

## PERSONNEL MANAGEMENT

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### PERFORMANCE APPRAISAL

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**Purpose:** The purpose of this policy is to establish the procedures for the evaluation of a sworn member's performance.

**Policy Statement:** It is the policy of the North Little Rock Police Department to assist members in developing to their fullest potential. A critical part of this process is a fair and accurate appraisal of the member's work performance and work related behaviors. The appraisal process must include feedback to the member and the establishment of plans to improve areas of weakness.

**Summary of Changes:** New format.

**Definitions:**

**Counseling:** For purposes of this directive, counseling means a discussion between the employee being rated and the rater concerning matters and issues pertaining to the rated employee's job performance.

**Performance Evaluation:** Written documentation, which is used to judge or determine the value and measure of an employee's work performance.

**Rater:** The supervisor who is responsible for evaluating a subordinate employee.

**Procedure:**

**1 Supervisor Responsibilities:** [CALEA 35.1.1c]

- 1.1 The role of the supervisor is to teach, coach and mentor subordinates.
- 1.2 Supervisory members will monitor a member's performance on a continual basis. Supervisors should document the performance of every member on a *Performance Notation Form* in accordance with Policy Directive 22-2, *Discipline*. The record should include both positive and negative performance incidents supported by any available documentation, such as copies of reports.
- 1.3 Supervisory members will provide or arrange for training to improve a member's performance.
- 1.4 Supervisors should advise members in writing whenever their performance is deemed to be unsatisfactory in any performance dimension at least 90 days prior to the end of the annual rating period. This can be documented on a *Personal Conference Memo* or a *Performance Improvement Plan*, whichever is deemed most appropriate for the performance deficiency. Improvements, or failure to improve, should be noted on the performance evaluation or the *Performance Improvement Plan*. [CALEA 35.1.6]
- 1.5 Supervisor/raters will complete an annual performance appraisal/review with all members under their command during the month of the member's anniversary. [CALEA 35.1.2, 35.1.5a]
  - 1.5.1 Supervisory members will complete a quarterly probationary period report form on all probationary members until the member is off probation. [CALEA 35.1.3]
- 1.6 All supervisory members must complete a training program on the performance appraisal system before conducting appraisals. [CALEA 35.1.1d]
- 1.7 Raters shall be evaluated regarding the fairness and impartiality of ratings given, and their participation in counseling rated employees, along with their ability to carry out the rater's role in the performance evaluation system. [CALEA 35.1.8]
  - 1.7.1 A supervisor's signature on an appraisal indicates that he/she believes the rater has used reasonable supporting evidence/comments for the ratings.

**2 Appraisal Forms**

- 2.1 The Summary of Duties and Responsibilities form will be completed as follows.
  - 2.1.1 The Area Commander will complete all appraisals on Officers and Sergeants using the *Summary of Duties and Responsibilities* form for the appropriate member.
  - 2.1.2 Division Commanders will complete appraisals for Area Commanders using the "Lieutenant" *Summary of Duties and Responsibilities* form.
  - 2.1.3 The Chief of Police will be responsible for completing the appraisals of Division Commanders.
  - 2.1.4 Supervisory members will document on this form the major duties of the member as well as any other activities in which the member is regularly involved. The criteria used for performance evaluations should be specific to the assignment of the employee during the rating period. [CALEA 35.1.4]

2.1.5 This form can be amended over the appraisal period if any changes occur in the member's duties and responsibilities. The date of the change should also be noted on the form.

### **3 Self Appraisal Form**

3.1 The *Self Appraisal* form allows the member to have input into the appraisal process. The member writes in each section the strengths or weaknesses in performance of each dimension.

3.1.2 Supervisory members will give the member this form not less than 10 days prior to the performance appraisal being completed.

3.1.3 Supervisory members will establish a return date when giving the member the *Self Appraisal* form.

3.1.4 Members will return the *Self Appraisal* form to the supervisory member when completed.

3.1.5 The information in the *Self Appraisal* form will be considered in the performance review.

3.1.6 The *Self-Appraisal* form will be included in the permanent file with the performance appraisal.

### **4 Rater Forms**

4.1 Rater forms provide for ratings of "Exceptional," "Good," "Acceptable," "Needs Improvement," "Unsatisfactory," and "Not Applicable" with each page having a different dimension to be rated.

4.2 This group of forms is specific for different ranks based on job analysis created dimension.

4.3 A *Behavioral Rating Form* is included and gives guidelines for different levels of performance. [CALEA 35.1.1b]

4.4 Supervisory members will rate the member in each performance area. A rater score sheet is in this section of forms. This sheet will give measurement guidelines. [CALEA 35.1.1a]

4.5 Supervisory members rating a member will justify the ratings in the comment area located on the back of each rater form to be used.

4.6 Supervisory members will provide specifics to justify ratings of "exceptional" or "unsatisfactory." [CALEA 35.1.5b]

4.7 The member's rater, the supervisor reviewing the appraisal and the affected member will sign this form. The member must sign this form. Refusal to sign will be considered an act of insubordination. [CALEA 35.1.5c]

### **5 Employee Comment Form**

5.1 This is a voluntary form that allows the member to express any comments about the performance appraisal rating or supervisory member comments. [CALEA 35.1.5d]

5.2 Supervisory members will give the employee an Employee Comment Form and advise the employee to return the form within 5 days

5.3 Supervisory members will forward the Employee Comment Form up the chain of command with the signed appraisal.

5.4 The member is not required to complete this form.

### **6 Performance Improvement Plan**

6.1 The *Performance Improvement Plan Form* allows for the member to make goals and state how to achieve the goals in writing. The member and supervisory member will understand the goals and the steps to be taken to achieve the stated goals.

6.2 During the appraisal review meeting with the member, if there are any areas in the member's performance that are in need of improvement, the supervisor will identify these areas. The supervisory member will explain what is expected of the member. [CALEA 35.1.7b]

6.3 The member will develop a plan using the *Performance Improvement Plan Form* to improve the areas that are deficient.

6.4 The supervisory member will then discuss the goals and plans for improvement with the member. The supervisory member and the employee will reach a consensus on how to improve the employee's performance and correct the deficiency.

6.5 The supervisory member and the member will work together to set goals and timetables for the member to improve performance

6.6 The supervisory member will establish review periods as deemed necessary until the member's work performance is improved. Review periods will be at least once every 30 days.

### **7 Appraisal Process [CALEA 35.1.1b]**

7.1 Supervisors will complete the *Duties and Responsibilities* form.

7.2 The supervisor will give the member a copy of the *Duties and Responsibilities* form, a *Self Appraisal* form and a copy of *Appraisal Performance Standards* at least 10 days in advance of completing the *Rater* forms. The supervisory member will give the member a date on which the forms must be returned.

7.3 The member will return the completed *Self Appraisal* form and note any comments on the *Duties and Responsibilities*

form on or before the date specified by the supervisory member.

- 7.4 The supervisory member will complete the *Rater* forms. Comments justifying the ratings will be noted in the appropriate section.
  - 7.4.1 Unit commanders will complete the Officer or Sergeant appraisal and forward it to the Division Commander for approval.
  - 7.4.2 The member's immediate supervisor will have an active part in the preparation of the appraisal, providing input for the ratings and justification.
  - 7.4.3 Other supervisory members who have supervised the member will provide any additional information.
  - 7.4.4 Supervisors who supervise a member for a period of at least 6 months during the member's rating period will complete a draft copy of the Rater Form J. This draft copy will be provided to the member's current supervisor as input for the member's performance appraisal.
  - 7.4.5 Division Commanders will complete appraisals on Lieutenants in their command and forward them to the Chief of Police for approval.
- 7.5 Once the appraisal is approved by the Division Commander, or Chief of Police for Captain appraisals, the supervisory member will schedule a performance review meeting with the member. The review meeting will include the following:
  - 7.5.1 Summarize and discuss the member's strengths and opportunities for improvement. [CALEA 35.1.7a]
  - 7.5.2 Summarize and discuss the member's major accomplishments during the current rating cycle.
  - 7.5.3 Jointly review goals and performance improvement plans established in prior cycles.
  - 7.5.4 Review goals and level of performance expected for the new reporting period. [CALEA 35.1.7b]
  - 7.5.5 Provide career counseling relative to such topics as advancement, specialization, or training appropriate for the member's position. [CALEA 35.1.7c]
  - 7.5.6 Discuss other pertinent information.
- 7.6 The supervisory member will provide the member with an employee comment form.
- 7.7 All completed appraisals will be forwarded up the chain of command to the Office of the Chief of Police for review and filing. The evaluation report will be a permanent record in the member's file. [CALEA 35.1.5g]
- 7.8 The supervisor will provide the member with a completed copy of the performance evaluation. [CALEA 35.1.5e]

## **8 Member's Responsibility**

- 8.1 Members will return the *Self Appraisal Form* to the immediate supervisor no later than the deadline given.
- 8.2 If the member wishes to complete the comment form, it will be the member's responsibility to return the form to the immediate supervisor within five (5) days.
- 8.3 If a performance improvement plan is indicated by the supervisor, it will be the responsibility of the member to complete the performance improvement plan and to discuss this plan with the supervisor.
- 8.4 After the performance appraisal is reviewed with the member, the member will sign the rating score sheet.
- 8.5 If a member feels that the ratings or comments reflected in the evaluation are not reflective of the member's performance during the evaluation period, the member may appeal the rater's decision to the next level of the member's chain of command. [CALEA 35.1.5f]

## **9 Non-Sworn Member Appraisals**

- 9.1 Non-sworn members shall be administered performance appraisals pursuant to the City's *Administrative Personnel Policies for Departments Employing Non-Uniformed Employees* handbook, Section 8-009. The City's civilian Work Performance Appraisal form will be utilized.
- 9.2 Supervisors of non-sworn personnel will conduct civilian appraisals in accordance with Section 1 of this policy.
- 9.3 In addition to discussing the results of the current evaluation, supervisors will also address performance expectations in the narrative section of the appraisal form. [CALEA 35.1.7a,b]
- 9.4 During the appraisal process, supervisors will conduct career counseling relative to such topics as advancement, specialization or training appropriate to the member's position. [CALEA 35.1.7c]
  - 9.4.1 The supervisor's signature on the appraisal form acknowledges that he/she administered the requisite counseling.