



POLICY/PROCEDURE NUMBER: 07-P.A.-009

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SUBJECT: PERFORMANCE EVALUATION

EFFECTIVE DATE: December 18, 2019

REVIEW DATE: December 18, 2020

AMENDS/SUPERSEDES: 07-12-07 Version; Standard Operating Procedure 100-33 - Effective Date: July 1, 2001; and Procedural Directive 2006-008 – Effective Date: October 30, 2006; November 16, 2007 version; February 25, 2008 version; January 27, 2010 version; February 16, 2011 version; January 8, 2014 version; January 7, 2015 version.

IACLEA STANDARDS: 3.1.1, 3.1.2

CSU POLICE SYSTEMWIDEPOLICY: NO

APPROVED: Gregory L. Murphy, Chief of Police

I. PURPOSE

To establish procedures and clarify responsibilities for the University's Performance Evaluation process.

II. POLICY

It is the policy of this department to provide performance planning and evaluation which will ensure:

- the best use of human resources available;
- that personnel problems are identified and addressed promptly and fairly;
- optimum job satisfaction on the part of each employee.

To facilitate this policy, the performance evaluation process will be utilized as a tool by managers and supervisors to further the development of all employees. Generally, the immediate supervisor rates employee performance.

III. DEFINITIONS

- A. Civilian – A non-sworn person having no arrest authority. Civilians may be employed or affiliated with a law enforcement agency in a variety of supporting roles and may be uniformed, but lack the authority to make a full-custody arrest.
- B. Performance - Actions taken or omitted with regard to specific job tasks or assignments.

- C. Performance Objectives - Statements of operational behavior required for satisfactory accomplishment of a task and the criteria for satisfactory performance.
- D. PIP – Performance Improvement Plan which is also referred to as an Employee Performance Action Plan. A non-disciplinary tool used by supervisors and managers in helping to improve employee performance deficiencies.
- E. Rater – Generally, the immediate supervisor of a subordinate employee whose performance is being evaluated. For CSUEU members (Collective Bargaining Units 2, 5, 7, and 9), the rater must be an appropriate administrator (i.e., manager) however the administrator may request a draft evaluation from a designated evaluator (i.e., lead) regarding an employee’s job performance.
- F. Rating - An assessment of the quality of an employee’s job performance.
- G. Remedial Training - Personalized training to correct a specific deficiency, which is usually identified by either (1) testing or other evaluation during training or, (2) supervisory evaluation during routine job performance.
- H. Skills, Knowledge, and Abilities - *Skills*: the proficiency with which an individual performs. *Knowledge*: a body of information or understanding gained through training, education, and/or experience. *Abilities*: competencies, proficiencies, and aptitudes required to perform job responsibilities.
- I. Supervision - Direct oversight of a subordinate employee’s job performance.
- J. Sworn Officer – A person who is granted those general peace officer powers prescribed by constitution, statute, or ordinance in the jurisdiction, including those persons who possess the authority to make a full-custody arrest for limited or specific violations of law within the same jurisdiction.
- K. Unsatisfactory Performance - Employee work performance or behavior that is substandard and unacceptable for the position held.

IV. PROCEDURES

A. Police Officer – Basic Functions

To protect lives and property, enforce the laws, arrest offenders and maintain order. Incorporate community policing principles and philosophy of partnerships, pro-active policing and problem solving in all aspects of patrol duties.

B. Police Officer – Role and Job Expectations

1. The police officer is typically the front line of contact with the community and the public and therefore must be available, visible, and professional on the campus and in bordering neighborhoods.
2. Officers must consider what is best for the community in everything that an officer does by integrating the calls for service response with a more pro-active community policing approach.
3. Officers should facilitate the resolution of problems by bringing together appropriate resources, especially other members of the Department and community, to resolve recurring problems.
4. Response time to emergency calls for service as well as non-emergency calls for service must be reasonable.

5. Black and white vehicular patrol must be balanced between the campus and the campus perimeter. Vehicular patrol should also incorporate a “park and walk” aspect so that officers are able to interact directly with the community and learn about problems within their patrol areas.
6. Repeat calls for service to a particular location should be flagged and analyzed to solve recurring issues. Officers should make every effort to determine the problems underlying the symptoms.
7. Community relations and crime prevention education are every police officer’s responsibility, not just special units within the Department. Each officer should develop a special focus for community education/relations so that each officer can contribute to the overall community education and community relations efforts.
8. Officers must support their shift teams and the Department as a whole in the course of maintaining positive public relations.
9. Police officers will be seen as successful in their roles if members of the campus community feel safe because they see and interact with an officer, the Department and the community are comfortable with an officer’s decision making and abilities to solve problems, and officers are highly productive and provide the quality of service that fits with the Department’s Vision, Mission and Values statement.

C. Performance Evaluation System for Non-Management Personnel

1. Measurement factors and definitions as defined in the *Report of Employee Performance*:
 - a. Outstanding – Total performance is far above normal standards for the position.
 - b. Exceeds Expectations – Consistently competent performance exceeding normal standards in all critical factors for the position.
 - c. Satisfactory – Meets all normal requirements of the position in a competent manner.
 - d. Below Expectations – Total performance periodically or regularly falls short of expectations.
 - e. Unacceptable Performance – Performance is clearly inadequate. Employee has demonstrated an inability or unwillingness to improve or meet expectations. Performance is not acceptable for position held.

D. Performance Evaluation Rating Criteria

1. Observance of Work Hours – Does the employee observe assigned work hours? Is he/she punctual returning from breaks and meal periods? Has there been a problem with unauthorized overtime?
2. Attendance – Does the employee use personal and/or family sick leave as intended by Department policy and University regulations or is there a pattern of overuse or abuse of sick leave?

3. Appropriate Attire and Grooming – Does the employee’s uniform/attire and overall personal appearance project a professional Department image? Is the uniform appearance consistent with Department uniform policy?
4. Safety Practices – Does the employee observe sound safety practices in the course of their job and, in regard to sworn personnel, with the maintenance and handling of weapons and other officer safety requirements?
5. Operation and Care of Equipment – Does the employee maintain assigned equipment, including weapons if applicable, in good working order and in clean condition? Does he/she promptly report damaged or broken equipment?
6. Organization and Care of Work Station – Is the employee’s desk, work station, and/or vehicle kept clean, organized, and uncluttered?
7. Job Knowledge – Does the employee understand the methods, procedures, and practices of the position? Is the employee well informed on current Department policies and procedures and does he/she adhere to the guidance and direction they provide? For sworn personnel, is the employee well informed on current laws that affect the duty assignment?
8. Job Skills (Mental and Physical) – Does the employee apply this knowledge effectively and proficiently in the execution of assigned duties?
9. Attitude – Does the employee exhibit a positive interest, involvement, and enthusiasm towards his/her job and the Department? Does he/she readily accept changes in policies, procedures, or routines? Does he/she adapt well to new or unusual circumstances?
10. Volume of Acceptable Work – Does the amount of work produced by the employee consistently meet or exceed both the quality and quantity standards/goals for the position?
11. Quality of Work – Does the caliber of work performed by the employee meet or exceed the standards for the position?
12. Planning and Organization – How effective are the employee’s time management, coordination, and prioritization skills?
13. Judgment and Decisions – Does the employee consistently make sound, judicious decisions in the course of their job?
14. Meets Deadlines – Does the employee meet routine as well as special assignment deadlines without the necessity of supervisory oversight/follow-up?
15. Accepts Responsibility – Does the employee readily accept responsibility for work assignments? Does he/she acknowledge accountability for mistakes and use them as an opportunity to learn and grow in the job?

16. Accepts Direction – Does the employee readily accept supervision, training, and instruction? Does he/she accept constructive criticism and counseling with a positive attitude?
17. Oral Communication – Does the employee convey information accurately and in a manner that is clear and concise? Does he/she listen attentively to others?
18. Written Communication – Does the employee produce clear and concise written documents, using proper grammar, spelling, punctuation, and syntax? For sworn personnel, are reports submitted in a timely fashion? Are they well organized and complete or do they often need to be returned to the employee for revision?
19. Initiative – Does the employee take independent action in suggesting/implementing improvements to work practices? Does he/she utilize unassigned time appropriately and take advantage of opportunities for professional self-development?
20. Learning Ability – Does the employee possess the necessary aptitude to accomplish his/her particular job duties and the potential to grow in the position?
21. Customer Contacts – Does the employee interact with students, faculty, staff, and community members in a consistently respectful and courteous manner? Does he/she display a solution-oriented approach to problems and concerns?
22. Effective Working Relationships – Does the employee maintain cooperative and collegial working relationships with co-workers and managers/supervisors? Does he/she participate in and encourage teamwork?
23. Police Officer Role Definition and Job Expectations – In addition to the job description for the position of police officer and competencies spelled out in the Department's Field Officer Training Program, there are a variety of job expectations that surround the basic functions of a police officer within the California State University, Northridge Department of Police Services. Those expectations should form the foundation for excellent job performance and must be consistently carried out by all officers.

E. First Line Supervisor – Basic Functions

It is the basic function of the patrol supervisor to develop a patrol team, a group of officers:

- Who are working toward an agreed-upon set of common goals
- Who have been given adequate resources to achieve those goals

The patrol supervisor is expected to understand the individuality of the different team members and is able to adapt his/her communication style to ensure complete understanding of the mission. A key goal of the team is to balance calls for service, the needs of the community, and the direction of the Department, which is a Department-wide approach to community-based policing.

In addition, the patrol supervisor must develop his/her own team among themselves. It is absolutely essential that the patrol supervisors work together in a consistent manner to keep each other apprised of current and changing work conditions, events, staffing, and other issues (including changes in the law), including policy issues and training needs, to ensure success and consistency amongst those whom they manage.

F. First Line Supervisor – Role and Job Expectations

1. The patrol supervisor is responsible for managing all field resources to ensure that community service provided by the police officer is of the highest quality. This is accomplished through assertive leadership, attitude, and example. The patrol supervisor has the knowledge to make appropriate, timely decisions as they relate to field events and employee performance.
2. The patrol supervisor must balance the needs of the police officers, which are necessary for their success, with the direction and needs of the organization.
3. With regard to community-based policing, it is the patrol supervisor's function to facilitate and ensure that all officers are skilled and knowledgeable in the area of community-oriented policing. Officers will be held accountable for looking at every call for service from a problem-solving standpoint, even though many calls for service are simply that, and performing problem-solving.
4. Patrol supervisors are responsible for holding people accountable and responsible as well as recognizing employees for good work.
5. Develop interpersonal relationships of respect and trust in order to build a cooperative team.
6. Act as a bridge between the officers and the police administration relative to policy adherence, explanation of new directives, and identifying and interpreting issues from the line level to administration.
7. Be a positive role model; people will do what you reinforce or allow. Personify the organization's vision, mission, and values.
8. Keep personal opinions to oneself, not undercutting what the organization is trying to accomplish. If you have an issue, discuss it with your supervisor.
9. Use the performance evaluation process as a tool for training and development. This includes holding people accountable and modifying behavior, as well as providing positive feedback for good performance.
10. Develop and present directed patrol plans that reflect organizational goals and needs. Utilize all statistical reports available (i.e., weekly crime analyses, LAPD crime analyses, etc.) to determine problem areas.

G. Additional Performance Evaluation Rating Criteria for Employees with Supervisory Authority

1. Affirmative Action/Equal Opportunity Efforts – Does the supervisor support the University’s equal opportunity policies, designed to promote and maintain a diverse workplace within an environment free from discrimination and harassment?
2. Budget Management – Does the supervisor’s unit consistently operate within budget? Is he/she innovative in stretching resources, when necessary, without sacrificing quality?
3. Evaluating Subordinates – Is the supervisor fair, objective, and impartial in his/her performance appraisals? Are evaluations completed and discussed with employees in a timely manner? Is the performance evaluation process utilized both to provide guidance/feedback and as a career development tool?
4. Leadership – Does the supervisor earn and retain the respect of subordinates? Does he/she anticipate, recognize, and act promptly to resolve problems within the unit? Does he/she motivate staff to do their best possible work?
5. Productivity of Work Unit – Does the supervisor oversee work assignments, as appropriate, to ensure timeliness, accuracy and thoroughness? Does he/she take the necessary time to assess the job strengths and aptitudes of individual staff members and, whenever possible, employ them to the advantage of the unit? Does the unit succeed as a team?
6. Scheduling and Coordination – Does the supervisor assign work to subordinates with adequate lead-time and monitor progress, as needed, to forestall problems and ensure timely submission of the final product? Does the supervisor ensure that his/her shift is adequately staffed? For sworn supervisors, does he/she ensure that shift briefings are accurate and thorough?
7. Supervisory Control – Does the supervisor promptly address inappropriate behavior or performance issues? Does he/she document problems and efforts at rectifying them? Is the progressive discipline process utilized correctly and effectively?
8. Training and Instruction – Does the supervisor anticipate and provide for the training needs of the unit as a whole and of individual staff members? Such training includes, but is not limited to, the following:
 - a. Mandated (e.g., POST, legislature, Cal-OSHA, University, Department);
 - b. Skill development/enhancement;
 - c. Remedial (when necessary).
9. First Line Supervisor Role Definition and Job Expectations – In addition to the job descriptions for first line supervisor positions and competencies spelled out in the Department’s Field Officer Training Program, there are a variety of job expectations that surround the basic functions of a police supervisor within the California State University, Northridge Department of Police Services. Those expectations should form the foundation for excellent job performance and must be consistently carried out by all Corporals and Sergeants.

H. Investigator/Detective – Basic Functions

It is the basic function of a department investigator/detective to investigate crimes; identify and apprehend perpetrators; file criminal charges and assist the prosecuting authority; as well as protect lives and property; enforce the laws; arrest offenders and maintain order.

I. Investigator/Detective – Basic Role and Job Expectations

1. Balance victims' needs with the responsibility to conduct a thorough investigation.
2. Build trust and public support for the department.
3. Show sincere concern and empathy for the victims of crime.
4. Be an invaluable link between patrol and the criminal justice system.
5. Recognize, collect, and preserve evidence in an appropriate manner.
6. Effectively utilize search warrants, probation and parole searches, etc., to collect necessary evidence.
7. Pursue the truth and present facts and evidence to prosecuting authorities.
8. Be fair, honest and forthcoming when conducting an investigation.
9. Be knowledgeable, dedicated, hard working, compassionate and above reproach.
10. Keep victims informed about the status of their case.
11. Prepare victims and witnesses for court by explaining the court process, a run-through of their testimony and anticipated actions of the defense counsel.
12. Assist victims and witnesses with every reasonable effort in assuring that their rights to victim/witness services have been delivered to the extent consistent with applicable laws and department policy.
13. Assist the prosecuting authority and continue the investigation, if necessary, after the filing of charges up until the jury receives its final instructions.
14. Document all the facts of your case follow-up investigations in an organized and concise manner.
15. Embrace the philosophy of community policing by working with the courts, social service agencies, and campus-related resources.
16. Recognize the importance of non-criminal investigations that are sensitive to the university.

17. Maintain consistent interaction with patrol in a substantive manner (i.e., attend shift briefings; discuss, update, and/or conduct refresher training on current laws, case law, and crime trends, etc.).

J. Procedures for Use of *Report of Employee Performance*

1. The *Report of Employee Performance* includes detailed instructions for completion of the form as well as recommendations for completing the evaluation process by the evaluated employee's immediate supervisor. Both can be accessed on-line at the Office of Human Resources website link to Employee Relations/Performance Management/Performance Review Form.
2. Explanatory comments and examples must be provided by the rater when performance ratings are designated as Exceeds Expectations or Outstanding on the one hand or Below Expectations or Unacceptable on the other, if any of these areas are noted in the evaluation.

K. Rater Responsibilities

1. Raters must review and follow all applicable CSUEU, SUPA, and other bargaining unit agreement requirements and procedures pertaining to performance evaluations prior to the initiation of the rating process.
2. Raters must strive to keep employees advised throughout the rating period of their observations relative to the employee's job performance in order to give the employee an opportunity to correct deficiencies and ensure that he/she encounters no surprises on the performance evaluation.
3. The rater must gather all available information about the employee's job performance prior to completing the evaluation.
 - a. The employee's personnel file should be reviewed to reference any commendations issued, or adverse comments received, during the rating period.
 - b. Other employees and supervisors/leads should be interviewed to elicit information concerning any occurrences they are aware of that had an impact, positively or negatively, on the employee's performance during the rating period.
4. Criteria used for performance evaluation must be specific to the assignment of the employee during the rating period.
5. Raters will review a draft of the evaluation with their immediate supervisor prior to presenting it to the employee in order to allow additional input within the line of authority.
6. At the conclusion of the rating period, the rater will meet with the employee to discuss:
 - a. Results of the performance evaluation just completed;

- b. The level of performance expected and the goals for the next rating period;
 - c. Training, specialization, and/or advancement opportunities appropriate to the employee's position.
 7. Completed evaluations will be signed by rater, the rater's supervisor and the employee being evaluated. The employee being evaluated may make written comments on the performance evaluation if so desired. The completed evaluation will then be forwarded to the Chief of Police for review and forwarding to the Office of Human Resources for inclusion in the employee's personnel file.
 - a. A copy of the evaluation will be given to the employee.
 - b. A copy will be maintained in the Department's personnel file. Department personnel files are purged five years after termination of employment.
 - c. The evaluation will become a part of the employee's permanent record and will be maintained for three years in Human Resources.
- L. Rater Training
 1. All supervisors of sworn personnel will receive a block of instruction on the preparation of performance evaluations at a POST-approved supervisor's training course.
 2. Human Resources conducts periodic classes for supervisors (and managers) on the University's performance evaluation process and all supervisors are encouraged to attend this training.
 3. Supervisors will be evaluated on their ability to supervise and evaluate subordinate staff.
- M. Frequency of Performance Evaluations
 1. Permanent Employees
 - a. Will be evaluated at least annually with the evaluation report indicating the specific period being rated;
 - b. If the employee's performance is deemed to be unsatisfactory, oral or written notification will be provided, via a counseling session or counseling memorandum, within a reasonable amount of time following the emergence of the problem(s).
 2. Probationary Employees
 - a. New **officer trainees** will be evaluated throughout the Field Officer Training Program period, utilizing Daily Observation Reports and Supervisor's Weekly Reports, which are discussed with and signed by the trainee.
 - b. At the completion of the twenty week program, the trainee will be evaluated by their FTO with a recommendation regarding release from the formal FTO program.

- c. Per Office of Human Resources requirements, a *Report of Employee Performance* will be completed at the end of the 3rd, 6th, and 11th month for both new probationary and newly promoted employees in order to assess their progress and identify areas where improvement may be needed. The 11 month evaluation will indicate whether the employee's performance is such that he/she should be released from probation and become permanent in their position or in their new classification, as appropriate.

N. Appeal Process

1. Sworn Personnel

The appeal process for sworn (SUPA) employees shall follow Article 29 (Performance Evaluation) of the SUPA bargaining agreement.

2. Civilian Employees

The appeal process for civilian (CSUEU) employees shall follow Article 10 (Employee Performance) of the CSUEU bargaining agreement.

O. Management Employees (MPP – Lieutenants, Captains, Deputy Chief, and Chief of Police)

Management employees will be evaluated through a separate performance evaluation system established by Human Resources and approved by the President, using the *Management Personnel Plan Performance Review/Learning Assessment* which can be accessed on-line through the Office of Human Resources website link to Employee Relations/Performance Management/MPP Review & Performance Assessment Tool.

P. Performance Evaluation Comment Cards (Sworn Personnel)

The Department utilizes a performance record system that was developed for assisting both police managers and supervisors in the professional development of sworn members of the Department through the documentation of observable actions above or below acceptable Department performance standards and/or expectations. In essence, this process will serve both as a tool to acknowledge exceptional performance and to provide constructive feedback regarding a negative incident, allowing documentation of the event so it will not be forgotten or overlooked during the evaluation period. Further, employees frequently work for multiple managers and supervisors over a year's period, often creating an information void in the mind of an evaluator. This process has been developed to assist in the completion of fair and objective evaluations that appropriately address an employee's accomplishments and deficiencies during the period being evaluated.

Although documented, performance evaluation comment card entries (see Attachment A) are NOT disciplinary in nature and in many cases may include comments of a positive nature. They do not replace memorandums of counseling or written reprimands in the chain of progressive discipline as they are used for

performance-related matters only. All performance cards shall be purged as soon as the performance period has ended.

The following procedures have been developed to comply with the California Peace Officer Bill of Rights (AB301).

The "Performance Evaluation Comment Card" contains three required signature boxes to be filled out by the issuing supervisor, receiving officer, and reviewing manager. If an entry relates to an arrest or incident, the correct number will be entered in the appropriate box. The narrative section will be filled out by the supervisor with a synopsis of the event.

Upon completing a performance card entry, the supervisor will review the pertinent circumstances with the officer. Once the supervisor and receiving officer have signed the performance card, the supervisor shall provide the employee with a copy of the performance card and forward the original copy to the appropriate manager for review. One of three recommendations will be made by the reviewing manager: entry approval, approval with revision, or entry denied. If approval is granted, the manager will forward the card to the Chief of Police for placement in a performance card file maintained in the Department's central administration office. Denied performance cards shall be immediately shredded and a memorandum sent to the supervisor and receiving employee stating as such. Performance card entries are not subject to dispute. Employees are requested to maintain any rebuttal documentation they may have regarding such an entry for use during the performance evaluation process should the entry be referenced within the evaluation.

Performance cards shall only be maintained for the current year's evaluation period and are purged upon completion of the performance evaluation. Purging of performance cards shall be accomplished utilizing the department's paper shredder.

Sworn officers may review their performance file at any time during the course of a performance rating period by submitting a letter to the Chief of Police requesting such review. Supervisors may also have access to an employee's performance file by following the same process.

Supervisors should constantly strive to improve the professional development of their subordinates and work unit through the reinforcement of excellent work and providing constructive feedback as needed. Assessing employee performance throughout the year is crucial to the success of this goal and should be accomplished through the utilization of personal observation, past and present performance evaluations, performance record entries, discussions with fellow supervisors, and maintaining open communication with employees.

Q. PIP – Personnel Improvement Plans (Sworn & Non-Sworn Employees)

While most of the time individual performance problems can be resolved relatively easily, there are those situations where a formal approach and documentation are needed. The "*Personnel Improvement Plan*" (PIP) provides this formal documentation. PIPs can deal with problems in work performance, behavior, and adherence to rules and regulations. A PIP, if properly written and presented, lets the employee know exactly what the *problems are* as well as what

is expected and will let the employee know what the employer will do *to assist* in the achievement of the expected behavior or performance. The employee is also told what he or she can do to improve. Finally, *a timetable* is set for the achievement of the goals in the PIP. For procedural guidelines involving the development, implementation, and follow-up of PIPs, refer to the California State University, Northridge Police Department's Internal Affairs and Employee Performance Action Plans – Guidelines for Supervisors handbook.

V. APPENDIX

A. Performance Evaluation Comment Card (Sworn Employee)

Appendix "A"

	California State University, Northridge Department of Police Services (Sworn Employee)	OFFICER NAME	DATE / TIME
		SUPERVISOR NAME	DATE / TIME
PERFORMANCE EVALUATION COMMENT CARD		CRIME REPORT NO / INCIDENT NO:	
Narrative:			
SUPERVISOR'S SIGNATURE		DATE / TIME	DATE / TIME
WATCH COMMANDER'S INTL		DATE / TIME	