



DEPARTMENTAL
GENERAL
ORDER

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B-6

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PERFORMANCE APPRAISAL

The purpose of this order is to set forth Departmental policy and procedures to evaluate, document, and report the performance of probationary and permanent members, Police Officer Trainees, Rangers, and employees of the Department.

I. POLICY

- A. The Department shall maintain a consistent and effective Performance Appraisal System that shall serve to set goals and objectives, acknowledge superior work performance, identify and document deficiencies, and address individual training needs.
- B. Supervisors and managers shall be responsible for setting goals and objectives with, monitoring the work of, the documenting the work progress of, and providing feedback to their subordinate members/employees on an ongoing basis throughout the appraisal cycle.
- C. Supervisors and commanders/managers shall be responsible for monitoring and identifying patterns of misconduct or improper behavior of their subordinates including arrests for very small amounts of drugs, arrests pursuant to searches with no underlying offense leading to the search, and Penal Code Sections 69, 148, and 243(b)(c) arrests with no underlying offense.

Supervisors or commanders/managers shall be subject to discipline if he/she knew or reasonably should have known of the misconduct or improper behavior and failed to identify, report, or take corrective action.

- D. Performance appraisals shall be prepared and administered for all members, Police Officer Trainees, Rangers, and employees of the Department and shall accurately reflect the quality of his/her performance in accordance with the schedules set forth in Part IV, A, of this order.

- E. Police Cadets shall be appraised in accordance with Department General Order B-15, POLICE CADET PROGRAM.
- F. Appraisers and reviewers shall complete the appraisal process and forward the required documentation to the Personnel Division by the 10th day following the close of the appraisal period.

II. PROBATIONARY PERIODS

- A. Members shall be in a probationary status for 12 months following appointment as sworn officers and for six (6) months following promotion or reemployment.

The Department, in consultation with the City Office of Personnel, may extend an entry-level probationary period by three (3) months, if the member's appraisal is evaluated as "improvement needed" or below in any category.

- B. Police Communications Operators and Dispatchers shall be in a probationary status for 12 months following initial City employment and for 6 months following promotion or reemployment.

When a Police Communications Operator or Dispatcher requires further training and/or appraisal, the Department, in consultation with the City Office of Personnel, may extend the entry-level probationary period to 15 months, and may extend it to 18 months, with mutual agreement between the City and the employee's representation unit.

- C. All other employees shall be in a probationary status for nine (9) months following initial City employment and for six (6) months following promotion or reemployment.

When an employee requires further training and/or appraisal, the Department, in consultation with the City Office of Personnel, may extend the entry-level probationary period to 12 months, and may extend it to 15 months, with mutual agreement between the City and the employee's representation unit.

- D. The Chief of Police may offer an extension of the probationary period to a member or employee who was unable to complete his/her probationary period due to a limited-duty assignment or a leave of absence (e.g. on-duty or off-duty injury, illness, or military leave).

III. PERFORMANCE REVIEW

- A. Supervisors, commanders, and managers shall provide on-going feedback to subordinates concerning their performance.
- B. First-line supervisors shall meet twice per month, individually with their immediate subordinates, for a review of their performance.
 - 1. Supervisors shall document the meeting by completing a Performance Review Form (TF-3256) and forwarding the form through the chain-of-command to the administrative unit of the Bureau, unless otherwise directed by the Bureau Deputy Chief/Director.
 - 2. Supervisors of members involved in the performance of field duties shall:
 - a. Review their subordinates' performance with respect to key quantitative work activity measures. This aspect of the performance review shall minimally include:
 - 1) Vehicle stops;
 - 2) Walking stops;
 - 3) Felony on-view arrests;
 - 4) Misdemeanor on-view arrests; and
 - 5) Citations issued.
 - b. Assess qualitative aspects of their subordinates' performance pertaining to criminal intelligence in their subordinates' geographic areas of responsibility. This aspect of performance review shall minimally include:
 - 1) Awareness of crime hot spots;
 - 2) Knowledge of persons with outstanding warrants for their arrest;
 - 3) Familiarity with the identity of persons who may be involved in criminal activity (including those on probation or parole);
 - 4) Review of subordinates' interaction with community members to include the required quarterly community meetings and the follow-up performed as a result of these meetings;

- 5) Professionalism and ethics; and
 - 6) Compliance with Departmental policies and procedures.
- C. Commanders and managers shall meet at least twice per year with each of his/her immediate subordinates, to review performance and to coach them regarding their strengths and weaknesses.
- D. Commanders and managers shall promptly meet with all affected subordinates regarding commendations and/or complaints.
- E. Commander/Manager meetings shall be documented on a Performance Review Form.
- F. Bureau Deputy Chiefs/Director shall designate staff to:
1. Maintain a file of Performance Review Forms indexed by the member or employee's last name;
 2. Retain Performance Review Forms for a period of two (2) years, unless otherwise directed by the Chief of Police; and
 3. Conduct quarterly self-inspections to ensure Performance Review Forms are prepared and submitted in a timely manner.
- G. When a member or employee transfers between Bureaus, the former Bureau shall forward the member's or employee's Performance Review Forms to the designated unit of the new Bureau.

When a member or employee is loaned from a former Bureau to a new Bureau, the member's or employee's new supervisor shall conduct meetings and complete Performance Review Forms in accordance with Part III, B & C of this order and forward completed forms to the designated unit of the member's or employee's former Bureau.

IV. APPRAISAL CHART

- A. Probationary and permanent members, Police Officer Trainees, Rangers, and employees shall be appraised in accordance with the following schedule, on the appropriate forms, and by the appraisers in the following table:

Employment Status	Appraisal Schedule	Appraiser	Form
Police Officer Trainee (in Basic Academy)	3 appraisals required during Academy	RTO	Unit Form
Trainee Officer (in Field Training)	Every three weeks, per DGO B-8 & FTO guide	FTO	TF-3142
Probationary member, (Includes Field Training)	End of 5 th , 8 th , and 11 th months	Supv.	TF-3233
Probationary member, following promotion or reemployment	End of 3 rd and 5 th months	Supv.	TF-3233
Probationary Police Communications Operator or Dispatcher, following initial employment	End of 3 rd , 5 th , 8 th , and 11 th months; and end of 14 th and 17 th months, if applicable	Supv.	TF-3233
Other probationary employee, following initial employment	End of 3 rd , 5 th , 8 th months; and at end of 11 th and 14 th months, if applicable	Supv.	TF-3233
Probationary employee, following promotion or reemployment	End of 3 rd and 5 th months	Supv.	TF-3233
Permanent member, Ranger, or employee	Conclusion of each 12-month period ending on date shown below, for the first letter of the last name.	Supv.	TF-3233

The following appraisal deadlines are based on the first letter of the last name of the person being appraised:

A, B	31 Jan	N, O	31 Jul
C, D, E	28 Feb	P, Q	31 Aug
F, G	31 Mar	R, S	30 Sep
H, I	30 Apr	T, U, V	31 Oct
J, K	31 May	W, X, Y, Z	30 Nov
L, M	30 Jun		

B. Appraisal responsibility in the above chart is defined as follows:

1. Supervisor/Commander/Manager

- a. The person serving as the regularly assigned supervisor (appraiser) of the member or employee on the last day of the appraisal period shall have primary responsibility for conducting, preparing, and administering the appraisal for that member/employee.

In the event the appraiser is unable to conduct and prepare the performance appraisal, (e.g., due to a long-term injury/sickness or loan), the immediate superior of the absent supervisor shall be responsible for and shall ensure that performance appraisals are conducted, prepared, and administered, in a timely manner.

- b. In the event another supervisor, commander, or manager supervised a member/employee during his/her rating period, that supervisor, commander, or manager shall:

For 120 days or less

Consult with the supervisor preparing the performance appraisal. The appraisal must document that the consultation occurred.

For more than 120 days

Consult with the supervisor preparing the performance appraisal, and prepare, date, and sign a Performance Appraisal Form-Supplemental. The narrative shall be included with the regular performance appraisal.

- c. When the last day of the appraisal period occurs while a member/employee is on a loan of 90 days or less, the responsibility for conducting, preparing, and administering the performance appraisal remains with the regularly assigned supervisor.

- d. When the last day of the appraisal period occurs while a member/employee is on a loan of greater than 90 days, the responsibility for conducting, preparing, and administering the performance appraisal shall be with the current supervisor.
- e. When a member/employee is transferred to another organizational unit, responsibility for conducting, preparing, and administering the performance appraisal shall be with the current supervisor except when the appraisal is overdue and covers the period when the member/employee was in the previous unit.
- f. When a member/employee is transferred to the Personnel Division on a long-term leave of absence (e.g., injury, sickness, or military leave), the responsibility for preparing the Performance Appraisal Form (PAF) (TF-3233) shall remain with the supervisor in accordance with the provisions of Part IV, B, 1.

EXCEPTION: The Personnel Division shall prepare the PAF when a member/employee has been on a long-term leave of absence for the entire appraisal period.

- g. Whenever a permanent member or employee's annual performance appraisal is due within three (3) months of receiving their final probationary appraisal, that annual performance appraisal shall be extended for one additional year, until the next due date.
- h. In the case of promotion, the promotee's new supervisor shall be responsible for conducting, preparing, and administering his/her performance appraisal.
 - 1) The new supervisor shall consult with the promotee's previous supervisors, commanders, or managers since the end of the previous appraisal period and include their comments in the performance appraisal.

2) Additionally, previous supervisors, commanders, or managers who supervised the promotee for more than 120 days shall prepare and submit, to the new supervisor, a completed Performance Appraisal Form-Supplemental. The Supplemental shall be included with the regular Performance Appraisal Form.

i. Every supervisor/manager in the promotee's operational chain-of-command, up to and including the Deputy Chief/Director of their Bureau, shall review, sign, and date the Performance Appraisal Form (TF-3233) of every member/employee within their command.

If the reviewer disagrees with the subordinate's appraisal, he/she shall write an addendum to the appraisal expressing his/her concerns in accordance with the provisions of Part VII, E, 3, of this order.

2. Recruit Training Officer

The Police Officer Trainee's assigned Recruit Training Officer shall be responsible for preparing and administering the performance appraisal in accordance with the appraisal schedule in Part IV, A.

3. Field Training Officer

The Trainee Officer's assigned Field Training Officer shall be responsible for preparing and administering the performance appraisal in accordance with the appraisal schedule in Part IV, A.

V. TRAINING

Unit commanders shall ensure that persons in supervisory assignments, or with responsibility to prepare appraisals and conduct appraisal conferences, receive training in the Department's Performance Appraisal System including evaluating performance, the preparation of written appraisals, conducting appraisal conferences, and establishing goals and objectives.

VI. PERFORMANCE FAILURES AND DEFICIENCIES

Whenever a member or employee's performance persists at an unsatisfactory level and other corrective measures have not been effective or successful in raising the performance to a satisfactory level, the person may be formally notified through a Performance Deficiency Notice in accordance with the provisions of Training Bulletin VI-K, PERFORMANCE DEFICIENCY NOTICES.

Failure to successfully complete the provisions of a PDN shall result in the member or employee being subject to a performance review for the identified issues in accordance with the provisions of TB VI-K

VII. APPRAISAL PROCEDURES

Performance appraisals for permanent or probationary members and employees shall be prepared on a PAF.

A. Final Probationary and Initial Performance Appraisal

Prior to a member/employee receiving their final probationary appraisal, the appraiser shall prepare an initial performance appraisal outlining the performance goals and objectives for the member/employee that will be evaluated at the time of their first scheduled performance appraisal as a permanent member/employee.

1. When the appraiser meets with the member/employee to administer the final probationary appraisal (assuming that the final probationary appraisal recommends permanent status), the appraiser shall also discuss and document the goals and objectives for the upcoming appraisal period.
2. After discussing the final probationary appraisal and the performance expectations and objectives for the upcoming appraisal period, the appraiser shall only complete the section entitled, *Communicating Expectations*, of the PAF. The member/employee shall be given the opportunity to sign all copies of both the final probationary appraisal and the *Communicating Expectations* page acknowledging it has been reviewed. If the member or employee declines to sign either form, the appraiser shall note that fact on the PAF.
3. A copy of the final probationary appraisal and the upcoming year's PAF shall be given to the member or employee at the conclusion of the final probationary appraisal conference.

4. The appraiser shall retain one copy of the final probationary appraisal and the upcoming year's PAF and forward the original through the chain-of-command to the Personnel Division for inclusion into the member/employee's personnel file.

B. Member and Employee Performance Appraisal

1. Personnel responsible for preparing appraisals shall:
 - a. Complete a PAF on or before the specified due date, as identified in the chart in Part IV, A, of this order.
 - b. Appraise the person's performance in the appropriate categories as shown on the PAF.
 - c. Specify the dates covered by the appraisal.
 - d. Confine the scope of the appraisal to the specified dates.
 - e. Include narrative comments, citing specific supporting observations for each entry in the "Organizational Values and Work Habits" and "Performance Objectives" sections.
 - f. Appraise the member or employee on both the "Organizational Values and Work Habits" and "Performance Objectives and Standards," which were discussed and agreed upon at the beginning of the appraisal period.
 - g. Consult with the unit coordinators and technical experts when a member or employee has significant collateral responsibilities (e.g., Canine Handler, Technician, Patrol Rifle Officer, Tactical Operation Team member).
2. Appraisers shall document that they are aware of the nature of the progress of complaints and investigations involving members/employees. Performance factors and/or patterns identified in such complaints and investigations shall be considered during the appraisal period in which they occur. Performance factors and/or patterns which surface after the PAF has been administered for that appraisal period may be included in a future PAF.

3. Appraisers shall base their appraisal level rating (e.g., Fully Effective, Improvement Needed, etc.) on performance factors and/or behavior and not disciplinary findings.
4. Supervisors and commanders shall be held accountable for monitoring, identifying, documenting, and acting upon patterns and instances of misconduct among subordinate personnel when they knew or reasonably should have known of the misconduct, to include, but not limited to the following areas:
 - a. Use of force;
 - b. Sick and injured leaves;
 - c. Arrests for narcotic-related offenses, not made as a result of searches conducted pursuant to an arrest for other offenses, especially those arrests made for very small amounts of drugs;
 - d. Arrests involving charges of Penal Code Sections 69, 148, and 243(b)-(c);
 - e. On-duty vehicle collisions; and
 - f. Sustained complaints and discipline history.
5. Failure to monitor, identify, document, or act upon such patterns and instances of misconduct shall constitute grounds for discipline.
6. Supervisors, commanders, and managers shall document positive citizen contacts, letters of commendation, awards and positive community policing efforts.
7. Appraisers shall indicate whether a member or employee is eligible to receive any of the awards listed at the time of a performance appraisal in Section IV, Commendation Recommended.
8. Persons assigned as supervisors, commanders, managers, or having responsibility to prepare and administer performance appraisals, shall be appraised by their immediate superiors on the quality of appraisals given to their subordinates, and on their adherence to the documentation and accountability requirements of Part VII, B, 1(e-f) & 6.

9. Appraisers shall retain a **copy** of the PAF and all supporting documentation for a minimum of one (1) year after administration of the PAF.
10. The Performance Appraisal System shall be used to hold Bureau of Field Operations commanders accountable for whether their subordinate supervisors are working to enhance the quality of community policing and community contacts by their subordinates.

C. Preliminary Review

1. The appraiser shall complete and review the PAF and supporting documents (e.g., Crime Reports, Sick Leave documentation, PDNs, PIMS documentation) with his/her immediate superior before it is administered to the person being appraised. The immediate superior shall not sign or initial the appraisal form at this time, and shall not modify or compel modification of the form prepared by the appraiser.
2. If the immediate superior disagrees with the appraisal, he/she shall confer with the appraiser and attempt to resolve any differences of opinion that may exist.
3. If a resolution cannot be found, the immediate superior shall detail their opinion in a memorandum and attach it to the PAF before administering the PAF.

D. Appraisal Conference: Submission of Forms

1. After reviewing the PAF with his/her immediate superior, the appraiser shall meet and administer the appraisal with the person being appraised. During this meeting, the appraiser shall minimally discuss the following topics:
 - a. Results of the appraisal just completed, including any separate appraisal narrative(s);
 - b. Performance areas requiring improvement;
 - c. The member/employee's success or failure in addressing deficiencies previously identified;

- d. Setting goals and the expected level of performance as it pertains to the “Organizational Values and Work Habits” and “Performance Objectives and Standards” for the new appraisal period;
 - e. Career counseling topics such as advancement, specialization, continuing education, health and fitness, and training opportunities; and
 - f. Professionalism and ethics.
2. The appraiser shall discuss the *Communicating Expectations* section of the PAF with the member or employee for the upcoming appraisal period.
 3. The person being appraised shall have five (5) business days to advise the appraiser of his/her desire to initiate an official review (indicate on appraisal form) of the appraisal with the appraiser’s superior, and/or to prepare and attach a written comment for inclusion with the performance appraisal.
 4. When an official review has been requested, the appraiser shall promptly notify his/her immediate superior. The immediate superior shall arrange an official review with the person being appraised at the convenience of both parties, not to exceed 30 days of the appraisal conference.
 5. The person being appraised shall be given the opportunity to sign the PAF to acknowledge that it has been administered. If the member or employee declines to sign the form, that fact shall be noted on the PAF by the appraiser.
 6. The appraiser shall forward the **original** PAF and supporting documents to their immediate superior for review and endorsement.
- E. Appraisal Review
1. Reviewers shall review the PAF documentation to ensure the appraisal is an accurate indication of the level of performance during the appraisal period.
 2. All reviewers of the PAF shall sign, date, and forward the PAF (including supporting documents) through the chain-of-command to the Bureau Deputy Chief/Director or COP.

3. Upon approval by the Bureau Deputy Chief or Director, supporting documents shall be removed and shredded as confidential documents prior to forwarding the PAF to the Personnel Division.
4. If the member or employee has requested a review, the appraiser's immediate superior shall meet with the member or employee at the convenience of both parties, not to exceed 30 days of the appraisal conference, and indicate the date and time the conference was held on the PAF. The appraiser's immediate superior shall not modify the PAF.
5. A disagreement with any portion of the appraisal shall be documented on a memorandum and attached to the PAF before forwarding through the chain-of-command.

F. PAF Responsibilities for Transferred Personnel

When personnel are transferred to a new organizational unit, it shall be the responsibility of the new supervisor to:

1. Obtain the PAF (to include the *Communicating Expectations* page and any supporting documents) for the current appraisal period from the previous supervisor, if necessary, within 15 days from the date of transfer;
2. Review the expectations and objectives with the member or employee; and
3. Establish any new expectations and objectives. The new expectations and objectives shall be:
 - a. Discussed with the member or employee;
 - b. Documented on a new *Communicating Expectations* page;
 - c. Signed by the member/employee in accordance with Part VII, D, 5; and
 - d. Distributed to:
 - 1) the member or employee;
 - 2) appraiser; and
 - 3) Personnel Division.

VIII. APPEAL OF APPRAISALS

- A. A performance appraisal may not be appealed to the Chief of Police without first going through the official review process with the appraiser's immediate superior.
- B. Any permanent member or employee may appeal a PAF to the Chief of Police. The appeal must be made in writing within 10 days of the date when he/she reviewed the appraisal with the appraiser's immediate superior.
- C. The appropriate Bureau Deputy Chief/Director shall conduct the appeal hearing. The Deputy Chief/Director shall:
 - 1. Require the appealing member or employee, the appraiser, the appraiser's immediate superior, and any other persons deemed necessary to attend the hearing. If the member or employee requests a third party at the hearing, the Deputy Chief/Director shall request that person's attendance.
 - 2. Examine all pertinent information presented during or as a result of the hearing and submit his/her recommendations in writing to the Chief of Police within five days of the hearing.
- D. The action taken by the Chief of Police following the appeal hearing shall be final. The decision shall be documented in writing and forwarded to the following:
 - 1. Member or employee;
 - 2. Appraiser;
 - 3. Appraiser's immediate superior;
 - 4. Appropriate Bureau Deputy Chief/Director; and
 - 5. Personnel Division.

IX. PERSONNEL DIVISION PROCEDURES

- A. Personnel Division staff shall make two (2) copies of the PAF. One copy shall be forwarded to the member or employee and one copy placed in the member/employee's personnel file. The **original** shall be forwarded to the City Office of Personnel.
- B. PAFs shall be retained in the individual's personnel file for a minimum of five (5) years.

- C. PAFs shall not be removed from personnel files without the express approval of the Personnel Division Commander.

- D. The Personnel Division Commander or designee shall:
 - 1. Inform the Chief of Police in writing and through the chain-of-command whenever a probationary member or employee receives an overall performance appraisal of “Improvement Needed” or “Unacceptable.”

 - 2. Forward a list of all overdue performance appraisals for probationary and permanent members and employees to the Chief of Police on the 15th of each month.

 - 3. Conduct a quarterly review of the Performance Appraisal System to determine whether PAFs:
 - a) Have been completed and submitted in a timely manner;

 - b) Have been properly reviewed and signed;

 - c) Indicate any trends of deficient appraisals; and

 - d) Have been forwarded through the chain-of-command to the appropriate Deputy Chief/Director;

 - 4. Prepare and submit a report detailing the quarterly review to the Bureau of Administration Director.

By order of

Wayne G. Tucker
Chief of Police

Dated: _____