

## **DEPARTMENT GENERAL ORDER 00-19**

OFFICE of the CHIEF OF POLICE  
REPLACES: General Order 99-17/99-17A/99-17B  
SOP 300.04.00

DATE: May 4, 2000

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### **PERFORMANCE EVALUATIONS**

#### **I. PURPOSE.**

An essential part of career development is the periodic evaluation of each individual employee's strengths and weaknesses. A formal performance evaluation program can eliminate deficiencies, reinforce positive tendencies, and assist the department's executive and management staff in making promotional and salary adjustment decisions. As such, the following guidelines are intended to provide an objective and impartial means for the measurement and recognition of individual performance.

#### **II. DEFINITIONS.**

Performance - Actions taken or omitted by an employee with regard to specific tasks or assignments.

Performance Evaluation - An assessment of the operational behavior of individual employees, in relation to defined standards, and occurring within a specific time frame.

### III. GENERAL.

Performance evaluations serve a variety of purposes which are valuable to both short and long term management of the Police Department. Such purposes shall include, but not be limited to:

1. To provide a measurable base to implement the City's merit pay program.
2. To identify and reward exemplary performance.
3. To catalogue unacceptable performance and identify specific problem areas.
4. To establish the suitability of candidates for promotion.
5. To identify departmental training needs suitable to correct unacceptable patterns of behavior.
6. To evaluate the performance of employees-in-training.
7. To encourage ongoing dialog between supervisors and their subordinates.

#### A. Supervisory/Rater Responsibilities

To achieve the maximum in positive benefits from the performance evaluation system, it needs to provide as accurate a gauge of employee performance as possible. Supervisors shall therefore be responsible to adhere to those procedures established by the City of Clayton Personnel Manual in the compilation of performance evaluations and fulfill such task in accordance

with

the following stipulations:

- 1). To integrate the maximum degree of objectivity into the evaluation process, it is essential that supervisors and commanders maintain a well-documented record of the performance of each subordinate under their direct span of control.
- 2). That employees should be rated on each factor as it relates to their assignment during the rating period.
- 3). That employees should be rated only on their performance within a given rating period. Performance during prior rating periods should

not influence current ratings.

- 4). Performance, either exemplary or in need of improvement, on one rating category should not influence the ratings on other categories.
- 5). That employees be rated on their performance and not on their personality. Supervisors must avoid allowing personal bias to influence their evaluations.

#### B. Supervisory/Rater Training

All supervisors and commanders responsible to conduct performance appraisals shall receive an annual orientation session in regard to the evaluation process. Material and/or instructions distributed by the City Personnel Department will serve as the primary guide in the performance appraisal process and shall be adhered to at all times.

Consistency in the interpretation and application of evaluation criteria by departmental supervisors shall be a primary objective of such orientation sessions.

### IV. FREQUENCY OF PERFORMANCE EVALUATION.

All personnel, both sworn and non-sworn, shall be subject to an annual performance review. This will occur during the months of August/September of each calendar year so as to precede the commencement of a new fiscal period. The mid-year review, previously held in March of each calendar year has been suspended from use except as directed by the Chief of Police. Should a mid-year review be ordered, the department shall utilize the Mid-Year Performance Conference form.

#### A. In-Training Employees

Upon completion of basic police training at a certified academy, sworn employees shall be placed in a field training program for a minimum period of six to eight weeks. Weekly performance evaluations shall be prepared on the employee during this time span by the officer's FTO. Once the field training program has been completed, the supervisor to whom the employee has been assigned shall then be responsible to prepare and submit a quarterly performance review on the "in-training" employee. City-approved "Note-to-File" evaluations will be suitable for this purpose.

Effective March 1, 2000, newly hired sworn employees will be considered to be "in-training" for twelve (12) months from the date they were hired if the employee has previously, and successfully, completed a course of instruction at a certified police academy. Sworn personnel who are hired without

academy training will be considered “in-training” for twelve (12) months from the date of their graduation from the police academy.

Supervisors of newly hired, non-sworn employees who are considered to be in-training shall also be required to prepare and submit a quarterly performance review on the employee for a period of six months from their date of hire.

Completed evaluations will be forwarded through the appropriate chain of command and be placed in the employee’s personnel file.

#### V. PERFORMANCE EVALUATION REPORT FORM.

The Performance Evaluation Report form shall be completed in conformance to directions presented elsewhere in this directive and the City Personnel Manual. Specific instructions for supervisors in the use of the forms are as follows:

1. Enter the employee’s name and title on the face sheet.
2. Enter the supervisor’s name and title on the face sheet.
3. Enter the date of the review.
4. Indicate the purpose of the evaluation report in the proper space.
5. Complete each of the eleven evaluation categories by assigning a numerical value to the separate categories and substantiating same with written comments.
6. Total the numerical scores of the various categories and place the number in the overall performance rating slot on the report’s face sheet.
7. Identify the employee’s strong points and accomplishments on the last page of the evaluation report.
8. Identify major areas for improvement (if any) on the last page of the evaluation report.
9. Identify specific objectives to improve performance and assign completion dates.
10. Sign and date the form on the last page.
11. Forward the evaluation report up through the chain of command for review and approval.
12. The Division Commander affixes their signature on the form.
13. The Bureau commander affixes their signature on the form.
14. The Chief of Police affixes his signature on the form.
15. The evaluation report is returned to the supervisor, at which time a counseling session is held to review the evaluation with the employee.
16. The employee is requested to sign and date the evaluation, and make such written comments as they desire. A copy of the completed evaluation may be provided the employee upon their request.

17. The completed evaluation form is again sent to the Chief of Police at which time same shall be forwarded to the City's Personnel Department.

#### A. Measurement Categories

The performance evaluation report form contains eleven separate measurement categories to rate non-exempt and exempt employees on a variety of interpersonal and job-related skills. The measurement categories are listed as follows:

- 1). Attendance
- 2). Safety
- 3). Job Knowledge
- 4). Quality of Work
- 5). Quantity of Work
- 6). Planning and Organization
- 7). Initiative and Innovation
- 8). Judgment and Problem Solving
- 9). Department/Public Relations
- 10). Communication Skills
- 11). Teamwork

Each measurement category provided on the form is accompanied by a brief statement outlining various skills/topics to be considered in assigning a rating to the performance category. Additional information to be considered shall be the more extensive listing of job specific evaluation standards which has been designed to supplement the limited skill statements included on the evaluation form. Such supplemental evaluation standards (Designed to accommodate evaluation categories encompassing Sworn Non-Exempt, Non-Sworn Non- Exempt, and Exempt Personnel) shall be utilized by all command and supervisory personnel charged with the responsibility to perform performance evaluations.

In addition to the specific measurement categories listed above, the Chief of Police and departmental Bureau Commanders shall also be rated in regard to their success in meeting specific goals and objectives, the scope of which shall be established during consultation with the City Manager and Chief of Police, respectively. The scores assigned to each individual goal shall be tallied and then averaged with the total numerical value earned for the eleven measurement categories to provide a final composite score.

#### B. Measurement Definitions

Performance in each of the eleven measurement categories will be rated on a nine point scale as follows:

- 1). 1-3 Below Standards
- 2). 4-6 Meets Standards

3). 7-9 Exceeds Standards.

The above three measurement groupings are generally defined as:

- 1). Below Standards - Performance needs improvement or is unacceptable.
- 2). Meets Standards - Performance is acceptable in specified areas.
- 3). Exceeds Standards - Performance consistently exceeds all or a majority of job requirements.

A rating of five (5) shall serve as mid-point of the performance scale, which may be considered as the rating most properly assigned to, and/or earned, by a perfectly average employee.

The points awarded in each category shall then be totaled and entered in the appropriate space on the face sheet of the form.

#### C. Evaluation Categories

Three distinct evaluation categories exist within the Police Department. These are identified as Sworn Non-Exempt, Non-Sworn Non-Exempt, and Exempt. Sworn officers below the rank of sergeant, and all civilian employees shall be evaluated via a Non-Exempt Performance Review form. Command rank officers, sergeants, and civilian supervisory personnel shall be evaluated via an Exempt Performance Review form. However, the goals and objectives rating portion of the latter form shall not apply to those employees below the rank of Captain.

#### D. Explanatory comments

Supervisors and/or commanders who are responsible to evaluate one or more subordinate employees shall provide explanatory comments and/or specific examples in each evaluation category. This is especially critical in those areas where an employee's performance is rated as below standard.

#### E. Supervisory Review and Signature

Supervisors and/or commanders who are responsible to evaluate one or more subordinate employees will review each completed evaluation form for accuracy, thoroughness, and objectivity, and subsequently affix their signature to the appropriate space on the last page of the form. Supervisors shall also

enter the date of their review in the adjoining space provided.

#### F. Performance Counseling Session

Once a performance evaluation has been completed and reviewed by all appropriate personnel, the supervisor or command rank officer who completed the evaluation shall schedule a counseling session with the employee to discuss the contents and associated ratings of the evaluation. Supervisors should use this opportunity to discuss an employee's accomplishments, their strengths and weaknesses, career goals, and identify those areas which need improvement. Specific performance objectives and/or additional training sessions should be established to assist the employee in addressing those areas where improvement is necessary for future rating purposes, and target dates assigned to each.

Should an employee identify unrecognized accomplishments or traits which would have a significant bearing on a particular ratings category, the supervisor conducting the counseling session may adjust the numerical score to reflect the additional data.

#### G. Employee Review and Signature

Each employee shall be provided the opportunity to review their performance evaluation in its entirety and to discuss same with their immediate supervisor during the performance counseling session. Once the review session has concluded, the employee involved will be asked to sign and date the evaluation form in the appropriate spaces. The employee's signature shall indicate only that the employee has read the review and not that the employee necessarily agrees with the review.

Should an employee refuse, the supervisor shall mark, "Refused to Sign" on the employee signature line and forward the evaluation up the chain of command.

#### H. Employee Comments

Each employee shall be provided the opportunity to make written comments

to supplement the completed evaluation report. These comments, which may serve as a written rebuttal to perceived weaknesses in performance, or to address some other observation and/or concerns related to the evaluation process will be recorded in the space allotted for such comments. Should additional space be required, the employee may utilize a separate sheet of paper.

#### VI. DISTRIBUTION/RETENTION OF PERFORMANCE REPORTS.

Completed and signed performance evaluations shall be forwarded to the Personnel Department at City Hall. The documents shall then be entered into each individual's personnel file where same will be retained for the full duration of the employee's tenure with the City.

##### A. Employee Copy

A copy of each completed annual and/or quarterly performance evaluation shall be provided to the employee being evaluated.

#### VII. WRITTEN NOTIFICATION OF UNSATISFACTORY PERFORMANCE.

Supervisors shall document subordinate performance throughout each individual rating period and provide individual counseling and guidance as necessary. If, in the judgment of the supervisor, an employee's performance is deemed to be sub-par or unacceptable, the supervisor shall advise the employee of the need for improvement, and take such corrective/remedial action as is possible. Should the situation continue, the supervisor shall complete a Corrective Action Report documenting the unsatisfactory performance; the original of which shall be submitted to the supervisor's immediate superior officer, with a copy issued to the employee in question. In situations where a Corrective Action Report is generated due to performance deficiencies, the report will be issued at least ninety (90) working days prior to the end of the evaluation period except in those instances where exigent circumstances may preclude same.

#### VIII. PERFORMANCE REVIEW APPEAL PROCESS.

In the event an employee strongly disagrees with all or part of their performance evaluation, and their concerns/objections cannot be satisfied during the employee's counseling session with their immediate supervisor, the employee may elect to appeal the performance appraisal in accordance with the Grievance Procedure established in General Order 98-16. The City Manager shall be the final arbiter in such proceedings and his decision shall carry no further right of appeal.



**IX. EVALUATION OF PERFORMANCE REVIEW RATERS.**

Supervisory and command personnel who are responsible to prepare and conduct performance evaluations shall have their work product evaluated, in turn, by their immediate superiors. Such evaluation shall include the degree of fairness and impartiality the rater displayed in evaluating subordinates, their participation in counseling rated employees, and the degree to which they have fulfilled the responsibilities associated with the performance appraisal process. The assessment of each supervisor's proficiency in administering the process will then be factored into the appropriate evaluation categories of their own annual performance evaluations.

**BY ORDER OF:**

**RICHARD T. MORRIS**  
Chief of Police

RTM: dld

CALEA Reference: 35.1.1/35.1.2/35.1.3  
35.1.4/35.1.5/35.1.6  
35.1.7/35.1.8/35.1.9  
35.1.10/35.1.11  
35.1.12/35.1.13  
35.1.14

