



DEPARTMENTAL REGULATIONS
CONCORD POLICE DEPARTMENT

GENERAL ORDER 83
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PERFORMANCE EVALUATIONS

A. POLICY STATEMENT

The success and quality of any organization is dependent upon the performance of its employees. Therefore, it is important that personnel be given prompt and regular feedback on their performance through a formalized evaluation process. The City of Concord and the Concord Police Department have developed a process that enables managers and supervisors to provide specific details to their subordinates about their work performance and its impact on the organization and their career goals. Furthermore, managers are assessed on how effectively and responsibly they utilize the resources that are allocated to them in order to accomplish the mission of the City and the Police Department.

B. GENERAL

1. The purpose of this General Order is to establish a means by which Department employees receive formal feedback about their work performance that is relevant to their assigned duties and responsibilities.
2. The performance evaluation is used as a means to recognize and encourage performance that reflects positively on the employee, the organization and the City.
3. The performance evaluation is also used to assist employees whose work performance does not meet the standards of the City of Concord and the Concord Police Department by providing specific information that will guide them in their efforts to raise their performance to an acceptable level.
4. The performance appraisal is used to assist employees in career development.
5. This General Order is a training guide for supervisors and managers. Sections H and I explain the principles and proper procedures to follow when preparing for and completing the performance appraisal.
6. Any file maintained on an employee for the purpose of compiling information to be used in a performance appraisal shall be made available to the employee for review, upon reasonable notice.
 - .1 An employee shall have the right to make a written response to any information that is maintained in a file for purposes of compiling information regarding that employee's performance.

C. PERFORMANCE APPRAISAL FORMS

1. Sworn Personnel

.1 Sworn personnel are assigned to the three divisions within the Police Department: the Office of the Chief of Police, The Investigative and Administrative Services Division, and the Field Operations Division.

.01 The work performance of sworn, non-managerial personnel shall be documented on the EMPLOYEE PERFORMANCE APPRAISAL, CP-86.1-1.

.02 The work performance for sworn managers shall be in the form of the Annual Performance Audit.

2. Non-sworn Personnel

.1 The work performance of all non-sworn personnel, represented by Local One, shall be documented on the EMPLOYEE PERFORMANCE EVALUATION, PER-37.7.1. All other non-sworn employees shall be evaluated based on EMPLOYEE PERFORMANCE APPRAISAL 15.3-1.

.2 The work performance for non-sworn managers shall be in the form of the Annual Performance Audit.

D. PERFORMANCE DIMENSIONS

1. The performance dimensions and procedures for use of the appraisal forms for sworn personnel can be found in the PERFORMANCE APPRAISAL GUIDELINES manual.

2. The performance dimensions and procedures for use of the appraisal forms for non-sworn employees can be found as part of the EMPLOYEE PERFORMANCE EVALUATION PACKET, PER-18 August 03.

3. The performance dimensions and procedures for use in preparing achievement plans and performance audits for managers can be found in the document titled "Performance Management Process Guidelines."

E. RATING SCHEDULE

1. Sworn personnel assigned to Field Operations-Patrol shall have a performance evaluation completed annually, on their anniversary date.

.1 Officers and sergeants assigned to patrol shall be evaluated at the conclusion of the shift cycle.

.01 An exception may be made, with Division Commander approval, for officers who will remain with the same supervisor during the following shift cycle. However, the time period for completion of the evaluation shall not exceed one year.

.2 Sergeants shall maintain a performance record of each officer assigned to them during the rating period. Lieutenants shall do the same for sergeants assigned to them during the same period. This performance file shall be shared with the sergeant/lieutenant who has the officer/sergeant assigned to them at the time that the performance appraisal is due. The sergeant/lieutenant who has supervisory responsibility of the officer/sergeant at the time that his/her annual appraisal is due shall complete the performance appraisal, which shall include performance observations from the officer's/sergeant's previous supervisor(s).

2. All other sworn and non-sworn employees shall have a performance evaluation completed annually, on the anniversary of their employ with the City of Concord or appointment to their current job classification.

3. Performance audits for managers shall be completed in accordance to the schedule established by the City Manager.
4. Probationary performance evaluations for entry level, sworn personnel shall be completed during months 2, 5, 8, 11, 14 and 17 of the employee's probationary period.
 - .1 Entry level dispatchers serve a one-year probationary period and shall be evaluated at the conclusion of months 2, 5, 8 and 11.
 - .2 All other non-sworn, entry level employees serve a six-month probationary period and shall be evaluated at the conclusions of months 2 and 5.

F. MANAGER/SUPERVISOR RESPONSIBILITIES

1. During the rating period, managers/supervisors shall use the "Event Notice" form to document performance that is either above or below the "Meets Standards" rating criteria.
 - .1 The observations should be noted as close to the event as possible.
 - .2 Comments should be specific and should include date, time, case number, and the behavior observed.
 - .3 The comments on the "Event Notice" shall be shared with the employee and should include the employee's signature, although not required.
 - .4 The original "Event Notice" shall be retained by the manager/supervisor, with a copy going to the employee.
 - .5 The observation(s) from the "Event Notice" shall be documented in the employee's end-of-shift or annual evaluation if the incident indicates a pattern of behavior that exceeds or is below standards.
 - .01 If the incident is one other than that described in Section F.5.1, and the manager/supervisor feels it is worthy of mention, the manager/supervisor may document the observation(s) in the employee's performance evaluation.
 - .02 The original "Event Notice" shall be returned to the employee at the conclusion of the rating period.
 - .6 When an "Event Notice" is completed by a manager/supervisor, other than the employee's direct manager/supervisor, the event(s) shall be documented in the employee's end-of-shift or annual evaluation as prescribed by Sections F.1 through F.1.5.01 of this General Order.
2. When preparing a performance appraisal for a sworn employee assigned to Field Operations-Patrol, the rating manager/supervisor shall solicit input from other sources in the following situations:
 - .1 Officers: From their assigned District Commander.
 - .2 K-9 Handlers: From the K-9 Coordinator.
 - .3 Field Training Officer: From the Field Training Program Coordinator and supervisors.
 - .4 Corporal: From their assigned District Commander, the Training Manager and the Corporal Program Coordinator.

- .5 Sergeant: From the District Commanders, Watch Commanders, and the sergeant's subordinates.
- 3. Whenever an employee receives a rating other than "Meets Standards," the manager/supervisor shall provide specific written documentation supporting such a rating.
- 4. Whenever an employee is evaluated on an annual basis, and his/her performance is deemed to be unsatisfactory, the employee will be given written notice of such deficiency(s) at least 90 days prior to the end of the rating period, when practical.
 - .1 If the noted event occurred less than 90-days prior to the end of the evaluation period, it may still be documented in the performance evaluation provided that the supervisor/manager discussed the deficiency with the employee prior to including it in the evaluation.
- 5. Whenever an employee's performance is deemed to be unsatisfactory, the employee's manager/supervisor shall, in writing:
 - .1 Identify the area(s) of deficiency using specific, articulable facts.
 - .2 Counsel the employee regarding their unsatisfactory performance.
 - .3 Make recommendations to the employee to assist them in correcting the deficiency(s).
 - .4 Monitor the employee's performance to ensure that the deficiency(s) has been corrected.
 - .5 If the deficiency(s) has not been corrected, the evaluating manager/supervisor shall make written recommendations for further corrective action. This shall be noted in the employee's performance evaluation.
 - .6 If the deficiency(s) have been corrected, the evaluating manager/supervisor shall document this fact in the employee's performance evaluation.
- 6. After a manager/supervisor has completed an employee's performance evaluation, and the employee has had the opportunity to review and sign the document, the evaluation shall be forwarded to the employee's next scheduled manager/supervisor.

G. PERFORMANCE REVIEW

- 1. The rating manager/supervisor's immediate supervisor shall review and sign the performance evaluation before it is reviewed with the employee.
 - .1 If there is any disagreement between the rating manager/supervisor and his/her supervisor as to the content of the performance evaluation, the issue(s) shall be resolved before the performance evaluation is reviewed with the employee.
 - .2 For non-sworn employees, refer to City of Concord, Administrative policy 37.7.1
- 2. The review process shall include:
 - .1 Feedback regarding the employee's performance for the rating period just completed.
 - .2 Expected performance and goals for the next rating period, when applicable.
 - .3 Career counseling relative to such topics as advancement, specialization, or training appropriate for the employee's position.

3. The employee shall have the opportunity to sign and make written comments regarding the content of the performance evaluation. These comments shall become a supplemental part of the final performance evaluation.
4. If the employee disagrees with the content of the evaluation, and the area(s) of disagreement cannot be resolved between the manager/supervisor and the employee, the employee shall have the right to appeal any portion of the performance evaluation with the Division Commander.
5. A copy of the final performance evaluation shall be provided to the employee.
6. A copy of an employee's performance evaluation may be kept on file at the Police Department. The original performance evaluation shall be kept on file with Human Resources. Human Resources maintains records of all performance evaluations, for the time period enumerated in the Human Resources Department Records Retention Schedule.
 - .1 Once the original copy of an employee's performance appraisal has been forwarded to the Human Resources Department, any copy maintained by the Police Department shall be for a duration as determined by the Chief of Police or his/her designee.
7. The work performance of managers/supervisors shall be based in part on the performance evaluations they complete on their subordinates.

H. PERFORMANCE EVALUATION TRAINING

1. This section shall serve as a training update for all supervisors and managers who are required to complete performance appraisals on personnel assigned to their units.
2. The performance appraisal is a valuable process that serves many purposes, including:
 - .1 It is used to recognize and encourage performance that reflects positively on the employee, the department and the City.
 - .2 It is a means to identify, document and develop action plans for substandard performance.
 - .3 Supervisors and employees use the performance appraisal to set performance objectives and to monitor the progress made toward meeting those objectives.
 - .4 It provides the opportunity to assist employees in identifying career goals and training needs.
 - .5 It is used, in part, to assess an employee's suitability for transfer to a specialized assignment or promotion to a higher rank.
3. In order for the performance appraisal to have the intended effect, it needs to be objective.
 - .1 At the beginning of the rating cycle, the unit supervisor should identify what level of performance is expected of the group and its members. Expectations shall be:
 - .01 Consistent with the mission, vision and values of the Department and the City.
 - .02 Consistent with established Department and City performance standards.
 - .03 The same for all members of the work group.
 - .2 At the beginning of the rating cycle, supervisors and managers should meet individually with each member of the work group. The purpose of the meeting should include:

- .01 Identifying and setting performance objectives.
 - .02 Identify goals of the employee and establish an action plan to meet those goals.
 - .03 Identify potential barriers to the employee achieving an acceptable level of performance in any of the performance dimensions and developing an action plan designed to help the employee overcome those barriers.
4. During the course of the rating cycle, supervisors and managers should meet regularly with their subordinates to discuss the employee's performance. The purpose is to:
 - .1 Provide feedback to the employee regarding his/her performance.
 - .2 Recognize and encourage continuance of good work.
 - .3 Identify substandard work and develop a plan for improvement.
 - .01 The plan should be memorialized in writing.
 - .4 Assess the employee's progress toward achieving the goals they set at the beginning of the rating cycle.
5. Preparing for writing the performance appraisal.
 - .1 Before the supervisor/manager writes the performance appraisal he/she should do the following:
 - .01 Allow the employee to provide feedback regarding accomplishments during the rating cycle.
 - .02 Solicit input from others who are in a position to provide objective observations regarding the employee's work in any of the performance dimensions.
 - .03 Review all notes maintained by the supervisor/manager during the course of the rating cycle to ensure that all relevant observations are included in the performance appraisal.
 - .2 The employee's rating shall be based on their performance as it relates to the Department's and the City's performance dimensions.
 - .3 Do not compare the employee with other individual employees.
6. The supervisor/manager shall have the performance appraisal reviewed and signed by their supervisor before it is shared with the employee.
 - .1 Any disagreements in content between the supervisor/manager who prepared the performance appraisal and the reviewing supervisor shall be resolved before the appraisal is shared with the employee.
7. Review the performance appraisal with the employee.
 - .1 Discuss the employee's performance for the rating period just completed.
 - .01 This discussion shall include identifying how the employee can further enhance good performance and improve on deficient performance. This information shall be included as part of the performance appraisal.

- .2 Discuss the expected performance and goals for the next rating period, when applicable.
- .3 Discuss career counseling relative to such topics as advancement, specialization, or training appropriate to the employee's position.
 - .01 This shall be included as part of the performance appraisal.

I. NON-SWORN PERFORMANCE REVIEW

1. This section shall serve as a training update for all supervisors and managers who are required to complete performance appraisals on personnel assigned to their units.
2. Performance Planning
 - .1 At the beginning of each evaluation period, employee and supervisor review the employee's key performance areas, management's performance expectations, and establish job-related goals, objectives and employee development for the evaluation period. The specific elements of the planning process should include the following:
 - .2 Supervisor reviews previous employee performance evaluation, key performance areas, i.e., organizational mission, vision and values, job family competencies, key job responsibilities, and employee development.
 - .3 Goals and objectives for the next evaluation period are established. Supervisor identifies key performance areas (refer to employee performance evaluation worksheets). Management's expectations are defined.
 - .4 Reach an understanding of job duties and responsibilities, the relative point value of each key job responsibility, the priorities placed on each, and how they fit into unit/department's projected program objectives and outcomes.
 - .5 To define and forecast specific goals and accomplishments expected over a designated work period. Document this on the Key Job Responsibilities worksheet, using the "Projects and Special Assignments" block.
 - .6 Determine specific training needed to help the employee meet job requirements and any additional opportunities to provide employee development. Document this on the Employee Development worksheet.
 - .7 Reach an understanding on how the employee's accomplishments will be measured at the end of the time period.
 - .8 Allow for modifications in response to changing conditions.
 3. A written summary should be made of any planned actions, timing, and commitments agreed upon, with copies for the supervisor and employee. This record will be utilized when conducting the performance review.
 4. Informal Progress Meetings

Supervisor and employee should meet periodically throughout the year to discuss and reassess the employee's progress towards achieving goals and objectives and meeting management's performance expectations or need for possible modification.
 5. Performance Review

- .1 Reviews should be held as frequently as needed or as often as conditions change, but no longer than annually. Give employee at least three (3) days' notice before review is held.
- .2 Performance Analysis Worksheets may be completed before the review meeting, if desired and used as a discussion tool. Form PER-15-1 is for use by the employee and Form PER-15-2 is for the supervisor's use.
- .3 Supervisor and employee review the Performance Evaluation worksheets, the results achieved, specific successes or failures, progress on developmental goals, modify or reestablish work goals for the next period, modify key job responsibilities and related point values as needed, revise employee development goals as needed, discuss any additional questions or comments, and set a time for the next review period.

6. Performance Evaluation

- .1 Evaluate the employee's accomplishments, development, and progress in meeting the requirements of the performance evaluation key performance areas. Complete the Employee Performance Evaluation and Worksheets, PER-15-5 (see attachment A for guidelines).
- .2 The performance evaluation overall ratings will fall into one of five categories: Outstanding, Exceeds Requirements, Achieves Requirements, Needs Improvement, and Unacceptable. Any employee who receives an overall "Needs Improvement" or "Unacceptable" rating will not be considered for any merit or length of service step advancement until an overall "Achieves Requirements" rating is established. Where an employee receives an overall rating of "Unacceptable" on two consecutive occasions, disciplinary action may be taken by the appointing authority as provided in Section 17 of the ATC/F/O, Local One MOU. (ATC/FO Local One, MOU, Section 8.1.2)
- .3 Follow-up reports concerning the performance of any employee who has received a "Needs Improvement" or "Unacceptable" rating shall be prepared at three-month intervals. If, in the opinion of the appointing authority, the employee improves to the extent that the restoration of any merit step advancement previously withheld under provisions of ATC/FO MOU, Section 8.1.2 is justified, the appointing authority shall so recommend to the City Manager. Upon approval of the City Manager, such restoration shall be made and shall be effective on the beginning date of a subsequent pay period as specified in the recommendation of the appointing authority. (ATC/FO Local One, MOU, Section 8.3)