



PERFORMANCE EVALUATIONS

<i>Date of Issue</i> March 13, 2001	<i>General Order Number</i> 01 - 03
<i>Effective Date</i> September 14, 2014	<i>Section Code</i> PER - 03
<i>Reevaluation Date</i> September 2017	<i>Amends / Cancels</i>
<i>C.A.L.E.A.</i> 35.1.1 - 35.1.14	<i>Reference</i>

INDEX AS:

Employee Evaluations
Evaluations
Performance Evaluations

I. PURPOSE

The purpose of this order is to identify and set out the performance evaluation guidelines of the Iowa City Police Department and its employees.

II. POLICY

It is the policy of the Iowa City Police Department to establish and maintain a system for employee evaluations. The evaluation system is a management tool utilized to provide information to employees about their performance, assist in personnel decisions, and improve work performance.

III. PROCEDURES

A. PERFORMANCE EVALUATION SYSTEMS

1. Evaluation interviews shall be conducted by supervisors a minimum of once each year.
2. Supervisors shall utilize the Performance Evaluation Form approved by the Human Resources Department of the City of Iowa City. These forms will be forwarded to the rated employee's supervisor prior to the date of the annual evaluation. The form does not utilize a numerical scoring system, instead progressive behavioral descriptions for each dimension are presented. The supervisor selects the most accurate description.
 - a. Supervisors shall receive training in performance appraisal.
 - b. In completing the Performance Evaluation Form, supervisors shall comply with the instructions relating to the form.
 - c. The designated Performance Evaluation form is only a tool used in performing the evaluation function. It should not interfere with the process. If additional information pertinent to employee performance is warranted, the rating supervisor will attach a descriptive memorandum to the Performance Evaluation Form.
 - d. In the field designated "Rating Date" the rating supervisor shall write in the date beginning the rating period and the last date of the rating period, generally denoting one year. (I.e. 1/6/00 - 1/5/01)
3. The form will be completed in legible form by the employee's supervisor, indicating the appropriate trait level exhibited by the employee during the evaluation period. Examples of the traits to be evaluated are as follows:
 - a. Work Quality
 - b. Productivity
 - c. Planning/Organization
 - d. Decision Making/Problem Solving
 - e. Internal/External Customer Service Relations
 - f. Innovation
 - g. Oral Communication Skills
 - h. Written Communication Skills
 - i. Safety Awareness (non-supervisory)
 - j. Attendance
 - k. Equipment and Tool Utilization
 - l. Supervisory Skills (if employee is performing in a supervisory capacity or has during the rating period)
 - 1) Supervisory Ability
 - 2) Leadership
 - 3) Safety Awareness
 - 4) Productivity of Unit
 - 5) Development/Empowerment of Staff
 - 6) Rating Subordinates' Performance
 - a. Supervisors shall be rated in part based on their ability to effectively evaluate employees assigned them. The ability to fairly, impartially, accurately, and completely evaluate the performance of staff is a fundamental supervisory skill and demands daily preparation.

- b. Supervisors shall insure that ratings are applied uniformly to other employees performing the same functions.
 - c. Supervisors shall only evaluate an employee against those dimensions pertinent to their specific job requirements
4. The narrative report accompanying the form shall also be completed. It shall contain an evaluation of other behavior/skill traits or tasks evaluated by the supervisors, which are not indicated on the form. These additional ratings shall be specifically related to the assignment of the employee.
 5. Any rated area where performance is categorized as *outstanding* or *unsatisfactory* shall be supported by the narrative comments. To this end, supervisors shall maintain documentation on each employee under his/her supervision
 - a. This documentation, which may be kept in the supervisor's records for that employee, shall include:
 1. The date and time of the incident
 2. A brief description of the incident
 3. Any resultant award/recognition or disciplinary action
 - b. Incidents of both positive and negative actions shall be recorded in this documentation.
 6. Performance Resources - Each supervisor shall thoroughly know and observe employee behavior before an effective performance evaluation can be conducted. Additional indications of performance shall be gathered from review of:
 - a. Attendance records
 - b. Reports written by the employee
 - c. Inspection Records
 - d. Commendations
 - e. Complaints
 - f. Training records
 - g. Personnel file

Other indications of performance may be used (ie: observations from peers) to complete the evaluation.

7. When an employee's performance is deemed to be unacceptable they shall be notified of such in written format. This should occur as soon as the supervisor becomes aware of the problem. When overall performance is unacceptable, the employee should be notified in writing at least ninety (90) days prior to the end of the rating period.
8. The evaluator shall be prepared to substantiate ratings at the unsatisfactory level, to advise the employee of unsatisfactory performance, and to define actions that should be taken to improve performance. If unsatisfactory performance continues, this information shall be included in the evaluation report at the end of the 90-day period. Flexibility concerning the 90-day period is permitted.

B. ERRORS AND PROBLEMS COMMON IN PERFORMANCE EVALUATIONS

The immediate supervisor of the evaluated employee may seek to measure the wrong qualities or fail to look at each quality separately and independently from

others. In evaluating performance, supervisors should be aware of the following evaluation errors and seek to avoid them.

1. Misidentification - May result from attempting to apply different values to various components of performance. For example:
 - a. It is easy to confuse *Quality* of work with *Volume* of work when in reality, each should be considered separately.
 - b. Improper, inaccurate, or irregular *documentation of observed behavior* throughout the evaluation period must be avoided by the immediate supervisor.
2. Prejudice of the rater - Evaluations must be based on objective observations and compared, as much as possible, against objective performance expectations. For example, these questions should be considered:
 - a. How much of this trait does the employee exhibit? Is it constant or rare?
 - b. What does Command expect? What level of performance is typical for the unit or section?
3. Halo Effect - The halo effect is the tendency to allow one highly favorable or unfavorable trait to color judgement of all other traits. For this reason, each evaluation shall be limited to observations made only during the specific rating period.
4. Inadequate Knowledge - The first job of an immediate supervisor is to know their employees. He/she should learn their needs, career goals, problems, interests, and other aspects of behavior which make that person an individual and which may impact upon their performance.
5. Error of Central Tendency - This error is common among raters who feel they have inadequate information on which to base their evaluation and who seek to avoid the extremes of the rating scale being used. Instead, the supervisor tends to keep their evaluation "safe" in the "middle of the road." Such errors of central tendency are due to a fear on the part of the rater to have to defend a "high" or "low" rating to their subordinate or to their supervisor who would review the evaluation report.
6. Leniency - Some supervisors seek to avoid hostilities by over-rating their employees. Another motive is to attempt to divert attention of supervisors from what would otherwise be a reflection on the supervisor's ability to direct, train, and discipline his/her subordinates.
7. Severity - Some supervisors are too severe in the expectations they have of their subordinates. The qualities they seek are much greater than that expected by Command and are unrealistic, in light of the actual requirements of the job.

C. THE PERFORMANCE EVALUATION INTERVIEW

The evaluation interview is an extremely important part of the performance evaluation process. Properly conducted, the interview sets the tone for future development of the employee. The interview must be properly planned and executed by the supervisor, it is a high priority supervisory function, and outside interruptions should be avoided. Adequate time should be allocated to the interview to permit intensive, meaningful discussion between the employee and the supervisor. This interview should never be hastily completed nor "fit in where fill time is available".

1. Objectives of the Evaluation Interview - The supervisor shall plan and execute the interview with the following discussion objectives in mind:
 - a. Results of the performance evaluation just completed;

- b. Level of performance expected, rating criteria or establishing objectives and goals for the new reporting period;
 - c. Career counseling relative to such topics as advancement, specialization, or training appropriate for the employee's position; and
 - d. Voluntary program of continuing education or training for development of employee skills or knowledge. Does not have to be related to employment.
2. Setting - The location of the evaluation interview should be in a quiet, business-like atmosphere. Privacy is extremely important so that the employee does not feel as if the supervisor is opening the records to examination by third parties. Though business-like, the setting should establish a rapport between the supervisor and the employee conducive to constructive discussion.
 3. At the conclusion of the interview the employee will be afforded the opportunity to sign and date the evaluation form. They will be allowed to make written comments that shall become a permanent part of the evaluation report.
 - a. The employee's signature is not required as an indication of agreement with the evaluation. The signature indicates the employee was given an opportunity to both view and discuss their evaluation as prepared by the evaluator.
 1. If an employee refuses to sign the evaluation report, the supervisor shall write, "refused to sign" on the evaluation form. The supervisor shall then prepare a narrative report detailing the reasons, if given, the employee refused to sign.
 4. Distribution of forms - At the conclusion of the interview, the evaluator will distribute the evaluation reports as follows:
 - a. Copy to the employee
 - b. Copy to the supervisor's file
 - c. Copy sent up the chain of command for inclusion in the employees personnel file
 - d. The supervisor of the person performing the evaluation should review and sign the evaluation
 5. Grievance of Performance Evaluations - Appeals of performance evaluations are to be made through the employee's chain of command.
 6. Retention of evaluation forms - Copies of the Performance Evaluation shall be retained in the employee's personnel file located in the office of Chief of Police throughout the tenure of that employee. The original record shall be forwarded to the Human Resources Department of the City of Iowa City and retained in that department for a minimum of five (5) years following the termination, resignation, or retirement of the employee.

D. PROBATION PERIODS

1. All employees on a probationary status shall be evaluated as determined by Chief of Police, or designee. Probationary periods will be the period of time consistent with departmental policy, city policy and state statute.

E. SPECIAL PERFORMANCE EVALUATION REPORTS

1. Performance evaluation for entry-level, probationary employees.
 - a. An in depth evaluation of an employee's job performance during their probationary period shall be conducted on at least a quarterly basis.

Probationary officers shall be evaluated in accordance with departmental Field Training procedures. Such evaluation should include the following issues and observations:

- a) Specific examples of job performance
- b) Current level of development
- c) Work attitude
- d) Quality of work
- e) Volume of work
- f) Judgement
- g) Other appropriate indicators of performance applicable to the position.

Samuel Hargadine, Chief of Police

WARNING

This directive is for departmental use only and does not apply in any criminal or civil proceeding. The department policy should not be construed as a creation of a higher legal standard of safety or care in an evidentiary sense with respect to third-party claims. Violations of this directive will only form the basis for departmental administrative sanctions.