



DEPARTMENTAL
GENERAL
ORDER

B-22

Index as:

Supervisory Notes Files

Effective Date:
29 May 09

Evaluation Coordinator:
PAS Coordinator

Evaluation Due Date:
30 Nov 09

Automatic Revision Cycle:
3 Years

SUPERVISORY NOTES FILES

The purpose of this order is to set forth Departmental policy and procedures for developing, documenting, tracking, and retaining supervisory notes files.

The purpose of a Supervisory Notes File (SNF) is to centralize information to help supervisors, commanders, and managers identify patterns of exemplary and substandard performance and behavior. Additionally, the SNF is utilized to document incidents deserving of a commendation or award, to document non-disciplinary corrective action taken, and to prepare performance appraisals.

I. DEFINITIONS AND TERMINOLOGY

A. Corrective Action

Corrective Action is intended to address identified performance deficiencies or substandard behaviors that do not rise to a level requiring disciplinary action.

Corrective Action includes, but is not limited to, the following:

1. Counseling;
2. Training;
3. Performance Deficiency Notices; and
4. Other corrective action.

B. Supervisory Notes File (SNF)

The SNF consists of two (2) components: a dimension of iPAS which requires supervisor data entry and a physical file containing hard copy documentation supporting entries into the SNF.

Information to be included in the SNF:

1. Documentation of supervisory observations and/or concerns regarding the performance and behavior of subordinates and any corrective action taken, if applicable; and
2. PAS-related documentation to include:
 - a. PAS Activity Review and Report (TF-3275);
 - b. PAS Disposition/Follow-up Report (TF-3275a);
 - c. PAS Intervention Strategy Confirmation Report (TF-3286);
and
 - d. Pertinent PAS-related documentation.
3. Any supporting hard copy documentation for an SNF iPAS entry.

C. Supervisory Observations

Observed behavioral and/or performance activity that a supervisor/commander deems to be meritorious or substandard. Activities may include, but are not limited to, the following:

1. Innovative Community Policing Projects;
2. Letters of Appreciation;
3. Exceptional Conduct;
4. Substandard Conduct;
5. Tardiness;
6. Negative or Positive Time Management;
7. Uniform Deficiencies;
8. Positive Uniform Observation;
9. Exceptional or Substandard Driving Performance; and
10. Other Observations

D. PAS File Review

A PAS File Review is a review of all applicable 20 PAS performance dimensions in accordance with the provisions of DGO D-17 when making decisions on the following:

1. Commendation or Award;
2. Promotion;

3. Transfer;
4. Special Assignment;
5. Twice-Monthly Performance Review;
6. Semi-Annual Supervisor Performance Review;
7. Annual & Probationary Performance Appraisals; and
8. When a performance assessment is needed.

II. POLICY

- A. All Department personnel shall have a SNF.
- B. All supervisory observations, corrective action, and PAS File Review information shall be entered into iPAS.
- C. Supervisors shall create and maintain a physical SNF for all subordinates to contain supporting hard copy documentation for iPAS entries. The physical SNF shall be stored in a central location for each bureau to be determined by the respective Deputy Chiefs.
- D. The SNF shall not replace the Department's permanent personnel files;
- E. Corrective action taken shall be documented in i-PAS.
- F. Documented supervisory observations shall include the date of occurrence and the name and serial number of the supervisor.
- G. Documentation contained in the SNF shall be retained for a minimum of five (5) years unless law or City Administrative Instruction mandates a longer time period.
- H. The physical SNF shall be forwarded to the new supervisor whenever a subordinate is transferred to a new bureau.
- I. Supervisors with access privileges to the i-PAS can make a SNF entry into any member's/employee's electronic PAS file.

III. RESPONSIBILITIES

A. Supervisors/Commanders shall:

1. Create and/or maintain a SNF for all personnel they are assigned to supervise. The SNF shall be utilized to document supervisory observations and contain documentation in accordance with the provisions of Part I, B and C of this order.
2. Include supporting documentation pertinent to the member's or employee's performance and PAS documentation in accordance with the provisions of DGO D-17.

NOTE: Copies of training certificates, letters of appreciation, and other documents of a permanent nature should continue to be forwarded to the Department's Personnel Section.

3. Include required/pertinent information in the member's or employee's annual performance appraisal.
4. Review the SNF when conducting a PAS Activity Review and Report.
5. Corrective Action shall be documented in the member/employee's SNF in iPAS when corrective action is completed.
 - a. For any non-disciplinary performance deficiency or substandard behavior;
 - b. As a result of a use of force investigation that is not reviewed by a Force Review Board; and
 - c. As a result of an IAD recommendation.

B. Force Review Boards

Supervisors that present UOF reports at an FRB or EFRB and provide immediate counseling shall be responsible for entering the corrective action in iPAS.

C. Personnel on Loan

1. The SNF shall remain with the regularly assigned bureau.
2. Supervisors desiring to review or to add information to the physical SNF of personnel on loan shall contact the regularly assigned supervisor for access.

D. Transferred Personnel

1. When a member or employee is transferred to a new bureau, the new supervisor shall contact the previous supervisor to obtain the physical SNF;
2. The previous supervisor shall provide the new supervisor with the physical SNF; and
3. The new supervisor shall ensure the file is incorporated into the new bureau's physical SNF.

E. Temporary Supervision

In the event a supervisor temporarily supervising personnel observes exemplary and/or substandard performance, he/she shall notify the regularly assigned supervisor of the circumstances/incident for inclusion in the physical SNF.

By Order of

Howard A. Jordan
Acting Chief of Police

Date Signed: _____