the eligibility requirements specified in this order, must sign the roster provided to indicate their intention to participate in the process. A promotional process shall then be conducted in accordance with the following procedures:

A. Performance Evaluations

The Process Administrator will obtain a copy of each candidate's last three performance evaluations from Human Resources. The Process Administrator will calculate an average of the three performance evaluation scores for each candidate. A percentage score will be assigned to each candidate based on the available points (25) allotted to this segment of the process.

B. Supervisory/Command Potential Evaluations

A Supervisory/Command Potential Evaluation will be completed on each candidate competing for promotion to sergeant and lieutenant. All command personnel, excluding the Chief of Police, will meet to discuss and evaluate the leadership potential for the lieutenant candidates. A representative from Human Resources will be present to provide oversight during this meeting. During the meeting, the command personnel will individually complete a standardized rating form for each candidate. The completed forms will be collected by the Process Administrator. The Process Administrator will average the total scores from the evaluation forms for each candidate and then calculate the points awarded in this stage of the process.

For the promotion process of sergeant, the same procedures will be followed as in the lieutenant's process. However, during the meeting to discuss the candidates' leadership potential, the sergeants will be present to answer questions from the command staff and provide input on the candidates. The sergeants will not complete an evaluation form. A representative from Human Resources will also be present at this meeting to provide oversight.

Following their tabulation, completed evaluation forms will be retained by the Process Administrator and placed in a promotional process file.

C. Written Examinations

A validated written examination will be utilized in promotional process for sergeant and lieutenant. Human Resources shall administer the test, which will generally be obtained from the International Personnel Management Association (IPMA). The standardized written examination may consist of multiple choice, true and false, fill-in-the-blank, essay questions, or any combination thereof. A test produced by a different organization can be utilized after it has been approved by Human Resources as valid.

If applicable, a reading list shall be made available to all promotional candidates between thirty to sixty days in advance of the written test date so that department personnel may properly prepare for the examination.

There shall be no cut-off score on the written examination, and the results will be tabulated by Human Resources. Sworn personnel who take the test will be assigned a score for the number of correct answers achieved. This score shall then be translated into a percentage score based on the maximum number of percentage points (25) allotted for the written examination.

Upon completion of testing, Human Resources will forward the results to the Process Administrator.

At the appropriate time, the results from the written examination, supervisory/command potential evaluations, and performance evaluations will be tabulated together and, contingent upon the number of openings, a designated number of candidates will advance to the interview segments of the promotional process. Those officers who fall short of the cut-off score will be eliminated from the process and consideration for sergeant. It should be noted however, that as the number of qualified supervisors competing for promotion to lieutenant will be limited, all candidates will complete the interview segments of the process.

D. Oral Board Interviews

An oral board interview shall be conducted as part of the promotional process. The oral board membership shall consist of three interviewers, composed of command rank officers from other law enforcement agencies. During the oral board for the sergeant's promotion, a sergeant from an outside agency with more than three years of experience in that rank can be substituted for a commander if scheduling conflicts occur.

The oral board interview panel will use a standardized set of ten questions to rate promotional candidates on their knowledge, verbal skills, command presence, and other personal attributes. The Process Administer will develop the ten questions used in the Oral Board interview. The questions will be reviewed by the Chief of Police and Human Resources for validity. The interview questions will not be shared with any other personnel prior to or during the Oral Board interviews.

Each candidate will receive a score of 1-10 on each of the ten questions. The scores assigned to an individual candidate by each separate reviewer will then be averaged together, and a percentage score assigned to the candidates based on the total number of points (15) allotted for this element of the promotional process. The score sheets will be placed in the process file.

The scoring sheet will contain a section for the interviewers to provide the candidate with general feedback on their performance.

At the conclusion of the oral boards, the Process Administrator will forward the tabulated scores for each candidate to the Chief of Police.

E. Chief's Interviews

The Chief of Police will distribute a written notice announcing a schedule for the last element of the promotional process - the Chief's Interview. The Chief will determine the interview format, which will be used to evaluate individual candidate's long and short range goals, their ideas concerning the direction in which the department should be moving, knowledge of internal problem areas, suggested areas of improvement, and their personal strengths and weaknesses.

At the conclusion of each interview, the Chief of Police will assign a percentage score to each candidate based on the total number of points (10) allotted for this segment of the process.

The scores from the chief's interview will be factored in with those already available from previously completed elements of the process. Once this has been accomplished, a promotional list, generally containing the top three candidates, shall distributed to all department personnel.

The Chief of Police, while maintaining authority to exercise the "Rule of Three," shall then promote a candidate from the list and issue the appropriate Personnel Order to that effect.

F. Alternate Methods of Promotion

Alternate means to evaluate a candidate's suitability for promotion, such as assessment centers, may be used during the promotional process as a replacement for, or in addition to, the existing five process elements. The decision to utilize an alternate method of testing shall require adequate justification for its use, and it will occur only at the direction of the Chief of Police.

G. Review and Appeal Procedures

Candidates for promotion may review their own individual scores and/or evaluations at each stage of the promotional process. If a candidate requests to review his or her scores from the Supervisory/Command Potential Evaluations, the Process Administrator will transfer the scores from each category of every evaluators' form to a computer document (e.g. Word or Excel) for review, but the evaluators' names will not be included. Human Resources will verify the scores were transferred accurately.

Candidates may challenge results of the process or a specific element in the process by submitting a written appeal to the Chief of Police. The appeal should articulate specific reasons for the challenge and must be filed prior to the beginning of the next step in the

promotional process. The Chief of Police shall review the appeal and either rule to uphold same or deem the challenge to be without enough merit to invalidate the results/process. The Chief of Police shall then communicate the findings, in writing, to the promotional candidate. Should the candidate desire to pursue the matter further, they may then appeal the Chief's decision to the City Manager who will serve as the final internal City arbiter of such challenges.

The performance evaluation scores cannot be challenged during the promotional process. Challenges to scores on a performance evaluation should be done in accordance to the general order establishing procedures for filing a grievance. A candidate may challenge the calculations used to determine the points in the Performance Evaluations element if he or she has determined that an error was made.

H. Reapplication for Promotional Testing

In the event a candidate for promotion should miss a scheduled segment of the promotional process, voluntarily withdraw from the process, or be otherwise disqualified, no re-application for promotional testing shall be considered. Under such circumstances, candidates shall be required to wait until a vacancy occurs in the future and a new promotional process is announced.

VI. PROMOTIONAL ELIGIBILITY REQUIREMENTS

A. Numerical Weight of Eligibility

No points are awarded for years of service or time-in rank.

B. System of Ranking Eligible Candidates

Candidates who sign the roster acknowledging their intent to compete in a promotional process, shall not be ranked or be given special consideration in any way, shape, or form. Competition shall be free and open, with the final promotional list based solely on the candidate's individual performance.

C. Time-in Grade and/or Time-in Rank Requirements

Certain seniority and time-in-grade requirements must be met before sworn officers are eligible to compete for promotion or appointment to a higher rank. These are listed as follows:

- a. Sergeant - A candidate must have five (5) years continuous service with the Clayton Police Department as a sworn officer on the posting date of the vacancy.

- b. Lieutenant - A candidate must have three (3) years continuous service as a sergeant with the Clayton Police Department on the posting date of the vacancy.
- c. Captain - A candidate must have attained the rank of lieutenant.

D. Educational Requirements and Preferences

- a. Sergeant: Bachelor's Degree from an accredited college or university required.
- b. Lieutenant: Bachelor's Degree from an accredited college or university required.
- c. Captain – Master's Degree from an accredited college or university preferred.

VII. SECURITY OF PROMOTIONAL MATERIALS

Promotional materials shall be maintained in such a manner as to prevent the unauthorized disclosure or loss of tests, answer sheets, scoring sheet or other related documents to any individual not approved to possess and/or view such material.

To accomplish this objective, the written examination shall be ordered by the Human Resources, maintained in locked files until distributed for the actual examination, and then returned to the testing company.

Other testing materials, score sheets, and/or related notes shall be maintained by the Process Administrator and the Chief of Police in locked files under their direct control.

VIII. PROMOTIONAL ELIGIBILITY LISTS

The Police Department does not utilize promotional eligibility lists per se. Personnel are required to have the proper amount of seniority or time-in grade to allow them to compete for a higher rank, and they must indicate their decision to participate by signing a roster form in the Office of the Chief of Police. Every sworn officer who meets these basic qualifications shall be eligible to participate in the promotional process.

At the conclusion of each promotional process, the department will release a promotional list containing the names of the top candidates. The Chief of Police will select one of the candidates for immediate promotion, while the other individuals will remain on the list for a designated amount of time.

A. Duration of Lists

Promotion lists remain in effect for one year from the date the list is announced.

B. Selection of Names from Lists

Should a vacancy in a higher rank occur while a promotion list is still in effect, the Chief of Police will generally promote the candidate with the highest rating. However, in similar fashion to all formal promotional processes, the Chief of Police reserves the authority to exercise the "Rule of Three," and may promote a lower ranking candidate if it is felt to be in the best interests of the department.

C. Lateral Entry

No lateral entry shall be permitted for vacant supervisory or command rank positions.

IX. WRITTEN ANNOUNCEMENT OF PROMOTIONAL PROCESS.

Prior to the commencement of any promotional process, a written notice announcing the process shall be issued to department personnel. This shall occur between thirty to sixty days in advance of any scheduled testing date. The announcement will provide:

1. A description of the open position.
2. A brief synopsis of the duties and responsibilities inherent to the position.
3. Eligibility requirements (e.g. experience, rank, education).
4. The format of the promotional process to be used.
5. The timetable in which the process will be completed.
6. The most recent reading list to permit candidates to study for the written exam.

X. PROBATION PERIOD FOR PROMOTED CANDIDATES.

A twelve (12) month probationary period is required of all sworn personnel who are newly promoted. Such employees shall be closely monitored by their superiors to ensure that they can effectively assume the duties and responsibilities of their new positions. Unsatisfactory performance shall be identified and properly documented, and should remedial action (e.g. counseling, training) fail to correct the situation, the officer may be reduced to their original rank.

XI. APPOINTED RANKS.

Certain sworn positions within the department shall be appointed positions and, as such, will not be subject to the above-defined promotional process. The positions in question are:

A. Corporal

The rank of corporal shall be an appointive rank wherein the individuals selected by the Chief of Police, or his designee, will periodically function as a first line squad supervisor in the regular sergeant's absence. Tenure in the

position will depend upon performance. To be eligible for appointment, sworn employees must have three years police experience, one of which shall be with the Clayton Police Department.

B. Captain

The rank of captain shall be an appointive position wherein the individual(s) is selected by the Chief of Police. The captain shall serve at the Chief's discretion. Candidates may be required to undergo a testing and/or evaluation process prior to their appointment, however, the format chosen, if any, shall be at the discretion of the Chief of Police. In addition, it is preferable that candidates for the position of captain possess a Master's Degree. Personnel appointed to the rank of captain shall hold the permanent rank of lieutenant.

BY ORDER OF:

A handwritten signature in black ink, appearing to read 'Mark O. Smith', written in a cursive style.

MARK O. SMITH
Chief of Police

MJS:sak