

1.02-14

**DAYTON POLICE DEPARTMENT
GENERAL ORDER
PERFORMANCE APPRAISALS FOR CLASSIFIED
EMPLOYEES/PERFORMANCE COUNSELING**



RICHARD S. BIEHL – DIRECTOR AND CHIEF OF POLICE

REV. 5/15

POLICY STATEMENT

Performance appraisal is a recognized method for evaluating employees; civilian, sworn and mid-management, within the Dayton Police Department. A performance appraisal is the measurement of the worker's on-the-job performance of assigned duties by the employee's supervisor. The purpose of performance appraisal is to constructively serve both management and the individual employee.

I. OBJECTIVES OF PERFORMANCE APPRAISAL

A. The objectives of employee performance appraisal within the Dayton Police Department are:

1. Allow fair and impartial personnel decisions
2. Maintain and improve performance
3. Provide a medium for personnel counseling
4. Facilitate decisions regarding probationary employees
5. Provide an objective and fair means for recognition and measurement of individual performance in accordance with prescribed guidelines
6. Identify training needs

II. PERFORMANCE STANDARDS

Employees are required to meet certain standards of performance, which will be the basis for fair and objective performance appraisals.

A. When an employee fails to meet performance expectations, supervisors will counsel the employee or utilize a Performance Improvement Plan.

1. Supervisors will document their counseling of the employee to meet performance standards on the Dayton Police Department Monthly Performance Log (Form RF-004).
2. A Performance Improvement Plan can be done any time during the year when a supervisor observes an employee consistently performing below standard in any performance area.
3. A supervisor must give an employee a reasonable time frame to correct below standard performance, which will be judged on a case-by-case basis.

B. Performance standards must be applied equally to all personnel in a supervisor's work unit and will be detailed in the Performance Improvement Plan (Form RF-007). (See appendix A and B)

1. Performance Improvement Plans will establish the following details:
 - a. Inform the employee of minimum performance standards
 - b. Inform the employee of the performance they have delivered
 - c. Establish time deadlines
 - d. Explain rewards and consequences of meeting/not meeting performance standards
2. If a skill or training deficiency is the cause of the performance inadequacy, then training will be arranged to correct the problem.

C. Further failures in meeting performance standards may result in discipline.

D. Performance Improvement Plans are not to take the place of the disciplinary process. A Performance Improvement Plan should be completed by the supervisor in addition to any discipline stemming from policy or procedural violations that would normally warrant the employee receiving discipline.



- E. Once completed, the Performance Improvement Plan will be submitted to the investigating supervisor's commander for approval and upon return, a supervisor will have the employee sign and date the Performance Improvement Plan (signature is mandatory). (1) Copy will go to the employee and the original will go to the employee's work unit after being served upon the employee. The original will be retained in the work unit for (2) years after the date of issuance.

III. ISSUANCE OF EMPLOYEE COUNSELING FORMS RF-84 (See appendix C for Example)

- A. The Employee Counseling Form RF-84 is used to document minor infractions of the Manual of Procedures, Rules of Conduct and other substandard performance issues that would not be a violation of policy. The form will be completed by the investigating supervisor to include the following:
1. Officer's name, date and time of incident or concern;
 2. Name of complainant if involved;
 3. Whether or not an administrative investigation was submitted;
 4. Details of the counseling including the following:
 - a. A brief description of the facts and circumstances giving rise to the counseling action;
 - b. A specific description of the standard(s) of conduct and performance violated by the employee (Rule of Conduct, General Order, etc.), citing the rule or General Order number;
 - c. A review of the employee's pertinent performance history by contacting the Department Advocate. The Department Advocate must recommend that Employee Counseling is appropriate for the incident.
- B. Once completed, the form will be submitted to the investigating supervisor's commander for approval and upon return, a supervisor will counsel the employee on the violation and have them sign and date the form (signature is mandatory). (1) Copy will go to the employee and the original will go to the employee's work unit after being served upon the employee. The original will be retained in the work unit for (2) years after the date of issuance.

IV. PERFORMANCE APPRAISAL SYSTEM

- A. Four different employee groups are evaluated within the Dayton Police Department:
1. Unclassified employees
 2. Supervisors (Mid-Management)
 3. Police officers
 4. Non-sworn personnel
- B. All **classified** City of Dayton permanent employee performance evaluations are conducted under the auspices of the City of Dayton Civil Service Board.
- C. Civil Service Rule 16 addresses Performance Appraisal:
- "SECTION 1. APPRAISAL SYSTEMS** - The City Manager will develop one or more systems for the evaluation of employee performance and will provide necessary training for each appraiser in the use of the system of which he/she is a part. To the extent possible, any system so devised will include provision for consultation between appraiser and subordinates as a part of the appraisal process. The Civil Service Board will determine the minimum acceptable standards for continued employment with the City."
- "SECTION 2. USE OF APPRAISAL SYSTEMS** - Any system so adopted will include the overall appraisal of performance representing the judgment of the rater on the employee's total performance during the rating period. The appraisal system may be used for any of the following purposes:



1. To counsel employees, so that they have a clear understanding of their duties and responsibilities, the work of their department, and the objective toward which they should strive.
2. To improve performance by describing strengths and weaknesses of employee performance and suggesting means for improvement of any weaknesses.
3. To evaluate employees for merit increases in salary within the salary range.
4. As a step in the process of corrective disciplinary action.
5. As an element in any competitive promotional examination in accordance with Rule 7 of the Civil Service Rules."

"SECTION 3. EMPLOYEE PARTICIPATION - Each employee rated in accordance with the Rule has the right to receive a copy of the rating, and to discuss it with the rater."

V. PERFORMANCE APPRAISAL FORMS

- A. Non-sworn, police officer and mid-management employees are evaluated through the use of different evaluation forms. Probationary Police Officers are evaluated according to the Field Training program during their probationary period.
- B. **Non-sworn** employees are evaluated annually (January – December) by their supervisor through the use of Form S-92, GENERAL SALARIED AND HOURLY PERSONNEL PERFORMANCE APPRAISAL.
 1. This form is designed to assist the supervisor in measuring seven areas or criteria of employee work performance.
 - a. Job knowledge
 - b. Quality of Work
 - c. Quantity of Work
 - d. Communication Skills (Non-supervisory employees)
 - e. Supervisory Skills (Supervisory employees)
 - f. Safety/Maintenance
 - g. Attendance

The appraisal process will be completed January 1 to January 31.

2. Supervisors are required to constantly **evaluate**, maintain **documentation**, and to **counsel** their employees in preparation for completion of the Form S-92.
- C. Police officers and supervisors (mid-management) are evaluated through the use of the Dayton Police Department Employee Performance Appraisal (RF-005 and RF-006 respectively). These forms will be typed on a computer using Microsoft Word.
 1. Police officers and supervisors are to be evaluated once a year (The appraisal process will be completed January 1 to January 31).
 - a. Supervisors will meet with individual officers on a monthly basis and note on the Dayton Police Department Monthly Performance Log (Form RF-004) the officer's progress.
 - 1) These monthly performance logs will be the basis for the annual appraisal and must be completed each month.
 - 2) Officers performance will be documented on the Monthly Performance Log and can be the basis for Performance Improvement Plans.
 - b. Monthly Performance Logs are to be completed only for the rank of Police Officer.



2. The Monthly Performance Log may be typed or legibly block printed. No other forms are necessary; however, additional remarks may be placed on an attached sheet of blank paper.
- D. Newly promoted supervisor's will be appraised during their probationary period as follows:
- Within two weeks of the supervisor's promotion, the next level supervisor will meet with the probationary supervisor to outline the performance expectations of the supervisor.
 - A probationary performance appraisal must be completed at 90 and 180 day intervals utilizing the RF-006 form. For "review period", the next level supervisor will type in "Probationary" and the review period of 90 or 180 days.
 - Any category of the initial 90 day performance appraisal that is marked "Below Standard" must be documented and a performance Improvement Plan attached. An additional performance appraisal must be done in 45 days to ensure improvement. If the second appraisal is still below standard, the Director and Chief of Police should consider a probationary demotion.
 - The completed performance appraisal for the specific probationary period will be sent through the chain of command to the Division Commander who will then discuss with the Chief of Police the status of the supervisor.
 - Copies of the appraisal form - original to Police Personnel, copies to the employee, Human Resources and the Division Commander.
 - If one of the probationary period review periods falls during the annual performance appraisal period in January, the probationary performance appraisal will suffice in lieu of the annual performance appraisal.
- E. Performance appraisals are based **only** on an employee's performance during the evaluation period. Factors from previous evaluation periods are not to be considered.

VI. PERFORMANCE STANDARD DEFINITIONS - Are divided into several areas with clearly defined expectations. Each standard is broken down into how the employee performed in relation to that standard with definitions for receiving that rating.

- A. **Exceeded Standard** - Consistently exceeded job responsibilities and performance objectives in relation to the set performance standard or was widely recognized as outstanding in performance of a difficult task.
- The supervisor must document and be able to substantiate ratings of **EXCEEDED STANDARDS** in the comments section of the appraisal form.
- B. **Met Standard** - All job responsibilities and priority performance objectives in relation to the set performance standard were met.
- C. **Below Standard** - Some improvement needed to proficiently perform job responsibilities and objectives in relation to the set performance standard or failed to meet the set performance standard. Training or disciplinary action may result.
- D. Supervisors are required to advise an employee, **in writing**, when their performance is deemed to be **Below Standard** at least 30 days **prior** to the end of the evaluation period through the use of the Dayton Police Department Monthly Performance Log (Form RF-004) and/or a Performance Improvement Plan (FORM RF-007).
1. The supervisor must document and be able to substantiate ratings at the **Below Standard** level and to advise the employee of this **Below Standard** performance.
 2. The supervisor should define actions to be taken to improve the employee's performance in a Performance Improvement Plan.



3. If a supervisor evaluates an employee's performance in any of the Performance Standards as **Below Standard**, they will conduct another "SPECIAL" appraisal in **three months**, re-evaluating only those performance standards that were below standard on the original Annual Appraisal.
 - If the employee's performance is still **Below Standard** in the same Performance Standard(s), disciplinary action should be initiated.

VII. REVIEW AND SIGNATURE OF RATING FORMS

- A. Performance appraisals will be approved and signed off one level above the person completing the appraisal (i.e. a police officer appraisal prepared by a sergeant requires a lieutenant's approval). The employee will then sign the form, in the appropriate location, to indicate he/she has read it. The employee is given a copy of the evaluation form.
- B. The supervisor is responsible for discussing, with the employee, the form and its contents.
- C. An employee will be afforded the opportunity to provide any written comments he/she desires pertaining to the evaluation report.
- D. Forms can be completed electronically, then printed with an original and two (2) copies. Once the appraisals have been signed, approved and served on the employee, they will be routed as follows:
 - Original to Police Personnel
 - Copy to Employee
 - Copy to Human Resources at City Hall

VIII. USE OF PERFORMANCE APPRAISAL FORMS

- A. An employee's performance evaluation forms are retained by the City Personnel Office and Civil Service Board (non-sworn) for a period of two years. The Police Department Personnel Clerk retains completed civilian, police officer, and supervisor performance appraisal forms for a period of three years.
- B. Their uses include, but are not limited to influencing decisions to:
 1. Dismiss
 2. Demote
 3. Reassign
 4. Retrain
- C. Completed Monthly Performance Logs for the previous year are kept by an individual officer's sergeant until the appraisal for that year has been approved and any appeals have been resolved.

VIX. PERFORMANCE APPRAISAL APPEAL PROCESS

- A. If an employee is not satisfied with their performance evaluation rating, they may schedule a meeting with their supervisor's superior to discuss the rating. Refer to Article 8 of the FOP Agreement.
- B. If the results of this meeting are not acceptable to the employee, they must document their rationale, for appeal, in a Special Report directed to their superintendent, the Assistant Chief, or Chief of Police, as dictated by the Table of Organization.
- C. If neither of these options provides an outcome that is acceptable to the employee, he/she may utilize the grievance process. (See Manual of Procedure 1.02-11, Grievance Procedures)

**X. MISCELLANEOUS REQUIREMENTS OF THE PERFORMANCE APPRAISAL PROCESS**

- A. Supervisors are required to discuss with each employee at the beginning of **each** appraisal period the following items:
 - 1. Tasks of the position occupied
 - 2. Level of performance expected
 - 3. Appraisal rating criteria
- B. It is essential to the success of the system that the employee fully understands the specific duties and responsibilities of the position and what performance is expected. It is also expected that discussions between the rater and employee regarding performance of the employee will occur at any time during the rating period when deemed necessary.

XI. USE OF PERFORMANCE APPRAISAL FORM IN JOB POSTINGS

- A. When a sworn employee is responding to a departmental job posting, a copy of their most recent Dayton Police Department Employee Performance Appraisal must accompany the required Special Report.
- B. When non-sworn employees respond to a job posting, a copy of their most recent General Salaried and Hourly Personnel Appraisal (Form S-92) must accompany other required reports.



Appendix A

PERFORMANCE IMPROVEMENT PLAN SAMPLE FORMAT

Date _____

TO: Officer _____
First District/Squad One

FROM: Sgt. _____
First District/ Squad One

SUBJECT: Performance Improvement Plan

Officer _____

This memorandum will summarize the discussion we have had about your performance as a Police Officer and the performance standards that are expected of you.

Your performance in such areas as Interpersonal Skills and Officer Safety has Exceeded Standards; however, I find that you are Below Standards in the area of Care and Use of Equipment and Productivity.

The attached performance worksheet will explain both the performance standards and the performance that you have actually delivered. Your work in the "Performance Delivered" column is below the performance standards that we have discussed.

Now that we have clarified the problem, you will be expected to meet and maintain your performance at the stated levels. Should you choose not to meet the required performance standards, then you may be subject to discipline.

Sgt. _____
First District/ Squad One

Officer Name

Date Received

Supervisor Name

2nd Level Approval



Appendix B

PERFORMANCE IMPROVEMENT PLAN			
Officer's Name/PDA _____			
Date of Meeting: _____ Supervisor's Name/PDA _____			
PERFORMANCE STANDARD		PERFORMANCE DELIVERED	
List Performance Standard expected from employee. List any applicable General Order, Executive Order, Etc...		List problem performance, dates and times covered under this Performance Improvement Plan	
1. Care & Use of Equipment You are expected to wear and maintain the proper uniform per assignment.	On 6-1-06, you were told during our monthly meeting that your uniform shirt was not clean and had holes in it and would have to be replaced. On 6-8-06, you again wore that same uniform shirt that had holes in it and had not washed it.		
2. Productivity You are expected to recognize and address crime and traffic-related violations through appropriate self-initiated enforcement or prevention activity.	During the month of June, the work unit averaged 250 calls for service, your total calls while working the same number of days and handling the same type of calls were 75. The work unit averaged 30 traffic citations while you averaged only 5, you have been unable to account for your patrol time either in documentation or activity.		
3.			
4.			
5.			
Evaluation Period	Start Date:	End Date:	

Officer's Signature and Date	Supervisor's Signature and Date
DATE OF NEXT MEETING	

RF-007 (1/07)

This form can be found on "P" drive under the Police Forms folder.

Appendix C

1.02-14



EMPLOYEE COUNSELING

Officer/PDA _____

Date/Time of Incident/Concern _____

Location _____

Complainant Involved? _____
(list additional in Details) (name) (address)

Administrative Investigation submitted? Yes _____ No _____

Details: _____

_____. (attach additional sheet if needed)

Supervisor's Signature

2nd Level of Approval

Employee Received Counseling: Date _____ Time _____ Hours

Supervisor(s) Present During Counseling _____

Acknowledgement of having received counseling:

Employee's Signature Date

SEND ORIGINAL TO EMPLOYEE'S WORK UNIT AFTER COMPLETION

FORM RF-84 (1/07)

This form can be found on the "P" drive under the Police Forms folder.