

Implementing a Comprehensive Performance Management Approach  
in Community Policing Organizations:

# AN EXECUTIVE GUIDEBOOK

Shannon Branly, Andrea Luna, Sarah Mostyn, Sunny Schnitzer, and Mary Ann Wycoff



**COPS**

Community Oriented Policing Services  
U.S. Department of Justice



POLICE EXECUTIVE  
RESEARCH FORUM





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*Shannon Branly, Andrea Luna, Sarah Mostyn, Sunny Schnitzer, and Mary Ann Wycoff*

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## Letter from the Director of the COPS Office

Dear colleagues,

In recent times, we've all seen how critical procedural justice is in effective law enforcement. A community that doesn't believe that the police are procedurally just does not believe in the legitimacy of their authority—and will not be willing to cooperate, much less collaborate, in supporting peace and safety in their neighborhood.

This is not a new idea—the concept of procedural justice underlies the Peelian principles that most of us learned in our basic training. Written by Robert Peel, the 19th century Englishman who started the first municipal police department, they state that the police are citizens in uniform who carry out their duty with the consent of the people.

Procedural justice is also a basic principle of community policing, a philosophy that requires fair and respectful treatment of all members of the community and procedures that are designed to build community relations and collaboration.

But believing and speaking about procedural justice is not enough. This approach to law enforcement must be modeled by law enforcement leaders and incorporated into the workings of the department. The behavior of police officers on the streets more often than not reflects their internal working relationships.

To maintain public safety, today's police chiefs must be more than tacticians or personnel managers—they must be leaders with vision who inspire as well as guide their staff and model the behavior they expect to see in the field.

Performance management in police departments can indeed lead to financial savings and streamlined economies—but most important, it can lead to the rebuilding of broken relationships in the communities we serve. And that is where our performance matters most.

Sincerely,



Ronald L. Davis, Director  
Office of Community Oriented Policing Services





## Letter from the Director of PERF

Over the last several years, police practitioners and researchers increasingly have been discussing “procedural justice.” This term refers to the extent that members of a community feel that they are receiving justice, based on whether the procedures of the criminal justice system seem fair, impartial, and respectful. Police are the most visible representatives of the justice system, even though many other entities are involved, including the court system, probation and parole, the correctional system, and juvenile justice agencies. Because police usually are the “face” of the justice system to the public, police actions have a significant impact on the public’s perception of fairness and equity.

Why is procedural justice important? First, it is a matter of principle. Residents of a community deserve to be treated fairly and respectfully by their police officers. Second, procedural justice is important because it can impact whether police will be successful with crime-fighting strategies and investigations. Police departments achieve more when they have the respect and trust of their communities. If residents trust their local police, they are more likely to report crimes they have witnessed, call the police when they are the victims of crime, and provide tips about crime in their neighborhood.

Police are more successful at creating partnerships with community organizations if the community respects the police department. This impacts how effective a police department is in fulfilling its mission. For example, targeted enforcement efforts in high-crime neighborhoods are compromised if residents of those neighborhoods see the police as aloof or disconnected from the community, or worse, as an “occupying army.” Crime-fighting is more successful if it is a joint effort by police and the community, and if residents see the police as partners who want to help improve the neighborhood and reduce crime.

The results of research on procedural justice are surprising in some ways. Research has indicated that often a person’s feeling about an encounter with the police depends less on the outcome of the encounter than the process.<sup>1</sup> For example, when motorists are pulled over for a traffic stop, one would think that those who are “let off with a warning” would have a better feeling about the police than those who receive a citation and a fine. But research has demonstrated that people’s perceptions of the police are affected more by the process of the interaction than by the outcome.<sup>2</sup> Procedural justice is provided when an officer explains the reason for the stop, and gives the motorist an opportunity to explain any mitigating factors. These behaviors can have a bigger impact on the driver’s perception of police than the final outcome of the stop.

As procedural justice becomes a familiar concept in policing, many police departments are trying to operationalize the concept in their practices and procedures. It’s not enough for a police chief to simply tell the officers, “Go out there and treat everyone with dignity and respect.”

Rather, police chiefs must put systems in place that consistently remind officers that the elements of procedural justice will improve the department’s relationships with community members, and that police employees are expected to use procedural justice principles in their interactions with community members.

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1. Lorraine Mazerolle et al., “Shaping Citizen Perceptions of Police Legitimacy: A Randomized Field Trial of Procedural Justice,” *Criminology* 51, no. 1 (February 2013), 33–63.

2. *Ibid.*

Procedural justice starts with how the department operates internally, and extends out impacting how officers interact with the community. It is less likely that officers will treat community members with respect if the officers feel that they receive no respect in their jobs. We need to instill a commitment to service, not just compliance to rules.

As Public Safety Director Michael Davis of Northeastern University said, “You have to start at home.” In other words, if you want to influence the behavior of your officers, you need to first look at how performance management is conducted in your agency. What messages do you send to officers about whether you value and respect the work they do, and whether you care about them succeeding in their careers? How do you as a chief create an environment whereby everyone has the opportunity to do their best work?

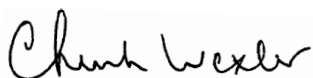
The Office of Community Oriented Policing Services and the Police Executive Research Forum partnered to develop a performance management approach that will help police leaders to address these needs. This publication is intended to serve as a guide for police leaders on how to incorporate procedural justice principles into their current performance management systems to reinforce the importance of these principles, modeling how officers should interact with community members.

The information provided will inform police agency leaders and managers as they consider changes in policy and practice with respect to performance management and evaluations. This guide also discusses a number of promising practices and provides examples of tools that first-line supervisors can use to better manage, lead, and develop the potential of officers. Although this publication focuses mainly on first-line supervisors and the management of officer performance, many of the practices mentioned can be used by any person in a managerial or supervisory position within a police agency.

This guide includes summaries of relevant research on employee management and procedural justice, general recommendations on how to incorporate procedural justice principles into an existing performance management system, and promising practices with implementation suggestions and sample tools.

Procedural justice should be a foundational principle of all of a police department’s operations. President Obama’s Task Force on 21st Century Policing recommended policing practices that promote effective crime reduction while building public trust. One recommendation encourages police to promote legitimacy internally within their organizations by applying principles of procedural justice. The task force calls on police agencies to involve employees in developing policies and procedures to help create a shared vision and mission for the department.<sup>3</sup>

The report you are holding is designed to help put that vision of the President’s Task Force into practice. We hope you will find it informative and useful.



Chuck Wexler, Executive Director  
Police Executive Research Forum

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3. President’s Task Force on 21st Century Policing, *Final Report of the President’s Task Force on 21st Century Policing* (Washington, DC: Office of Community Oriented Policing Services, 2015), [http://www.cops.usdoj.gov/pdf/taskforce/TaskForce\\_FinalReport.pdf](http://www.cops.usdoj.gov/pdf/taskforce/TaskForce_FinalReport.pdf).

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We would also like to thank our Working Group members (see appendix A for a complete list) who provided us with valuable insight into the strengths and weaknesses of current performance management systems, especially at the first-line supervisor level, and who explained how procedural justice concepts can be applied to the everyday workings of a police department. We are especially grateful to Northeastern University Director of Public Safety Michael Davis and Mahogany Eller of Target Corporation for sharing their vision of developing personnel through innovative performance management; to Professor Tom Tyler for his expertise on procedural justice in policing, and to consultant Mary Ann Wycoff for her expertise on police performance measurement.

This publication would not have been possible without the information we received from the police agencies that invited us to thoroughly explore their performance management and evaluation systems, including the Arlington (Texas) Police Department, the Brooklyn Park (Minnesota) Police Department, the Denver Police Department, the Los Angeles Police Department, and the Minneapolis Police Department. These agencies allowed us to hold focus groups and interviews with their officers and other personnel, and facilitated our review of their policies on performance management and evaluations.

Finally, PERF staff members should be credited with the successful execution of this project. Chuck Wexler, Andrea Luna, Shannon Branly, Sunny Schnitzer, Greg Newman, Sarah Mostyn, and Balinda Cockrell and project consultant Mary Ann Wycoff organized and hosted Working Group meetings, collected and reviewed relevant research, conducted focus groups and interviews, and refined the final performance management approach presented in this publication. The authors thank Craig Fischer for his edits during the development of this document. Finally, a special thanks to our subject matter experts, Larry Moser (police leadership trainer), Timothy Dolan (retired Minneapolis police chief), and Charlie Deane (retired Prince William County [Virginia] police chief) for reviewing this document and providing invaluable feedback.





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## Executive Summary

This guide provides strategies for police executives who wish to implement a comprehensive approach to performance management in their departments. Performance management is not merely about evaluating officers' performance once a year for an annual review. Rather, performance management is about continuous efforts, day by day, to define what a community wants from its police department and then to build on community expectations by spelling out what police department leaders expect from their officers—what they should do, how they should do it, and the types of activities that should consume most of an officer's time.

Furthermore, performance management is about supervisors' constant efforts to evaluate how well each officer is doing in meeting these expectations. Supervisors use performance management to help officers improve their skills so they can advance in their careers and perform worthwhile, fulfilling work.

More specifically, this guide provides recommendations for adopting a particular type of performance management—namely, one that is based on the principles of community policing (which have been developed over a period of decades) and that operationalizes more recent concepts of procedural justice in policing.

### Community policing

Community policing is grounded in the core elements of solving problems of crime and disorder in a community, creating partnerships with members of the community, and transforming the organization of a police agency in order to achieve the goals of reducing crime and improving the quality of life and the interactions of the community with the police. To achieve these goals, mutual trust is needed between police agencies and the communities they serve.

### Procedural justice

Research has found that increasing public confidence and satisfaction with the police can be accomplished by incorporating strategies that include the components of procedural justice, which are often summarized as fairness, respect, voice, and transparency.<sup>4</sup> In other words, police should treat people neutrally, without favoritism or bias (fairness); they should treat community members with dignity (respect); they should allow community members to express their views or tell their side of a story (voice); and they should be clear and open in explaining what they do and why (transparency).

Because procedural justice describes the extent to which residents of a community believe the police treat them with fairness and respect, police leaders are finding that strategies based on the principles of procedural justice can increase the perceived legitimacy of police departments in the community. Perceptions of legitimacy, in turn, can increase the willingness of the public to assist, cooperate with, and otherwise support the police.

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4. Lorraine Mazerolle et al., *Legitimacy in Policing: A Systematic Review*, The Campbell Collaboration 9, no. 1 (2013), <http://www.campbellcollaboration.org/lib/project/141/>.



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## External and internal procedural justice

The concept of procedural justice as applied to relationships between the police and community is referred to as external procedural justice. The related concept of internal procedural justice refers to the extent to which officers feel that they are treated fairly within the department and are respected by their superior officers and their elected officials.

Internal procedural justice is important not only because it represents the right thing to do but also because officers who experience procedural justice from their supervisors are more likely to understand those principles and use them in their interactions with the public. Essentially, police leaders who use procedural justice with officers are modeling the types of behaviors that they want officers to demonstrate in their dealings with community members.

Officer evaluations and performance management systems are important links between officers in the field and department leaders. When designed properly, performance management and evaluation tools provide important information to police leaders about whether agency policies, directives, and values and the department's mission are being fulfilled. How a police agency handles performance management and evaluations can impact officers' overall perception of the internal legitimacy of their own organization, their job satisfaction, and officers' willingness to take the extra step to ensure community safety and satisfaction.

Police executives, academics, and others recognize that there is a significant gap between the widespread implementation of community policing and the slower progress in performance management. Community policing has been widely accepted in thousands of departments nationwide, but advances in police officer evaluation systems have been incremental at best, and many community policing agencies have not updated their formal systems to incorporate community policing concepts at all.<sup>5</sup> Police executives often report that their officers are working, but they are not necessarily focusing on the type of work that supports the department's strategies and mission.<sup>6</sup> "Community policing has to happen at the ground level. It is not about the chiefs . . . understanding what it's all about; it's about how the officers do their jobs," Philadelphia Police Commissioner Charles Ramsey said at a 2014 Police Executive Research Forum (PERF) conference.<sup>7</sup>

In many departments, antiquated systems for measuring performance are still based on negative indicators such as a lack of citizen complaints, which can have the unintentional effect of discouraging officer-initiated activity. Other performance indicators, such as issuing traffic citations or responding to radio calls promptly, may have little or nothing to do with problem solving or building partnerships with local residents. To truly implement community policing, agencies need performance evaluation systems that recognize competencies that support community policing approaches, such as ethics; problem solving; leadership; and interpersonal, technical, and communication skills.<sup>8</sup>

5. David Lilley and Sameer Hinduja, "Organizational Values and Police Officer Evaluation: A Content Comparison between Traditional and Community Policing Agencies," *Police Quarterly* 9, no. 4 (December 2006), 486–513, <http://pqx.sagepub.com/content/9/4/486.full.pdf>; David Lilley and Sameer Hinduja, "Officer Evaluation in the Community Policing Context," *Policing: An International Journal of Police Strategies & Management* 29, no. 1 (December 2006), 19–37.

6. Nancy McPherson, "Reflections from the Field on Needed Changes to Community Policing," in *Community Policing: The Past, Present, and Future*, eds. Lorie Fridell and Mary Ann Wycoff (Washington, DC: Police Executive Research Forum, 2004), [http://www.policeforum.org/assets/docs/Free\\_Online\\_Documents/Community\\_Policing/Community%20policing%20-%20the%20past%20present%20and%20future%202004.pdf](http://www.policeforum.org/assets/docs/Free_Online_Documents/Community_Policing/Community%20policing%20-%20the%20past%20present%20and%20future%202004.pdf).

7. *Defining Moments for Police Chiefs* (Washington, DC: Police Executive Research Forum, 2015), 31, <http://www.policeforum.org/assets/definingmoments.pdf>.

8. *Community Policing: The Past, Present, and Future*, eds. Lorie Fridell and Mary Ann Wycoff (see note 6).



This guidebook stresses the role of executive leadership within a comprehensive performance management approach. The emphasis of this work is centered on the role of first-line supervisors.

## Part I. The foundation for a new performance management approach

PERF and the Office of Community Oriented Policing Services (COPS Office) assembled a team of subject matter experts on these topics from academia, policing, and the private sector to identify promising practices in performance management and talent development. This guidebook presents a variety of strategies for police executives to consider to improve performance management and incorporate procedural justice components into an agency's systems and processes. This guide also provides methods and tools for first-line supervisors (who typically are sergeants) to help them develop and assess the performance of officers.

### Project approach and methodology

The recommendations and practices highlighted in this publication were guided by a working group of representatives from the police departments in Arlington, Texas; Denver; Los Angeles; Brooklyn Park, Minnesota; and Minneapolis. These five agencies served as learning sites for the project team. Dr. Tom Tyler of Yale University, one of the nation's foremost experts on the topic of procedural justice, and Mary Ann Wycoff, a researcher specializing in the implementation of community policing and the measuring police performance, served as consultants and participated on the project team. The project team also included several of Target Corporation's top executives and talent development consultant specialists. Target Corporation is known for its assistance to local police agencies and for its sophisticated performance measurement and goal-setting system for its employees. Other working group members included additional police chiefs and representatives from other COPS Office-funded projects on procedural justice.<sup>9</sup> The project included a comprehensive literature review and a request for information from PERF's member agencies.

A major point of consensus during the first working group meeting was that performance management needs to focus on continuously developing officers' skills and leadership rather than relying solely on written annual evaluations. PERF and the COPS Office were encouraged to broaden the project in order to address leadership development within performance management.

PERF conducted site visits to all five working group departments in 2013 and held focus groups with a wide range of police personnel to collect feedback on current performance management practices and proposed alternatives. A preview of the findings and promising practices was presented in February 2014 through a national webinar. More than 200 individuals participated in the webinar, including police chiefs, command staff members, police researchers, and other criminal justice stakeholders. Feedback from that event was used to further clarify concepts, recommendations, and promising practices.

### State of the field: Project findings on current performance measurement approaches

Despite the theoretical advantages of having a strong performance management system, there has been a long-held perception in policing that evaluation systems are ineffective.<sup>10</sup> This sentiment was echoed in the findings from PERF's scan of the field and detailed interviews with police personnel in the five working group agencies.

9. See appendix A for a full list of the working group members.

10. Timothy N. Oettmeier and Mary Ann Wycoff, "Personnel Performance Evaluations in the Community Policing Context," in *Community Policing: Contemporary Readings*, eds. Geoffrey P. Alpert and Alex Piquero (Long Grove, IL: Waveland Press, 1998), 351–398.



The key themes regarding performance evaluation systems are summarized here.

- **Measures don't match job expectations or activities.** One of the most common complaints from the field was that officers and other police personnel felt they were not being formally evaluated on what they perceived to be their responsibilities. This disconnect has caused employees to view evaluation tools as invalid and unreliable.
- **City-wide generic forms do not reflect the nature of the police work.** The working group found that many departments are required to use city-issued or standardized evaluation forms with measures that do not apply or are insufficient for assessing police work, either sworn or civilian. In addition, some police executives indicate that they have little control over the content of these forms and the personnel evaluation process set forth by the city.
- **There is too much focus on quantitative measures.** Police departments have long relied heavily on numerical data for evaluating the agency as a whole and for evaluating personnel.<sup>11</sup> In discussions with police leaders, it became evident that this continues to be a weakness in evaluation systems. Qualitative evaluations provide a more complete picture of how an individual thinks, invests time and resources, and accomplishes change within the organization.<sup>12</sup>
- **Evaluations don't carry any weight.** During conversations, police employees consistently said that evaluations have little impact because the results often are not tied to any meaningful outcomes for personnel, such as promotions, reassignments, etc.
- **It is difficult to provide honest feedback.** During discussions, supervisors said that it was difficult for them to provide honest feedback. Reasons for this difficulty included not only a lack of proper tools (such as inadequate evaluation forms) but also the fact that supervisors lack the skills to deliver candid evaluations of their officers. Some police personnel noted that personal relationships between supervisors and employees can result in inflated evaluation ratings of officers. Conversely, lack of interactions between officers and supervisors can leave the supervisor with little information with which to formulate an evaluation.
- **Employees have little or no input in the evaluation.** Many evaluation processes do not provide an opportunity for officers to give their opinion of their own performance or to respond to the evaluations provided by their supervisors.

## PART II. Recommendations for a procedural justice-infused approach to performance management

### **Recommendation 1. Assess the agency's current performance management and evaluation systems.**

*Promising practice: Review the purpose, processes, and content of the system.*

A critical first step to determining how procedural justice principles can be best applied to existing performance management and evaluation systems is to examine the purpose, processes and content of those systems and ask several important questions. How is the system connected to the agency's goals and mission? What tools or materials are being used? What training is provided to the evaluators? What are the outcomes of an evaluation?

11. Nigel Fielding and Martin Innes, "Reassurance Policing, Community Policing, and Measuring Police Performance," *Policing and Society* 16, no. 2 (2006), 127–145.

12. Peter Yih-Tong Sun and John L. Scott, "Towards Better Qualitative Performance Measurement in Organizations," *The Learning Organization* 10, no. 5 (2003), 258–271.

*There should be connections between performance management, accountability, and disciplinary systems.*

The way in which discipline is administered is critically important to employee perceptions of procedural justice within a department. Discipline often is perceived as unfair largely because the process is a confidential personnel action in which transparency is not always possible. In many departments, the problem is even more basic; officers and even supervisors may not know how the disciplinary system is supposed to work. Police leaders at all levels should be responsible for educating their employees on the discipline system and whether or not evaluations have a role (either formal or informal) within the discipline system.

### **Recommendation 2. Facilitate strong supervisor-employee relationships.**

A strong supervisor-employee relationship is particularly important in the context of police agencies, where first-line supervisors are responsible for ensuring that officers are acting within policy and procedures. The chief and top managers rely on first-line supervisors to apply policies and directives, and officers rely on their supervisors to tell them what is expected of them, to hold them accountable, and to lead them through each shift.

*Promising practice: Promote consistent two-way communication between supervisors and employees.*

Open communication builds rapport between supervisors and officers; teaches the supervisor about the strengths and weaknesses, preferences and aspirations, and personal concerns of officers; and provides supervisors with direct access to field information. Some police departments are taking steps to encourage more open communication between supervisors and employees. For example, the Minneapolis Police Department's current "Goals and Metrics" performance review system formalizes monthly conversations among supervisors and between supervisors and their subordinates to improve the overall efficiency and effectiveness of the department. Another example is the Brooklyn Park (Minnesota) Police Department, which encourages sergeants to conduct end-of-shift debriefing sessions with the entire squad.

*Promising practice: Supervisors need to be visible to personnel, especially in the field.*

While there are many competing demands for a supervisor's time, sergeants should attempt to spend time in the field with officers as much as possible. Police executives and command staff should assess the daily responsibilities and tasks required of first-line supervisors to ensure that they have enough time to be available to employees.

*Promising practice: Emphasize the value of personnel.*

An agency following the principles of procedural justice will treat all employees fairly and with respect, allowing each to have a voice in the organization, and will be open and transparent in its processes and decision making. Implementation of these principles communicates the message that the department values its employees.

*Promising practice: Recognize good performance.*

A chief who routinely comments on exemplary officer performance is sending the message that he or she knows what is going on in the organization and expects to be informed. This, in turn, creates the expectation that managers and supervisors will be aware of employee activities and will relay this information to their supervisors.

**Recommendation 3. Performance management approaches should emphasize career development and talent development at all levels.**

Concentrating on the development of officers' talents, leadership skills, and careers can produce a number of benefits. First, employee motivation and job satisfaction should increase as employees are able to improve their skills, meet goals, and perform better. Second, the agency is able to train and harness the talents of its employees to fill critical roles with the most qualified personnel, either to meet current needs or for succession planning.

*Promising practice: Teach supervisors coaching skills as part of their leadership development.*

Target Corporation, a partner in this project, has developed a collaborative coaching model to encourage supervisors (known as coaches) to help their employees accomplish their goals, meet business unit expectations, and develop competencies. A key skill that Target training emphasizes with its coaching model is listening skills (e.g., removing distractions, completing your current task in order to focus on listening to the employee, and providing parameters so the employee will know how much time the supervisor has for the discussion).

*Promising practice: Encourage mentoring to promote growth opportunities.*

A mentorship program, pairing a new officer with an experienced officer, provides guidance on appropriate behaviors and department expectations and helps the less experienced officer develop the necessary skills for success and advancement.

*Promising practice: Use an individual development plan as a personalized tool for employees.*

An individual development plan (IDP) is a structured document used to identify employee goals and establish actionable steps for achieving them and a tool to facilitate ongoing discussions between supervisors and employees. The IDP instrument is personalized to fit the needs and wants of the employee and can be adjusted to address short-term goals related to employees' current work and position or long-term career goals. The key is to treat the instrument as a living document that is constantly updated as goals are achieved or revised. If sergeants and other supervisors need a tool to help them initiate meaningful conversations and build relationships with employees, an IDP may be a structure for those efforts.

*Promising practice: Explore the 360-degree evaluation process as a leadership development tool.*

In a 360-degree evaluation, multiple people within an organization provide input on the performance of an individual employee. By including more sources in the process, the agency potentially increases the credibility and accuracy of an employee's performance evaluation. Some agencies may find that this tool may be more useful as part of the promotional process, rather than as a performance appraisal.

**Recommendation 4. Focus on the selection and training of effective supervisors.**

During several of the project interviews, officers complained that the right people were not being promoted to sergeant in their organization.

*Promising practice: Actively recruit qualified supervisors.*

Most departments assume that people who are interested in promotion will apply and go through the process if they feel they meet the qualifications. But organizations might end up with more effective supervisors if they consciously began to identify and encourage officers who have the desirable traits for the position.



*Promising practice: Ensure the supervisor selection process is fair and valid.*

There are a number of methods police managers use to select candidates for promotion, including various tests, assessment centers, and interview panels. Qualities such as leadership are often left out of the written exams common in police departments. Police executives should take the time to reevaluate the processes and outcomes of their promotion processes. In addition to promoting the right people, the process needs to be perceived by employees as fair and valid. Even if the process is fair but not perceived to be so, the most desirable potential candidates may decline to participate in the process.

*Promising practice: Train sergeants on how to be effective supervisors.*

New first-line supervisors require proper training to ensure that they fully understand their role and responsibilities and have mastered the skills to effectively manage and lead officers. Training should be routinely reviewed to determine whether it incorporates principles of procedural justice and effectively transmits the knowledge, skills and abilities necessary to be an effective community policing supervisor.

## **PART III. Moving from a traditional performance system to one based on principles of procedural justice: Practical considerations and next steps**

In this section, police chiefs provide insights from their own perspective on how to navigate introducing procedural justice into performance management and how to use this guidebook effectively.

### ***Police chiefs can engineer their performance management systems***

*By Michael Davis, Director of Public Safety, Northeastern University*

As chiefs, we need to acknowledge that the paramilitary police structure that we work within is not inherently set up to support this individualized approach to personnel development. Thus, the focus should be placed on relationships within the organizations, especially the quality of relationships at the first-line level. When people leave an agency, they often say, "I'm going to miss the people here." You should also want them to miss the organization itself and what they were part of.

### ***Create policies that mandate supervision practices***

*By Tim Dolan, Chief (retired), Minneapolis Police Department*

If a supervisor has no real duties to supervise officers in the field, they will seldom be able to act as a supervisor in a performance rating. For example, I found that mandating a supervisor response to all vehicle chases and uses of higher levels of force changed the relationship between officers and sergeants. Sergeants are required to approve the continuance of a chase, to respond to the scene, and to make a preliminary report on the appropriateness of the chase. They also have to respond to any scene where deadly force was threatened or where someone was injured badly enough to need medical treatment. Those supervisors are then held accountable for the performance of their officers. It was tough at first, but supervisors soon became real supervisors, and I think officers changed what they were doing as well, because they knew the sergeant was coming to the scene.

### ***Chiefs can be leaders in performance management***

*By Chief Will Johnson, Arlington (Texas) Police Department*

After 21 years of experience in law enforcement, I have found that nothing has been more resolute in expressing the core values of the profession than procedural justice. It should be central to everything that we do, from the inside out. Many police departments may be locked in to the performance evaluations provided



to them through their city administration. But it is important to recognize that performance management is tied to every system within a police department. Police executives can be the leaders in performance management, and we should bring citywide human resources practices along with us.

### ***Why chiefs should use this guidebook***

*By Chief Charlie Deane (retired), Prince William County (Virginia) Police Department*

How do police leaders expect officers and support staff to accept new performance measures based on these broad concepts that can be difficult to articulate? It is fundamental that officers who are expected to treat others with fairness and respect receive that same level of treatment themselves. In that regard, open communications between officers and supervisors and fairness in assignments, promotions, and discipline can go a long way in establishing the necessary environment for change. And of course, front line supervisors are key players in implementing and maintaining the new expectations.

### ***Engage your supervisors and set the example***

*By Chief Janeé Harteau, Minneapolis Police Department*

Transforming performance management is a lot of work for a chief. You have to be engaged and leading the charge the whole way. But it can't just be your executive team that is on board with changing performance management. Bring your lieutenants and sergeants into the conversation early on. By engaging them early, you make sure the message doesn't get watered down. Make sure that all of your supervisors know why you're implementing changes, as well as how the changes are being implemented and what's expected of them.

### ***Procedural justice addresses the frustrations of our communities today***

*By Chief Robert C. White, Denver Police Department*

Police are under a lot of scrutiny and are being criticized because many people think that officers are breaking the law and getting away with it. In some incidents, officers' actions were legal, but they may not have been the best response. There is sometimes a disconnect between what is technically legal and what you should do as a person with authority. Citizens are asking if actions of the police were necessary. We need to take a closer look at how officers are making decisions and incorporating those decision-making skills into performance management.

## **Conclusion**

The recommendations presented in this guide are not meant to be quick fixes but rather methods to achieve lasting changes in police agency culture and attitudes. While some results may become apparent immediately, others will likely require months or years of effort.

Ultimately, police leaders, supervisors, and personnel want a fair and open system that helps improve performance and cultivates talent within a department. The recommendations suggested in this guide can be tailored by police agencies to positively adjust behavior to the benefit of the employee, the department and the community.

Currently, there is a heightened awareness of the need for community policing and its role in building public trust, which has suffered greatly over the last several years as a result of perceived bias and first-hand reports (including video evidence in some cases) of injustice within policing and the criminal justice system. Re-engineering how we evaluate police officers using a procedural justice model is an essential step towards regaining credibility with the community.

The key questions for every system and process, whether it be the promotional, disciplinary, training, or personnel system, include the following:

- Are the policies and procedures transparent? Are they published in a way that can be understood by employees? Are they accessible?
- Have employees had input and voice in their formulation?
- Are they administered fairly and consistently, in line with the organization's values?
- Do agency processes respect the dignity of employees?
- Is there an open and fair complaint process to address practices that employees do not consider just?

## Introduction

“Performance evaluation remains an ineffective tool in the police management toolbox. Because the policing job is enormously complex, many departments still have not created performance evaluations that adequately reflect the work police do. The tendency is to measure that which is easy to measure, rather than what matters.”

—Chuck Wexler, Mary Ann Wycoff, and Craig Fischer, “*Good to Great*” Policing<sup>13</sup>

Since the 1980s, the shift to community policing has broadened the job of police officers to include engaging community members as active partners in proactive crime prevention and problem-solving initiatives. More recently, the application of the principles of procedural justice to policing has broadened the meaning of community policing.

*Procedural justice* is a term used in policing to describe the extent to which residents of a community believe that they are treated with fairness, dignity, and respect.<sup>14</sup> Police are the most visible representatives of that government, and the ways in which residents of a community perceive their local police officers and interpret police behavior are essential to the ability of the police to build community trust, establish partnerships, conduct targeted enforcement efforts, and address community concerns—all of which are critical to effective community policing.<sup>15</sup> Police leaders are finding that strategies based on the principles of procedural justice can increase the perceived legitimacy of police departments in the community and can increase the willingness of the public to assist, cooperate with, and otherwise support police.<sup>16</sup>

Attention to questions of procedural justice and police legitimacy increased in 2014–15 in the wake of events in Ferguson, Missouri, and other communities across the nation. Some observers have said that American policing experienced the biggest crisis of public trust in decades. Certainly, communities are demanding greater transparency and accountability from their police departments than in the past.

For these reasons, police executives need a comprehensive performance management approach that incorporates principles of procedural justice and legitimacy.

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13. Chuck Wexler, Mary Ann Wycoff, and Craig Fischer, “*Good to Great*” Policing: *Application of Business Management Principles in the Public Sector* (Washington, DC: Office of Community Oriented Policing Services, 2007), <http://ric-zai-inc.com/Publications/cops-w0767-pub.pdf>.

14. A number of researchers, including Dr. Tom Tyler, Dr. E. Allan Lind, Dr. Stephen Mastrofski, Dr. Jeffrey A. Fagan, Dr. Tracey Meares, and others have studied and defined procedural justice in policing.

15. Tom Tyler, “Race, Legitimacy, and Cooperation with the Police,” presentation given to *Legitimacy and Community Cooperation with Law Enforcement* seminar of the National Institute of Justice, Washington, DC, August 25, 2009, <http://www.nij.gov/multimedia/presenter/presenter-tyler/pages/presenter-tyler-transcript.aspx>; Dennis P. Rosenbaum, “Community Policing and Web-Based Communication: Addressing the New Information Imperative,” in *Community Policing: The Past, Present, and Future* (see note 6).

16. Jason Sunshine and Tom R. Tyler, “The Role of Procedural Justice and Legitimacy in Shaping Public Support for Policing,” *Law & Society Review* 37, no. 3 (September 2003), 513–548.

## Performance management in police organizations

Performance management is the means by which police executives define a department's mission; develop measurable goals that are consistent with the mission; and build internal systems to ensure greater effectiveness, efficiency, and accountability in achieving results.<sup>17</sup> For example, CompStat programs are a performance management strategy that many departments use to monitor progress in addressing their most critical crime issues.

While the vast majority of police agencies use a formal annual evaluation process, performance management systems are not limited to the one component of annual evaluations. Any practices or policies that help shape, develop, and monitor employee behaviors and activities can be considered part of a performance management system. In addition to policies, these practices would include all aspects of the personnel system from recruitment, selection, training, supervision, evaluation, mentoring, rewards, and discipline from the point of hire to retirement. Operational examples range from simple post-shift debriefs to structured programs for monthly conversations between supervisors and employees. Both of these examples are discussed in this guide, along with other illustrations of ways to change or supplement an agency's performance management system to make it more comprehensive.

PERF's prior work on performance measurement looked at the issue from an agency-level perspective. In 2006, PERF released its findings from a National Institute of Justice (NIJ) study of agency-level performance management systems in policing. Through this project, PERF created a model comprising performance expectations for modern law enforcement agencies and measures and methods for helping departments meet these expectations. Recommendations were also provided for the organizational structures necessary to hold an agency and its employees accountable for their performance. This model focused on the collection and analysis of a broad range of performance measures, allowing agencies to measure their performance in many different ways. The model identified three major components of a comprehensive agency-level performance management system: (1) performance expectations, (2) performance measures, and (3) accountability structures.<sup>18</sup> It is important to note that these model components operate on two levels: the agency level and the individual level.

Achieving organizational goals demands a comprehensive approach to both agency-level and individual-level performance management, and these two systems must be carefully linked. Just as the organization sets goals for its overall performance and how its performance will be measured and tracked, individual goals and measures must also be set for each employee.

## Why is performance management important?

Research has found that employees' job satisfaction is positively correlated with productivity and with the financial and long-term success of an organization.<sup>19</sup> Specific to policing, job satisfaction was found to increase productivity as well as quality of service.<sup>20</sup> Improving and understanding job satisfaction is crucial to effective use of resources and officer retention and ultimately to effective policing.

17. Stacy Osnick Milligan and Lorie Fridell, *Implementing an Agency-Level Performance Measurement System: A Guide for Law Enforcement Executives* (Washington, DC: Police Executive Research Forum, 2006), <https://www.ncjrs.gov/pdffiles1/nij/grants/214439.pdf>.

18. Ibid.

19. Adnan Aktepe and Suleyman Ersoz, "A Quantitative Performance Evaluation Model Based on a Job Satisfaction-Performance Matrix and Application in a Manufacturing Company," *International Journal of Industrial Engineering: Theory, Applications, and Practice* 19, no. 6 (June 2012), 264–277.

20. Serhan Ercikti et al., "Major Determinants of Job Satisfaction among Police Managers," *Southwest Journal of Criminal Justice* 8, no. 1 (2011), 97–111, <http://www.swacj.org/swjca/archives/8.1/Major%20Determinants%20of%20Job%20Satisfaction.pdf>.



Job satisfaction is defined as the collective attitudes that employees hold towards various aspects of their job and work context.<sup>21</sup> A study of 16 police agencies in Alabama found that social contribution, pay, adventure and excitement, autonomy, peer respect, and job security were all related to job satisfaction.<sup>22</sup> Another study found that an officer's job tasks and support from peers and managers were important predictors of job satisfaction.<sup>23</sup> Other research identified three main factors that affect employee job satisfaction: (1) the structure of the job and the extent to which tasks are clearly defined, (2) employee participation in making decisions, and (3) employee appraisals.<sup>24</sup> These factors generally align with the principles of procedural justice (transparency, giving people voice by allowing them to tell their stories, and fairness, respectively),<sup>25</sup> and supervisors can influence employee job satisfaction in all three of these areas.

Research indicates that as brokers of change within a police organization, first-line supervisors who are innovative befriend officers more easily. This improvement in relations between supervisors and officers has a positive impact on job satisfaction. In addition, when supervisors are responsive to their officers and work to develop intrinsic reward systems, officers are more satisfied with their jobs.<sup>26</sup> The supervisory role in an organization remains a vital mediator of job satisfaction within police departments. In fact, there is a positive correlation between consideration and support from supervisors and organizational commitment by patrol officers.<sup>27</sup>

### The goal of this guidebook

Community policing is recognized as a best practice in policing, and this understanding is reflected in the mission and vision statements of progressive police agencies across the nation. Many agencies have also developed accountability systems and outcome measures for determining their progress in key operational areas (e.g., CompStat) and systems for investigating or flagging potentially problematic employees or issues. However, systems to monitor and evaluate the performance of police personnel have advanced at a much slower rate.<sup>28</sup>

Police executives, academics, and others recognize that there is a significant gap between community policing implementation and the ways officer performance is managed and evaluated. Community policing has been widely accepted in thousands of departments nationwide, but advances in police officer evaluation systems have been incremental at best, and many community policing agencies have not updated their formal systems to incorporate community policing concepts at all.<sup>29</sup> Police executives often report that their officers are working but are not necessarily focusing on the type of work that supports the department's strategies and mission.<sup>30</sup> In many departments, antiquated systems for measuring performance are still based on negative indicators such as a lack of citizen complaints, which can have the unintentional effect of discouraging officer-initiated activity, or on performance indicators that have little or nothing to do with problem solving or building partnerships

21. Aktepe and Ersoz, "Quantitative Performance Evaluation Model" (see note 19).

22. Philip E. Carlan, "The Search for Job Satisfaction: A Survey of Alabama Policing," *American Journal of Criminal Justice* 32, no. 1–2 (October 2007), 74–86.

23. Richard R. Johnson, "Police Officer Job Satisfaction: A Multidimensional Analysis," *Police Quarterly* 15, no. 2 (June 2012), 157–176, <http://pqx.sagepub.com/content/15/2/157.full.pdf>.

24. Milica Jaksić and Milos Jaksić, "Performance Management and Employee Satisfaction," *Montenegrin Journal of Economics* 9, no. 1 (March 2013), 85–92, [http://www.mnje.com/sites/mnje.com/files/085-092\\_jaksici.pdf](http://www.mnje.com/sites/mnje.com/files/085-092_jaksici.pdf).

25. The principles of procedural justice are explained in more detail in the next section.

26. Yumin R. Wang, "Does Community Policing Motivate Officers at Work and How?" *International Journal of Police Science & Management* 8, no. 1 (Spring 2006), 67–77, <http://www.vathek.org/doi/pdf/10.1350/ijps.2006.8.1.67>.

27. *Ibid.*

28. Fielding and Innes, "Reassurance Policing" (see note 11).

29. Lilley and Hinduja, "Organizational Values" (see note 5); Lilley and Hinduja, "Officer Evaluation" (see note 5).

30. McPherson, "Reflections from the Field" (see note 6).



with local residents (such as issuing traffic citations or responding to radio calls promptly). To truly implement community policing, agencies need performance evaluation systems that recognize competencies that support community policing approaches, such as ethics; problem solving; leadership; and interpersonal, technical, and communication skills.<sup>31</sup>

Police agencies are struggling to balance effective crime control strategies with the need to be respectful of privacy, supportive of civil rights, transparent to the public, and accountable. It is critical that police departments strengthen internal management processes so that the daily work of police officers is perceived as fair and can be measured consistently in terms of how well it advances department priorities, including community policing principles.

### **A comprehensive performance management approach is key**

This guidebook encourages police executives to build a comprehensive approach to performance management. Building on the importance of agency-level performance management systems developed in previous work, this guidebook focuses particularly on how to supplement these systems with individual-level approaches that incorporate the principles of procedural justice and can be used by first-line supervisors and others to lead, mentor, and evaluate their personnel.

While the chief executive is the leader and sets the tone of a police agency, it is the officers who have the most interactions with the public on a daily basis. Officer behaviors influence public perceptions of the police department, and first-line supervisors (often at the rank of sergeant) play a vital role in communicating the mission, values, initiatives, and policies of the department to officers and in supervising their actions in the field.

This guidebook will assist police chiefs in focusing on the role of first-line supervisors as part of the agency's comprehensive performance management approach and will guide these supervisors to the resources they need to develop the skills of their officers while promoting procedural justice principles. The guidebook includes a series of promising practices, practical examples, and tools from the field of policing as well as from the private sector to help agencies measure the right officer behaviors and activities to carry out its mission and to make the evaluation process itself more transparent and fair. The principles and resource templates in this report are also applicable to other supervisors and personnel throughout a police department.

### **One size doesn't fit all**

Each law enforcement agency is unique, and many agencies operate under policies and procedures, including labor agreements, that may limit the changes to the performance management or employee evaluation processes that a chief can make solely on his or her own authority. Therefore, the proposed approaches outlined in this report are meant to be flexible. Not all of the recommendations and promising practices will be appropriate for all agencies. Rather, agencies may adopt the recommendations and promising practices that align with their department structure and circumstances. Some agencies may decide that further tailoring of a recommendation is necessary to meet their needs.

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31. Ibid.

However, one theme of this guidebook that applies across the board is the need for a multifaceted approach to performance management. Employee evaluations are only one element of the approach. Performance management systems can include formalized strategies such as coaching, mentoring and talent development. In successful, results-driven organizations, these systems are thoughtfully planned and are used on a daily basis. This guidebook is designed so that the principles, practices and tools can be adapted and applied to existing systems in a relatively straightforward manner.

### **The contents of this guide**

**Part I** of this guide discusses the principles of community policing and procedural justice (as applied within a police agency and in police interactions with community members) and the relationship between the two types of procedural justice (internal and external). Relevant literature and findings regarding performance management and policing are presented, along with the project's approach and methodology. Part I also includes a discussion of current practices and weaknesses in existing evaluation systems, as identified during the project research.

**Part II** presents recommendations for a procedural justice-infused approach to performance management within police agencies. In each area, the report describes the benefits and limitations of the recommendations, along with promising practices, examples, resources, and advice for the practical application of the recommendations.

**Part III** provides advice and insight directly from police chiefs on how to incorporate procedural justice into performance management and how executives should use this guidebook.



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# Part I. The Foundation for a New Performance Management Approach

Procedural justice has emerged as a major concept in policing since the 1990s. Many observers see procedural justice as an extension of community policing concepts that were developed a generation ago. This section discusses the origins and principles of community policing and its current status in the field. Procedural justice (both internal and external) is defined and discussed in relation to community policing. Last, this section discusses performance management systems in police agencies and the limitations of existing evaluation systems and models.

## Connecting community policing and procedural justice

Community policing is aimed at improving police-community interactions and developing problem-solving partnerships between the community and police to reduce crime and disorder. To achieve these goals, trust is needed between police agencies and the communities they serve. Research has found that increasing public confidence and satisfaction with the police can be accomplished by incorporating strategies that include components of procedural justice.<sup>32</sup>

### The community policing movement

The proactive problem-solving elements of community policing movement were initiated in the 1970s and expanded in the following decades. Police agencies recognized the limitations of traditional strategies of policing, in which officers focused on responding to calls for service while doing little proactive work to analyze crime patterns and develop relationships with community members.<sup>33</sup> Research demonstrated that the traditional model was not as effective in preventing crime as previously believed and that overall satisfaction with the police was low.<sup>34</sup> Police began to use approaches that would reconnect them and the communities they serve and to encourage collaborative and information-driven approaches to crime prevention.<sup>35</sup> During the 1980s and 1990s, community policing became a predominant style of policing, changing the way many officers view and perform their jobs. In many departments today, police officers do not merely respond to 911 calls and investigate crimes; they are expected to engage community members as partners in proactive crime prevention and problem solving.

### The core elements of community policing

The goals of community policing are to reduce crime and disorder, improve quality of life in communities, reduce fear of crime, and improve police-community relations.<sup>36</sup> Community policing is a philosophy built on three core elements: problem solving, community partnerships, and organizational transformation.<sup>37</sup> Police departments and communities develop policing strategies to fit their own unique needs.

32. Mazerolle et al., *Legitimacy in Policing* (see note 4).

33. Gayle Fisher-Stewart, *Community Policing Explained: A Guide for Local Governments* (Washington, DC: Office of Community Oriented Policing Services, 2007), <http://ric-zai-inc.com/Publications/cops-p136-pub.pdf>.

34. Matthew C. Scheider, Robert Chapman, and Amy Schapiro, "Towards the Unification of Policing Innovations under Community Policing," *Policing: An International Journal of Police Strategies and Management* 32, no. 4 (December 2009), 694–718.

35. *Ibid.*

36. *Community Policing: The Past, Present, and Future*, eds. Lorie Fridell and Mary Ann Wycoff (see note 6).

37. *Community Policing Defined* (Washington, DC: Office of Community Oriented Policing Services, 2014), <http://ric-zai-inc.com/Publications/cops-p157-pub.pdf>.



Problem solving involves proactive and systematic examination of problems and an evaluation of the responses. Many departments have adopted the scanning, analysis, response, and assessment (SARA) model of problem solving to help identify and address issues within the community.<sup>38</sup> The second element of community policing is the formation of community partnerships with the goals of building trust and solving problems through collaboration. The third element is organizational transformation to support community partnerships and problem solving. This often involves changes in police agency management, organizational structure, personnel, and technology.<sup>39</sup> Organizational transformation also requires a change in how an agency defines success and measures its performance.

“The importance of communication and providing public service in a respectful and professional manner cannot be emphasized enough. I tell my new recruits, ‘I do not want robots. I want officers who have emotions. I want officers to laugh, to cry, and to show community members that officers understand them.’”

—Los Angeles Deputy Police Chief Terry Hara, June 2012 project working group meeting

### *Procedural justice*

Despite the widespread acceptance and implementation of community policing, police continue to face challenges in communities where trust in the police is lacking. In fact, public confidence in the police since 1993 has remained fairly stagnant, fluctuating between 52 and 64 percent, according to a series of Gallup polls; and the figures for African-American respondents are significantly lower, at only 30 percent in the most recent survey for 2014–15.<sup>40</sup> The ongoing challenge of building and maintaining community trust has prompted a renewed interest in strategies that facilitate community policing partnerships, particularly in high-crime neighborhoods where police department activity is often intensified.

As previously mentioned, police executives and researchers are increasingly looking for ways to incorporate the concept of procedural justice in their operations.<sup>41</sup> Procedural justice in policing is viewed as a tool to help improve the level of public trust and confidence in law enforcement, which in turn facilitates building community partnerships and problem-solving efforts (key components of community policing). The driving concept behind procedural justice is the idea that individuals’ perceptions of the police as legitimate have a large impact on their willingness to obey the law and cooperate with law enforcement efforts.<sup>42</sup> Legitimacy refers to the belief that the police have the consent of the community to maintain order and manage conflicts in the community. This belief is based on the willingness of people to accept the authority of the police as enforcers of the law, the level of public trust and confidence in the police, and the belief that the actions of the police are morally justified.<sup>43</sup> Studies have shown a positive relationship between procedural justice and the perception of legitimacy and the importance of procedural justice in shaping an individual’s view of police.<sup>44</sup>

38. Ibid.

39. Ibid.

40. Jeffrey M. Jones, “In U.S., Confidence in Police Lowest in 22 Years,” Gallup, Inc., last modified June 19, 2015, [http://www.gallup.com/poll/183704/confidence-police-lowest-years.aspx?utm\\_source=position3&utm\\_medium=related&utm\\_campaign=tiles](http://www.gallup.com/poll/183704/confidence-police-lowest-years.aspx?utm_source=position3&utm_medium=related&utm_campaign=tiles).

41. In its first usage, *procedural justice* was used in reference to trial proceedings. See John Thibaut and Laurens Walker, *Procedural Justice: A Psychological Analysis* (Hillsdale, N.J.: Lawrence Erlbaum Associates, 1975).

42. Sunshine and Tyler, “The Role of Procedural Justice” (see note 16).

43. Tom Tyler, “What are Legitimacy and Procedural Justice in Policing? And Why are They Becoming Key Elements of Police Leadership?” in *Legitimacy and Procedural Justice: A New Element of Police Leadership*, ed. Craig Fischer (Washington, DC: Bureau of Justice Assistance, 2014), 6–32, [http://www.policeforum.org/assets/docs/Free\\_Online\\_Documents/Leadership/legitimacy%20and%20procedural%20justice%20-%20a%20new%20element%20of%20police%20leadership.pdf](http://www.policeforum.org/assets/docs/Free_Online_Documents/Leadership/legitimacy%20and%20procedural%20justice%20-%20a%20new%20element%20of%20police%20leadership.pdf).

44. Mazerolle et al., “Shaping Citizen Perceptions” (see note 1).

Empirical research indicates that compliance with the law and cooperation with law enforcement are associated with an individual's belief that the police are legitimate. Practicing procedural justice improves the public's perception of the legitimacy of police, makes individuals more willing to cooperate, and allows police more discretion in performing their duties because they have the public's trust.<sup>45</sup> Research on this topic has established a clear link between using principles of procedural justice and the overall legitimacy of the police department in the eyes of community members.<sup>46</sup>

### *The four pillars of procedural justice*

Procedural justice can be established through four key factors: (1) fairness, (2) respect, (3) voice, and (4) transparency. There is some variability in the terminology being used for these components among academics and practitioners. However, the concepts behind them are the same.

The first component, **fairness**, concerns impartiality in decision making and consistency in the outcomes. For example, are officers neutral and consistent in making decisions during interactions with the community? **Respect**, the second component, involves officers treating people with dignity and politeness. The third component, **voice**, is a matter of police officers giving community members a chance to tell their story or state their case and listening to that story. Finally, **transparency** requires the decision-making process to be open and honest. Often this can be accomplished simply by explaining how decisions are made and why specific actions are being taken.

"We know a lot about how to motivate cooperative and willing engagement from line officers, and all of the research that has been done suggests that the four principles of procedural justice are the key to achieving that goal."

—Dr. Tom Tyler, Yale University professor, June 2012 project working group meeting

## **Current resources and tools for community policing and procedural justice**

Much work is being done to incorporate the principles of procedural justice into police agency management and operations.<sup>47</sup> While much of the research on police performance management is now somewhat dated, a number of reports offering practical guidelines and tools based on police performance management findings and the concepts of procedural justice have been developed.

### *Community Policing Self-Assessment Tool*

For example, the COPS Office released the Community Policing Self-Assessment Tool, developed by PERF and ICF International. This assessment tool has a number of questions in the "personnel management" section in which police officials ask themselves whether supervisors at all levels give their subordinates authority and responsibility for problem-solving activities and activities to build community partnerships.<sup>48</sup> However, asking sergeants and other supervisors whether they support community policing and the principles of procedural justice is only one step that would need to be preceded by substantial education and training.

45. Sunshine and Tyler, "The Role of Procedural Justice" (see note 16).

46. Mazerolle et al., "Shaping Citizen Perceptions" (see note 1).

47. See appendix B for a list of procedural justice in policing resources.

48. For more information on this tool, please visit <http://www.cops.usdoj.gov/Default.asp?Item=2673>.

### *COPS Office procedural justice series*

This guidebook is the product of COPS Office-funded initiatives focused on institutionalizing community policing through procedural justice principles in police agencies. Each of the three resulting projects focuses on different levels within police departments.

The first initiative, developed by the Washington State Criminal Justice Training Commission, is a line-level officer training program titled Listen and Explain with Equity and Dignity (LEED).<sup>49</sup> LEED is based on the principles of procedural justice and provides the following general guidance for officer interactions with the public:

- **Listen.** Allow people to give their side of the story, give them voice, and let them vent. (Voice)
- **Explain.** Explain what you are doing, what the community member can do, and what is going to happen. (Transparency)
- **Equity.** Tell the community member why you are taking action. The reason must be fair and free of bias and should show that community input was taken into consideration. (Fairness)
- **Dignity.** Act with dignity and allow community members to keep their dignity. (Respect)

The second of the three projects addresses the role of police chiefs and other law enforcement executive leaders. The University of Illinois' Center for Public Safety and Justice has developed a curriculum for police leaders on how to incorporate procedural justice into organizational decision making, policies, and procedures.<sup>50</sup>

This guidebook, which explores the role of first-line supervisors, is the third project in this series.

### *Procedural justice training in the field*

"I want to see procedural justice permeate this organization through decision making on the street to the treatment of subordinates by supervisors. If this treatment and decision making is perceived as fair and equitable, it will lay a foundation for how law enforcement personnel, in turn, will treat and interact with the public.

— Chicago Police Superintendent Garry McCarthy, CPD Procedural Justice and Police Legitimacy Participant Guide<sup>51</sup>

Independently, police agencies are seeing the value of emphasizing procedural justice, and a number of agencies have developed their own training to promote the components of procedural justice in everyday encounters with the public. For example, the Chicago Police Department (CPD) developed training on procedural justice and police legitimacy and has been providing its officers with an eight-hour course since 2012. This training presents the core concepts of procedural justice and police legitimacy and the benefits of applying them to policing and building community relationships, along with concrete examples of how to use procedural justice in the field.<sup>52</sup> More than 10,000 CPD officers have completed the program to date. The Chicago training has informed the development of many other training programs around the country.

49. Sue Rahr, John Díaz, and Joe Hawe, *The Four Pillars of Justice-based Policing: Listen and Explain with Equity and Dignity* (Seattle: Washington State Criminal Justice Training Commission, 2011), <http://www.portlandonline.com/auditor/index.cfm?a=368336&c=56523>.

50. See appendix B for details.

51. Al Ferreira, Mark Sedevic, and Bruce Lipman, "Procedural Justice and Police Legitimacy," in-service training document, Chicago Police Department, 2012.

52. Ibid.

“Procedural justice and legitimacy in law enforcement is not just a strategy but [also] a movement. By fostering an environment where procedural justice principles become standard practice, the department can create an organizational culture that fosters a true partnership with the public and leads to safer work environments.”

— Father Daniel Brandt, Chicago Police Department Chaplain, CPD Procedural Justice and Police Legitimacy Participant Guide<sup>53</sup>

## The link between performance management and procedural justice

Accountability for problem solving must be part of meaningful performance evaluations. For performance evaluations to be meaningful, they have to be linked to selected assignments and promotions. . . .

Supervisors who attempt to hold employees accountable in a performance review and then have their evaluations disregarded or overturned view the process, not surprisingly, as a waste of time.

— Nancy McPherson, “Reflections from the Field on Needed Changes to Community Policing”<sup>54</sup>

Officer evaluations and performance management systems are important links between officers in the field and department leaders. The way in which a department manages and evaluates the performance of its personnel influences the attitudes, perceptions, and behaviors of its employees. For example, if the mission of the department is to provide exceptional customer service but evaluations are focused on the number of citations or arrests made, officers may focus more on strict enforcement of the law rather than appropriately using discretion and providing a high level of customer service during each community interaction. Officer evaluations and performance management tools, if designed and used properly, can help police leaders know if their policies, directives, values, and mission are being fulfilled by specific personnel and can ensure that officers are focusing on the behaviors and activities that are most important to the department’s leaders and to the community. This is important to achieving the department’s mission, to the community’s perceptions of the legitimacy of police officials, and to the overall satisfaction of the community with the department. This can also impact officers’ overall perception of the internal legitimacy of their own organization, job satisfaction, and officers’ willingness to take the extra step to ensure community safety and satisfaction.

“Our department decided to look to procedural justice when we realized that what we were measuring [for performance] was not measuring in the hearts and minds of our community.”

—Arlington (Texas) Police Chief Will Johnson, 2014 International Association of Chiefs of Police Panel

53. Ferreira, Sedevic, and Lipman, “Procedural Justice and Police Legitimacy” (see note 51).

54. McPherson, “Reflections from the Field” (see note 6).



## Role of the first-line supervisor

Police executives set the tone and vision for the agency, and first-line supervisors are critical for translating department policy into field practice and influencing the actions and behaviors of officers in the field.<sup>55</sup> First-line supervisors are responsible for ensuring that the daily actions of individual officers advance the overall goals of the agency, and the supervisors should be very visible to the community.

“The sergeants’ uniform chevrons are the most recognizable rank to the community. I have been to scenes as a high-ranking officer and had people go right by me to the man or woman wearing the chevrons.”

— Timothy Dolan, Chief of Police (retired), Minneapolis Police Department

Supervisors need to model appropriate behavior and coach officers to ensure that officers interact respectfully with community members and demonstrate fairness and transparency in how they carry out their daily duties. Officer supervision is a key issue in ensuring procedural justice in policing.<sup>56</sup> Patrol sergeants, who work directly with their officers on a regular basis, are usually in the most critical position to coach officers on community policing approaches and how to implement the principles of procedural justice in their daily interactions. Unfortunately, these supervisors also have many tasks and obligations that can pull them away from this role. For these reasons, many of the recommendations in this guidebook have direct implications for first-line supervisors in particular.

55. James J. Willis, “First-Line Supervision and Strategic Decision Making under CompStat and Community Policing,” *Criminal Justice Policy Review* 24, no. 2 (March 2013), 235–256, <http://cjp.sagepub.com/content/24/2/235.full.pdf>; Robin Shepard Engel, *How Police Supervisory Styles Influence Patrol Officer Behavior*, Research for Practice (Washington, DC: National Institute of Justice, 2003), <https://www.ncjrs.gov/pdffiles1/nij/194078.pdf>.

56. *Civil Rights Investigations of Local Police: Lessons Learned*, Critical Issues in Policing Series (Washington, DC: Police Executive Research Forum, 2013), 18–20, [http://www.policeforum.org/assets/docs/Critical\\_Issues\\_Series/civil%20rights%20investigations%20of%20local%20police%20-%20lessons%20learned%202013.pdf](http://www.policeforum.org/assets/docs/Critical_Issues_Series/civil%20rights%20investigations%20of%20local%20police%20-%20lessons%20learned%202013.pdf).

## Project Approach and Methodology

PERF and the COPS Office assembled a team of subject matter experts from academia, policing, and the private sector to identify promising practices in performance management and talent development. Dr. Tom Tyler of Yale University, one of the nation's foremost experts on the topic of procedural justice, and Mary Ann Wycoff, a criminologist specializing in measuring police performance, served as consultants and participated on the project team. The project team also included several of Target Corporation's top executives and talent development specialists. Target Corporation is known for its assistance to local police agencies and for its sophisticated performance measurement and goal-setting system for its employees. Target has consulted with and hired some of the top experts in performance management and talent development and has designed a comprehensive approach and tracking system and performance measurement tools that could prove useful to police agencies.

### Project working group

PERF and the COPS Office also created a working group of police officials from five police departments, all of which have a record for successfully promoting community policing and developing new strategies to improve police effectiveness. The working group included representatives from the police departments from Arlington, Texas; Denver; Los Angeles; Brooklyn Park, Minnesota; and Minneapolis (which served as learning sites for the project team), as well as other police executives.<sup>57</sup> Several of these departments were already testing and implementing new performance management approaches at various levels within their agencies. The Brooklyn Park Police Department (under the leadership of then Chief Michael Davis), in partnership with Target, approached PERF with the idea of bringing the public and private sectors together to improve performance management and leadership development within policing and helped to build the foundation for this project.

### Scan of the field and review of current practices

The project began with a comprehensive literature review followed by a request for information from PERF's member agencies. Performance evaluation materials from 52 police departments were reviewed with an eye toward procedural justice and community policing elements in the realms of evaluation content, process, and purpose. While this review was not nationally representative of all police agencies, it included departments from 40 states and of a diverse range of sizes.

A major finding of the policy review was that in most departments, few outcomes are tied to the results of personnel evaluations. Out of the 52 agency policies reviewed, only 18 used evaluations to identify areas for employee improvement. In 13 agencies, evaluations can lead to officer training, while in only 12 could an evaluation lead to a promotion.

Another finding was that overwhelmingly, the policies utilized a five-point scale for each indicator or measure. And only about half allowed comments to be added to the measures regarding the officer's overall performance, suggesting that many agencies are missing out on valuable qualitative information.<sup>58</sup>

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57. See appendix A for a complete list of working group members.

58. See appendix C for PERF's policy review findings.



Project working group meeting, June 2012



Northeastern University Public Safety Director Michael Davis, former Brooklyn Park (Minnesota) chief of police, project working group meeting, June 2012



## Working group meetings

In June 2012, the first working group meeting was held in Minneapolis at Target headquarters. In attendance were PERF staff and COPS Office representatives, COPS grantees who were working on the two sister projects on procedural justice, working group representatives from the five police departments, Target executives, subject matter experts, and PERF project consultants Tyler and Wycoff.

The goal of this meeting was to present the initial findings from the scan of the field and review of current literature and programs and to discuss what is lacking in police performance management and how procedural justice can be used to develop and implement strategies for improvement.

During the first part of the meeting, PERF and Wycoff provided an overview of the literature on performance management in policing and primary findings of the policy review. Tyler explained the core tenets of procedural justice and how they apply to performance management, and Tom Kern, a senior talent development consultant for Target, discussed performance management in companies such as Target and the possible lessons for the public sector.

An important point is that working group members agreed that officers need to see that performance is being measured in a fair and consistent way and that the objectives of community policing and procedural justice being implemented in the community are also being applied internally. There cannot be two different standards for how officers are expected to treat community members and for how the department treats its officers. Any second-class treatment of officers can be expected to impact the willingness of officers to provide first-class levels of service and procedural justice to the community members they interact with. In addition, development of officers' skills and talents and organizational development are interrelated, and both can positively impact community relations. A major point of consensus during the first working group meeting was that performance management needs to focus on continuously developing officers' skills and leadership rather than relying solely on written annual evaluations. PERF and the COPS Office were encouraged to broaden the project to address individual development and leadership development within performance management rather than focusing only on the evaluation process.

Working group members also concluded that it was critical to have input from police employees at all levels during the development of this guidebook. In response, PERF conducted site visits to all five working group departments in 2013 and held focus groups with a wide range of police personnel to collect feedback on current performance management practices and proposed alternatives.

## Site visits to working group agencies—stakeholder focus groups

Interviews were conducted with the chiefs and senior staff members of each of the five working group departments. Protocols developed for these interviews included questions on the general evaluation process, the role of the supervisor, and respondents' views about an ideal evaluation process. In addition, focus groups were held with officers from each rank up to lieutenant, civilian employees and civilian supervisors, and any specialized groups within each department. Protocols were developed specifically for these groups. Project staff members also participated in ride-alongs with patrol personnel from each department.



## Development of the comprehensive approach

After the site visits were completed, the information gathered was compiled and recommendations developed by identifying common issues and themes across the agencies and focus groups. This summary of findings, along with the promising practices identified during the field research at each department, is discussed in part II within the context of the related recommendations.

In October 2013, the recommendations and the publication outline were presented for feedback at a second working group meeting. During this meeting, working group members guided and approved the direction of the project, identified promising practices to be included, and offered suggestions for many of the tools and resources that are included in this guidebook.

### National 2014 preview of the approach

After conducting site visits and interviews and collecting feedback on the recommendations from the working group, a preview of the findings and promising practices was presented in February 2014 through a national webinar.<sup>59</sup> More than 200 individuals participated in the webinar; with police representatives made up the majority of participants, representing the ranks of chiefs, command staff members, and sergeants. Researchers, police academy directors, and other criminal justice stakeholders also participated. Throughout the webinar, attendees were polled for their perspectives on various issues such as current challenges to completing personnel evaluations and questions about the current materials used in performance evaluations. Comments indicated that the discussion of procedural justice and performance management recommendations was well received. Feedback from this event was used to further clarify concepts, recommendations, and promising practices.

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59. See appendix D for the national webinar PowerPoint presentation.

# State of the Field: Project Findings on Current Performance Management Approaches

Comprehensive performance management and evaluation systems benefit police departments in many ways. First, these tools can be used to gauge the agency's progress in meeting its own goals and standards as defined in written mission statements, values, priorities, and expectations. Evaluations also provide supervisors with information needed to perform their duties, because the evaluations result in documentation of their officers' strengths and weaknesses, and supervisors can use that information to adjust assignments and priorities, recommend training, and improve officers' performance. A well-designed performance management system can act as a catalyst to shape behavior and facilitate organizational change.<sup>60</sup>

Despite the theoretical advantages of performance evaluation systems, research on this topic has found the perception of their effectiveness among police to be generally negative.<sup>61</sup> This sentiment was echoed in the findings from the research team's scan of the field and detailed interviews with police personnel in the five working group agencies.

At the suggestion of the subject matter experts participating in the first working group meeting, PERF conducted site visits to police agencies in Denver; Arlington, Texas; Los Angeles; Minneapolis; and Brooklyn Park, Minnesota, to better understand how current systems operate and how they are viewed within the departments. Several criticisms of evaluation systems and processes quickly emerged during discussions with personnel of various ranks and positions at the police agencies the team visited. The challenges to performance management were often closely tied to the shortcomings of employee evaluation forms and systems and the lack of other systems to develop personnel growth.

## Challenges with existing performance evaluation approaches

Frequently expressed concerns about performance evaluation systems are summarized below.

1. **Measures don't match job expectations or activities.** Many respondents said that officers and other police personnel felt they were not being formally evaluated on what they perceived to be their responsibilities. For example, officers in a downtown district may see their daily activities as different from the responsibilities of officers in a residential district, and yet they are measured with the same criteria. This could also be said for those working a night shift as opposed to a day shift or for those working in different types of units. While the general duties of officers may be consistent throughout the department, individuals felt that their specific circumstances impact how they perform but that these circumstances are not taken into consideration during the evaluation process. Over the course of their careers, officers may mature in terms of skills and the scope of their responsibilities, and yet twenty-year veterans usually are evaluated in the same way as second-year officers. This disconnect has caused employees to view the evaluation tool as invalid and unreliable. Academics have supported this criticism of measurement indicators, particularly within the context of community policing.<sup>62</sup>

60. Mary Ann Wycoff and Timothy N. Oettmeier, *Evaluating Patrol Officer Performance Under Community Policing: The Houston Experience* (Washington, DC: National Institute of Justice, 1994), <https://www.ncjrs.gov/pdffiles1/Digitization/142463NCJRS.pdf>.

61. Oettmeier and Wycoff, "Personnel Performance Evaluations" (see note 10).

62. Geoffrey P. Alpert and Mark H. Moore, "Measuring Police Performance in the New Paradigm of Policing," in *Community Policing: Contemporary Readings*, eds. Geoffrey P. Alpert and Alex Piquero (Long Grove, IL: Waveland Press, 1998), 215–233.

2. **City-wide generic forms do not reflect the nature of the police work.** As pointed out above, responsibilities within a police department differ, even among patrol officers. One size does not fit all. In discussions with local police agencies, the team found that many departments are mandated to use city-issued or standardized evaluation forms with measures that do not apply to or are insufficient for assessing police work, either sworn or civilian. Because these forms do not adequately describe and assess performance for police personnel, it is difficult to determine what outcomes should result when an evaluation is completed, such as promotions, raises, training or reassignment. In addition, police executives indicate that they have little control over the content of these forms and the personnel evaluation process set forth by the city.
3. **There is too much focus on quantitative measures.** Although police have progressed beyond the days of focusing exclusively on UCR data and rapid response to calls for service to gauge their agency's performance,<sup>63</sup> many departments still rely heavily on numerical data for evaluating the agency as a whole and for evaluating its personnel.<sup>64</sup>

Research has shown that exclusively focusing on quantitative data, such as arrest rates and crime statistics, may misrepresent actual performance.<sup>65</sup> Output measurements (e.g., response time, arrests and clearance rates) lack context to understand how work is effecting change.<sup>66</sup> Qualitative evaluations provide a more complete picture of how an individual thinks, invests time and resources, and accomplishes change within the larger organization.<sup>67</sup> It is important to include this descriptive data as it complements quantitative data, providing a holistic view of an individual's performance.

A performance evaluation system that integrates quantitative and qualitative data provides the best analysis of an agency's and an individual's performance, especially if department leaders are looking for indicators of community policing and procedural justice in the field.

4. **Evaluations don't carry any weight.** Respondents consistently said that evaluations have little impact because the results often are not tied to any meaningful outcomes for personnel, such as promotions, reassignments, etc. This leads both supervisors and employees to dismiss the process and only halfheartedly (or not at all) commit to providing honest and objective assessments of performance.

In fact, in early 2014, when the team polled participants during our national webinar on performance management in policing, about 62 percent of respondents said that the greatest challenge to performance management was that the process was not taken seriously (see figure 1 on page 29). This leaves both supervisors and employees frustrated. The evaluation process is seen as paperwork to complete rather than as an important tool to assist with growth, advancement, and performance management.

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63. Jon M. Shane, "Developing a Police Performance Measurement System," *FBI Law Enforcement Bulletin* 77, no. 9 (September 2008), 8–18, <https://leb.fbi.gov/2008-pdfs/leb-september-2008>.

64. Fielding and Innes, "Reassurance Policing" (see note 11).

65. Vikki Dadds and Tammy Scheide, "Police Performance and Activity Measurement," *Australian Institute of Criminology Trends & Issues in Crime and Criminal Justice* no. 180 (November 2000), [http://aic.gov.au/media\\_library/publications/tandi\\_pdf/tandi180.pdf](http://aic.gov.au/media_library/publications/tandi_pdf/tandi180.pdf).

66. Milligan and Fridell, *Implementing an Agency-Level Performance Measurement System* (see note 17).

67. Sun and Scott, "Towards Better Qualitative Performance Measurement" (see note 12).

**Figure 1. Polling results from PERF's 2014 webinar on performance management: Challenges**

5. **It is difficult to provide honest feedback.** During the project site visits, supervisors said that it was difficult for them to provide honest feedback for a number of reasons. These included a lack of proper tools (such as inadequate evaluation forms) but also that they lacked the skills to deliver a candid evaluation to their officers. Supervisors are trained on how to complete the necessary forms but not necessarily on what is expected from them in terms of observing, evaluating, reporting, and communicating about personnel performance or on how to correct problematic or potentially problematic behavior when necessary. Supervisors often do not have training on how to coach and mentor employees in a positive manner to correct behavior or performance when necessary. Further, supervisors—especially sergeants—often have close working relationships with their officers (in many cases because they previously worked alongside the officers they now supervise), and this rapport, while important, can make it difficult to give criticism when necessary. Some police personnel noted that this can result in inflated evaluation ratings of personnel.
6. **Employees have little or no input in the evaluation.** Many evaluation processes do not provide an opportunity for officers to give their opinion on their own performance or respond to the evaluations provided by their supervisors. Police employees want to feel that they have a say in the process and a chance to talk about their performance on their own terms. They may be able to explain perceived irregularities or shortcomings in their performance and provide the supervisor with insight into ways of addressing those issues should they arise in the future. In addition, having employees provide their perspective helps supervisors determine if their officers can accurately evaluate themselves, recognize areas for growth, and learn from their experiences. This type of involvement in the process can also improve the process of discussing areas of weak performance or issues where additional training may be needed.



Researchers and police practitioners indicate that performance management lags far behind the advances that have been made in other areas of policing, such as use of technologies and CompStat systems.

## Where do we go from here?

Northeastern University Public Safety Director Michael Davis (formerly Brooklyn Park Police Chief), who has taken a leadership role on developing and participating in this project, summarized the need for a comprehensive performance management approach as follows:

We need a new way of maximizing the talents of our officers. Different cops are good at different things, and we need to create systems that will ensure that across the entire department, all officers will be given an opportunity to discuss with their sergeant what they think needs to be done in their area of responsibility. It might be shutting down an open-air drug market, dealing with a problem of juvenile crime in the schools, or dealing with a business or residence that generates repeated calls for service. Once the officer and the sergeant agree on the nature of the problems, they will develop a set of specific goals that the officer will accept to solve the problems. It might be a certain percentage reduction in the number of calls from a hot spot location, for example. Sergeants will ask what they can do to help the officers with their goals. In this way, we not only establish a formal mechanism for getting work done, but we also develop the talents of our officers. We must give our officers an opportunity to show leadership—while also ensuring that they are doing the kind of work that we want them to do.

In order to account for the breadth of modern police work, which increasingly is emphasizing building trust and community relationships, performance management tools and evaluations need to be multidimensional.<sup>68</sup> Integrating aspects of community policing into performance measures can significantly increase problem-solving activities, satisfaction with the evaluation process, and satisfaction with how work is recognized by supervisors.<sup>69</sup>

Change, especially within police departments, can present many challenges. Evaluations are a personal and sensitive subject, and employees may respond to the prospect of changes to evaluations with anxiety that a new process may point out opportunities for punishment rather than rewards. Problems can also arise when there is disagreement over what standards to implement in the department.<sup>70</sup> These concerns can be mitigated by embracing procedural justice as part of the decision-making and implementation process—that is, by soliciting the views of all stakeholders as part of the process of making changes and being transparent about how decisions are made with respect to designing new systems.

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68. Ibid.

69. Wycoff and Oettmeier, *The Houston Experience* (see note 61).

70. Ibid.

## PART II. Recommendations for a Procedural Justice-Infused Approach to Performance Management

Good performance evaluations are not only assessment tools; they also are training tools that communicate to the employee what the organization expects. And they become motivational tools when outcomes for the officer are tied to the evaluation scores, even if that outcome is “only” recognition by colleagues of a job well done.

—Chuck Wexler, Mary Ann Wycoff, and Craig Fischer, “Good To Great” Policing<sup>71</sup>

This section presents four general recommendations for police leaders to consider in making changes to their agency’s performance management systems and practices. The strengths and weaknesses of performance management systems as identified by the working group and through stakeholder focus groups helped shape the approach and recommendations in this publication. This section also includes examples, promising practices, and suggestions for implementing various aspects of the recommendation. There is no one solution, approach, or practice that will fit all police agencies. However, these broad recommendations can serve as a guide to assist department leaders. And while there may be statutory or contractual limitations on the changes that can be made to a given department’s evaluation and performance management systems, the practices explored in the subsequent pages may be used in varying degrees to improve the current systems in police agencies.

### **Recommendation 1. Assess the agency’s current performance management and evaluation systems.**

Before making any changes to your evaluation and performance management policies and practices, make a thorough assessment of the existing system and view your current system through a procedural justice lens. Based on the elements of procedural justice, an employee evaluation system should be neutral, consistent, transparent, and fact-based, and it should allow input from all involved parties.

Keeping these elements in mind, there are three general areas to examine within the performance management and evaluation system: its process, its content, and its purpose. The suggested promising practices are strategies that some agencies have cited to prompt thoughtful consideration of performance management policies and practices. Agencies should identify a time to routinely assess performance management and evaluation systems to make sure that they remain consistent with the department’s overall goals. This can be accomplished during a department’s strategic planning process or any time when a significant change to policy impacts how the agency carries out its mission.

#### *Promising practice: Examine the purpose of the performance evaluation system*

The following questions are aimed at identifying the overall goals and objectives of an agency’s performance management system. While exploring these questions, you may find that there are discrepancies between the intended goals of your system and the system’s processes and actual outcomes. Or you may decide that the current goals are outdated and need to be revised in order to better suit the current environment and circumstances of your agency.

- Does your evaluation system have a clear purpose and objectives?
- Does your performance management approach accurately reflect the mission and goals of your agency?
- Is your approach fulfilling its purpose for your agency as a whole and for individual employees?

71. Wexler, Wycoff, and Fischer, “Good to Great” Policing (see note 13).

- Is the system useful and effective?
- Is the system linked to other processes and databases within the agency (e.g., disciplinary actions, promotional or transfer processes, early intervention system, employee training)? If not, how can you tie it to other processes?

The sample performance policy shown in figure 2 (adapted from the policies reviewed in the research team's scan of the field) includes a purpose section that clearly articulates the goals of the evaluation system.

**Figure 2. Sample statement of purpose**

### *Purpose*

A. The purpose of this policy is to establish an evaluation system based on objectivity and overall performance in relation to the mission and goals of the agency.

B. To effectively serve both management and the individual employee, the objectives of the evaluation process shall be:

1. To foster fair and impartial personnel decisions.
2. To maintain and improve performance.
3. To provide a medium for personnel counseling.
4. To facilitate proper decisions regarding probationary employees.
5. To provide a fair means for measuring and recognizing individual performance.
6. To identify training needs.
7. To facilitate professional growth.
8. To facilitate and improve communication between employees and their supervisors

"The reality of it is the justification didn't meet the rating . . . . When you have more outstanding than average [employees,] that needs to be addressed. You are doing a disservice to the exceptional employee by saying that everyone is exceptional!"

—Denver Police Chief Robert C. White<sup>72</sup>

## **Case example: Denver Police Department revamps evaluation system**

Robert C. White was sworn in as chief of police in Denver in December 2011, and by early 2013, he was observing that the vast majority of department employees were receiving very high marks across the board on their annual evaluations. The Denver Police Department (DPD) appeared to be experiencing a halo effect—a phenomenon that occurs when our overall impression about a person affects our evaluation of the person's specific traits or performance with regard to specific criteria. For example, a supervisor may feel that an employee is generally respectful and agreeable and as a result may give the employee high ratings on a wide variety of other measures, such as writing clear reports and solving crime-related problems, when those ratings

72. Jeremy P. Meyer, "Denver Police Chief Rejects Generous Performance Evaluations," *The Denver Post*, last modified March 6, 2013, [http://www.denverpost.com/ci\\_22725232/denver-police-chief-rejects-generous-performance-evaluations](http://www.denverpost.com/ci_22725232/denver-police-chief-rejects-generous-performance-evaluations).

are not necessarily warranted. Within the workplace, a supervisor may inflate performance ratings because they allow a positive characteristic about an employee to influence the entire evaluation.<sup>73</sup> At the DPD, nearly all employees, both officers and civilians, were getting consistent ratings of “great” and “outstanding” without specific examples of the behaviors and performance being assessed. For a system to be useful in distinguishing the best employees from less exceptional peers, it should be carefully written so that roughly 5 to 10 percent of employees receive the highest ratings.<sup>74</sup> It was clear that the DPD’s evaluation process was not effectively assessing employee performance and was not helping the department to provide meaningful feedback, coaching, mentoring, training, and other growth opportunities to its personnel. To address this issue, the chief tasked the Planning, Research, and Support Division with researching various evaluation processes and developing a new system for the department.<sup>75</sup>

Led by Captain Sylvia Sich, the Planning, Research, and Support Division presented a number of options, each of which had benefits and drawbacks, to the executive staff of the DPD. Based on feedback from the executive staff, a broader, more comprehensive performance management system was established. The new approach emphasizes the specific responsibilities of each individual employee and promotes the department’s focus on crime prevention and community policing. A number of changes were made, including the elimination of a numerical rating scale and annual evaluations. The new system is based on formal quarterly meetings between sworn employees and their supervisors in which employees are assessed in three different areas: service delivery, interpersonal skills, and initiative.<sup>76</sup> At these quarterly meetings, an employee and his or her supervisor collaborate to develop an action plan for addressing a current challenge or issue in the officer’s designated area. The action plan links to overall goals of the department, provides accountability for both the officer and supervisor, and establishes measures for performance that are customized to a specific division and individual.<sup>77</sup>

It is important to note that the outcome (whether the problem was solved or impacted) is not the sole gauge of an employee’s success. The employee’s efforts to solve the problem are just as significant as the actual outcome.

The DPD developed a training manual on the new system, and sergeants and higher-ranking employees participated in a training class. The training advised supervisors that they are expected to work with their subordinates between the quarterly meetings to help them meet their goals. With the new system, supervisors are also expected to engage officers to establish career-oriented goals and to provide mentoring and guidance to address specific issues and help officers improve their general skills and abilities in their daily work.

Officers also are measured on interpersonal skills and initiative. Interpersonal skills include verbal and written communication, professionalism, respect, customer service, and integrity. Initiative is assessed by an officer’s motivation to perform tasks, and innovation in addressing issues and solving problems.

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73. Larry Coutts and Jamie Gruman, “Applying Social Psychology to Organizations,” in *Applied Social Psychology: Understanding and Addressing Social and Practical Problems*, 2nd ed., eds. Frank W. Schneider, Jamie A. Gruman, and Larry M. Coutts (Los Angeles: Sage, 2012), 221.

74. Stephen Miller, “Improving Performance Evaluations Using Calibration: Get Managers Onboard and Keep the Process On Track,” Society for Human Resource Management, last modified May 23, 2014, <http://www.shrm.org/hrdisciplines/compensation/articles/pages/calibration-sessions.aspx>.

75. The DPD is able to make significant changes to its evaluation system because, unlike many other agencies, it is not subject to mandated citywide forms or union restrictions.

76. Within the DPD, civilian personnel are considered City employees, and therefore their performance is assessed using the standard City evaluation processes and forms. There was less flexibility in changing that process.

77. See appendix E for DPD evaluation materials.



Sworn employees are given opportunities to provide input to the process by logging events and interactions that the supervisor may not be aware of. This information is then provided to the supervisor at the end of each quarter.

At the end of the year, the results of all of the quarterly meetings are reviewed by the supervisor and assessed to create a total rating.

In reviewing quarterly evaluations during the first year of implementing the new system, the DPD noticed that there were large discrepancies in the level of detail provided by supervisors on the evaluations. The department is currently considering strategies to ensure that supervisors are held accountable for meeting the new requirements, including raising awareness about consistency in assessing employees. Strategies may include distributing the findings about the new system in a department bulletin or including them in the department's strategic plan.

### **Ties between Performance Management, Accountability, and Disciplinary Systems**

Addressing employee misconduct and disengagement can be a frustrating and complex challenge for supervisors and police executives. For many police departments, performance evaluations and disciplinary systems are the only formal source for behavioral and performance management by first-line supervisors. There are many informal performance management practices that can supplement the accountability systems of a police department to proactively prevent or curb incidents of officer misconduct and poor performance, such as debriefing sessions after shifts and roll call trainings to guide behavior and reinforce performance expectations.

All police departments have an approach for disciplining officers who engage in misconduct or criminal behavior, and many departments have early intervention systems (EIS) that track officer behaviors and activities (such as community complaints against the officer, incidents involving uses of force, high rates of using sick leave, and many other factors) to identify officers who may be experiencing problems or may need guidance or additional training.

It is important to note that EIS systems are not intended to be solely punitive. Performance management and evaluation systems can serve as mechanisms for tracking officers' behaviors, detecting potential problems, and directing officers toward improved performance. An EIS system tracks multiple indicators that may or may not signal that an officer is engaging in misconduct, is experiencing problems, or is in need of counseling or additional training. For example, a large number of citizen complaints about an officer may indicate that the officer is habitually disrespectful to community members. On the other hand, it may only reflect only that the officer is a high performer working in a high-activity unit. The EIS provides notice to supervisors that certain officers' performance should be reviewed.

In addition, the use of body-worn cameras (BWC) by police officers is gaining momentum as a tool to strengthen accountability and agency transparency. Many police executives feel that BWCs help prevent problems from occurring in the first place by increasing professionalism, assisting agencies in evaluating officer performance, and allowing them to correct any larger organizational issues.\*

Consideration should be given to how the various systems for performance evaluation and management are linked to accountability and disciplinary systems and other units within the department. While many police agencies have adopted performance management and early intervention systems to identify and proactively approach issues of employee misconduct, these systems alone cannot address every potentially problematic employee. When officer behaviors, actions, and performance continue to devolve and require more punitive action, police agencies must be adequately equipped to respond to these issues. Accountability systems in police departments should include a combination of informal supervisory corrective practices and a formal disciplinary system. Most police departments have a formal discipline system through which ongoing and egregious problems are handled. "Meaningful discipline of officers for violation of department policies is in many respects the crucial part of comprehensive accountability systems," according to Prof. Samuel Walker, a leading expert on police accountability.†

The way in which discipline is administered is critically important to employee perceptions of procedural justice within a department. Discipline is often perceived as unfair, largely because the process is a confidential personnel action in which transparency is not always possible. Two actions by different officers can look very similar to those not familiar with the circumstances of the incidents. Disparate punishments, while perhaps fully justified, will lead some to question the process. In many departments, the problem is even more basic: officers, and even supervisors, may not know how the system is supposed to work.

Internal disciplinary practices in the United States vary dramatically from department to department, and there has been little research about strategies for avoiding disparate treatment in the administration of discipline. Historically, this process has been largely discretionary. In an effort to become more transparent, fair, and consistent, some departments are moving toward discipline matrices, in which a given type of offense along with mitigating or aggravating circumstances yields an appropriate punitive sanction or range of sanctions. When followed uniformly, disciplinary matrices provide more fair and consistent administration of sanctions for officers engaged in misconduct.\*

Police leaders at all levels should be responsible for educating their employees on the discipline system. Increased understanding of the systems in place develops clear expectations of possible outcomes. In addition, clarity in the process should foster discussions among employees and supervisors about why and how decisions are made—not on an individual basis but on a large scale. Though most disciplinary action is considered protected personnel data, supervisors should be able to articulate the intentions and outcomes of the discipline system. If this transparency is not possible, the department should consider having discussions on how the discipline system works and may be improved.

Performance management and discipline systems within a police department should complement each other (rather than operating in silos) and should function under the same principles of fairness, transparency, respect, and giving voice to affected persons. Following are two perspectives from the field on the relationship between performance management and disciplinary systems.

Deputy Chief Mark Perez (retired) of the Los Angeles Police Department (LAPD) said that “an effective personnel management system can help prevent some employees from engaging in increasingly negative behavior that might eventually result in formal disciplinary actions.” In his view, an effective system is one that adjusts undesirable behavior and affirms desirable behaviors. If sergeants and lieutenants are constantly engaging their subordinates, “affirming and adjusting” their behavior, officers will be less likely to get into trouble.

Perez believes that teaching organizational values (and the behaviors that reflect them) should be a critical part of the supervisory role and that talking about values is a critical aspect of affirming and adjusting behavior. It is sometimes incorrectly assumed that officers know the values of the department. Perez believes that upper-level police managers need to stress to first-line supervisors the importance of teaching values and discussing values any time they talk to officers about behavior.

Perez emphasizes the importance of the informal system for shaping behavior. In Los Angeles, a “counseling memo” is intended to be a guidance tool rather than a disciplinary tool, and it can be delivered either orally or in writing. In the LAPD, sergeants are expected to write one affirmation or counseling memo (adjustment) each month for each officer. Perez also notes that “engaging with their people” is built into the sergeants’ annual evaluations.

In Arlington, Texas, Police Chief Will Johnson sees a somewhat different relationship between the police department’s performance evaluations and discipline: discipline shapes the performance evaluation. Officers who receive a disciplinary action cannot score above “average” on their next evaluation. (The narrative portion of the evaluation can be used to provide background explanation or information for the officer about how to improve.) Johnson personally reviews the performance evaluations. If a sergeant signs off on an inflated evaluation, the chief will not change the officer’s evaluation but rather will ensure through the chain of command that the inflated evaluation is noted in the sergeant’s performance evaluation. Additionally, Johnson reviews performance ratings across work groups. If the average evaluation score for a group doesn’t match the productivity and disciplinary record for the unit, the sergeant will have to answer to their supervisor about the discrepancy. Thus, accountability is built into the system, which helps to avoid perfunctory, meaningless evaluations.

In general, Johnson advocates administering praise in public and discipline in private. However, he noted that when an action by a police department employee damages the relationship between the community and the police organization, it needs to be publicly addressed and reviewed. He tells officers that the public’s perception of the police can be influenced by issues of morality, not just whether an action was legal or not.

\* Lindsay Miller, Jessica Toliver, and Police Executive Research Forum, *Implementing a Body-Worn Camera Program: Recommendations and Lessons Learned* (Washington, DC: Office of Community Oriented Policing Services, 2014), <http://ric-zai-inc.com/Publications/cops-p296-pub.pdf>.

† Samuel Walker, *The New World of Police Accountability* (Thousand Oaks, CA: Sage, 2005), 19.

‡ Jon M. Shane, “Police Employee Disciplinary Matrix: An Emerging Concept,” *Police Quarterly* 15, no. 1 (March 2012), 62–91, <http://pqx.sagepub.com/content/15/1/62.full.pdf>.

*Promising practice: Map out the performance management and evaluation processes and examine the content of materials*

The following questions focus on the sequence of steps taken during an evaluation and the physical materials used as documentation. Details that may seem minor can have a large influence on the perceptions that employees have regarding the effectiveness and fairness of the performance management system. It is recommended that departments take the time to answer these questions and then review the entire process according to the four components of procedural justice.

- What forms or documents are completed during the evaluation process?
- Are the forms tailored to a specific job description?
- What are the quantitative and qualitative measures being used?
- How do the measures compare to the employee's job description, responsibilities, and training?
- Who completes the evaluation forms? Is it more than one person? Is the employee permitted to provide his or her input?<sup>78</sup> Are they properly trained on how to evaluate performance and complete the forms?
- How often are evaluations performed?
- What oversight is given to the process? Who is involved in each step?
- How can evaluations be used to inform department-wide policies, trainings, or practices?
- What are the available outcomes of the evaluation process to employees (e.g., recognition, promotion, training)?
- What are the limitations of the system? Are some of these limitations within the control of the department to modify?

The examples that follow reflect the variety of tools used by police departments in carrying out personnel evaluations and performance management.

The modified sample in figure 3 instructs the supervisor to assign specific weights to the performance indicators by which they will evaluate the employee. This step allows the supervisor to tailor the various aspects of the evaluation to the most important responsibilities of the position. These expectations are made clear at the outset of the evaluation period.

**Figure 3. Sample performance evaluation—performance indicators**

**Supervisor Instructions:** Please assign a weight to each area (factor) below that reflects its importance as it relates to the employee's ability to fulfill his or her job responsibilities and the overall mission of the agency. Total weight should equal 100%.

Performance Factor	Weight (%)
1. Job knowledge	_____
2. Work relationships	_____
3. Public relations	_____
4. Initiative	_____
5. Decision making	_____
6. Oral communication	_____
7. Written communication	_____
8. Supervision of others	_____
9. Career development	_____
10. Safety	_____

78. See appendix F for a sample self-appraisal form from the Brooklyn Park (Minnesota) Police Department.

Many agencies use more than one indicator to assess general areas of performance. In the example provided in figure 4, communication skills are broken down into different facets, which allows specific behaviors to be evaluated and, if needed, addressed.

**Figure 4. Sample performance evaluation—communication skills**

Communication Skills	Rating
Demonstrates the ability to effectively de-escalate	
Exercises self-control at all times	
Utilizes appropriate and effective communication methods	
Effectively communicates with diverse populations	
Displays appropriate non-verbal command presence	
<b>Communication Skills Average:</b>	
<i>Provide examples of performance to support your ratings.</i>	

**Recommendation 2. Facilitate strong supervisor-employee relationships.**

Police chiefs and managers in all five project sites agreed that the key to guiding officer behavior in the field mostly falls on the shoulders of first-line supervisors—in most cases at the rank of sergeant. First-line supervisors are critical for bridging gaps between the organization’s goals and its operations and are the direct line of communication to the officers who interact daily with community members. They are also in the best position to understand and influence officers. First-line supervisors play a key role in creating and communicating organizational culture and department expectations. They often are the persons best suited to create goals for officers and monitor whether officers are achieving the goals.

First-line supervisors can have a significant influence over how a police organization is perceived both within the agency and from the community’s perspective. The police chief and top managers provide direction and set policies and procedures, but sergeants have responsibility for operationalizing those directives. First-line supervisors also play a key role in maintaining quality control in policing and are frequently the highest ranking-officials that officers and residents interact with on a routine basis.

Interviews and focus groups at each of the five project sites underscored the importance of the sergeant from the officers’ perspective. To officers, the sergeant is expected to be a leader, mentor, and counselor. It is the first-line supervisor who impacts the quality of an officer’s daily work life. Focus group participants said that the extent to which officers comply with directives depends largely on the degree to which they respect their supervisor. Officers commonly said they always do what is required, but they go above and beyond only for supervisors they choose to follow.



Officers believe a good supervisor is one who

- leads effectively;
- is decisive;
- listens with intent and sincerity;
- understands the role and responsibilities of the first-line supervisor;
- keeps officers informed about the organization (new policies, changes in protocols, opportunities for growth, etc.);
- clearly articulates what is expected of officers;
- communicates up the chain of command on behalf of officers;
- is able to recognize the strengths and weaknesses of each officer, and utilize that knowledge to build a strong team;
- provides officers opportunities to use their strengths, be creative, and perform beyond the status quo;
- coaches officers to address any weaknesses;
- allows officers to learn from mistakes;
- provides honest, timely feedback;
- encourages teamwork and support among peers;
- is fair and flexible in making assignments;
- understands that personal issues can impact work performance and responds with compassion and equitable treatment.

(A further discussion on the selection of first-line supervisors is included under recommendation 4 on page 49.)

The expectations of a first-line supervisor are high. The list in the sidebar attests to the importance of the sergeant in the daily lives of officers. And although this list is based on the perspective of officers regarding sergeants, many of these traits and practices can apply to other employee-supervisor relationships; employees' performance tends to reflect the priorities of their immediate supervisor.

Effective employee-supervisor relationships can model positive interactions that the officer can then use when interacting with the community. These positive interactions facilitate partnership building with the community and problem solving – two components of community policing. The more positive interactions the community has with police, the more willing they are to cooperate as witnesses, victims, or partners in addressing community issues.

During visits to the five project police agencies, officers, civilians, sergeants, lieutenants, and other police personnel were asked what supervisors can do to help employees do their jobs better. The research team heard a variety of responses about everyday practices that influence officers and other police employees. The examples that follow are practical ways to facilitate communication, provide support, build trust, and inspire employees.

*Promising practice: Promote consistent two-way communication between supervisors and employees*

“We don’t train supervisors for the critical conversations that they have with our own people. Those conversations about expectations and performance are crucial to everything that we do as police agencies”

—Minneapolis Police Chief Janeé Harteau

Police managers and officers told the research team that strong supervisor-employee relationships are built upon constant two-way communication. In the police focus groups, a number of benefits were identified.

First, open communications help build a rapport between supervisors and officers. A good rapport leads to greater confidence and trust in the supervisor, which will likely increase officer compliance with directives and suggestions.

Second, communicating on both professional and personal levels allows the sergeant to know the strengths and weaknesses, preferences and aspirations, and personal concerns of an officer. This in turn helps the sergeant understand how to coach and influence that officer and create effective work teams. The sergeant is also better equipped to provide constructive feedback, recommend resources, and give guidance for further development such as training opportunities.

Third, effective communication provides supervisors with direct access to field information. Daily conversations with officers can provide sergeants with more information and insight about problems in the community so they are better able to work with their officers to address them. If officers are operating effectively in a community and creating relationships, they are in the best position to understand the needs of that community. It is the supervisor's role to ensure that this vital public safety information is passed on from the officer to others within the agency, to inform strategy and practices.

Consistent two-way communication facilitates rapport building, a better understanding of one's personnel, and information sharing about the field. With this information, sergeants will be better equipped to make personnel assignments and know what type of management style works best with each officer. When officers know their supervisor has a personal interest in them, they will be more likely to follow the sergeant's directives and work with the sergeant on developing strategies, giving officers a sense of ownership over proposed solutions. Officers will become more self-motivated.

### **Keys to Successful Communication about Performance**

1. Conversations (both formal and informal) between supervisors and employees should be timely and frequent. Do not delay in addressing an issue or needed change in behavior.
2. Messages should be clear, honest, and consistent.
3. Give the employee opportunities to speak openly. Dialogue involves more than one person.
4. Supervisors should provide consistent feedback, including constructive criticism and praise for a job well done when appropriate.
5. Supervisors should ask employees what they can be doing to help the employee perform better or grow.
6. If documenting verbal exchanges, ensure that both parties review and agree on the final document.

## **Case example: Minneapolis Goals and Metrics program promotes regular conversations**

The Minneapolis Police Department's current Goals and Metrics performance review system is an example of a new approach that formalizes monthly conversations among supervisors and between supervisors and their subordinates to improve the overall efficiency and effectiveness of the department.

The Goals and Metrics program requires a monthly meeting of all unit supervisors to review the goals, results, and progress of the unit. Supervisors meet monthly to assess performance toward the annual goals established for their unit, to modify the goals as needed for the upcoming year, and to identify objectives for each subordinate on a worksheet.<sup>79</sup> These worksheets are tailored to each employee's job functions and professional aspirations and talents. On a monthly basis, all of the supervisors from each unit meet to review progress, discuss employee performance and attitudes, and plan for improvement. The primary goals of this program are to improve every unit's effectiveness and to provide consistent and fair supervision to every unit member.

The Goals and Metrics program started as a pilot program in one of the police precincts. The department tested and refined the program for a full year. Sergeants who were involved in the test reported that they learned a great deal about the people they supervised.

The Goals and Metrics program met some resistance when it was implemented department-wide. Though some department employees expressed trepidation about the program during focus groups, this hesitancy was dismissed by employees who had participated in the program pilot initiative. One sergeant who participated in the pilot initiative assured his fellow focus group members that the program was not terribly time-consuming, which had been a concern of many supervisors. He said, "If you're a good supervisor, you're doing these things already. This just formalizes it and gets everybody on the same page."

An important point is that these conversations are as much about the performance of the supervisor as of the person supervised. Supervisors are more closely monitored by their peers and superiors for their ability to lead and coach their squads using the Goals and Metrics program. These skills and abilities are then incorporated into the supervisors' own Goals and Metrics worksheets. Formalizing the program also provides supervisors with an established structure to address problems or challenges with individual subordinates.

### **Case example: Brooklyn Park Police Department debriefs after shifts**

The Brooklyn Park (Minnesota) Police Department encourages sergeants to conduct end-of-shift debriefing sessions with the entire squad. Sergeants call officers into the station 20–30 minutes before the end of their shift to discuss the events of the shift. This meeting is an opportunity for supervisors to provide feedback in a relaxed setting. With no set agenda, the team may trade stories, banter, or talk through challenges. It allows officers an opportunity to unwind, and build personal relationships.

This process also provides opportunities for more senior officers to hone leadership and coaching skills. One officer explained, "The debrief process encourages us to discuss improvements as a team." Veteran officers offer advice and feedback on how a situation could have been handled differently or to highlight a situation that was handled very well. The process encourages informal mentoring relationships. The debrief process is also an informal time for entire shifts to grow comfortable with openly communicating with their peers and supervisors. "This way, if there is a thorn in somebody's side, they feel comfortable enough going to the sergeant to discuss it. In this environment, there is no excuse for a sergeant not picking up on and handling personnel and performance issues," explains one sergeant.

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79. See appendix G for sample unit and patrol worksheets from the Minneapolis Police Department Goals and Metrics program.

This practice may not be feasible for all shifts or all agencies; however, it is important for supervisors to actively look for these types of rapport-building opportunities. It may be worthwhile to explore the possibility of restructuring some schedules to permit these conversations. Sergeants may also be encouraged to conduct informal mid-shift or end-of-shift briefings in the community. This practice establishes a sense of transparency about police operations within the community.

*Promising practice: Supervisors need to be visible to personnel, especially in the field*

Several sergeants noted that they try to spend as much time as possible in the field, for example by providing backup on calls if needed or staying to debrief, coach, or praise their officers after a call has concluded. There are many benefits to being visible to employees. Sergeants see for themselves what is happening in the field and the ways officers interact with community members, respond to different types of calls, and work with other officers. Officers see the sergeant being active in the field, know that their sergeant is aware of what they are doing, and know that the sergeant is a resource to them.

First-line supervisors understand the importance of being accessible to employees. Sergeants, lieutenants, and even captains or the chief of police sometimes make themselves available to fill in for an officer who needs to be off the street for a few hours for a special assignment, for a training session, or for personal reasons. This practice is very popular with officers, and it allows the supervisor or manager to interact with officers and maintain a familiarity with the current conditions of field work. In Minneapolis, police command staff are required to work in the field at least once shift each quarter and to select a different patrol function for each rotation.

While there are many competing demands for a supervisor's time, field presence helps to build trust and credibility with employees and can identify issues and prevent small problems from escalating. Police executives and command staff should assess the daily responsibilities and tasks required of first-line supervisors to ensure first-line supervisors are provided enough time to be available to employees. Does your sergeant-to-patrol-officer ratio need adjusting on certain shifts?

*Promising practice: Emphasize the value of personnel*

Employees need to be valued for the role they fulfill and the efforts they make to excel. Every officer who performs his or her duty to the community and the department should be seen as a vital and valued member of the team. The quality of that teamwork depends on each member having appropriate relationships with colleagues, the organization as a whole, and the community.

An agency following the principles of procedural justice treats all employees fairly and with respect, allows each to have a voice in the organization, and is open and transparent in its processes and decision making. Following these principles communicates a message that the department values its employees, and the expectation is that employees who are treated well are more inclined to treat the public similarly. Police executives and department managers can model these behaviors and make it clear that there is an expectation that all supervisors will do the same.

It goes without saying that good sergeants get to know about their officers' personal lives to some extent and demonstrate an interest in their welfare. For example, if a sergeant knows that an officer's family member has a serious illness, the sergeant may make allowances in setting assignments. Given the competing demands on first-line supervisors' time, some first-line supervisors are organized about making these simple gestures—for example, by using smartphone reminders about employees' birthdays.



Another way to show that employees are valued is to seek their input on department functions and issues. In what ways are officers given the opportunity to voice their opinions or concerns about their position or the agency? In Arlington, Texas, Police Chief Will Johnson meets quarterly with line officers for open conversations. These meetings may have a few agenda items, but most of the time is spent in free-flowing discussions about the concerns or questions of officers.

Other chiefs have established special committees of officers who represent their peers on various department issues. Like her predecessors, former chiefs Robert Olson and Timothy Dolan, upon her appointment as Minneapolis Chief of Police, Janeé Harteau hosted listening sessions where she gave every employee in the department opportunities to raise issues. She demonstrated that she valued the input she received in the listening sessions by using the information to shape the department's new vision and goals.

*Promising practice: Recognize good performance*

One of the primary challenges facing law enforcement in the area of performance management is how to reinforce and reward good performance and behavior. Municipal police agencies generally cannot give financial bonuses to officers for excellent work, but other forms of positive reinforcement can be effective.

There are many ways to acknowledge good performance outside of a formal review. One valued practice of supervisors is to recognize officers during roll call. Taking a minute to tell officers that they did a good job handling a challenging call or taking initiative to work with community members is a simple way to show that their work is valued. Supervisors can collect positive messages or accolades from the community regarding an employee's performance or ask officers whether any of their colleagues deserves recognition. The sergeant can then notify the lieutenant, captain, or higher ranks about an officer's exceptional performance so the officer can be recognized in more formal ways.

In one department, when a commendation was to be made, a sergeant would arrange for the lieutenant or captain to make the award and would arrange for a photographer to be present. Other departments' recognition may be as simple as the lieutenant or captain writing an e-mail to the officer or stopping the officer in the hall to say that they had heard the officer was doing good work.

Recognition is an important practice for all supervisors. A chief who routinely comments on officer performance is sending the message that he or she knows what is going on in the organization and expects to be informed. This in turn creates the expectation that managers and supervisors will be aware of employee activities and relay this information to their supervisors.

For example, when serving as chief of the Brooklyn Park (Minnesota) Police Department, Michael Davis (currently the Director of Public Safety at Northeastern University) sent out voicemail messages every two weeks to all employees highlighting good work and service. The chief's voicemail messages allowed staff to hear about current events within the organization and reinforced positive officer behaviors. Additionally, since first-line supervisors submitted the examples to the chief, the practice served as an accountability mechanism for building a consistent connection between supervisors and those personnel they supervise. "It's important that all of the employees hear my voice," Davis said. "Anyone could write an e-mail to go out under my name, but hearing my voice, the employees know that I took the time to learn about their work, craft a message, record it, and send it out."

### Recommendation 3. Performance management approaches should emphasize career and talent development at all levels

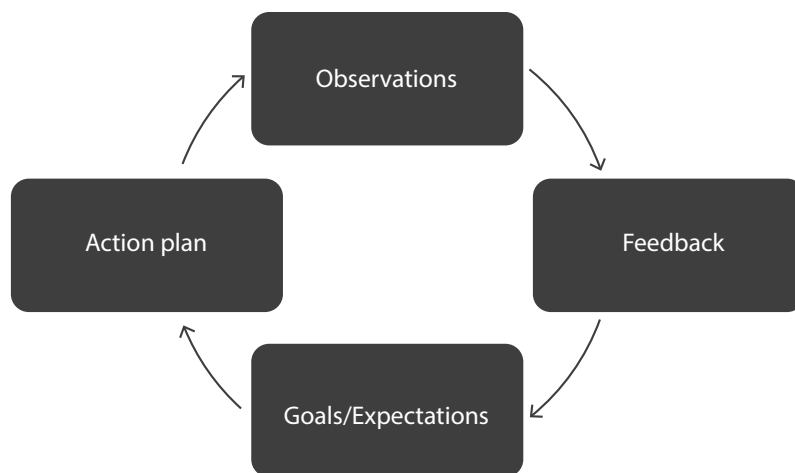
This section reviews employee development practices from private sector companies as well as from the police field that can be adopted by police agencies to support internal procedural justice goals. Well-run police agencies help officers focus on their career goals and leadership development. Top policing executives recognize that investing in their personnel creates a number of benefits, including improving employee motivation and job satisfaction, cultivating talent to fill the department with well-qualified persons, encouraging department continuity, and ensuring innovation in policing and delivering quality service. As Davis said, “We [police chiefs] have a business interest in figuring out how to engage and get the best out of every employee. As public-sector budgets constrict, we can’t afford not to.”

#### *Promising practice: Teach supervisors coaching skills as part of their leadership development*

The private sector invests significant resources in researching and implementing ways to get the best performance and outcomes from their employees. One area of focus concerns the interpersonal skills of supervisors. Companies create processes that include employees in making decisions about their work and careers. As a result, there is a focus on supervisors and how they are expected to interact with their employees.

Target Corporation, a partner in this project, has developed a collaborative coaching model to encourage supervisors (known as coaches) to help their employees accomplish their goals, meet business unit expectations, and develop competencies. The model includes four main steps, as shown in figure 5: (1) make observations, (2) provide feedback, (3) define goals and expectations, and (4) create action plans.

**Figure 5. Target’s collaborative coaching model**



A key skill that Target training emphasizes with its coaching model is listening. Supervisors use questioning to gain insight from employees and help lead them to decisions and actions. But perhaps even more important is the supervisor’s ability to listen to the employee, which can be a much more difficult task than many expect. Some suggestions for being an attentive listener include removing distractions (e.g., turn off your computer monitor and silence your phone), completing your current task (e.g., finish the e-mail you are currently working on so you can focus on the person who has come to speak with you), and providing parameters (e.g., let the person know how much time you have to listen). These techniques let the employee know that the supervisor respects them and is sincere about giving them an opportunity to speak.

Many police officers already practice a number of these listening skills as they interact with the community, which contributes to a sense of external procedural justice—a feeling by community members that the police are interested in what they have to say. These types of listening skills also are important for internal procedural justice—where supervisors show respect for their subordinates’ opinions and views.

Other companies have a coaching philosophy rather than traditional management approaches. If an issue arises over poor performance by an employee, the coaching model encourages supervisors to find an opportunity to discuss the issue, perhaps during a regular planning session or when the issue needs immediate attention. Next, supervisors gather information about the problem or situation and identify any disconnects between performance and expectations. It is critical to focus on the problem as hand, not on the employee. Together, the supervisor and employee identify options and agree on next steps with both committing to the plan and tracking progress for accountability. The supervisor’s or coach’s role in this model is to ask questions that lead the employee to figure out solutions for themselves.

Applying coaching behaviors to police supervisors aligns with many of the concepts already discussed in this report, including the importance of communication, showing interest in employees and building trust, and giving employees a voice. When a performance issue is noted, the sergeant can guide the officer, using coaching and listening techniques to help the officer understand how to improve the performance through actionable steps, and making the officer part of the decision-making process. These steps may include the supervisor offering more time one-on-one for instruction, or allowing the officer to participate in a training session.

*Promising practice: Encourage mentoring to promote growth opportunities*

The terms “coaching” and “mentoring” are at times used interchangeably, but for the purpose of this guide, we will make the distinction that coaching is a supervisory practice, while mentoring programs pair employees with more experienced employees other than the direct supervisor. A benefit to having a mentor who is not a direct supervisor is that a relationship outside the chain of command is more likely to be relaxed and open.

During PERF’s 2014 webinar, in which the research team provided a preview of our findings for feedback to a national audience, 92 percent of the responding participants agreed that a formal mentorship program would aid in personnel development within their agency. A mentorship program pairs a new officer or other police employee with an experienced officer who teaches the rookie about the job, provides guidance on appropriate behaviors and department expectations, and helps the less experienced officer develop the necessary skills for success and advancement. Mentoring can also assist with succession planning within a department as employees are educated over the span of their career, which helps them to make smooth transitions and fill positions as veteran employees retire.

Mentoring can have many benefits, including increased organizational commitment by the employee<sup>80</sup> and a decrease in turnover.<sup>81</sup> Mentoring can be done informally (with no structure or organizational support), but research has shown that a formal program may produce higher levels of “affective commitment”<sup>82</sup> (an

80. Samuel Aryee and Yue Wah Chay, “An Examination of the Impact of Career-Oriented Mentoring on Work Commitment Attitudes and Career Satisfaction among Professional and Managerial Employees,” *British Journal of Management* 5, no. 4 (December 1994), 241–249.

81. Melenie J. Lankau and Terri A. Scandura, “An Investigation of Personal Learning in Mentoring Relationships: Content, Antecedents, and Consequences,” *Academy of Management Journal* 45, no. 4 (August 2002), 779–790.

82. Stephanie C. Payne and Ann H. Huffman, “A Longitudinal Examination of the Influence of Mentoring on Organizational Commitment and Turnover,” *Academy of Management Journal* 48, no. 1 (February 2005), 158–168.

employee's emotional attachment, identification with, and involvement in an organization).<sup>83</sup> Police departments that create formal, supervised mentoring programs will produce consistent roles and responsibilities among mentors.

Mentors need to be carefully selected. Mentors should be experienced, articulate, honest, and supportive, and they should not be so busy that they have little time to give to their mentees. Mentors need training and a support system that allows them to share experiences and discuss issues with other mentors. Managers should collect feedback from the mentees to track progress and make adjustments as necessary.

A mentoring program can benefit police department in a number of ways, including

- retaining valued employees;
- improving leadership and managerial skills;
- developing new department leaders;
- enhancing career development efforts by the department;
- increasing employees' technical knowledge;
- communicating department goals and vision;
- increasing accountability among participants;
- reducing employee stress.

## Case example: Los Angeles Police Department mentors potential hires

Many studies demonstrate a link between mentoring and employee commitment.<sup>84</sup> The Los Angeles Police Department (LAPD) understands the importance of mentoring not only for retaining employees but also for recruiting the best possible candidates for police officers. The LAPD recruitment website features a list of vetted police officers who are available to serve as mentors to potential applicants. The LAPD recruitment mentors may assist candidates by

- providing information about recruitment events where applicants' questions may be addressed;
- assisting in filling out documentation and preparing for tests;
- helping applicants prepare for the police academy;
- providing information regarding what to expect as an LAPD police officer.<sup>85</sup>

The LAPD lists a diverse group of mentors on its website with varying professional and personal histories and perspectives. Potential applicants are able to read a biography of the available mentors online, where they will also find e-mail and telephone contact information. The recruitment website offers a variety of days and times when potential candidates may meet mentors in order to discuss any part of the hiring or academy process.

The department also offers a candidate assistance program (CAP) to better prepare recruits for what they will encounter during the police academy. Candidates who participate in CAP and choose to contact a mentor will know exactly what to expect when they begin training.

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83. John P. Meyer and Natalie J. Allen, "A Three-Component Conceptualization of Organizational Commitment," *Human Resource Management Review* 1, no. 1 (Spring 1991), 61–89.

84. Payne and Huffman, "A Longitudinal Examination" (see note 83).

85. "Join LAPD," City of Los Angeles Personnel Department, accessed December 30, 2014, <http://joinlapd.com/meetamentor.html>.

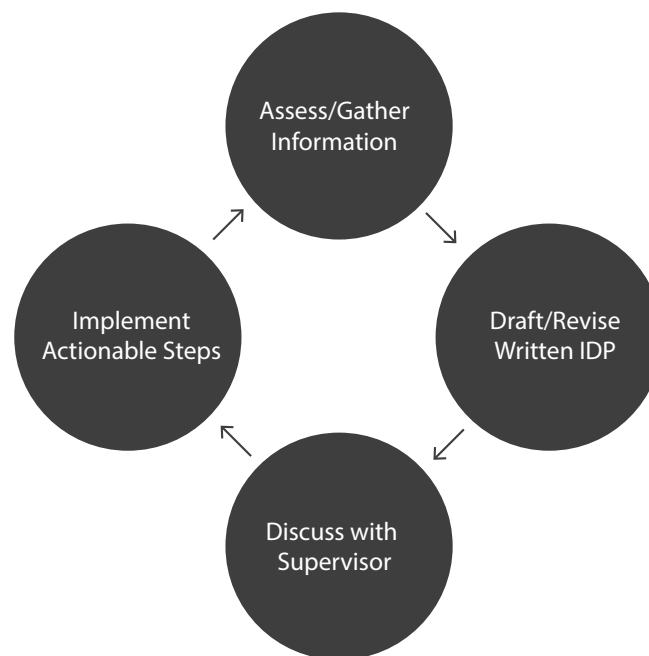


*Promising practice: Use an individual development plan (IDP) as a personalized tool for employees*

An individual development plan (IDP) is a structured document used to identify employee goals and establish actionable steps for achieving them; it is a tool to help facilitate ongoing discussions between supervisors and employees. An IDP can be a stand-alone tool, or it can be folded into a performance review process. Many professional groups, including academia, government, the military, and medical professions, use IDPs to assist with employee growth and development.

The foundation of an IDP rests on a joint effort between an employee and his or her supervisor. The instrument is meant to be personalized to fit the needs and wants of the employee and can be adjusted to address short-term goals related to their current work and position, or long-term career goals. The key is to treat the instrument as a living document that is constantly updated as goals are achieved or revised. How frequently the IDP will be reviewed should be agreed upon by the supervisor and employee at the outset of the process. This is accomplished through collaboration and ongoing discussions between the employee and supervisor about expectations, goals, skills, obstacles, successes, etc.

**Figure 6. Individual development plan process**



Across the majority of IDP models, the general process, as shown in figure 6, is: (1) assess, (2) draft, (3) discuss, (4) implement, and (5) repeat. In step 1, employees assess their current skills, knowledge, experiences, education, strengths, interests, work history, etc. They may also think about their current position and responsibilities. Are they excelling in their assigned tasks? Do they need a new challenge? What are their short- and long-term goals? The more time and effort the employee puts into the assessment step, the more informed the employee and supervisor will be in deciding how to move forward and in what direction to go.

Using the assessment information, the employee and supervisor draft an IDP. The IDP allows the employee and supervisor to work off the same instrument and facilitates discussion about realistic goals, ways of integrating agency directives, and various options or methods for progressing. The IDP should at a minimum identify employee goals, actionable steps and activities for achieving those goals, a date for evaluating

progress, and for a means of review and feedback. The instrument may also include a list of resources available to the employee. In policing, the IDP form can be tailored to the needs of the police agency and then personalized to fit a specific employee.<sup>86</sup> It is also important to note that these steps can be completed separately or combined with other steps. For example, employees can create an initial draft alone or write it with their supervisor. Or the instrument can be tailored to include a self-assessment section to guide the employee, combining steps 1 and 2.

Prior to implementing the IDP, a supervisor may ask questions such as the following:

- Is the employee's self assessment of his or her skills, knowledge, training, and strengths accurate?
- Are the employee's goals realistic?
- Is the desired timeline for achieving goals realistic?
- What training or resources will the employee need to meet his or her goals?
- Are there any alternatives or options that the employee has not considered?
- How do the employee's desires and goals align with the agency's goals?
- How can I be supportive in the employee's efforts as a supervisor?

The supervisor offers guidance and advice until a final plan of action is agreed upon. Communication and collaboration are critical to the employee having a voice in the plan, and to the supervisor expressing an investment in the employee's success.

Finally, the plan is implemented and the employee begins taking the agreed-upon action. Implementation can take place over a few weeks or a few months, but it is important to establish a timeline for completing the tasks, and to set a specific date or timeframe for the employee and supervisor to discuss and evaluate the progress being made. When this discussion occurs, a number of questions can be addressed, including:

- What steps have been completed?
- What resources did the employee utilize?
- Did the employee face any challenges and overcome them? How?
- Do the employee's goals need to be adjusted in light of the challenges or any new circumstances or developments?
- What will be the employee's next goals and actions?

The supervisor and employee assess what tasks have been completed and determine if additional steps are needed and if the goals should remain the same or be altered in some way. The employee then revises the plan if necessary and thus brings the process full circle.

IDPs are a relatively simple method of facilitating conversations between employees and supervisors and for tracking personnel development. The process gives a voice to the employee, provides clear parameters to follow, and, if done correctly, fosters a relationship of mutual respect. It also facilitates transparency because employees should be well aware of the expectations they are being held to and how they will be measured. If first-line supervisors and other supervisors are in need of a tool to help them initiate meaningful conversations and build relationships with employees, an IDP may be a structure for those efforts. Supervisors should receive training on how to use the IDP process, and accountability measures need to be in place to ensure that all employees are able to benefit from this tool.

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86. See appendix H for a sample IDP form.

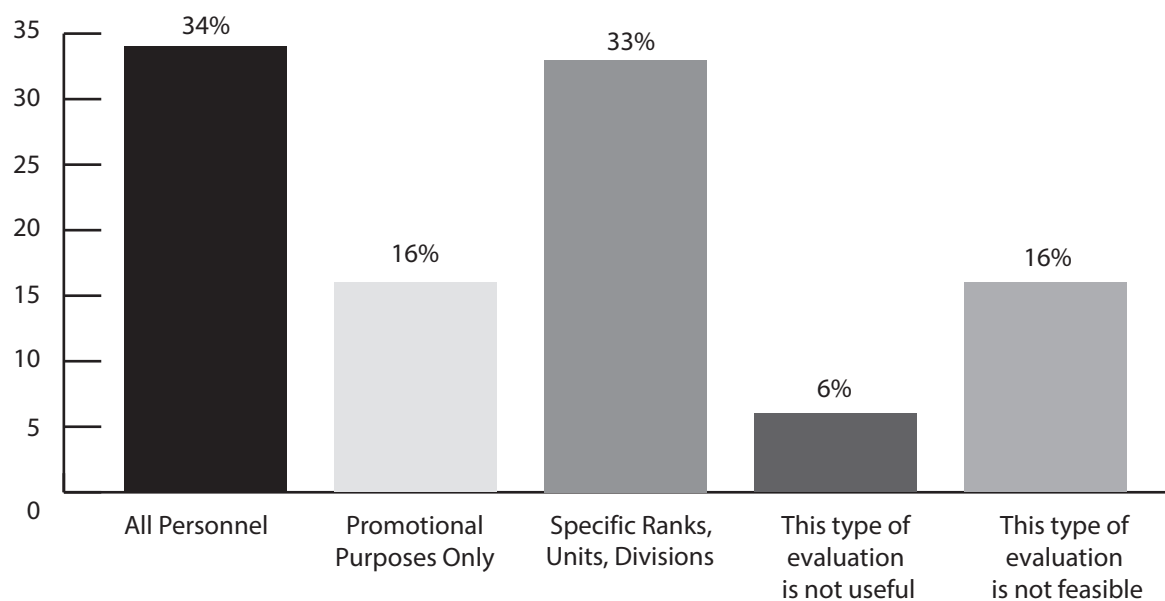
*Promising practice: Explore the 360-degree evaluation process as a leadership development tool*

Many private sector companies use a 360-degree evaluation, in which multiple people within the company provide input on the performance of an individual employee. This may include feedback from supervisors (direct or otherwise), peers, employees, customers, and the person who is the subject of the evaluation. The concept is based on a more holistic view of an employee's performance rather than on the perceptions of only one or two people. By including more sources in the process, the agency potentially increases the credibility and accuracy of an employee's performance evaluation. However, this type of multi-rater model can be complicated. For a 360-degree evaluation to be accurate and effective, it is critical that all raters or participants understand the process and be adequately trained on how to provide constructive feedback.

The applicability and usefulness of a 360-degree evaluation in the context of a police agency will largely depend on the circumstances of each individual department. While some law enforcement agencies may find this type of evaluation beneficial and relatively easy to conduct, others may decide it does not fit well within their organization. Some agencies may find that it is not useful for all officers or employees but is perhaps better used as a tool for specific units or divisions within the department (see figure 7 for PERF's polling results from webinar participants on the usefulness of a 360-degree evaluation). Others may find that this evaluation can help inform the promotional process and decision making. A 360-degree evaluation could be used as a developmental assessment in which the focus is on the employee's skills and behaviors as they may apply to tasks and responsibilities in a future position.<sup>87</sup> It can be a way to identify those seeking advancement within the agency. Employees who are willing to go through this type of rigorous assessment and use the feedback constructively could be placed on a leadership track for further development.

**Figure 7. Polling results from PERF's 2014 webinar on performance management: 360 evaluations**

A 360 Degree Evaluation would be useful in my agency for...



87. John W. Fleenor and Jeffrey Michael Prince, *Using 360-Degree Feedback in Organizations: An Annotated Bibliography* (Greensboro, NC: Center for Creative Leadership, 1997), <http://www.ccl.org/leadership/pdf/research/Using360Feedback.pdf>.

### Tips for Implementing New Career and Growth Development Tools and Programs

1. Include employees and supervisors in various parts of the development and planning process. Allow them to provide suggestions and feedback.
2. Link the purpose of the program to the mission of the organization.
3. Create clear guidelines and plans before implementation of a new approach. Who will use the tools or participate in the programs? What are the parameters or rules of engagement? What oversight will be necessary? How will you collect feedback and measure success? Is a pilot program a viable option?
4. Draft the forms and/or tools the employees and supervisors will need. Make sure the forms and tools are easily accessible and marketed. Provide a mechanism for personnel to give feedback on the forms and tools and refine them as needed.
5. Determine what training will be necessary for supervisors and/or employees to participate in a new program or to use the development tools. When should the training be completed? How often should the training be completed? How will you determine if the training was effective?
6. Practice transparency. Let your personnel know what is being developed and how. Provide updates on the program's development and implementation. Allow personnel to ask questions about the program and tools, and be ready to share how and why decisions were made.

#### Recommendation 4. Focus on the selection and training of effective supervisors

During several of the project interviews, officers complained that the right people were not being promoted to sergeant in their organization. Some said that people who would make good sergeants don't bother to apply, because they see that people who they consider the wrong people are promoted. Do departments consider what qualities officers think a good sergeant should have when making promotions?<sup>88</sup> Are officers promoted to sergeant because of their leadership skills, interpersonal skills, and experience? Or is textbook knowledge of department policies the primary qualifier? Do departments promote people who are seeking greater influence and fulfillment in more responsible positions—or people who are only interested in getting a raise?

#### Seek Input from Union Leaders When Considering Changes to the Promotion Process

While not all police agencies have police unions, many have operated in a collective bargaining environment. In some departments, the promotion selection process is heavily influenced by agreements made with labor unions. In unionized departments, chiefs must include labor leaders in the discussions as the agency explores ways to improve the promotion process. This allows for different perspectives to be considered, builds rapport with union leaders and those they represent, and increases the likelihood that the union will support any changes to the process. Even if a union or employee association does not legally have a say in the structure of the promotion process, including employee representatives in the discussions will demonstrate transparency and openness, and allow police leaders to gain valuable input.

#### *Promising practice: Actively recruit qualified supervisors*

The active recruitment of sergeants is not something that is discussed frequently in police agencies. Most departments assume that people who are interested in promotion will apply and go through the process if they feel they meet the qualifications. But organizations might end up with more effective supervisors if they consciously began to identify and encourage officers (including field training officers) who have the desirable traits for the position.

Sergeants are often in the best position to identify officers who could be the best candidates for promotion to sergeant. And sergeants can play a role by encouraging the people they consider well-qualified to apply for the promotion. In a department that has a performance management system in which supervisors are expected to have discussions with officers about their career goals, it is natural to ask officers whether they have considered becoming a sergeant and whether they have any questions about the role or the process.

88. See page 38 for a list of perceived characteristics of a good first-line supervisor or sergeant.



A practice that has helped identify potential good promotes at the Minneapolis Police Department is detailing. Detailing is when a sergeant (or other supervisor) is gone for a week or more, and a promising person from the rank below takes on that position in the supervisor's absence. It is an opportunity to see how that person performs at the higher rank, and they get a taste of that position.

If a department's managers have a clear idea of the requirements and qualities they are seeking in supervisors, a list of these qualities can be developed and shared throughout the department. (The list would have the additional benefit of reminding current supervisors of the qualities they are expected to exhibit.) Officers can be paired with mentors and given reading lists of books that would expand their understanding of the first-line supervisor's role before they enter the promotional process.

### **What Discourages Officers from Applying for Promotion?**

In looking at ways to enhance recruitment of sergeants and other supervisors, departments should consider whether there are aspects of the position or promotional process that discourage applicants. Some respondents told us they would not wish to give up their seniority for shift and geographic assignments, which they would have to do if they became sergeants. These are people who might make good supervisors but are more interested in the quality of life for themselves and their families than in climbing the career ladder. Police leaders should ask themselves whether these types of issues are limiting the number of good candidates in their department and whether there are other barriers that keep qualified candidates from applying for leadership positions.

Unfortunately, current research on police attitudes toward promotion is lacking. One study conducted in the late 1990s found that officers did not view a promotion as something that would significantly contribute to their lives, and the authors partly attribute this sentiment to the good pay and benefits officers were receiving in their current positions.\* Are there any remedies that police executives and managers can provide to eliminate barriers and increase the appeal of supervisory positions? Law enforcement agencies may consider special or advanced training opportunities, education reimbursement, or schedule flexibility specifically for sergeants or other supervisors to make the prospect of a promotion more desirable. While intrinsic motivation is important in candidates for promotion, agencies must also address the practical needs of candidates.

\* Kathryn E. Scarborough and Larry K. Gaines, "An Examination of Police Officers' Motivation to Participate in the Promotional Process," *Police Quarterly* 2, no. 3 (September 1999), 302–330, <http://pqx.sagepub.com/content/2/3/302.full.pdf>.

### *Promising practice: Ensure the supervisor selection process is fair and valid*

There are a number of methods police managers use to select candidates for promotion, including various tests, assessment centers, and interview panels. But the vast majority of departments have some form of written exam that dominates the decision-making process. In many police organizations, the exam score itself determines whether the candidate is promoted or not. By union contract or directive from the city personnel office, the chief may have to select from among the top specified number of scores. Some chiefs simply select the top-scoring candidate, while others make their decision based on the desirable traits for supervisors.

There are some agencies that rely on input from the officers' peers and supervisors, in addition to testing and other measures. Officers in PERF's focus groups said that they would appreciate the opportunity to weigh in on the selection of first-line supervisors. A working group member, Chief Michael Masterson of the Boise (Idaho) Police Department, said that he selects the top three candidates based on written test scores and an assessment lab and allows the candidates to be evaluated by their peers through a computerized survey that is distributed to all 400 employees, sworn and civilian. When the process was begun in 2004, the chief typically received about five responses for each candidate. Interest has grown, and since 2011, the average number of evaluations per candidate has been 75. The command staff has been impressed with the quality of candidates produced through this process, and the union has agreed that the officer survey input should constitute 10 percent of the final rankings.

Police executives should take the time to reevaluate the processes and outcomes of their promotion processes. How is your agency defining and measuring effectiveness for first-line supervisors? Are you really promoting the most effective sergeants? How do you know they are effective? Does your promotional assessment include measurements of leadership traits? What changes can be made to your system to help you get the results you're looking for and ensure that the process is fair, transparent, respectful of the candidates, and allows for stakeholders (officers, current sergeants, police management and leaders, civilians, etc.) to have a voice?

The goal isn't just to select the right people for promotion, but also to ensure the process used for selection is perceived as fair and valid.

"A chief's focus always should be on making folks as good as they can be, and then recognizing them for their accomplishments."

— Former Minneapolis Chief Robert Olson<sup>89</sup>

*Promising practice: Train sergeants on how to be effective supervisors*

After selecting the most qualified candidates to be promoted to sergeant, training is provided to ensure that new first-line supervisors fully understand their role and responsibilities and have mastered the skills to effectively manage and lead officers. Police agencies should review the training provided to sergeants and seek feedback from experienced sergeants and the newly promoted. Do they believe that the training they received provided the information and skills they need to do the job? Also seek input from above and below, i.e., from lieutenants and officers. Do they think there are areas where sergeants need more training? Is refresher training needed? In what areas do sergeants feel they need more training? What resources are available to sergeants looking to improve their management skills? Consider implementing a long probationary period (a six-month minimum) for newly promoted sergeants to allow time for evaluating and rectifying any issues.

Consider existing supervisory training programs through the lens of procedural justice. If supervisors are to treat officers fairly and with respect and give officers opportunities to voice their opinions, they will need to be trained in those skills. For example, one of the most critical skills of a good sergeant is the ability to communicate clearly and effectively. Supervisors are often asked to solve complex issues solely through interpersonal communication. By breaking communication down and identifying concrete factors associated with effective communication, interpersonal skills can be improved. Learning to incorporate procedural justice components into daily interactions could further improve communications.

Some organizations actively train personnel on how to communicate effectively as part of their supervisory training. This training has the potential to yield a number of benefits, including successful messaging within the department, fostering supervisor-employee relationships, effective management of personnel, and more positive interactions internally and externally in the community.

In today's environment, police are facing increased scrutiny and are under tremendous pressure to change how they interact with the public. Comprehensive training that incorporates procedural justice principles for all police personnel will be essential to rebuilding community trust and confidence in the police in many communities. How first-line supervisors are trained is particularly important given the impact they have on guiding officer behaviors. These supervisors must be given opportunities to build these skills in order to effectively lead, manage, and develop officers who model the same principles in every interaction they have with the community.

<sup>89</sup>. *Leadership Matters: Police Chiefs Talk about Their Careers*, ed. Craig Fischer (Washington, DC: Police Executive Research Forum, 2009), 62.





Photo: a katz / Shutterstock.com

## **PART III. Moving from a Traditional Performance System to One Based on Principles of Procedural Justice: Practical Considerations and Next Steps**

“Treat your officers with respect and as professionals. . . Be as transparent with and accessible to your own officers as you are with other department stakeholders. . . Communicate effectively with them. Let them know what you are doing, and why you are doing it. Give them an opportunity to have input on action that will have a direct effect on them. . . When there is a disciplinary problem with an officer, keep your command staff in the loop. They are the direct link with your officers. And if they understand and support your actions, there is a better chance that your officers will understand as well.”

—A summary of tips from 25 leading police chiefs about how to treat officers<sup>90</sup>

Making changes to any system within a police department can be a complex and challenging task. In this section, six experienced police chiefs provide insights from their own perspective about how to introduce procedural justice into performance management.

### **Police chiefs can engineer their performance management systems**

*By Michael Davis, Director of Public Safety, Northeastern University*

There are a number of challenges that a police chief must address when looking at performance management. First, he or she must identify what the organization is trying to accomplish and understand how to make it successful. Many police agencies establish outward goals that focus on external issues but not necessarily on the internal workings of the department. Policing is a complex job that requires innovation and initiative. Chiefs often think about what they expect of officers, but they also need to be intentional in looking at personnel as individuals with specific abilities, skills, and interests. Organizations are at their collective best when their members are free to contribute their strengths, talents, and passions for the betterment of the whole.

Second, chiefs need to acknowledge that the paramilitary structure under which police departments work is not inherently set up to support an individualized approach to personnel development. Thus, the focus should be placed on relationships within the organizations, especially the quality of relationships at the first line level. When people leave an agency, they often say, “I’m going to miss the people here.” The chief should also want them to miss the organization itself and what they were part of.

Last, police departments can leverage the talent of their personnel by creating opportunities to voice ideas. Facilitate innovation by creating space for personnel to come up with their own ideas and execute them. It is the chief’s and other department leaders’ responsibility to let officers have some control over their own experiences and trust in their discretion. But the leaders’ job is also to provide feedback. Chiefs need to change the conversation to make performance management part of the department’s daily business so individuals are constantly learning and growing.

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90. *Ibid.*, 91.



Ultimately, chiefs engineer the system to get the behavior they are looking for.

The performance of first-line supervisors is directly impacted by the support of the organization's leaders. Research indicates that efforts to increase perceived organizational support can increase levels of work engagement by employees.<sup>91</sup> Therefore, supervisors will be more effective in engaging their employees if they have strong institutional backing and buy-in from the chief and upper management.

## Closing thoughts on procedural justice in police management

*By Tim Dolan, Chief (retired), Minneapolis Police Department*

### Focus evaluations on employee performance and growth

Police departments tend to try to do too much with evaluations. A good working evaluation should document a discussion about accomplishments, needs, and goals. It is not meant to replace a disciplinary process or "score" someone for a promotion. Evaluations can be used as supplemental documentation for a recommendation of discipline or promotion—but not as the main tool. Using one tool for too many things muddies the waters. First, decide the main goal of the evaluation. Second, determine if the evaluation can be used in other processes. If so, great; but if not, find a way to do secondary evaluation processes outside the performance evaluation. Don't sell away the main goal of procedural justice for other operational needs.

### Create policies that mandate supervision practices

If a supervisor has no real duties to supervise officers in the field, they will seldom be able to act as a supervisor in a performance rating. For example, mandating a supervisor response to all vehicle chases and uses of higher levels of force changes the relationship between officers and sergeants. Sergeants are required to approve the continuance of a chase, to respond to the scene, and to make a preliminary report on the appropriateness of the chase. They also have to respond to any scene where deadly force was threatened or where someone was injured badly enough to need medical treatment. Those supervisors are then held accountable for the performance of their officers. It is tough at first, but supervisors soon become real supervisors, and officers change as well, because they knew the sergeant is coming to the scene.

### Chiefs should talk regularly with employees at all levels

As a chief, having regular sit-downs with officers, sergeants, lieutenants, command staff, and civilian employees is a good idea. Chiefs should make sure to attend roll calls, training sessions, shift meetings, and other events to discuss issues.

This is especially important when controversial discipline decisions have been made in the department. Officers respect a chief who will talk to them openly about these decisions. It cuts down what they hear from the rumor mill. When publicly criticizing how precinct officers handle an arrest captured on video, go to them and tell them why. Listen to them. In one incident, officers were being trained to use punches and kicks for submission. It ended up being necessary to change both the instructors and the training itself. The officers were not held to blame. It was their training that failed. That went a long way toward keeping a good relationship with police officers, and it all came from a roll call discussion.

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91. Timothy Forber, "A Field Study of Employee Engagement in the Police Service," executive MBA thesis, Durham Business School, 2010.

## Chiefs can be leaders in performance management

*By Will Johnson, Chief, Arlington (Texas) Police Department*

Integrating procedural justice into all aspects of policing is achievable, but it takes years of stability to reinforce the concept. After 21 years of experience in law enforcement, nothing has been more resolute in expressing the core values of the profession than procedural justice. It should be central to everything that police do.

This publication can be used as the impetus for change in police organizations. Police agencies can start an internal conversation about how to shift performance management and measurement. Many police departments may be locked in to the performance evaluations provided to them through their city administration. But it is important to recognize that performance management is tied to every system within a police department. Chiefs should be prepared to build on their current systems. The proposed methods in this guidebook are useful because they are flexible enough to be scaled to fit the needs of any size department.

Police executives can be the leaders in performance management and should bring citywide human resources practices along as well.

## Why chiefs should use this guidebook

*By Charlie Deane, Chief (retired), Prince William County (Virginia) Police Department*

This guidebook is an insightful orientation to the value of incorporating the new concept of procedural justice into internal and external performance measures in policing. It provides a strong theoretical basis and practical examples for police leaders to use in assessing the alignment of their performance management systems and implementing meaningful and focused change.

This book provides police leaders fresh ideas about how to communicate internally and with the public about what the agency views as important. Whether focused on individual or overall organizational performance, what an agency measures is essential to good policing. A meaningful performance management system is hard to establish. This is especially true in police agencies that support community policing concepts while being measured by traditional performance indicators, such as crime rates, response times, arrests, and summonses.

The guidebook argues that community policing needs to move beyond a focus on counting things to measuring success in terms of community trust and confidence in the police, which results from officers' commitment to fair and impartial policing. By thoughtfully incorporating the principles of procedural justice (fairness, voice, respect, and transparency) into performance management systems, police leaders have an opportunity to refocus agency and public attention on the highest goals of police service and community well-being.

So how do police leaders expect officers and support staff to accept new performance measures based on these broad concepts that can be difficult to articulate? It is fundamental that officers who are expected to treat others with fairness and respect receive that same level of treatment themselves. In that regard, this guidebook suggests that open communications between officers and supervisors and fairness in assignments, promotions and discipline can go a long way in establishing the necessary environment for change. And front line supervisors are key players in implementing and maintaining the new expectations.

Some agencies have successfully implemented more frequent reviews of individual performance plans as a way for sergeants and officers to better communicate and agree on desired outcomes and how progress should be measured. One caution regarding more frequent formal evaluations is that care must be used not to overburden supervisors (especially sergeants) with more administrative responsibilities when they need to be on the street and available to their squad and the public. Some departments have reached a proper balance in this area.

This publication is an important resource for progressive police leaders and will become a touchstone for innovative change in policing. And police chiefs will find the guidebook to be a useful as a reference for their managers and supervisors.

“The real work (in a police department) is done by the young men and women who drive the radio cars, who answer the phone, who talk to the public. Our job (command staff) is to make their job possible. I’m not diminishing the chief’s role, but it’s important to remember that it’s not about you, it’s about the officers who do the real work.”

—Former Pasadena (California) Police Chief (and former COPS Office Director) Bernard Melekian<sup>92</sup>

## Institutionalizing change

*By Janée Harteau, Chief, Minneapolis Police Department*

### You can expect resistance to change

It is feasible to effect large-scale change in performance management in policing, but it takes time and patience. Going into it, you should know that you will meet resistance from the rank and file and the union (even when they agree with why the changes are necessary). To address this, stay consistent with your message. In Minneapolis, the message is that these changes are not just a matter of holding people accountable to high expectations. The changes are also about improving the overall performance of the department, creating more consistency in evaluations, and improving the supervision skills of our supervisors.

### Engage your supervisors and set the example

Transforming performance management is a lot of work for a chief. You have to be engaged and lead the charge the whole way. But it cannot just be your executive team that is on board with changing performance management. Bring your lieutenants and sergeants into the conversation early on. By engaging them early, you make sure the message is not watered down. Make sure that all of your supervisors know why you are implementing changes as well as how the changes are being implemented and what is expected of them.

During your first evaluation period under a new practice, make sure that evaluations start at the top of the chain of command. Set the example by being the first person to complete an evaluation using the new system.

### Invest in your supervisors

As a field, police departments have not done a great job of training supervisors in how to supervise. A chief has to be willing to invest financially in improving performance management. Sometimes that requires training and other financial burdens. You can explain to your city council that these up-front investments mean better job performance, fewer lawsuits, and other benefits. These short-term investments yield long-term results.

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<sup>92</sup>. *Leadership Matters*, 13 (see note 90).

## Procedural justice addresses the frustrations of our communities today

*By Robert C. White, Chief, Denver Police Department*

One of the great challenges we face today is that while policing as a profession has changed and evolved, police officers have not changed along with it. To effectively change policing, a chief must focus on changing the culture, and this is hard to do. However, there is a paradigm shift starting to appear in policing, and procedural justice is a critical part of it.

In Denver, the police department must do a better job of incorporating procedural justice into the performance evaluation system. The department needs to do a better job tracking and measuring how individual officers interact with citizens. Officers need to view citizen contacts as customer service opportunities. It is critical that the police department ensure that the community has the ability to observe a measurable commitment to customer service. And it is most often not what an officer says but how they say it that citizens remember.

“What separates leading private industry companies from current law enforcement practice is the private sector’s overall focus on customer relations management. Police tend to look more at service or what we do and provide, whereas private sector companies focus on satisfaction or the perception of the service recipient.”

—Larry Moser, consultant on police leadership and training

Police are under enormous scrutiny and are criticized because many in the community believe that officers break the law and get away with it. In some incidents, officers’ actions were legal but may not have been the most appropriate response to the situation. There is a disconnect between what is technically legal and what is the best application of authority. Citizens ask if actions of the police were truly necessary. It is law enforcement’s responsibility to answer that question by taking a closer look at how officers are making decisions and then incorporating the department’s values—weighed against those decisions—into performance management.

Here is a scenario to consider: An officer watches a woman park her car too close to an intersection and then walk into a church. The woman later comes out and finds a parking ticket on her car. The officer had a number of options available. He had the legal right to give her the ticket. He could have ignored the infraction. Or he could have approached her before she finished parking and asked her to move her car so it would not be too close to the intersection. Police need to shift the thinking so that they are not concerned only with the legality of what they do but also with whether their actions are the right thing to do. Are the decisions they make, using the discretion they have as police, in the best interest of the community?

Chiefs must look at their current evaluation systems and review them in the context of what is happening today. This means taking into account the demands and frustrations of the community. Communities are asking to be treated with dignity and respect. Police leaders need to evaluate employees on these aspects, which many leaders are currently not doing. We need to accurately measure how our police officers interact with the community with a goal of exceptional customer service.



### Civilian Employees Deserve Procedural Justice Too

While patrol officers are often considered the face of the police to community members, civilian employees can also be the first contact an individual has with the police. In some cases, a civilian may be the only contact a citizen has with the police, when the civilian employee is able to provide the information or other assistance the individual needs. Civilians, like officers, have opportunities to make a memorable impression that reflects positively on the whole agency. For this reason, teaching civilian employees the principles of procedural justice and applying those principles to the systems and decision-making processes that affect civilians are just as important as for sworn employees.

One challenge for police executives is how to ensure that civilians are also offered an evaluation and performance management process grounded in procedural justice principles. Almost 60 percent of civilians reported that they felt they had to constantly prove themselves within the agency.\* Police executives and command staff should work toward ensuring that all personnel, both sworn and civilian, feel they are being treated fairly within the agency and have a valued role. Job satisfaction among civilians is higher in agencies where civilians feel their views are valued, they are treated equally, and the department culture accepts them as professionals—in other words, where civilians receive treatment based on the elements of procedural justice.†

Following are a number of questions to consider when assessing issues of perceived fairness among civilian personnel:

- How do civilians fit into the overall structure of the organization?
- Are civilians supervised by the appropriate managers (i.e., people who understand the tasks and responsibilities of the civilians, who have experience or training in the civilians' positions, and who can offer specific guidance for growth and development in the civilians' areas of expertise)?
- What are the skills and attributes required to effectively manage various civilian positions?
- How are civilians assessed and evaluated on performance?
- What is the hiring process for civilians?
- How are civilians recruited and trained for their positions?
- What promotional or advancement opportunities are available?
- What specialized training or advanced education is offered to civilians?
- How are civilians recognized and rewarded for exceptional performance?

Promoting procedural justice throughout a police department can begin with simply promoting awareness about the various personnel divisions, units, and positions throughout the department. How does each group contribute to the agency, and how do they impact others in the department?

One strategy for promoting awareness of the entire agency is asking personnel from different units to address their fellow employees about what they do and how they can be of assistance to others in the department. This offers an educational opportunity as well as a chance for employees to make connections with their coworkers. For example, an intelligence analyst can explain what is behind the crime reports or bulletins that officers receive. Sworn personnel may learn about resources available to them of which they were not previously aware from civilian employees. And officers may provide feedback to civilians about how they can provide more useful information.

Involving sworn and civilian personnel in discussions regarding personnel and organizational issues helps to demonstrate an appreciation for the value of both groups. In each of these activities, the goals are to increase the information flow and to identify ways to create an environment that promotes mutual understanding and respect among all police personnel.

\* Wesley G. Skogan and Megan A. Alderden, *Job Satisfaction among Civilians in Policing* (Washington, DC: National Institute of Justice, 2013).

† Ibid.

## Conclusion

Practitioners have long recognized a gap between implementing community policing in the field and assessing officers' performance in this area. Evaluation and performance management systems in police agencies are often described as ineffective because outdated processes have failed to adapt to the changing roles of police.

This guide provides strategies for applying procedural justice to performance management to encourage officers to do the kind of work that department leaders want them to do. The ultimate goal is to provide the kind of policing that the community desires, which in turn will improve the community's perception that its police department is legitimate and procedurally just. With improved community perceptions, residents will cooperate and partner with the police to solve crime and quality-of-life problems.

The performance management recommendations in this report are designed to institutionalize community policing skills in a police force. This guide describes ways to better manage, lead, and develop police personnel through processes that give a voice to employees and that support fairness, respect, and transparency. These elements create buy-in within the department and build support for organizational change.

The recommendations in this guide are not meant to be quick fixes but rather tools to achieve fundamental changes in police agency culture and attitudes. This publication focuses mainly on line officer performance, first-line supervisor management techniques, and the chief's role in facilitating change in performance management. However, many of the recommended practices and tools can be applied to almost any employee-supervisor relationship in the agency.

Ultimately, police leaders, supervisors, and line personnel all want a fair and open system that improves performance and cultivates talent within a department. A number of factors influence performance management in any given police agency, some of which may not be within the direct control of the chief (e.g., mandated citywide evaluation forms, union contracts). Despite these obstacles, there are promising practices that can be tailored by many police agencies to guide behavior to the benefit of employees, the department, and the community.

## Moving forward

Procedural justice is not a strategy but rather a philosophy of organizational life. The procedural justice philosophy is crucial to the organizational transformation component of community policing. As academics continue to research procedural justice and legitimacy, police practitioners are faced with the challenge of operationalizing these concepts.

The best way to create organizational transformation and to institutionalize procedural justice in a police agency is to ensure that all systems and processes reflect the components of procedural justice (voice, transparency, fairness and respect), beginning with recruiting and extending through retirement counseling.

The key questions for every system and process—whether it is the promotional, disciplinary, training, or personnel system—include the following:

- Are the policies and procedures transparent? Are they published in a way that can be understood by employees? Are they accessible?
- Have employees had input and voice in their formulation?
- Are they administered fairly and consistently in line with the organization's values?
- Do agency processes respect the dignity of employees?
- Is there an open and fair complaint process to address practices that employees do not consider just?

Some of these questions can be answered through an objective and comprehensive review of policy, practice, and outcomes. It is also important to establish accountability for keeping policies up to date and for ensuring that actual practices reflect policies. This is more likely if employees have a role in helping to ensure that systems and processes stay on track. Employee surveys, group discussions, and focus groups are options for obtaining feedback from employees. Asking employees how they feel about these systems can go far in making them feel that they work in an organization that strives to be procedurally just.

The concepts of procedural justice can be applied to most systems and processes used in police agencies. Perform an assessment of each of these systems and determine where adjustments could be made. Prioritize your efforts and develop a plan of action. It may take months or even years to fully implement all of the changes, but by taking a holistic approach to procedural justice in your organization, you increase the opportunities for success and long-term change. Every step in that direction should yield a more effective organization and a more satisfied community.

# Summary. Recommendations for a Procedural Justice-Infused Comprehensive Approach to Performance Management

## **Recommendation 1. Assess your agency's current performance management and evaluation systems.**

### *Promising practice strategies:*

- Examine the purpose of your performance evaluation system.
- Map out the performance management and evaluation processes and examine the content of materials.

## **Recommendation 2. Facilitate strong supervisor-employee relationships.**

### *Promising practice strategies:*

- Promote consistent two-way communication between supervisors and employees.
- Supervisors need to be visible to personnel, especially in the field.
- Emphasize the value of personnel.
- Recognize good performance.

## **Recommendation 3. Performance management approaches should emphasize career and talent development at all levels.**

### *Promising practice strategies:*

- Teach supervisors coaching skills as part of their leadership development.
- Encourage mentoring to promote growth opportunities.
- Use an individual development plan (IDP) as a personalized tool for employees.
- Explore the 360-degree evaluation process as a leadership development tool.

## **Recommendation 4. Focus on the selection and training of effective supervisors.**

### *Promising practice strategies:*

- Actively recruit qualified supervisors.
- Ensure the supervisor selection process is fair and valid.
- Train sergeants on how to be effective supervisors.





# Appendices

## Appendix A. Working group members

Kristine Arneson  
*Deputy Chief, Minneapolis Police Department*

Charles Beck  
*Chief, Los Angeles Police Department*

Theron Bowman  
*Arlington (TX) City Manager  
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*Inspector, Brooklyn Park Police Department*

Leo Daniels  
*Lieutenant, Arlington (TX) Police Department*

Michael Davis  
*Director of Public Safety, Northeastern University  
(Former Chief of Brooklyn Park (MN) Police  
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Tim Dolan  
*Retired Chief, Minneapolis Police Department*

Mahogany Eller  
*Public Safety Partnerships National, Assets  
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Terry Hara  
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*Chief, Minneapolis Police Department*

Will Johnson  
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Brian Kimberly  
*Sergeant, Denver Police Department*

Laura Kunard  
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Dikran Kushdilian  
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Sue Rahr  
*Executive Director, Washington State Criminal  
Justice Training Commission*

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Bryan Schafer  
*Chief, Hastings (MN) Police Department  
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Sunny Schnitzer  
*Research Associate, PERF*

Scott Thomson  
*Chief, Camden County Police Department*

Tom Tyler  
*Professor, Yale Law School*

DuWayne Walker  
*Senior Group Manager, Corporate Security, Target*

Jeri Weinstein  
*Commander, Los Angeles Police Department*

Chuck Wexler  
*Executive Director, PERF*

Robert White  
*Chief, Denver Police Department*

Mary Ann Wycoff  
*Policing Consultant, PERF*

## Appendix B. Procedural justice in policing resources

### *The Community Policing Dispatch*

The *Dispatch* is the e-newsletter of the COPS Office. It aims to educate readers about a variety of criminal justice issues that affect the implementation of community policing and to assist law enforcement practitioners in more effectively addressing crime and social disorder in their communities. It has twice been honored by the National Association of Government Communicators with Gold Screen awards for Outstanding e-Newsletter (2009) and Web Article (2010).

The opinions contained herein are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific agencies, companies, products, or services should not be considered an endorsement by the author(s) or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of procedural justice and related issues.

- The Case for Procedural Justice: Fairness as a Crime Prevention Tool, September 2013  
[http://cops.usdoj.gov/html/dispatch/09-013/fairness\\_as\\_a\\_crime\\_prevention\\_tool.asp](http://cops.usdoj.gov/html/dispatch/09-013/fairness_as_a_crime_prevention_tool.asp)
- The Importance of Legitimacy in Hot Spots Policing, September 2013  
[http://cops.usdoj.gov/html/dispatch/092013/the\\_importance\\_of\\_legitimacy\\_in\\_hot\\_spots\\_policing.asp](http://cops.usdoj.gov/html/dispatch/092013/the_importance_of_legitimacy_in_hot_spots_policing.asp)
- The Importance of Procedural Justice, September 2013  
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- Procedural Justice: High Expectations, September 2013  
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- “That’s not fair!” Policing and perceptions of fairness, September 2013  
[http://cops.usdoj.gov/html/dispatch/092013/policing\\_and\\_perceptions\\_of\\_fairness.asp](http://cops.usdoj.gov/html/dispatch/092013/policing_and_perceptions_of_fairness.asp)

- Procedural Justice: Advancing Police Legitimacy, January 2013  
<http://cops.usdoj.gov/html/dispatch/01-2013/advancing-police-legitimacy.asp>
- City of North Charleston Police Department: Legitimacy in Every Action, August 2010  
[http://cops.usdoj.gov/html/dispatch/August\\_2010/ncpd.asp](http://cops.usdoj.gov/html/dispatch/August_2010/ncpd.asp)
- The Paradox of American Policing: Performance without Legitimacy, July 2010  
[http://cops.usdoj.gov/html/dispatch/July\\_2010/AmericanPolicing.asp](http://cops.usdoj.gov/html/dispatch/July_2010/AmericanPolicing.asp)
- Director Melekian Hosts First Issues Forum, July 2010  
[http://cops.usdoj.gov/html/dispatch/July\\_2010/IssuesForum.asp](http://cops.usdoj.gov/html/dispatch/July_2010/IssuesForum.asp)
- A Look Beneath the Badge, July 2010  
[http://cops.usdoj.gov/html/dispatch/July\\_2010/BeneathTheBadge.asp](http://cops.usdoj.gov/html/dispatch/July_2010/BeneathTheBadge.asp)
- Use of Force and Building Mutual Trust, March 2008  
[http://cops.usdoj.gov/html/dispatch/march\\_2008/force.html](http://cops.usdoj.gov/html/dispatch/march_2008/force.html)

## **The Beat**

The *Beat* (<http://www.cops.usdoj.gov/Default.asp?Item=2370>) is the COPS Office's monthly podcast series. *The Beat* features interviews with experts from many disciplines and provides law enforcement with the latest developments in community policing. It may be accessed through the COPS Office website. Users may download and listen to individual podcasts or read the transcripts.

The opinions contained herein are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific agencies, companies, products, or services should not be considered an endorsement by the author(s) or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of procedural justice and other related issues.

### ***February, 2014—Coffee with a Cop in Evansville, Indiana***

Chief Billy Bolin discusses implementing the Coffee with Cop program.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/02-2014/TheBeat-022014\\_Bolin.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/02-2014/TheBeat-022014_Bolin.mp3)  
| [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/02-2014/TheBeat-022014\\_Bolin.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/02-2014/TheBeat-022014_Bolin.txt)

### ***February, 2014—Coffee with a Cop in Santa Barbara, California***

Officer Kasi Beutel discusses officer and community relationship building through Coffee with a Cop.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/02-2014/TheBeat-022014\\_Beutel.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/02-2014/TheBeat-022014_Beutel.mp3)  
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### ***February, 2014—Coffee with a Cop in Gulf Shores, Alabama***

Community Resource Officer Josh Coleman discusses the benefits of the Coffee with a Cop Program.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/02-2014/TheBeat-022014\\_Coleman.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/02-2014/TheBeat-022014_Coleman.mp3)  
| [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/02-2014/TheBeat-022014\\_Coleman.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/02-2014/TheBeat-022014_Coleman.txt)

### ***August, 2013—Institutionalizing Procedural Justice in Police Departments***

Chief Michael Davis discusses institutionalizing procedural justice in police departments.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Davis.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Davis.mp3)  
| [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Davis\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Davis_Transcript.txt)



***August, 2013—Procedural Justice: Organizational Change***

Commissioner Robert Haas and Deputy Superintendent Christine Elow discuss organizational changes in police departments that can influence the internal structure of policing and increase community interactions and compliance with the law.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Haas\\_Elow.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Haas_Elow.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Haas\\_Elow\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Haas_Elow_Transcript.txt)

***August, 2013—Procedural Justice: Performance Evaluations***

Chuck Wexler, Executive Director of the Police Executive Research Forum (PERF), discusses incorporating procedural justice into law enforcement performance measurements.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Wexler.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Wexler.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Wexler\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Wexler_Transcript.txt)

***August, 2013—Procedural Justice: Use of Force***

Corporal Charles Fernandez discusses applying procedural justice concepts to prevent unnecessary use of force situations.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Fernandez.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Fernandez.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Fernandez\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Fernandez_Transcript.txt)

***August, 2013—Procedural Justice: Mental Illness***

Associate Professor Dr. Amy Watson discusses police encounters experienced by persons who have mental illness.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Watson.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Watson.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/08-2013/TheBeat-082013\\_Watson\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/08-2013/TheBeat-082013_Watson_Transcript.txt)

***December, 2012—Procedural Justice***

Dr. Tom Tyler, Macklin Fleming Professor of Law and Professor of Psychology at Yale Law School, discusses public perceptions of police and police legitimacy and the concepts of procedural justice.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/12-2012/TheBeat\\_120112\\_Tom\\_Tyler.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/12-2012/TheBeat_120112_Tom_Tyler.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/12-2012/TheBeat-120112\\_TomTyler\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/12-2012/TheBeat-120112_TomTyler_Transcript.txt)

***December, 2012—Procedural Justice***

Dr. T. Bowman, Deputy City Manager of the City of Arlington, Texas, and former police chief of Arlington (Texas) Police Department, discusses what procedural justice looks like in a law enforcement agency.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/12-2012/TheBeat\\_121012\\_TBowman.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/12-2012/TheBeat_121012_TBowman.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/12-2012/TheBeat-121012\\_TBowman\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/12-2012/TheBeat-121012_TBowman_Transcript.txt)

### *November, 2012—Coffee with a Cop*

Sergeant Chris Cognac of the Hawthorne (California) Police Department discusses the motivation behind the idea to create Coffee with a Cop.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/11-2012/TheBeat-111512\\_Chris\\_Cognac.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/11-2012/TheBeat-111512_Chris_Cognac.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/11-2012/TheBeat-11152012\\_Chris\\_Cognac\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/11-2012/TheBeat-11152012_Chris_Cognac_Transcript.txt)

### *July, 2011—Procedural Justice*

Charlene Moe shares how the curriculum she is developing will help law enforcement build stronger partnerships. She also explains what the four pillars of procedural justice are and how they can aid organizational change.

[Listen/Download http://www.cops.usdoj.gov/html/podcasts/the\\_beat/07-2011/TheBeat\\_07\\_11.mp3](http://www.cops.usdoj.gov/html/podcasts/the_beat/07-2011/TheBeat_07_11.mp3) | [Read Transcript http://www.cops.usdoj.gov/html/podcasts/the\\_beat/07-2011/TheBeat\\_0711\\_Transcript.txt](http://www.cops.usdoj.gov/html/podcasts/the_beat/07-2011/TheBeat_0711_Transcript.txt)

## **Legitimacy and procedural justice**

PERF and the U.S. Department of Justice's Bureau of Justice Assistance (BJA) have released two reports on an important development in policing: the growing recognition of the concepts of legitimacy and procedural justice.

In the first report, *Legitimacy and Procedural Justice: A New Element of Police Leadership* ([http://www.policeforum.org/assets/docs/Free\\_Online\\_Documents/Leadership/legitimacy%20and%20procedural%20justice%20-%20a%20new%20element%20of%20police%20leadership.pdf](http://www.policeforum.org/assets/docs/Free_Online_Documents/Leadership/legitimacy%20and%20procedural%20justice%20-%20a%20new%20element%20of%20police%20leadership.pdf)), Yale Law Professor Tom Tyler provides specific definitions of these terms, and summarizes research studies that demonstrate why legitimacy and procedural justice are important to the future success of police agencies.

In short, legitimacy refers to the judgments that community members make about whether they have trust and confidence in their police, whether they are willing to defer to the law and to police authority, and whether they believe that police actions in their community are morally justified and appropriate. Procedural justice can be seen as a way to achieve legitimacy. Police officers provide procedural justice when do their jobs fairly and neutrally, treat community members with respect, and give people a chance to explain their situation or tell their side of the story.

The second PERF/BJA report, *Legitimacy and Procedural Justice: The New Orleans Case Study* ([http://www.policeforum.org/assets/docs/Free\\_Online\\_Documents/Leadership/legitimacy%20and%20procedural%20justice%20-%20the%20new%20orleans%20case%20study.pdf](http://www.policeforum.org/assets/docs/Free_Online_Documents/Leadership/legitimacy%20and%20procedural%20justice%20-%20the%20new%20orleans%20case%20study.pdf)), describes how New Orleans Police Superintendent Ronal Serpas is incorporating the concepts of legitimacy and procedural justice in his efforts to reform the New Orleans Police Department.

## **Procedural justice for law enforcement: Organizational change through decision making and policy**

### *Building Internal Relationships*

[http://cops.usdoj.gov/html/dispatch/04-2015/a\\_new\\_procedural\\_justice\\_course.asp](http://cops.usdoj.gov/html/dispatch/04-2015/a_new_procedural_justice_course.asp)

Developed by the Center for Public Safety and Justice at the University of Illinois, this COPS Office-approved eight-hour course introduces sworn and civilian managers and supervisors to the philosophy of procedural justice and provides practical steps for its internal implementation.



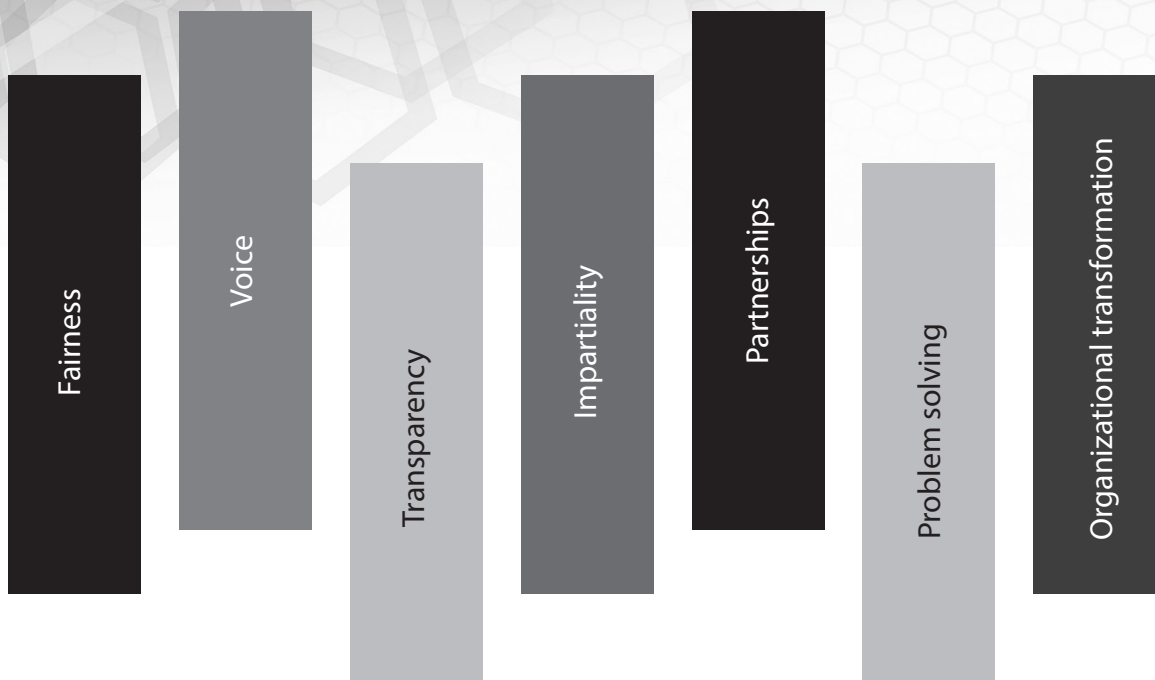
Though the ultimate aim is to manifest the pillars of procedural justice—transparency, impartiality, fairness, and providing opportunity for voice—in everyday interactions with the public, full implementation must begin with a structural commitment to the philosophy within the agency itself. Law enforcement personnel are more likely to view their organizations as legitimate and to comply with the workplace policies and procedures when agency leadership supports a culture where the pillars of procedural justice are evident through decision making and treatment of personnel.

When an organizational culture embraces these values, personnel will in turn be more likely to incorporate them into their interactions with the public. Course materials make evident the ways leaders, as well as sworn and civilian supervisors, can institutionalize the pillars of procedural justice within law enforcement agencies through fair and transparent internal processes and procedures, thereby decreasing internal polarization and improving organizational performance. The target audience for this course is sworn and non-sworn law enforcement supervisors.

For more information, contact Katie Holihen, Training Coordinator, Center for Public Safety and Justice at [kholihen@uillinois.edu](mailto:kholihen@uillinois.edu) or 312-996-8265.

### ***Building External Relationships***

Developed by the King County (Washington) Sheriff's Office Advanced Training Unit with support from the Center for Public Safety and Justice at the University of Illinois, this COPS Office-approved eight-hour course introduces front-line officers to the pillars of procedural justice and its use when interacting with the public.



### Cultivating relationships through procedural justice and community policing

Public trust grows and police legitimacy improves when officers treat people with respect and exercise authority in a manner that is perceived as transparent, impartial, and fair and provides opportunity for voice. The curriculum seeks to enhance police legitimacy through improving the everyday interactions of front-line officers with the public they serve.

This course creates a broader awareness of the pillars of procedural justice. It is designed to enable front-line officers to understand how using the pillars of procedural justice increases both voluntary compliance and cooperation by the public. The result is that public perception of police legitimacy is improved with an outcome of increased officer and community safety.

The target audience for this course is sworn law enforcement front-line officers. However, the course material is relevant to law enforcement personnel at all levels within the organization.

For more information, contact Katie Holihien, Training Coordinator, Center for Public Safety and Justice at [kholihien@uillinois.edu](mailto:kholihien@uillinois.edu) or 312-996-8265.



*Law Enforcement-Community Workshop: Procedural Justice for Communities—Enhancing Public Trust*

Developed by the Center for Public Safety and Justice at the University of Illinois, this interactive COPS Office workshop provides opportunity for local community members and local law enforcement officers to come together and interact while learning about the application of procedural justice as it relates to community-law enforcement interactions and police legitimacy.

Through guided fishbowl dialogues, role play exercises, and scenario-based video discussions, skilled facilitators create an environment that provides an opportunity for mutual learning—law enforcement and community members learning from each other. The ultimate goal is to develop a better understanding and perspective of one another, lay the foundation for building mutual trust, and increase police legitimacy.

For more information, contact Katie Holihen, Training Coordinator, Center for Public Safety and Justice at [kholihen@uillinois.edu](mailto:kholihen@uillinois.edu) or 312-996-8265.

*Community Policing Web-based Learning Portal System*

With support and ongoing partnership with the COPS Office, the Center for Public Safety and Justice at the University of Illinois has developed the COPS Office Learning Portal, an online education and training website designed for use by audiences ranging from law enforcement executives and front-line personnel to allied partners and community members. The interactive courses offered are asynchronous, allowing for users to progress through course content at times convenient to their schedules and at a pace of their choosing.

The COPS Office Learning Portal provides free and easy access to end users interested in learning more about specific community policing topics including procedural justice. The COPS Office Learning Portal continues to add additional educational resources, new training, and tools as they are developed.

For more information, contact Jason Stamps, Associate Director, Center for Public Safety and Justice at [jstamps@uillinois.edu](mailto:jstamps@uillinois.edu) or 312-355-5030.



### *Coffee with a Cop National Initiative*

*Coffee with a Cop* was developed in partnership with the Hawthorne (California) Police Department and the Center for Public Safety and Justice at the University of Illinois, with support from the COPS Office.

*Coffee with a Cop* is a national initiative grounded in decades of research on procedural justice as it relates to relationships between law enforcement and communities. It is a practical application of the pillars of procedural justice.

One of the keys to the overwhelming success of *Coffee with a Cop* is that it removes the physical barriers between officers and residents and happens outside of the crisis situations that routinely define interactions between law enforcement officials and community members. Instead it allows for relaxed, informal, one-on-one interactions in a friendly atmosphere.

The *Coffee with a Cop* website (<http://coffeewithacop.com>) provides free downloadable planning resources and advertising resources that can be customized by local law enforcement agencies—including the use of the national logo. It allows agencies to register local events on an interactive map that community members can view.

Additionally, the *Coffee with a Cop* Facebook page (<https://www.facebook.com/coffeewithacop>) allows for interagency connection and sharing of information. The page includes advertising of upcoming events and photos and videos from past events and provides a venue for jurisdictions to showcase their local events. *Coffee with a Cop* can also be followed on Twitter [@coffeewithacop](https://twitter.com/coffeewithacop).

This initiative can be made available as a four-hour multijurisdictional workshop with an accompanying learning lab, providing best practices and setting a solid foundation for local implementation.

For more information, contact Detective John Dixon, Community Affairs Unit, Hawthorne (California) Police Department at [jdixon@cityofhawthorne.org](mailto:jdixon@cityofhawthorne.org) or 310-349-2823.

## **COPS Innovations**

### ***Procedural Justice for Law Enforcement: An Overview***

Developed by the Center of Public Safety and Justice at the University of Illinois, this COPS Office publication introduces law enforcement professionals to the concept of procedural justice and how it relates to community policing, officer safety, use of force, encounters with people with mental illness, hot spot policing, and the overall benefits to communities.

Procedural justice has become an important focal point in the profession and strategy of policing in recent years, though the basic concept is likely nothing new to police officers. While this publication refers to rigorous academic research about policing and procedural justice, this is not a research paper but rather a clarifying bridge from research to practical application.

For more information, contact Katie Holihen, Training Coordinator, Center for Public Safety and Justice at [kholihen@uillinois.edu](mailto:kholihen@uillinois.edu) or 312-996-8265.

### ***Procedural justice videos***

Updated and developed by the Center for Public Safety and Justice at the University of Illinois, this five-part series of COPS Office videos offers the opportunity for a variety of uses—roll call training, citizen academy training, in-service training, or community dialogue opportunities. Each of the five video scenarios sets the stage for a practical learning opportunity and discussion on one or more of the pillars of procedural justice and may be explored from both an officer's perspective and the community member's perspective.

For more information, contact Katie Holihen, Training Coordinator, Center for Public Safety and Justice at [kholihen@uillinois.edu](mailto:kholihen@uillinois.edu) or 312-996-8265.

### ***Community Policing and Procedural Justice Research Review***

Using an evidence-based policing matrix, the Center for Evidence-Based Crime Policy in the Department of Criminology, Law, and Society at George Mason University evaluated programs focusing on community policing and procedural justice. The website also includes links to research and other resources. <http://cebcp.org/evidence-based-policing/what-works-in-policing/research-evidence-review/community-policing/>

### ***Basic fact sheet***

What is procedural justice?

Procedural justice refers to the idea of fairness in the processes that resolve disputes and allocate resources. It is not a practice but a philosophy and a movement that promotes positive organizational change, upholds police legitimacy in the community, and enhances officer safety. This single page provides a brief overview of what procedural justice is and application within police agencies.

For more information, contact Katie Holihen, Training Coordinator, Center for Public Safety and Justice at [kholihen@uillinois.edu](mailto:kholihen@uillinois.edu) or 312-996-8265.

## Appendix C. PERF findings of police agency policy reviews June 13, 2012

This project included a request for information from PERF's member agencies regarding performance management and evaluation policies and materials. Performance evaluation materials from 52 police departments were reviewed with an eye toward procedural justice and community policing elements in the realms of evaluation content, evaluation process, and evaluation purpose. While this review was not nationally representative of all police agencies, it included departments from 40 states and a diverse range of sizes. Below are the results of PERF's policy analysis.

### Content of evaluation

- Whether they embody the department's mission/vision/values: **12 out of 52**
- The officer's ability to impartially and fairly uphold and enforce the law: **8 out of 52**
- The officer's ability to understand and appropriately acts on supervisory orders: **24 out of 52**
- The officer's ability to critically and innovatively to solve problems: **34 out of 52**
- The officer's ability to initiate/encourage/maintain interactions with co-workers: **43 out of 52**
- The extent to which the officer involves and cooperates with colleagues to solve problems: **34 out of 52**
- The extent to which the officer engages community/initiates citizen interactions: **41 out of 52**
- The officer's communication skills: **42 out of 52**
- The extent to which the officer completes necessary paperwork with meaningful detail: **35 out of 52**
- Maintains record of and revisits former community oriented policing projects when new opportunities arise to solve unresolved problems: **3 out of 52**
- Amount and type of citizen feedback: **1 out of 52** (citizen complaints)
- The extent to which the officer initiates appropriate behavior without direction: **45 out of 52**
- The extent to which the officer demonstrates an overall attitude toward the workplace that encourages others: **31 out of 52**

### Evaluation process

- Evaluator is provided guidance for evaluation process: **32 out of 52**
- Evaluator can detail or comment on each indicator or grouping of indicators: **22 out of 52**
- Evaluator can detail or comment on overall performance: **26 out of 52**
- Officers complete a self evaluation: **8 out of 52**

### Evaluation purpose

- Evaluations have a clear and defined purpose: **15 out of 52**
- Evaluations can lead to officer counseling: **6 out of 52**
- Evaluations can lead to officer training: **13 out of 52**
- Evaluations can lead to promotion: **12 out of 52**
- Evaluations can lead to officer reassignment: **8 out of 52**
- Evaluations can lead to acknowledgement from upper level managers: **7 out of 52**
- Evaluations are used to identify areas of improvement: **18 out of 52**



## Appendix D. COPS Office national webinar

After conducting site visits and interviews and collecting feedback on the project recommendations from the working group members, a preview of the findings and promising practices on performance management was presented in February 2014 through a national webinar. More than 200 individuals participated in the webinar with police representatives making up the majority and representing ranks chiefs and command staff members to sergeants. Researchers, police academy directors, and other criminal justice stakeholders also participated. Throughout the webinar, attendees were polled for their perspectives on various issues such as current challenges to completing personnel evaluations and questions about the current materials used in performance evaluations. Feedback from this event was used to further clarify concepts, recommendations, and promising practices.

The webinar presentation is provided in the following pages.



# Establishing Procedural Justice Within Police Organizations:

**Performance Management  
for First Line Supervisors in  
Community Policing Agencies**



POLICE EXECUTIVE  
RESEARCH FORUM

## Project Objective

- Develop an executive guide book that:

- 1.) Creates a *comprehensive approach* to first-line supervision
- 2.) Incorporates principles of *community policing* and *procedural justice*
- 3.) Provides leadership with specific *tools* and *mechanisms* for institutionalizing procedural justice

## Working Group Members and Other Contributors

- Denver PD
  - Chief Robert C. White
  - Commander William Nagle
  - Lieutenant Dikran Kushdilian
  - Sergeant Brian Kimberly
- Brooklyn Park PD
  - Chief Craig Enevoldsen
  - Inspector Mark Bruley
- Arlington PD
  - Chief Will Johnson
  - Lieutenant Leo Daniels
  - Sergeant Brook Rollins
  - Deputy City Manager Theron Bowman
- Minneapolis PD
  - Chief Janeé Harteau
  - Deputy Chief Kris Arneson
  - Sergeant Gary Nelson
  - Chief (retired) Tim Dolan
- Boise PD
  - Chief Michael Masterson
- COPS Office
  - Program Analyst Melissa Bradley
- Northeastern University PD
  - Public Safety Director Michael Davis
- Los Angeles PD
  - Chief Charles Beck
  - Director Luann Pannell
  - Senior Management Analyst Alex Nuño
- The King County Sheriff's Office
  - Deputy Tammy Kynett
- The Washington State Criminal Justice Training Commission
  - Executive Director Sue Rahr
- The University of Illinois
  - Director Dr. Laura Kunard
  - Senior Program Specialist Charlene Moe
- Target
  - Public Safety Partnerships – Mahogany Eller
  - Senior Talent Development Consultant Tom Kern
  - Senior Group Manager DuWayne Walker
- Subject Matter Experts
  - Mary Ann Wycoff
  - Dr. Tom Tyler

## Goals of this Presentation

- Present and discuss performance management promising practices for police agencies
  - Collect feedback from you about the effectiveness of these concepts in improving performance management, ease of understanding, and adaptability to different police agencies
  - Discuss examples, tools, and resources available for implementation

## Connecting Community Oriented Policing and Procedural Justice

- **Core elements of Community Oriented Policing<sup>1</sup>**
  - Community Partnerships
  - Organizational Transformation
  - Problem Solving
- **Pillars of Procedural Justice<sup>2</sup>**
  - **Voice** - allowing the person or group to have input
  - **Neutrality/Fairness** - fairness and impartiality
  - **Respect**– for the people involved
  - **Trustworthiness/Integrity/Transparency**– open and honest

<sup>1</sup> <http://www.cops.usdoj.gov/Default.asp?Item=2589>

<sup>2</sup> Researchers including Dr. Tom Tyler, Dr. E Allan Lind, Dr. Stephen Mastrofski, Dr. Jeffrey A. Fagan, Dr. Tracey Meares and many more have focused their time on studying and defining procedural justice within policing.

## Procedural Justice in Policing

- **External procedural justice** is the extent to which residents of a community believe that the police treat residents with fairness, dignity and respect.
- **Internal procedural justice** is the extent to which police employees believe that they are treated fairly and with respect.
- Internal procedural justice is thought to facilitate organizational transformation because employees will be more likely to embrace the department's goals if they feel respected and valued.

## Challenges to performance management

- Generic forms that do not reflect the nature of the job
- Lack of control over the system or materials
- Not sufficient for informing leaders of department progress
- Don't carry any weight / not taken seriously
- Difficult to provide honest evaluations
- Too focused on quantitative measures
- Employees get little or no input in the evaluation
- **Measures don't match job expectations or activities**



## General Recommendations

- Emphasize **career and talent development** at all levels
- Facilitate **strong supervisor/employee relationships**
- Take steps to create a **“conversant” organization**, rather than only discussing performance once or twice a year
- Implement an **executive leadership approach**
- Routinely **assess your agency’s current performance management** system

Promising Practices that  
Emphasize Career and Talent  
Development

## Promising Practice 1: Target<sup>®</sup> Training Focuses on Coaching Behaviors for Leadership



## Promising Practice 2: Mentoring Provides Opportunities for Growth

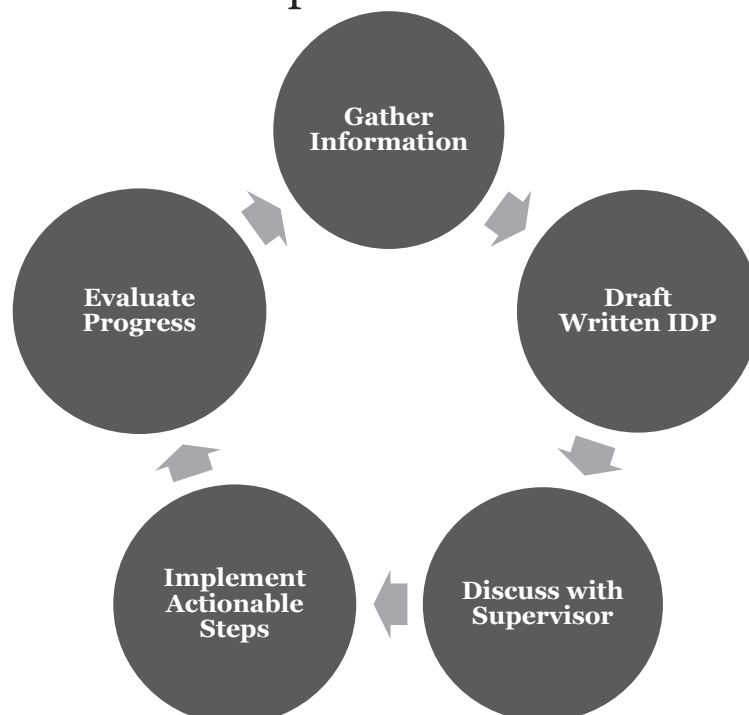
- Facilitate intra-agency mentoring
  - Don't limit who can be a mentor
- Provide honest feedback and guidance
- Can be formal or informal process

## Promising Practice 3: Individual Development Plans (IDPs) Create Personalized Tools for Employees

- Tool to identify professional goals with actionable steps to achieve them
- Joint effort by the employee and their supervisor
- A written IDP is a living document



### • Individual Development Plan Process





Individual Development Plan (IDP)

Name John Smith Time Period Covered FY 14

DEVELOPMENTAL GOALS	RELATIONSHIP OF GOALS TO OFFICE MISSION	SKILLS DEVELOPED	DEVELOPMENTAL ACTIVITIES	DEADLINE	RESOURCES	ACHIEVEMENT REVIEW	DATE COMPLETED
Personal Goals for the next year:	My goals have organizational and personal relevance because:	My goals involve developing the following competencies:	Developmental activities I will pursue:	Target dates for goal completion:	Resources I will need:	This is how I will measure my progress:	This is the date I achieved my goal:
Goal 1 Attend Community Safety meetings	-I will develop relationships with community members & business owners.	-Communication -Public speaking -Public outreach	-I will try to meet a new community member at each meeting.	12/31/14	1/2 hour of time every other Thursday at 6pm.	-I will brief my Sergeant at the end of the shift on meeting outcomes	
Goal 2							
Goal 3							

Signature (Employee)

Date

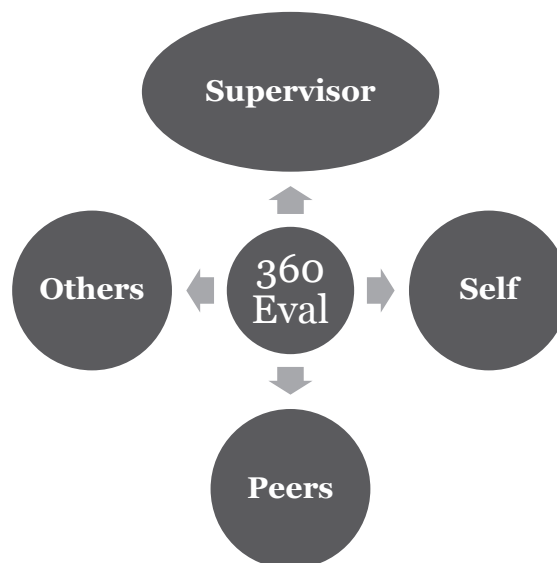
Signature (Supervisor)

Date

US Department of Commerce - CFO/ASA - 2001

## Lingering Question: Are 360 Degree Evaluations appropriate for police agencies?

- Multi-source or multi-rater assessment
- Full circle feedback from coworkers is viewed as more credible and motivating than a single rater model (Heathfield, 2001)





## Promising Practices for Building Strong Supervisor/Employee Relationships

### What makes a good supervisor?

- Understands his/her role and responsibilities
- Gets to know their employees/team
- Recognizes that each employee is valuable and each position is unique
- Encourages teamwork and peer support
- Provides opportunities for employees to utilize strengths and improve on weaknesses
- Makes assignments based on the individual's assets as well as the team's
- Responds with compassion and equitable treatment as employees face personal issues
- Allows/encourages employees to learn from mistakes
- Fair and flexible
- Challenges employees to perform beyond the status quo

## What are examples of supervisor practices that inspire great policing?

- Communicates the values and goals of the organization
- Debriefing at the end of a shift
- Making time to get to know your employees
- Going the extra mile
- Providing support in a non-punitive manner
- Presence in the field
- Providing continual feedback on performance
- Addressing issues as they arise
- Making expectations and responsibilities clear and reasonable

## What can department leaders do to foster effective supervisor/employee relationships?

- Empower supervisors to lead
- Give supervisors access to rewards for their employees to reinforce positive performance
- Emphasize the importance of relationship building
- Incorporate relationship building activities into job descriptions and responsibilities

## Tools to assist in performance management



Document any incidents for all of your employees



Log and review employee performance



Customize and manage employee goals

# Create a Conversant Organization

## Promising Practice: Regular conversations between supervisors and employees

- Conversations (both formal and informal) that address performance and goals need to be timely, frequent, and meaningful
- Communication must be clear, honest, and consistent

**Implement an Executive Leadership Approach**



## Promising Practice 1: Infuse procedural justice concepts throughout the organization


- Procedural justice based performance management tactics must be used at **all** levels of the organization
- Assess other areas of your agency that should reflect procedural justice concepts
  - Promotion processes
  - Disciplinary systems
  - Policy changes and implementation of new procedures

## Promising Practice 2: Focus on the selection and training of supervisors

- Create clear job descriptions for supervisors and establish responsibilities consistent with your agency's mission and goals
- Assess your promotion process
- Provide both promotional training for candidates of supervisory positions, and ongoing training for existing supervisors


## Promising Practice 3: Recognize good work and value

- There is **no** insignificant job within the department
- Ensure there are avenues to recognize personnel for high quality work
- Establish accountability for supervisors and employees
  - Establish clear and consistent mechanisms to ensure that both employees and supervisors are performing up to agency standards



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**POLICE DEPARTMENT**



**Police Home**

[Chief of Police](#)

[Organization](#)

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[Justice Assistance Grant](#)

[Forms](#)

[FAQ](#)

[Human Resources Division](#)

**Officer of the Month -- October 2009**



If you want to talk about numbers, First Precinct Officer Floyd Campbell's stand out throughout the entire Department.

It's for these reasons as well as his ways of better getting to know his community that Officer Campbell has been selected as the Department's October Officer of the Month.

**Contact Information:**

Richmond Police Dept.  
City of Richmond

[Map It](#)

Emergency: 911  
Non-Emergency or to file a Police Report: (804) 646-5100

**Quick FAQs**

[Submit a CrimeStoppers tip](#) or call (804) 780-1000

## Routinely assess your agency's performance management and evaluation system

### Promising Practice 1: Examine the evaluation process and materials

- What forms/documents are used?
- How often are evaluations performed?
- What oversight is given to the evaluation process?
- What are the available outcomes for employees?
- How is the process different for sworn and non-sworn personnel?
- How much control do you have over your evaluation system as the chief executive?

## Promising Practice 2: Examine the purpose of your performance management system

- Does your performance management approach accurately reflect the mission and goals of your agency?
- Does your evaluation system have a clear purpose and objectives?
- Is your approach fulfilling its purpose for your agency as a whole and for individual employees?
- Is it useful/effective?

Q and A / Open Discussion



## Thank you for participating!

- For more information on this project, or to reach our staff for additional questions or comments, please contact us at:
- Shannon Branly, Deputy Chief of Staff at 202-454-8345 or [sbranly@policeforum.org](mailto:sbranly@policeforum.org)
- Sunny Schnitzer, Research Associate at 202-454-8320 or [sschnitzer@policeforum.org](mailto:sschnitzer@policeforum.org)

## Appendix E. Denver Police Department evaluation materials

The Denver Police Department (DPD) went through the process of developing and implementing a new performance management and evaluation system in 2013 and 2014. It was clear that the DPD's evaluation process was not effectively assessing employee performance and was not helping the department to provide meaningful feedback, coaching, mentoring, training, and other growth opportunities to its personnel. To address this issue, Chief Robert White tasked the Planning, Research, and Support Division with researching various evaluation processes and developing a new system for the department.

Based on feedback, the department established a broader, more comprehensive performance management system. The new approach emphasizes the specific responsibilities of each individual employee and promotes the department's focus on crime prevention and community policing. The new system is based on formal quarterly meetings between sworn employees and their supervisors, in which employees are assessed in three different areas: (1) service delivery, (2) interpersonal skills, and (3) initiative. At these quarterly meetings, an employee and his or her supervisor collaborate to develop an action plan for addressing a current challenge or issue in the officer's designated area. The action plan links to overall goals of the department, provides accountability for both the officer and supervisor, and establishes measures for performance that are customized to a specific division and individual.

The subsequent pages include excerpts from the DPD training presentation on its new evaluation system, a performance evaluation system guide, a performance evaluation planning calendar, a list of frequently asked questions regarding the new system, examples of action plans, and an officer self-assessment form. These materials were designed to work within the DPD's existing labor contracts. Additional flexibility to strengthen the process may be possible for other departments.

## Excerpts from DPD performance evaluation training



# Denver Police Department Performance Evaluation System

November 2013

Sergeant Anthony Parisi – (720) 913-6465

Technician Estevan Valdez – (720) 913-6591

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## Purpose



*The former evaluation system lost legitimacy...*

- Developed in 1996 with latest revision in 2006
- Inflated Scores
- Subjective
- Did Not Motivate
- Feedback was Not Timely

Denver Police Department  
Officer Performance Evaluation Report  
RANK: Patrol Officer

Officer Name: \_\_\_\_\_ Serial Number: \_\_\_\_\_ Assignment: \_\_\_\_\_  
Rating Period: From: \_\_\_\_\_ To: \_\_\_\_\_

I. Total Score: \_\_\_\_\_

II. Current License:  Valid Expiration Date: \_\_\_\_\_  
 Current Home Address: \_\_\_\_\_  
 Other: \_\_\_\_\_

III. Temporary Assignment / Remedial Training  
Type of Assignment: \_\_\_\_\_  
Dates: \_\_\_\_\_  
Supervisor: \_\_\_\_\_

IV. Career Development Plan  
Career Goal: \_\_\_\_\_  
Plan: \_\_\_\_\_  
Comments for Improvement: \_\_\_\_\_  
Date: \_\_\_\_\_

V. Signatures  
Evaluation Prepared By: \_\_\_\_\_ Signature of Rater: \_\_\_\_\_ Date: \_\_\_\_\_  
Rater Name: \_\_\_\_\_ Rank: \_\_\_\_\_  
Date of Performance Evaluation Meeting: \_\_\_\_\_  
I hereby acknowledge that I have read this report and it has been discussed with me by the rater. My signature does not constitute agreement with the report.

Rater's Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Approval: Second Level Supervisor \_\_\_\_\_ Date: \_\_\_\_\_  
Approval: District/ Bureau Commander \_\_\_\_\_ Date: \_\_\_\_\_

DPD 0034-0003

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## Development



January 2013

- Presented four conceptual performance models to Commanders at Chief's Staff meeting

March 2013

- Feedback received from command officers
- 59% proposed modified SSR System
- 52% recommended elimination of numeric scoring system
- 94% advocated for career goals/personal development component

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**Development** 


### April 2013


- Conceptualized performance evaluation system presented to Chief and approved for presentation to command staff.

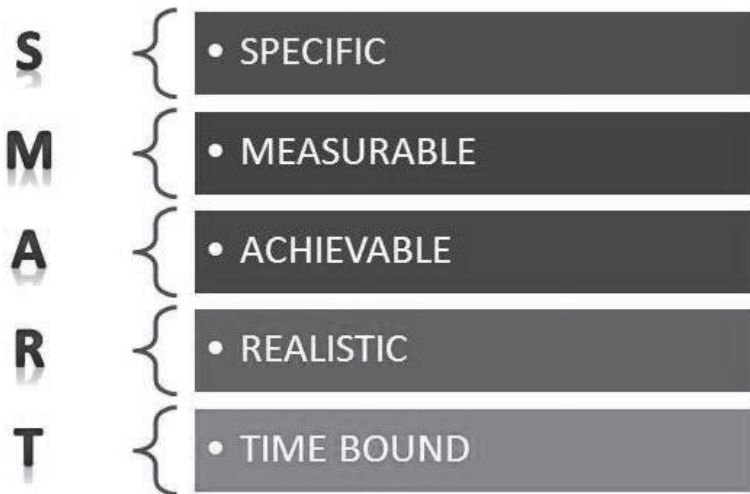
### August 2013

- Formal presentation to Chief and command staff
- Feedback received and new evaluation system approved for implementation starting 2014

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**Foundation Model** 



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## Key New Features



- Performance Based
- Linked to Strategic Plan
- Quarterly Assessment and Review
- Employee Input
- Mentoring/Coaching Opportunity
- Career Development/Succession Planning

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## Timeline



### November 2013

- Train all sergeants, lieutenants, captains, commanders & chiefs
- Train the trainer sessions

### December 2013

- Review the strategic plan for incorporation into the evaluation system

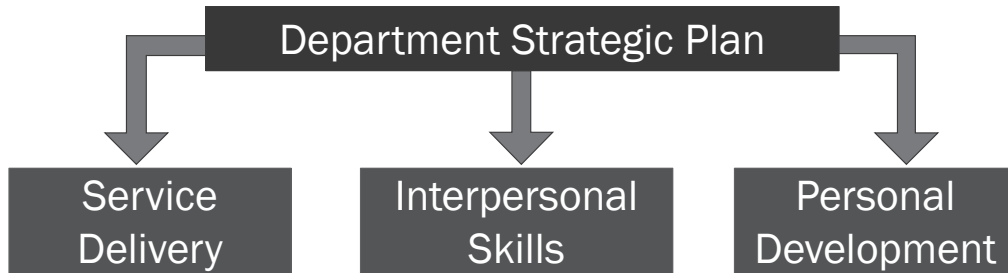
### January 2014

- Implement Performance Evaluation System

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## Denver Police Department Mission / Vision / Values




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# SECTION ONE SERVICE DELIVERY

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# Section One

## Service Delivery





- Every Commander is responsible to develop specific tactics, metrics and goals for their entire Division
- Duty of command officer and supervisors to communicate elements of Strategic Plan to officers
- Collaboration between command officer, supervisors and officers to develop Action Plans/Projects to reach benchmarks of Division level Strategic Plan
- Action Plan will list Anticipated Outcomes and record Results Achieved
- Closed-loop system

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# Section One

## Service Delivery



1st QUARTER - DIVISION LEVEL STRATEGIC PLAN

STEP 1 →

STEP 2 {

STEP 3 {

**ACTION PLAN**

**Project / Goal 1**

Title:  Expected Completion Date:

Anticipated outcomes and measures:

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

**Project / Goal 2** (check box to make selections available)

Title:  Expected Completion Date:

Anticipated outcomes and measures:


Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:


ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

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# Section One Service Delivery



## STEP 1

### Compose the narrative for the division level strategic plan

*(this will be driven by the Commander)*

Specific to this precinct/bureau/unit/area....

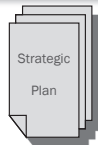
**What does the division hope to accomplish this quarter?**

Reduction in crime? Efficiency improvement? Community Partnerships?

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# Section One Service Delivery

Using the Strategic Plan as a guide, the supervisor develops specific and measurable projects/goals for each officer under their purview.

**TIP:** When extracting information for the Performance Evaluation – focus on clear, succinct objectives using concise language.

<b>SECTION ONE - SERVICE DELIVERY</b>	
<b>1st QUARTER - DIVISION LEVEL STRATEGIC PLAN</b>	
<b>ACTION PLAN</b>	
<b>Project / Goal 1</b>	
Title: <input type="text"/>	Expected Completion Date: <input type="text"/>
Anticipated outcomes and measures:	
Status <input type="checkbox"/> Not Started <input type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	
<input type="checkbox"/> <b>Project / Goal 2</b> (check box to make selections available)	
Title: <input type="text"/>	Expected Completion Date: <input type="text"/>
Anticipated outcomes and measures:	
Status <input type="checkbox"/> Not Started <input type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	

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## Section One Service Delivery



### STEP 2

#### Devise an action plan for the quarter

Specific to this officer....

What **project or goals** will this officer initiate this quarter that will promote the **department and/or divisions objectives**?

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## Section One Service Delivery




Department Strategic Plan

Division Level Strategic Plan

Action Plan


The strategic plan is a high-level document - your job is to focus the objectives into specific, manageable projects and/or goals.

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**Section One**  
**Service Delivery**



### Department Strategic Plan

**Strategy 2.00:** Training and empowering all employees to be leaders through action, accountability, and community partnerships

**Strategy 3.00:** Implementing cost savings and other efficiencies, including technology, with a focus on maintaining/improving the department's effectiveness

### Action Plan

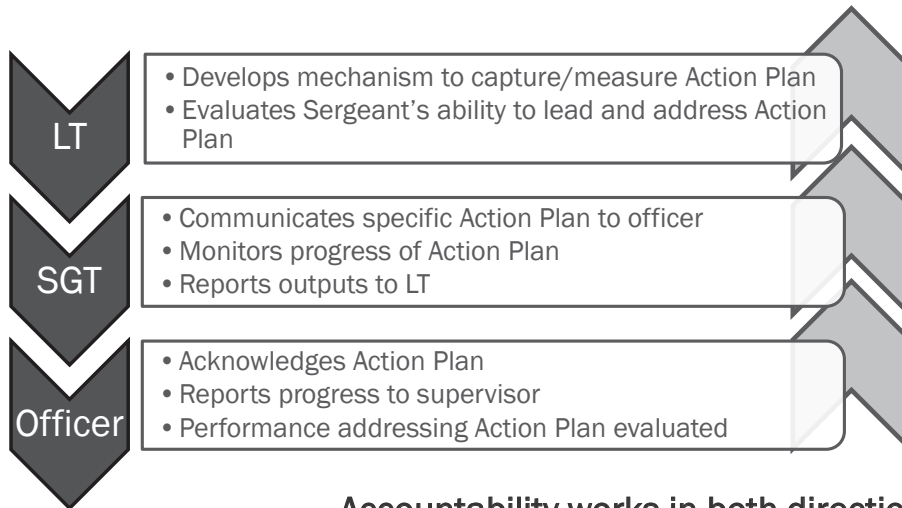
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Connect your project/goals to any of these strategies – and you have an Action Plan!



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Accountability works in both directions!

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## Section One Service Delivery



### PATROL – Action Plan examples

- Complete 100% of Adult Protection Service Referrals received and capture disposition (criminal event vs. welfare check only)
- Hotspot extra patrols – capture # of street checks / arrests



### INVESTIGATIONS– Action Plan examples

- Domestic Violence threat assessment case study
- Make contact with DV victim within 24 hours after case assigned and capture case disposition data (case filed/ case declined)



### TRAFFIC OPERATIONS BUREAU – Action Plan examples

- Case study on construction zone accidents
- Record number of construction zones audits, enforcement action taken, case disposition for criminal based construction zone accidents

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## Section One Service Delivery



### INVESTIGATIVE SUPPORT– Action Plan examples

- Case study for marijuana businesses
- Capture regulatory compliance data



### AIRPORT POLICE – Action Plan examples

- Emergency Preparedness
- Business Partnerships
- Traffic Safety



### ADMIN MANAGEMENT – Action Plan examples

- Process 100% of Change of Charge submissions within filing deadline
- Capture data on processing time

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## Section One Service Delivery



### STEP 3

At the end of the quarter, document the results achieved, status of the project and give the officer an assessment score.

Remember....

Evaluate the officer based on their level of performance – plans change, plans can end up “off target”, plans sometimes fail – and not always at the fault of the planner or the one who executed the plan.

**DOCUMENT WHAT HAPPENED!**

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## Section One Service Delivery



### Action Plan Status Categories

NOT STARTED

ON TRACK


AHEAD

BEHIND


COMPLETED

ABANDONED

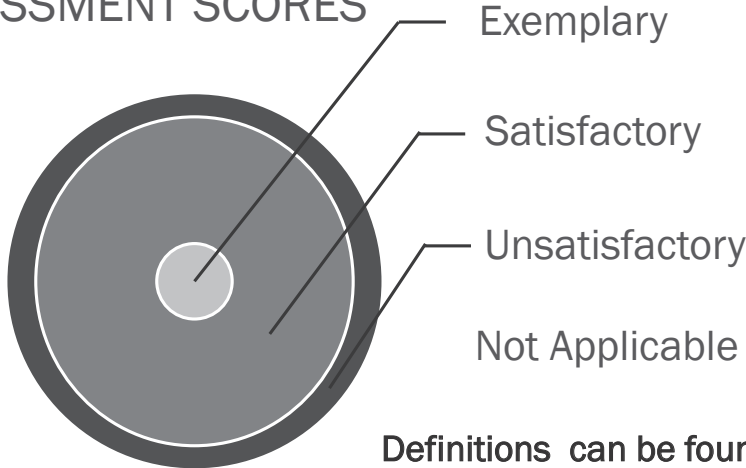
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## Section One Service Delivery



### ASSESSMENT SCORES



Definitions can be found in the Performance Evaluation System Guide

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## Section One Service Delivery




### Example: Patrol

#### 1st QUARTER - DIVISION LEVEL STRATEGIC PLAN

Enhance community partnership by emphasizing crime prevention, specifically as it pertains to auto thefts.

#### ACTION PLAN

**Project / Goal 1**

Title:  Expected Completion Date:  

Anticipated outcomes and measures:

In the calendar year 2013, District One had a total of 550 auto thefts. Puffer-related auto thefts accounted for 10% (55 total) of the auto thefts in District One. Officer Adams will identify puffer vehicles and personally contact vehicle owners to educate them on the potential auto theft risk. A crime prevention educational flyer will be provided to the puffer vehicle owner.


Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

For Quarter 1, 2014, Officer Adams personally identified a total of 25 "puffer" vehicles and successfully made contact with each vehicle owner. Officer Adams provided each owner a crime prevention flyer. For this quarter, auto thefts in District One were reduced by a total of 15% in comparison to totals for Quarter 1, 2013.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

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# Section One Service Delivery


**3rd QUARTER - DIVISION LEVEL STRATEGIC PLAN**

Timely and effective response to emerging crime trends.

**ACTION PLAN****Project / Goal 1**

Title:

Expected Completion Date:

Anticipated outcomes and measures:

During the month of June 2014, District One had a 30% increase of garage related burglaries. Officer Adams will personally contact 100% of the homeowners when he discovers an unattended open garage in his sector. Educational crime prevention flyers will be provided to the homeowner to help reduce garage related burglaries. Officer Adams will also work with the District Detectives and Crime Analyst to identify any crime trend/pattern in his assigned sector.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

For Quarter 3, 2014, Officer Adams identified a total of 25 unattended/open garages in his sector. Crime prevention flyers were distributed to each homeowner and half of the home owners registered their bicycles on the Denver Police website as recommended by Officer Adams. Officer Adams partnered with the assigned District One Detectives after a crime pattern was identified. During a saturation patrol operation on 07/26/2014, Officer Adams arrested an individual later identified as Jesse Quick (01/15/1975) shortly after he was seen fleeing from a residence with a large toolbox. Suspect Quick was transported to the District One Station and confessed to the assigned detective not only for the current burglary, but also to five additional burglaries in the neighborhood. A search warrant was then executed at suspect Quick's residence and multiple bicycles and home electronics were seized. Two of the bicycles belonged to residents that Officer Adams personally contacted during his crime prevention measures. The Denver District Attorney's Office accepted a total of six felony cases against suspect Quick. Since June of 2014, garage related burglaries have decreased by 15%.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE


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# Section One Service Delivery


**Example: Investigations****1st QUARTER - DIVISION LEVEL STRATEGIC PLAN**

Implementation of technology to enhance the solvability of Inactive, Not Cleared cases.

**ACTION PLAN****Project / Goal 1**

Title:

Expected Completion Date:

Anticipated outcomes and measures:

Detective Friday will enter all three of his unsolved homicides from 2013 into the VICAP (Violent Crime and Apprehension Program) in an effort to generate additional leads to similar cases.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

During Quarter 1 of 2014, Detective Friday entered all three of his unsolved homicides from 2013 into VICAP (Violent Crime and Apprehension Program). On March 15th, 2014, Detective Friday received an investigative lead from the regional VICAP crime analyst who reported similar case signatures between the unsolved Denver homicide that transpired on 10/31/2013 to an unsolved Aurora Homicide that occurred on 07/31/2013. To date no suspect(s) have been identified. However, Detective Friday has submitted an additional lab request in his case after meeting with the assigned Aurora Homicide Detective to compare case details.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE



# SECTION TWO INTERPERSONAL SKILLS

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Journal Entry System developed to record individual performance with the following enhancements:

Five main Core Dimension Categories with corresponding subcategories

Source Field to cite the basis of element being evaluated and an Assessment Rating Score to reinforce positive performance, and likewise identify and correct poor performance

(Replaces Supervisor’s Situation Record)

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Core Dimensions	
<b>1 - Communication</b>	Written Verbal
<b>2 - Professionalism</b>	Respect Customer Service Appearance Integrity Job Knowledge
<b>3 - Initiative</b>	Innovation Motivation Awareness
<b>4 - Teamwork</b>	Collaboration Adaptability
<b>5 - Leadership</b>	Management
<b>Journal Entry System</b>	
	Source
	Category
	<b>RATING SCORE</b>
	Narrative







# Section Two Interpersonal Skills



### SECTION TWO - INTERPERSONAL SKILLS

#### JOURNAL ENTRIES

Date:  Source:  Category:   
 Narrative:   
 Supervisor:  Badge Number:   
 ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

Insert New Journal Entry

Cite the **SOURCE** of information

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# Section Two Interpersonal Skills



### SECTION TWO - INTERPERSONAL SKILLS

#### JOURNAL ENTRIES

Date:  Source:  Category:   
 Narrative:   
 Supervisor:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

Insert New Journal Entry

- Select...
- Communications - Written
- Communications - Verbal
- Professionalism - Respect
- Professionalism - Customer Service
- Professionalism - Appearance
- Professionalism - Integrity
- Professionalism - Job Knowledge
- Initiative - Innovation
- Initiative - Motivation
- Initiative - Awareness
- Teamwork - Collaboration
- Teamwork - Adaptability
- Leadership - Management (SGT & above only)
- Training
- Other

**CATEGORIZE** the entry

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## Section Two

# Interpersonal Skills



**SECTION TWO - INTERPERSONAL SKILLS**

**JOURNAL ENTRIES**

Date: <input type="text"/>	Source: <input type="text" value="Select..."/>	Category: <input type="text" value="Select..."/>
Narrative: <div style="border: 1px solid #ccc; height: 40px; width: 100%;"></div>		
Supervisor: <input type="text"/>	Badge Number: <input type="text"/>	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE		

Insert New Journal Entry

Apply an **ASSESSMENT SCORE** to the narrative entry

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## Section Two

# Interpersonal Skills



**SECTION TWO - INTERPERSONAL SKILLS**

**JOURNAL ENTRIES**

Date: <input type="text"/>	Source: <input type="text" value="Select..."/>	Category: <input type="text" value="Select..."/>
Narrative: <div style="border: 1px solid #ccc; height: 40px; width: 100%;"></div>		
Supervisor: <input type="text"/>	Badge Number: <input type="text"/>	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE		

Insert New Journal Entry

Additional Journal Entries can be made by clicking the down arrow

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## Section Two Interpersonal Skills



### CATEGORIES and ASSESSMENT SCORES

Always follow the definitions and models  
found within the Performance Evaluation  
System Guide

Appearance, Integrity, Job Knowledge have modified models for scoring  
If none of the models apply, follow the assessment score definitions

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## Section Two Interpersonal Skills



### YEAR-END NARRATIVE

Text block for supervisor to outline officer's  
body of work for the calendar year

(not subject to an assessment score)

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# SECTION THREE PERSONAL DEVELOPMENT

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The Personal Development Section was designed to enhance the department’s most valuable asset, human capital.

Allows the officer to contribute to “their” evaluation

Identifies Career Path goals


Fosters Succession Planning

Designed to develop supervisor/officer interaction

Personal Development
<u>Self-Assessment</u>
<b>Career Goals</b> (mandatory)
<b>Performance Log</b> (optional)
Career Path Assessment and Planning


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# Section Three Personal Development



The Officer Self Assessment Form will be made available to all officers in December.

Instructions will be included to direct officers on it's location and use.

**OFFICER SELF ASSESSMENT – ADDENDUM (CONCEPT)**

MISSION: IN PARTNERSHIP WITH THE COMMUNITY, WE DESIGNER TO OPERATE A POLICE AGENCY WITH A FOCUS ON PROTECTING, SERVE IN A RESPECTFUL MANNER, COMMUNICATING THAT OPERATIONAL MATTERS

Officer Name: \_\_\_\_\_  January – March (due by March 31st)  
 Rank: \_\_\_\_\_  April – June (due by June 30th)  
 Serial Number: \_\_\_\_\_  July – September (due by October 31st)  
 Assignment: \_\_\_\_\_  October – December MANDATORY (due by December 31st)

**Personal Development / Career Goals**  
 MANDATORY for all officers in the last quarter – optional at all other times

Short Term Goals (1-2 years):  
 \_\_\_\_\_  
 \_\_\_\_\_

Long Term Goals (3+ years):  
 \_\_\_\_\_  
 \_\_\_\_\_

**Performance Log**  
 Optional – to identify and document noteworthy individual performance which otherwise would not be recognized by supervision

Date: \_\_\_\_\_ Location: \_\_\_\_\_ Supervisor Contact Info: \_\_\_\_\_  
 Name: \_\_\_\_\_

Date: \_\_\_\_\_ Location: \_\_\_\_\_ Supervisor Contact Info: \_\_\_\_\_  
 Name: \_\_\_\_\_

Please print and complete the following if Performance Log entries have been submitted.  
(Signature not required for Career Goal entries only)

I, \_\_\_\_\_ hereby affirm that the above Performance Log entries are true and to the best of my recollection. I understand that these entries are subject to verification by supervision and if found to be deliberately falsified, I will be subject to discipline.

Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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# Section Three Personal Development



## OFFICER SELF ASSESSMENT - ADDENDUM

### PERSONAL DEVELOPMENT / CAREER GOALS (MANDATORY)

Short and long term goals identified (personal, professional or both)  
Due by the last day of the year

### PERFORMANCE LOG (OPTIONAL)

Completed by the officer; subject to verification and recorded as a Journal  
 Entry by the supervisor - Due on the last day of any quarter

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# Section Three Personal Development



## SECTION THREE - PERSONAL DEVELOPMENT

Self-Performance Logs may be submitted by the individual officer on a quarterly basis. If submitted, these logs are to be attached to the evaluation as an addendum.

### ACKNOWLEDGEMENT OF RECEIPT - OFFICER SELF ASSESSMENT

January - March	<input type="checkbox"/> Received	<input type="checkbox"/> CDA Entry	Supervisor Serial: <input type="text"/>
April - June	<input type="checkbox"/> Received	<input type="checkbox"/> CDA Entry	Supervisor Serial: <input type="text"/>
July - September	<input type="checkbox"/> Received	<input type="checkbox"/> CDA Entry	Supervisor Serial: <input type="text"/>
October - December	<input type="checkbox"/> MANDATORY	<input type="checkbox"/> CDA Entry	Supervisor Serial: <input type="text"/>

If an officer submits a Self Assessment Form, complete an acknowledgement of receipt.

### CAREER DEVELOPMENT ACKNOWLEDGEMENT (CDA)

Quarter:

Goal:

Results Achieved:

Follow up with a CDA entry: Using your own words, identify what you as a supervisor can do to help facilitate these goals. If accomplishments are made, record those as well.

Insert an additional Career Development Acknowledgement

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# QUARTERLY ASSESSMENT SCORE TALLY

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# Quarterly Assessment Score Tally



**FINAL ASSESSMENT**

**QUARTERLY ASSESSMENT SCORE TALLY**

ACTION PLANS	EXEMPLARY	SATISFACTORY	UNSATISFACTORY	NOT APPLICABLE
January - March	0	0	0	0
April - June	0	0	0	0
July - September	0	0	0	0
October - December	0	0	0	0

JOURNAL ENTRIES	EXEMPLARY	SATISFACTORY	UNSATISFACTORY	NOT APPLICABLE
	0	0	0	0

TOTALS		
EXEMPLARY	SATISFACTORY	UNSATISFACTORY
0	0	0


As supervisors assign Assessment Scores to the Action Plans and Journal Entries, the scores will be automatically tallied within the evaluation form.

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## FINAL YEAR-END PERFORMANCE RATING

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# Final Year-End Performance Rating



**FORMER EVALUATION SYSTEM**

Numerical Scoring System

Finalized Annually

Subject to Data Manipulation

SSR entries independent of evaluation

**NEW EVALUATION SYSTEM**


Narrative Ranking System

Finalized Quarterly

Quarterly Assessment


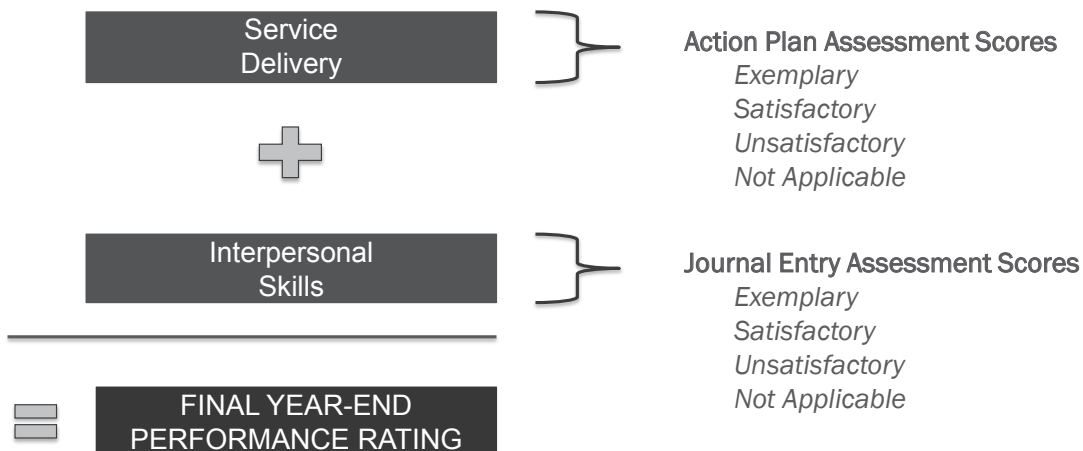
Year-End Performance Rating that incorporates Journal Entries

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# Final Year-End Performance Rating

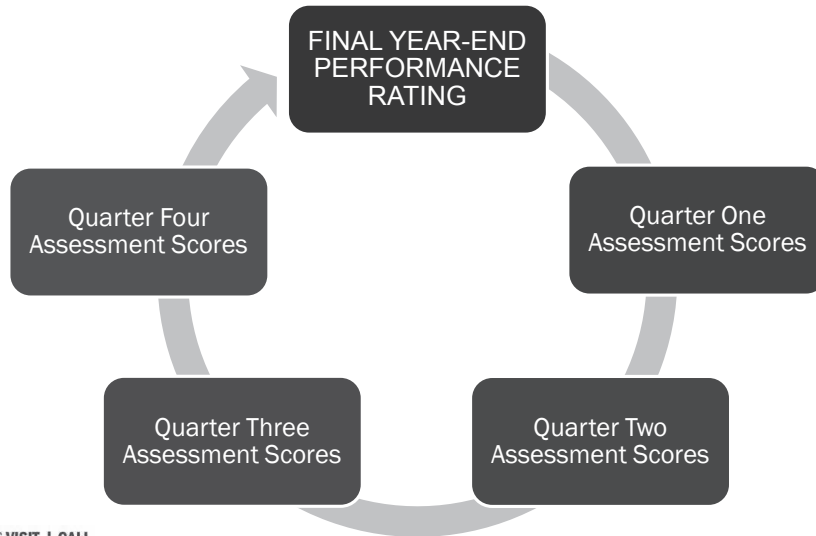



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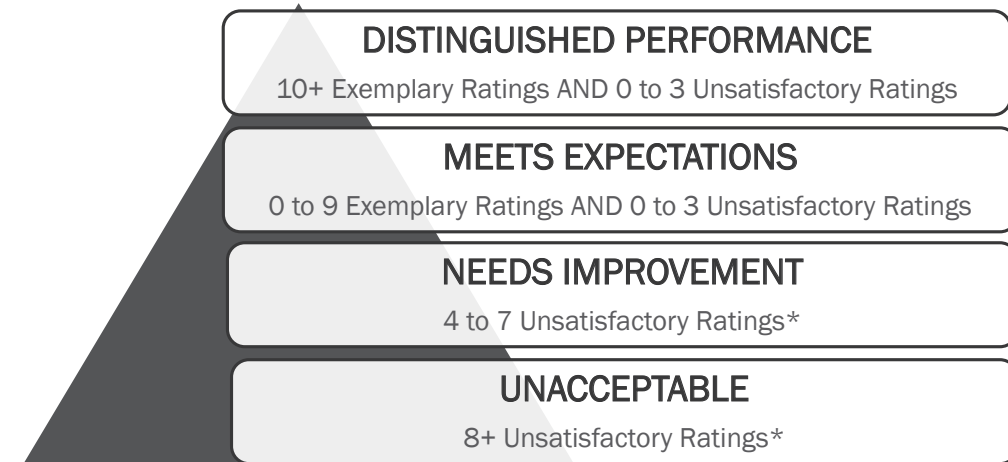
**Final Year-End  
Performance Rating** 



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**Final Year-End  
Performance Rating** 




\*automatic qualifier

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# Final Year-End Performance Rating



EXEMPLARY	TOTALS SATISFACTORY	UNSATISFACTORY
2	12	0

**PERFORMANCE RATING DEFINITIONS**

DISTINGUISHED PERFORMANCE: 10+ exemplary ratings AND 0-3 unsatisfactory ratings for the year

MEETS EXPECTATIONS: 0-9 exemplary ratings AND 0-3 unsatisfactory ratings for the year

NEEDS IMPROVEMENT: 4-7 unsatisfactory ratings for the year (automatic qualifier)

UNACCEPTABLE: 8+ unsatisfactory ratings for the year (automatic qualifier)




CALCULATE SCORE AND SUBMIT UPDATES

FINAL YEAR END PERFORMANCE RATING

MEETS EXPECTATIONS


To update the Final Year-End Performance Rating within the form, **ALWAYS** click the CALCULATE SCORE AND SUBMIT UPDATES button prior to saving and/or finalizing for signatures

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# Final Year-End Performance Rating



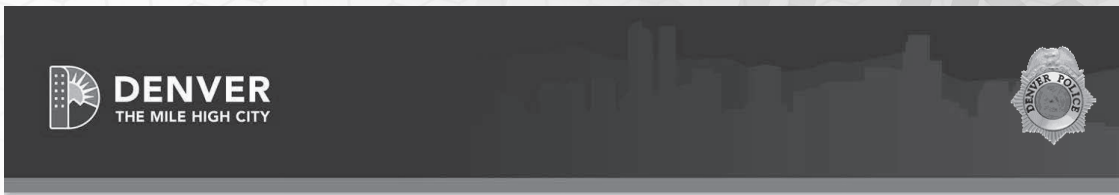
## Performance Improvement Plan

A performance improvement plan is a formal process used by supervisors to help employees improve performance or modify behavior.

**Currently not standardized or required.**

Performance deficiencies should be addressed within the new evaluation system (ACTION PLAN), lack of doing so will be evaluated at the end of 2014 and may require the adoption of a standardized process

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## Evaluation Form Location, Usage and Distribution

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The Performance Evaluation form can be located at: T:\DPD (Template Drive) under the file name:

**“DPD Performance Evaluation System-2014”.**

When opening the form for the first time, enter the heading information for the subject officer. Once this is completed, save the document at Y:\EVALS (follow instruction sheet) using the naming convention below:

**File Name:**            **LastName.FirstName.SerialNumber.YEAR**

*Example:*            *Smith.John.99999.2014*

This step will need to be repeated for every officer under your span of control until each officer has a unique performance evaluation form.

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## Evaluation Form Location, Usage and Distribution




### December 1<sup>st</sup> through 15<sup>th</sup>

You will receive an instruction sheet by the end of November directing you where to save the evaluation forms. The files will be permission based and all forms **MUST** be housed within this file structure.

At any time, the Chief and/or command staff should be able to open any file and find a performance evaluation for every officer within their chain of command.


**All forms must be created by December 15<sup>th</sup> for a system audit**

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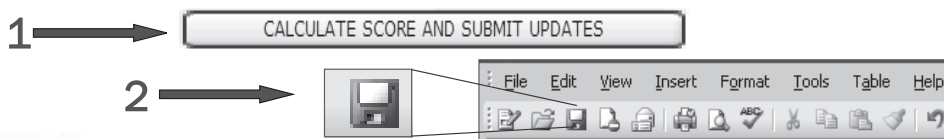
## Evaluation Form Location, Usage and Distribution



The Performance Evaluation System form was meant to be utilized as a **SINGLE REPOSITORY THROUGHOUT THE YEAR** until finalized at the completion of the 4<sup>th</sup> Quarter.


Remember to **ALWAYS** scroll through the form and hit the “CALCULATE SCORE AND SUBMIT UPDATES” prior to saving your work and closing.

Failing to hit this button will cause the background calculations not to take place and will result in your work (although saved) being unaccounted for when the data is extracted.




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## Evaluation Form Location, Usage and Distribution




### Probationary Officers

While enrolled in the Field Training Program, the probationary officer shall be evaluated by a Field Training Officer on the Daily Observation Report, DPD 292 and End of Phase Report, DPD 292B.

**At the conclusion of field training, the probationary officer will be evaluated on the Performance Evaluation System. The rating period will commence at the completion of field training and will conclude on the calendar year.**

A probationary officer’s action plan should concentrate on any training areas identified during the Field Training Program that need further development.

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## Evaluation Form Location, Usage and Distribution



The Performance Evaluation form allows information contained within it to be easily reported and distributed using minimal printing.

At the completion of every quarter, the supervisor is able to demonstrate the work completed to his/her command officer while at the same time allowing the subject officer to maintain a copy for his/her records.

By utilizing the “Send to Mail Recipient” icon, the supervisor is able to forward a copy of the performance evaluation similar to MS Outlook.

TO: Command Officer  
CC: Subject Officer



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## Evaluation Form Location, Usage and Distribution



**REMEMBER** to **ALWAYS** modify the “mail options” on the right task pane to “**Read-Only snapshot**”. Inadvertently sending an “editable form” will result in the subject officer being able to manipulate the performance evaluation, regardless of where it is saved.

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## Evaluation Form Location, Usage and Distribution



At the conclusion of the calendar year, the supervisor will print out the evaluation, obtain the necessary signatures and forward the original to his/her commander for finalization.

After the commander review, all finalized evaluations will be delivered to HR.

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# Performance Evaluation Cycle



A Performance Evaluation Planning Calendar has been included in your training notebook



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## Questions?



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## DPD performance evaluation FAQs

### PERFORMANCE EVALUATION SYSTEM – FACT SHEET

DECEMBER, 2013

Answers to frequently asked questions:

**Q: Is there a minimum number of journal entries a supervisor must record for the officer he or she supervises?**

A: No. However, supervisors are evaluated on their aptitude to assess the performance level of each officer within their purview and provide timely feedback to them with quality journal entries.

**Q: Do I record performance and developments of an officer's action plan within a journal entry?**

A: No. Action plans and journal entries are two separate components within the performance evaluation system. An officer's action plan is designed to be scored independent from assorted individual performance noted throughout the calendar year. The narrative text box labeled "Results Achieved" is the appropriate repository to document not only the officer's performance as it pertains to the given action plan but also the developments and progress for the specific action plan. By using the designated action plan narrative text box, the supervisor can support and accurately assign both the applicable status and the appropriate assessment score of a given action plan.

**Q: Can I carry over an action plan into the following quarter?**

A: Yes. The action plans within the performance evaluation system were designed to allow for that flexibility and permit supervisors to extend an action plan over a longer period of time greater than one quarter. However, the decision to continue an officer's action plan into the subsequent quarter will need to be supported and documented within the narrative text box labeled "Results Achieved." The supervisor shall then select the appropriate status of the action plan and corresponding assessment score for the officer's performance to his or her action plan for that given quarter. As a reminder, every officer must have at least one action plan per quarter.



**Q: Can a team of officers have the same action plan?**

A: Yes. Action plans may require the participation of more than one officer based on the scope and magnitude. However, to accurately assign an assessment score for an officer who is participating in a team or group action plan, the supervisor should clearly define what element(s) each officer is responsible for so their performance can be accurately recorded and scored.

**Q: Are the same assessment scores used for action plans and journal entries?**

A: Yes. The same operational definitions of exemplary, satisfactory, unsatisfactory, and not applicable are used to assess an officer's performance to an assigned action plan and to the various journal entries recorded throughout the calendar year. The assessment score definitions are outlined on page 14 of the performance evaluation system guide.

**Q: Can an action plan be used as a means to address an identified area of substandard performance or level of service that an officer needs development in?**

A: Yes. Until the Denver Police Department creates a standardized performance improvement plan form, this is the appropriate section to record the officer's identified deficiency. The supervisor shall identify the area of concern in the "Title" field of the action plan. The officer's level of expectations and the resources, support, and training plan provided shall be recorded within the text box labeled "Anticipated outcomes and measures." This type of action plan is eligible for an assessment score.

**Q: If an officer receives either an "unacceptable" or "needs improvement" rating as their final year end assessment, are they ineligible to apply for an appointed position or take a promotional exam?**

A: No. Officers will only be ineligible for consideration to an appointed position or participation in a promotional exam based on the same disqualifying criteria used in the most recent civil service promotional process. Refer to Denver Police Operations Manual section 115.02—Detective, Corporal, and Technician Selection Process (revised October 2013). Automatic disqualifiers can be accessed at <http://www.denvergov.org/civilservice/>.

**Q: Can an officer file an objection to an “unsatisfactory” score within his or her evaluation?**

A: Yes. Once an unsatisfactory score is assessed to an officer’s performance within either an assigned action plan or to a specific journal entry, the supervisor must first provide a copy of the substandard entry to the officer. The supervisor can either printout a copy of the evaluation or follow the electronic distribution method as outlined on page 9 of the performance evaluation system guide. The officer may, within 15 days of learning the adverse record, submit a written response within the officer self-assessment report detailing the basis for the objection. The officer’s appeal will be reviewed by the second level supervisor for disposition of the appropriate assessment score. The final decision for any appeal rests with the respective division commander.

**Q: Is there a minimum number of officer self-assessment reports that are required to be submitted to a supervisor?**

A: No. The officer self-assessment report is optional for all officers subject to an evaluation. If an officer elects to document specific performance within the officer self-assessment report, the only requirement is that it be submitted to the appropriate supervisor by the last day of a given quarter. This will allow the officer’s supervisor the necessary time to verify the content of the entry for inclusion in the officer’s performance evaluation. The exact due dates for the officer self-assessment report is outlined on the form itself and performance evaluation planning calendar.

**Q: If an officer elects to submit an officer self-assessment report, do they assign the assessment score to their own noteworthy performance?**

A: No. It is the responsibility of the officer’s supervisor not only to verify the content of each entry within an officer’s self-assessment report but also to accurately assign an assessment score. Assessment score definitions are outlined on page 14 of the performance evaluation system guide. The supervisor shall include each entry made in an officer self-assessment report and incorporate such in a journal entry (section 2 of the performance evaluation). To properly record this type of journal entry, the supervisor shall select “Officer Self-Assessment Log” from the drop-down options listed in the “Source” field.

**Q: What if an officer’s or supervisor’s schedule does not permit action plan development or the required performance meetings within the designated timeframes?**

A: With the approval of the second level supervisor, the development of an officer’s action plan can be completed before or immediately after the designated window as outlined on the performance evaluation planning calendar. Conversely, the required performance meeting can be completed prior to the designated window should an officer’s and supervisor’s schedule prevent the completion of the quarterly performance evaluation by its scheduled due date.

**Q: What happens in the evaluation process when an officer is either promoted, transferred, or on temporary assignment?**

A: The performance evaluation form was designed to be used throughout the calendar year regardless of any promotion or transfer of assignment.

Promotions/Transfer of assignment: Planning, Research, and Support will automatically move the performance evaluation file to the new assignment folder based on the official personnel transfer notice. The file movement will take place on or within three days following the effective promotion or transfer date. The prior assignment will have until the effective date to make any final additions or finalize any previously initiated entries.

Temporary/special/acting assignments: Officers temporarily assigned to an acting supervisory position or to a temporary special assignment for a minimum of three consecutive work periods must have their evaluation form transferred to the new assignment or be granted access to the evaluation forms (acting supervisory assignments only). Command officers must notify Planning, Research, and Support ([dpdplanning@denvergov.org](mailto:dpdplanning@denvergov.org)) with the officer name, assignment, and effective dates.

**Q: Are officers assigned to a task force or other similar position or assignment where they are not directly supervised on a day-to-day basis by a sworn member of the Denver Police Department subject to a performance evaluation?**

A: Yes. Officers that fall within this category are encouraged to complete the officer self-assessment form to document noteworthy performance within their given assignment and submit such to their designated Denver Police Department supervisor at the end of each quarter for incorporation into the officer's performance evaluation. The designated Denver Police Department supervisor may also integrate any progress reports compiled by the task force supervisor that outline the Denver police officer's performance into the officer's performance evaluation. Conversely, the designated Denver Police Department supervisor shall collaborate with the task force officer and their task force supervisor in the development, measurement and assessment of the officer's identified action plan.

For more information or clarification, please contact the Planning, Research, and Support Division:

Captain Sylvia T. Sich

Sergeant Anthony Parisi

Technician Estevan C. Valdez

## DPD officer self-assessment

### OFFICER SELF ASSESSMENT - ADDENDUM

**MISSION:** IN PARTNERSHIP WITH THE COMMUNITY, WE ENDEAVOR TO OPERATE A POLICE AGENCY WITH A FOCUS ON PREVENTING CRIME IN A RESPECTFUL MANNER, DEMONSTRATING THAT EVERYONE MATTERS



Last Name:	First Name:	<input type="checkbox"/> January - March (due by March 31 <sup>st</sup> )
Rank: <u>Select...</u>		<input type="checkbox"/> April - June (due by June 30 <sup>th</sup> )
Serial Number:		<input type="checkbox"/> July - September (due by September 30 <sup>th</sup> )
Assignment:		<input type="checkbox"/> October - December (due by December 31 <sup>st</sup> )

**For the given rating period above, select from the choices below:**  
 (the corresponding tables will automatically generate for you to make an entry)

#### PERSONAL DEVELOPMENT & CAREER GOALS

**MANDATORY** for all officers in the last quarter of the year - optional at all other times.

Short Term Goals (1-2 years)

Long Term Goals (3+ years)

#### PERFORMANCE LOG

**OPTIONAL** - to identify and document noteworthy individual performance which otherwise would not be recognized by supervision. This field can also be used to appeal an assessment score given to an Action Plan and/or Journal Entry. (See OMS 503.04)

Date:	Location:
Observer (if applicable):	
Observer Contact Information:	
Narrative:	

Signature - **REQUIRED** to submit a Performance Log Entry

Date



## DPD performance evaluation action plan examples



# DENVER POLICE DEPARTMENT Performance Evaluation System

## Action Plan Examples

Officer Adams  
Detective Friday  
Sergeant Copp  
Lieutenant Baker

Planning, Research and Support Division

# DENVER POLICE DEPARTMENT PERFORMANCE EVALUATION



**MISSION:** IN PARTNERSHIP WITH THE COMMUNITY, WE ENDEAVOR TO OPERATE A POLICE AGENCY WITH A FOCUS ON PREVENTING CRIME IN A RESPECTFUL MANNER, DEMONSTRATING THAT EVERYONE MATTERS

Last Name:	Adams	First Name:	Adam	Rating Period	1/1/2014
Rank:	Officer			to	12/31/2014
Serial Number:	88888	<input checked="" type="checkbox"/>	Valid Driver's License (expiration)		6/15/2018
Division:	District One	<input checked="" type="checkbox"/>	Current Home Address		
Assignment:	Patrol - Detail 1				

**VISION** THE DEPARTMENT, IN PARTNERSHIP WITH THE COMMUNITY, WILL ENDEAVOR TO ACHIEVE OUR MISSION BY:  
 FOCUS ON THE PREVENTION OF CRIME AND SAFETY  
 ADOPTING A DEPARTMENTAL CULTURE THAT IS CONSISTENT WITH COMMUNITY VALUES  
 COMBINING BOTH EFFICIENCY AND EFFECTIVENESS  
 LEVERAGE TECHNOLOGIES THAT ENHANCE POLICING OPERATIONS

**VALUES** JUSTICE, EQUITY, INTEGRITY, HONESTY, ACCOUNTABILITY, RESPECT, DIVERSITY, TEAMWORK, INNOVATION, CUSTOMER SERVICE

## SECTION ONE - SERVICE DELIVERY

### 1st QUARTER - DIVISION LEVEL STRATEGIC PLAN

Enhance community partnership by emphasizing crime prevention, specifically as it pertains to auto thefts.

#### ACTION PLAN

**Project / Goal 1**

Title: Auto Theft Reduction - Puffer Vehicles Expected Completion Date: 3/31/2014

Anticipated outcomes and measures:  
 In the calendar year 2013, District One had a total of 550 auto thefts. Puffer-related auto thefts accounted for 10% (55 total) of the auto thefts in District One. Officer Adams will identify puffer vehicles and personally contact vehicle owners to educate them on the potential auto theft risk. A crime prevention educational flyer will be provided to the puffer vehicle owner.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:  
 For Quarter 1, 2014, Officer Adams personally identified a total of 25 "puffer" vehicles and successfully made contact with each vehicle owner. Officer Adams provided each owner a crime prevention flyer. For this quarter, auto thefts in District One were reduced by a total of 15% in comparison to totals for Quarter 1, 2013.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

**Project / Goal 2** (check box to make selections available)

Title: Expected Completion Date:

Anticipated outcomes and measures:

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

## 2nd QUARTER - DIVISION LEVEL STRATEGIC PLAN

Data driven approach to crime/traffic safety (DDACTS)

## ACTION PLAN

**Project / Goal 1**

Title: Registered Sex Offender Home Verification

Expected Completion Date: 4/30/2014

## Anticipated outcomes and measures:

Identify and provide compliance information to the Sex Registration Unit on offenders residing in hotels along the West Colfax Avenue corridor.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

## Results Achieved:

On March 27th, 2014 Officer Adams was provided with a list of 25 convicted sex offenders who reported their address to be at one of the several hotels along the West Colfax Avenue corridor. Officer Adams completed home verification checks for each of the 25 listed convicted sex offenders. Officer Adams identified a total of five convicted sex offenders that were not residing in their residence of record. The remaining twenty registered sex offenders were verified to be in compliance. For the five who were out of compliance, four were discovered to be residing in the city of Lakewood. As for the one unaccounted sex offender, an arrest warrant for Failure to Register was issued. To date, this suspect remains at large.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

 **Project / Goal 2** (check box to make selections available)

Title:

Expected Completion Date:

## Anticipated outcomes and measures:

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

## Results Achieved:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

**3rd QUARTER - DIVISION LEVEL STRATEGIC PLAN**

Timely and effective response to emerging crime trends.

**ACTION PLAN**

<b>Project / Goal 1</b>	
Title: Garage Burglary Suppression	Expected Completion Date: 9/30/2014
Anticipated outcomes and measures:	
During the month of June 2014, District One had a 30% increase of garage related burglaries. Officer Adams will personally contact 100% of the homeowners when he discovers an unattended open garage in his sector. Educational crime prevention flyers will be provided to the homeowner to help reduce garage related burglaries. Officer Adams will also work with the District Detectives and Crime Analyst to identify any crime trend/pattern in his assigned sector.	
Status <input type="checkbox"/> Not Started <input checked="" type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
For Quarter 3, 2014, Officer Adams identified a total of 25 unattended/open garages in his sector. Crime prevention flyers were distributed to each homeowner and half of the home owners registered their bicycles on the Denver Police website as recommended by Officer Adams. Officer Adams partnered with the assigned District One Detectives after a crime pattern was identified. During a saturation patrol operation on 07/26/2014, Officer Adams arrested an individual later identified as Jesse Quick (01/15/1975) shortly after he was seen fleeing from a residence with a large toolbox. Suspect Quick was transported to the District One Station and confessed to the assigned detective not only for the current burglary, but also to five additional burglaries in the neighborhood. A search warrant was then executed at suspect Quick's residence and multiple bicycles and home electronics were seized. Two of the bicycles belonged to residents that Officer Adams personally contacted during his crime prevention measures. The Denver District Attorney's Office accepted a total of six felony cases against suspect Quick. Since June of 2014, garage related burglaries have decreased by 15%.	
ASSESSMENT SCORE <input checked="" type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	
<input type="checkbox"/> <b>Project / Goal 2</b> (check box to make selections available)	
Title:	Expected Completion Date:
Anticipated outcomes and measures:	
Status <input type="checkbox"/> Not Started <input type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	



**4th QUARTER - DIVISION LEVEL STRATEGIC PLAN**

Enhance community partnership by emphasizing crime prevention, specifically as it pertains to at-risk adults.

**ACTION PLAN****Project / Goal 1**

Title: Adult Protection Referrals

Expected Completion Date: 12/31/2013

Anticipated outcomes and measures:

Complete 100% of assigned adult protection referrals and initiate general offense report for any warranted criminal investigative follow-up investigation.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

For Quarter 2, 2014, Officer Adams was assigned a total of five Adult Protection Referrals. Officer Adams successfully made contact with each subject of the referral. Only one was referred to the Domestic Violence Unit for a criminal follow-up investigation. This case (DPD Case #14-555555) was accepted for felony charges.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

**Project / Goal 2** (check box to make selections available)

Title:

Expected Completion Date:

Anticipated outcomes and measures:

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

# DENVER POLICE DEPARTMENT PERFORMANCE EVALUATION

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Last Name: <input type="text" value="Friday"/>	First Name: <input type="text" value="Joseph"/>	Rating Period <input type="text" value="1/1/2014"/>
Rank: <input type="text" value="Detective"/>	to <input type="text" value="12/31/2014"/>	
Serial Number: <input type="text" value="77777"/>	<input checked="" type="checkbox"/> Valid Driver's License (expiration)	<input type="text" value="9/1/2017"/>
Division: <input type="text" value="Major Crimes Division"/>	<input checked="" type="checkbox"/> Current Home Address	
Assignment: <input type="text" value="Homicide Unit"/>		

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## SECTION ONE - SERVICE DELIVERY

### 1st QUARTER - DIVISION LEVEL STRATEGIC PLAN

Implementation of technology to enhance the solvability of Inactive, Not Cleared cases.

#### ACTION PLAN

<b>Project / Goal 1</b>	
Title: <input type="text" value="Violent Crime and Apprehension Program"/>	Expected Completion Date: <input type="text" value="3/31/2014"/>
Anticipated outcomes and measures: Detective Friday will enter all three of his unsolved homicides from 2013 into the ViCAP (Violent Crime and Apprehension Program) in an effort to generate additional leads to similar cases.	
Status <input type="checkbox"/> Not Started <input checked="" type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved: During Quarter 1 of 2014, Detective Friday entered all three of his unsolved homicides from 2013 into ViCAP (Violent Crime and Apprehension Program). On March 15th, 2014, Detective Friday received an investigative lead from the regional ViCAP crime analyst who reported similar case signatures between the unsolved Denver homicide that transpired on 10/31/2013 to an unsolved Aurora Homicide that occurred on 07/31/2013. To date no suspect(s) have been identified. However, Detective Friday has submitted an additional lab request in his case after meeting with the assigned Aurora Homicide Detective to compare case details.	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input checked="" type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	
<input type="checkbox"/> <b>Project / Goal 2</b> (check box to make selections available)	
Title:	Expected Completion Date: <input type="text"/>
Anticipated outcomes and measures:	
Status <input type="checkbox"/> Not Started <input type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	

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Last Name: Copp First Name: Sandy Rating Period 1/1/2014  
 Rank: Sergeant to 12/31/2014  
 Serial Number: 99999  Valid Driver's License (expiration) 7/1/2015  
 Division: District Four  Current Home Address  
 Assignment: Detail 1 - Sector 2

**VISION** THE DEPARTMENT, IN PARTNERSHIP WITH THE COMMUNITY, WILL ENDEAVOR TO ACHIEVE OUR MISSION BY:  
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### SECTION ONE - SERVICE DELIVERY

#### 1st QUARTER - DIVISION LEVEL STRATEGIC PLAN

Building police and community relationships by increasing community partnerships by updating and confirming Business Watch participation and by encouraging networking participation.

#### ACTION PLAN

##### Project / Goal 1

Title: Update Business Watch Database

Expected Completion Date: 3/31/2014

##### Anticipated outcomes and measures:

All businesses located in sector 2 will be contacted and added to the Business Watch database. Information will include business name, type of business, hours of operation, contact names of owner/manager(s), contact phone numbers. Businesses will be given information about Business Watch and invited to attend future meetings.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

##### Results Achieved:

In Q-1 a plan was developed mapping out all businesses located in sector 2. The information to the precinct officers who made the contact and gathered the information. Sector 2 businesses are now all in the database; the precinct officers have made contact with the businesses and are building a relationship between the department and the business.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

##### Project / Goal 2 (check box to make selections available)

Title: Create a database of citizens living next to and around businesses.

Expected Completion Date: 3/31/2014

##### Anticipated outcomes and measures:

Numerous residents living next to and around businesses in sector 2, call the police about issues stemming from the business; parking problems, litter/trash, noise issues, etc. Making contact with the residents and gathering their information for future meetings with the businesses concerning the problems in the neighborhood.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

##### Results Achieved:

The majority of the citizens contacted were willing to be placed on a notification list to attend meetings with the neighborhood business representatives.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE



**2nd QUARTER - DIVISION LEVEL STRATEGIC PLAN**

Building police and community relationships by increasing community partnerships by updating and confirming Business Watch participation and by encouraging networking participation.

**ACTION PLAN**

<b>Project / Goal 1</b>	
Title: Developing relationships between businesses and residents.	Expected Completion Date: 6/30/2014
Anticipated outcomes and measures: Schedule on-going monthly meetings with sector 2 businesses and citizen members. Meetings will be designed to discuss citizen complaints stemming from the businesses. Solutions will be discussed as well as relationship building between the businesses and citizens. Success will be measured in a reduction of citizen complaints about the neighborhood businesses.	
Status <input type="checkbox"/> Not Started <input checked="" type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved: On going action plan. The meeting schedule has been developed and Sgt. Copp continues to oversee the precinct officers' involvement with this action plan. Sgt. Copp is gathering the statistics for calls for service.	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input checked="" type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	
<input type="checkbox"/> <b>Project / Goal 2</b> (check box to make selections available)	
Title:	Expected Completion Date:
Anticipated outcomes and measures:	
Status <input type="checkbox"/> Not Started <input type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	



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Last Name:	Baker	First Name:	Bob	Rating Period	1/1/2014
Rank:	Lieutenant			to	12/31/2014
Serial Number:	55555	<input checked="" type="checkbox"/>	Valid Driver's License (expiration)		2/22/2016
Division:	Special Operations Division	<input checked="" type="checkbox"/>	Current Home Address		
Assignment:	Traffic Investigation Unit				

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### SECTION ONE - SERVICE DELIVERY

#### 1st QUARTER - DIVISION LEVEL STRATEGIC PLAN

Alignment of Traffic Operations Bureau resources for enhanced traffic safety and crime prevention, specifically as it pertains to DUI arrests in the LoDo/Night club area.

#### ACTION PLAN

<b>Project / Goal 1</b>	
Title: LoDo/ Night Club DUI Project	Expected Completion Date: 3/31/2014
Anticipated outcomes and measures:	
Traffic case study for causal effect of DUI arrests in precincts 611, 612, 621 and 623. Upon collection of DUI arrest data, attempt to determine if any known liquor establishment is over-serving customers.	
Status <input type="checkbox"/> Not Started <input checked="" type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
During the 1st Quarter of 2014, a total of 130 DUI arrests were made in precincts 611, 612, 621 and 623. Of those arrests, 13 resulted in Serious Bodily Injury (SBI) accidents. In all 13 SBI accidents, the driver admitted to drinking at a lower-downtown nightclub. Two nightclubs (Bar YOLO and Bar Y-Not) were most frequently identified by the DUI drivers as the last location they were at prior to their arrest. After site visits at Bar YOLO and Bar Y-Not, it was determined that neither establishment has policies in place to call a taxi service for visibly intoxicated customers leaving their establishments. The General Managers for each establishment were contacted and each were instructed to re-educate their wait-staff and hosts on over-serving customers and calling a taxi service for visibly intoxicated patrons.	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input checked="" type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	
<input type="checkbox"/> <b>Project / Goal 2</b> (check box to make selections available)	
Title:	Expected Completion Date:
Anticipated outcomes and measures:	
Status <input type="checkbox"/> Not Started <input type="checkbox"/> On Track <input type="checkbox"/> Ahead <input type="checkbox"/> Behind <input type="checkbox"/> Completed <input type="checkbox"/> Abandoned	
Results Achieved:	
ASSESSMENT SCORE <input type="checkbox"/> EXEMPLARY <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY <input type="checkbox"/> NOT APPLICABLE	

**2nd QUARTER - DIVISION LEVEL STRATEGIC PLAN**

Alignment of Traffic Operations Bureau and Vice Bureau personnel resources for enhanced traffic safety and crime prevention, specifically as it pertains to over-serving customers at LoDo area night clubs.

**ACTION PLAN**

**Project / Goal 1**

Title:  Expected Completion Date:

Anticipated outcomes and measures:

Revisit Bar YOLO and Bar Y-Not to identify compliance level for serving visibly intoxicated customers. Coordinate six under-cover operation with VICE Bureau Bar YOLO and Bar Y-Not to record any violations by bar staff.

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

Of the six under-cover VICE Bureau operations, a total of 20 violations were observed (12 over-serving and 8 intoxicated customers entering vehicles to drive off of night club property). All 8 intoxicated customers of the night clubs were stopped prior to driving off property and shuttled home via a taxi cab. In comparison to Quarter 1 of 2014, DUI arrests in Precincts 611, 612, 621 and 623 decreased by 23% (130 in Q1 to 100 in Q2) and DUI arrests that resulted in SBI also decreased by 54% (13 in Q1 to 6 in Q2). VICE Bureau personnel were able to suspend the liquor license for both Bar YOLO and Bar Y-Not for multiple liquor law violations.

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

**Project / Goal 2** (check box to make selections available)

Title:  Expected Completion Date:

Anticipated outcomes and measures:

Status  Not Started  On Track  Ahead  Behind  Completed  Abandoned

Results Achieved:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

**DPD performance evaluation guide**

DENVER POLICE DEPARTMENT

# Performance Evaluation System Guide

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Performance Evaluation System  
Developed November 2013  
Implemented January 2014

**Planning, Research and Support Division**  
Captain Sylvia Sich, 83016  
Sergeant Anthony Parisi, 89028  
Technician Estevan Valdez, 08053  
Dawn Miquel, Senior Statistical Researcher



## PREFACE

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The employee performance evaluation represents one of the most important human resource systems in organizations. Its foundation is rooted in providing the employee feedback on their performance over an established period of time with a goal of both professional and personal development of the employee. As a bi-product, managers will be able to reward peak performers as well as identify officers who need improvement in specific areas.

While there is no one perfect performance evaluation system; several key elements exist for an optimal evaluation. Research suggests that a high-quality performance system be objective and evidence based versus subjective in nature and focused on quota driven performance goals. Second, employees must have an opportunity for meaningful input into the appraisal process and a continuous performance-based feedback process should exist between supervisors and subordinates. Third, an effective performance appraisal should provide the opportunity for the supervisor and employee to promote achievement of individual and organizational goals.

Since performance reviews are often used to make personnel decisions, they are subject to Equal Employment Opportunity (EEO) guidelines. Therefore, the performance review process must be consistently applied, job-related and based on clear and objective criteria. All rating decisions and judgments should be based on the achievement of the individual regardless of race, color, sex, religion, natural origin, political affiliation or age or any other basis protected by Federal, State or Local law, ordinance or regulation.

Taking these factors into consideration, the Denver Police Evaluation System is modeled around the department's Strategic Plan with the focal point on officer performance and growth. It is organized into three main components: "*Service Delivery*", "*Interpersonal Skills*" and "*Personal Development*". Each section is explained in greater detail within this user guide.

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## DEFINITIONS

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**Officer:** The subject officer of the evaluation.

**Supervisor:** The evaluating supervisor of the officer.

**Command Officer:** The next level/ranking officer directly above the supervisor.

## SUPERVISOR/COMMAND OFFICER RESPONSIBILITY

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The supervisor is responsible for the accurate and timely completion of the performance evaluation. In preparing the evaluation, the supervisor will carefully adhere to the instructions, rating scales, definitions, models and design in order to maintain the integrity of the process. Any deviation from this guide will result in a rejection of the performance evaluation by the command officer and require a revision/resubmission by the supervisor.

The supervisor is responsible for making sure, not only, that the evaluation is correctly filled-in, but that the content is a true and comprehensive reflection of the officer's performance.

The overall responsibility of ensuring the performance evaluation is correctly applied lies with the command officer. The command officer must examine the content of the evaluation submitted by the supervisor and discern the accuracy and fairness of the conclusions reached within the evaluation period. It is within this review process that the command officer draws his/her own conclusions about the ability of the supervisor to perform this task, and the expectation is that this job function be accurately documented in the supervisor's evaluation.

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## DUTIES & RESPONSIBILITIES

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### Probationary Officer

After successful completion of the Academy, a probationary officer will be assigned to and evaluated by a Field Training Officer. A probationary officer has the same duties and responsibilities as a police officer (1<sup>st</sup> – 4<sup>th</sup> grade). However, while in the Field Training Program, the probationary officer shall be evaluated by a Field Training Officer on the Daily Observation Report, DPD 292 and End of Phase Report, DPD 292B.

Once the probationary officer completes the Field Training Program, their performance will be rated by their immediate supervisor and documented within the standard Denver Police Department Performance Evaluation. At the conclusion of every month, performance assessment meetings will be scheduled between the probationary officer and their immediate supervisor.

Performance assessment meetings will be mandatory until the probationary officer successfully completes his/her probation period. Conversely, probationary officers and their immediate supervisor will also be required to develop and implement an Action Plan (outlined on page 12 under Service Delivery Section) within the present quarter. While on probation, a probationary officer's Action Plan should concentrate on any training areas identified during the Field Training Program that need further development. After the probationary status of the officer concludes, they are eligible to receive a new Action Plan for the subsequent quarter.

### Police Officer

A patrol officer is responsible for carrying out the functions of the department with paramount focus on the protection of life and property from criminal depredation, the prevention of crime, the apprehension and arrest of violators of criminal and traffic laws, recovery of stolen property and the regulation of non-criminal conduct. They shall constantly direct their best efforts to accomplish that end intelligently and efficiently, and shall hold themselves in readiness at all times to answer the calls and obey the orders of their superior officers.

Officers will uphold the Constitution of the United States of America and enforce applicable ordinances and regulations of the City and County of Denver and the laws of the State of Colorado in a fair and impartial manner.

Officers shall serve the public by direction, counsel, and in other ways that do not interfere with the discharge of their police responsibilities. They shall respect and protect the rights of individuals and perform their services with honesty, zeal, courage, discretion, fidelity and sound judgment. In carrying out the functions of the department, all members thereof shall direct and coordinate their efforts in such a manner as will establish and maintain the highest standard of efficiency and safety.

### Technician

Officers assigned to specific duties as technicians must demonstrate initiative, resourcefulness, intelligence, alertness, observation, memory and judgment to a greater degree than is ordinarily required. At the discretion of the Chief of Police, officers may be assigned as technicians to perform an auxiliary or line function. Officers at this rank shall strive to develop and disseminate improved administrative, technical and operational practices to advance their usefulness in the field of law enforcement. Above all, technicians shall be proactive in the latest developments in their area of expertise and continue their education, training and re-certification in their specific science or application of criminal justice.



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**DUTIES & RESPONSIBILITIES continued**

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**Corporal**

The primary responsibility of a corporal is training in the role of field instructor. They shall see that their subordinates make all required reports promptly and such reports shall be accurate, complete and on the proper forms. Corporals will administer roll call training and assist sergeants with planning, scheduling and staffing in response to either a planned or spontaneous police function.

In the absence of a supervisor, corporals shall assume command and control of crime scenes, crimes in progress, vehicular pursuits and all other critical incidents. They shall be held strictly accountable for the efficiency, good conduct, and appearance of the subordinate officers under their supervision. Corporals shall set an example in sobriety, dignity, courtesy, discretion, initiative, industry, diligence, truthfulness, courage, attention to duty and the observance of proper discipline. They shall at all times, appear neatly attired and clean in person and equipment.

**Detective**

Officers assigned as detectives shall direct their best efforts in the prevention and suppression of crime, the recovery or stolen property, the lawful seizure of evidence and the detection and apprehension of criminals. Detectives shall thoroughly investigate cases assigned to them in a fair and impartial manner. They shall interview the complainant without delay, properly identify themselves and consult with the complainant regarding the progress of the case until officially closed.

Detectives will promptly focus their investigative efforts to the interrogation of suspects jailed pursuant to an investigative hold and will expedite the filing of formal charges or the release of the prisoner, consistent with sound investigation procedures. Detectives shall keep their supervisor informed on the progress of their assigned investigations and provide a comprehensive assessment of their case to the District Attorney's Office to ensure sound filing considerations.

Detectives must be responsive to subpoenas and properly prepare for court testimony. Detectives will provide reasonable requested information and assistance to other divisions of the police department and outside law enforcement agencies in order to maintain an efficient level of cooperation and coordination in affected areas.

**Sergeant**

The principal duties of a sergeant include directing personnel to accomplish the task at hand, maintaining standards of the department, and creating and sustaining cooperation between employees.

A sergeant is not only responsible for their own conduct and performance of police duties, but for that of subordinates as well. They are responsible for the proper execution of orders by their subordinates and shall be held strictly responsible for the efficiency, good conduct, and appearance of the subordinate officers under their supervision. Sergeants shall place personnel under their supervision in positions appropriate to their capabilities and foster the development of subordinates.

Sergeants shall set an example in sobriety, dignity, courtesy, discretion, initiative, industry, diligence, truthfulness, courage, attention to duty and the observance of proper discipline. They shall follow departmental rules of discipline and disciplinary procedures in all cases of misconduct on the part of their subordinates. Sergeants will investigate or cause to be investigated all complaints by citizens or members of the police department of misconduct, incompetence, neglect of duty, violations of law or the rules and regulations of the department.

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## **DUTIES & RESPONSIBILITIES continued**

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### Lieutenant

Lieutenants are classified as command-level officers and shall be charged primarily with the immediate supervision of all members of their district, bureau, section, or unit. They shall be held strictly responsible for the discipline, conduct, and efficiency of employees operating under their authority. Lieutenants manage supervisors who oversee the day-to-day operations of personnel.

Lieutenants will assist their commander in all district and/or bureau planning and shall manage and participate in assigned programs, functions and activities for their district, bureau, section, or unit. They will be responsible for the preparation of required correspondence, reports and maintenance of records relating to the activities of the command.

Lieutenants are responsible for the proper care, economical use, efficiency and serviceability of department equipment issued for, or assigned to the use of members within their command. They are further responsible for the good order and sanitary conditions of departmental buildings or portions within their authority, and for the proper operation of equipment and furnishings assigned thereto.

As a command-level officer, lieutenants shall monitor employee performance and identify subordinate personnel within their command who exhibit performance or behavior contrary to the mission, vision, values, goals, policies or procedures of the department. Lieutenants shall take proactive measures to identify performance deficiencies of personnel under their authority and they will develop and implement effective interventions strategies to correct subordinate performance or behavioral issues or problems; initiating disciplinary action when appropriate.

### Captain

Captains are responsible for the overall efficiency, discipline and morale of all members of their command. They shall promote harmony among the members of their command and are responsible for the cooperation of their command with all other districts, divisions, and bureaus of the department.

They shall investigate, or cause to be investigated, all complaints of citizens and reports by members of the police department of misconduct, incompetence, neglect of duty, or any violations of the Rules and Regulations on the part of anyone under their command in accordance with established policies and procedures of the department. They shall keep an accurate record of all departmental orders and see that they are read and carefully explained to all members under their supervision.

Captains will direct and supervise all planning and policy programs within their authority. They will see to the coordination and follow-up of all projects originating from their command with the plans and policy of other districts or bureaus within the department. Captains shall be held responsible for the proper and economical use and care of all property and equipment owned or controlled by the department. They shall see that all necessary reports and other department transactions are promptly addressed and disseminated while assuring accuracy thereof. They are responsible for preparation of required correspondence, reports, and maintenance of records relating to the activities of their command.

Captains shall, as soon as practical, report any emergency, crime of great magnitude, or unusual occurrence to their immediate superior in accordance with published department procedures. They shall also, whenever possible, respond to calls where members of their command are involved in a critical incident or serious accident. Captains shall keep fully and accurately informed of political and other events and gatherings likely to attract large numbers of persons in a particular area and shall take such steps as may be necessary to ensure proper police services at such assemblages.

**PERFORMANCE EVALUATION FORM LOCATION, USAGE and DISTRIBUTION**

**LOCATION** The Performance Evaluation form can be located at: I:\DPD (DPD Template Drive) under the file name: “DPD Performance Evaluation System-2014”.

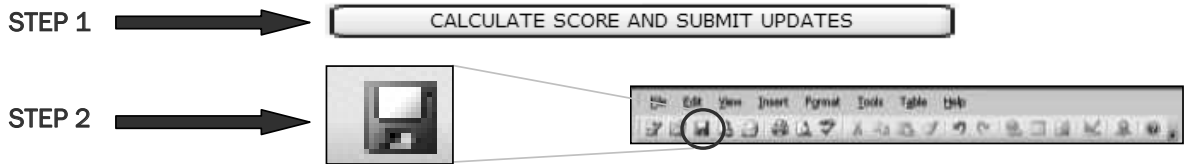
When opening the form for the first time, enter the heading information for the subject officer. Once this is completed, save the document at Y:\EVALS (follow instruction sheet) using the formatting instructions below.

**File Name:** **LastName.FirstName.SerialNumber.YEAR**

*Example: Smith.John.99999.2014*

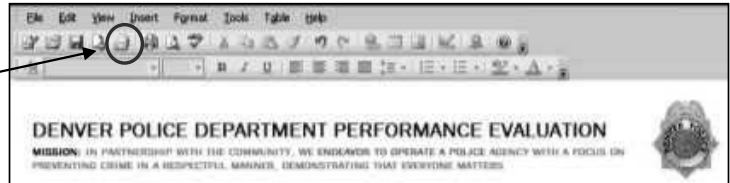
This step will need to be repeated for every officer under your span of control until each officer has a unique performance evaluation form.

**USAGE** The Performance Evaluation System form was meant to be utilized as a single repository throughout the year until finalized at the completion of the 4<sup>th</sup> Quarter. Remember to ALWAYS scroll through the form and hit the “CALCULATE SCORE AND SUBMIT UPDATES” prior to saving your work and closing. Failing to hit this button will cause the background calculations not to take place and will result in your work (although saved) being unaccounted for when the data is extracted.

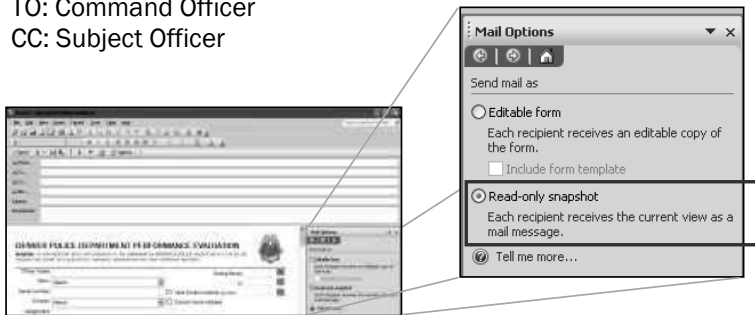


**DISTRIBUTION** The Performance Evaluation form allows information contained within it to be easily reported and distributed using minimal printing. At the completion of every quarter, the supervisor is able to demonstrate the work completed to his/her command officer while at the same time allowing the subject officer to maintain a copy for his/her records.

By utilizing the “Send to Mail Recipient” icon, the supervisor is able to forward a copy of the performance evaluation similar to MS Outlook.



TO: Command Officer  
CC: Subject Officer



**REMEMBER** to always modify the “mail options” on the right task pane to “Read-Only snapshot”. Inadvertently sending an “editable form” will result in the subject officer being able to manipulate the performance evaluation, regardless of where it is saved.

At the conclusion of the year when the performance evaluation is finalized, the supervisor will print out the evaluation, obtain the necessary signatures and forward the original to his/her commander.

## INSTRUCTIONS

### SECTION ONE: SERVICE DELIVERY

The “Service Delivery” segment of the evaluation will incorporate the department’s strategic plan. Every commander is responsible to develop specific tactics, metrics and goals for their entire division for inclusion in the department’s strategic plan and communicating the objectives to their personnel. Therefore, each officer within the department plays an integral role in accomplishing the aim of the strategic plan. Moreover, it is the supervisor’s responsibility to ensure that each officer within his/her span of control not only understand the purpose within the strategic plan, but to collaborate with the officers to accomplish the benchmarks of the strategic plan within their area of responsibility. By identifying a project or issue to address, the officer and his/her supervisor will develop and agree upon, at minimum, one Action Plan for the given quarter. If an additional Action Plan is to be tasked, the check box next to “Project/Goal 2” must be selected and remain checked for the scoring system to work. The officer will then be evaluated on his/her performance addressing the stated project.



Using the strategic plan as a guide, the supervisor develops specific and measurable projects/goals for each officer under their purview.

**TIP:** When extracting information for the Performance Evaluation - focus on clear, succinct objectives using concise language.

At the completion of each quarter, the status of the Action Plan(s) will be assessed and classified as Not Started, On Track, Ahead, Behind, Completed or Abandoned. The supervisor will also be responsible for completing the Results Achieved narrative field to support both the project status and scoring selections.

Scoring of a quarterly Action Plan will be either at an Exemplary, Satisfactory or Unsatisfactory level (see Performance Rating Scale Section for definitions). For those projects that are “Not Started” due to circumstances outside of the officer and/or supervisor’s control (i.e. lack of funding, training, necessary equipment), the applicable scoring would be classified as Not Applicable. Conversely, for an assigned project that was “Abandoned” due to circumstances such as, a change in the officer’s duty status (i.e. limited duty, suspension, etc.), the only applicable scoring classification is Satisfactory or Unsatisfactory.

The Service Delivery score is one of the two elements tallied for the officer’s year-end evaluation score. See Scoring Section for the definitions and formula on how an officer’s Final Assessment score is calculated.



## SECTION TWO: INTERPERSONAL SKILLS

The “Interpersonal Skills” section of the evaluation will record noteworthy individual performance of the officer being rated. Documentation of an officer’s performance will be captured in a journal-like feature similar to the currently used Supervisor’s Situation Report. Mandatory data fields for the journal entry include date of event, source of information and the applicable core dimension category for the officer’s performance.

The source field has a total of five options for the supervisor to choose from once the drop-down arrow button is selected. The source options are: Direct Observation, Citizen, Officer Self-Assessment, Internal Affairs and Information Only. Each supervisor shall select the most appropriate source type to substantiate the officer’s performance.

Next, the supervisor shall select from a total of thirteen core dimension types listed within the category field. The core dimensions the officer will be rated on are more general in nature so they can be applicable to all ranks and assignments. Core dimensions include elements such as communication, professionalism, teamwork and initiative/innovation. Supervisors will select the most appropriate core dimension from the drop-down box when completing a journal entry for the officer he/she supervises. Two additional options within the category field are available. They are listed as “Training” and “Other”. A supervisor can use either one of these options to record individual performance such as, an officer’s successful completion of specialized training or an officer’s receipt of a new policy.

Directly below the Date, Source and Category fields is a text box titled “Narrative”. Supervisors will use this text box to document the officer’s noteworthy performance. After the supporting content is populated by the supervisor in the narrative text box, the supervisor will then select the corresponding assessment score of Exemplary, Satisfactory or Unsatisfactory. Should an officer’s performance level be classified as Unsatisfactory, the supervisor shall document the date of the substandard event and promptly schedule a meeting with his/her officer. The supervisor shall record the date of when the performance meeting was held with their subordinate in the narrative text box and that an electronic copy of the negative entry was provided to both the subject officer and a command level officer. This will serve as a record to further document the unsatisfactory performance level. The electronic dissemination process will be the same as described on page 8 of this guide; as explained under the subheading titled “Distribution”.

**SECTION TWO - INTERPERSONAL SKILLS**

**JOURNAL ENTRIES**

Date:   Source:  Category:

Narrative:

Supervisor:  Badge Number:

ASSESSMENT SCORE  EXEMPLARY  SATISFACTORY  UNSATISFACTORY  NOT APPLICABLE

Insert New Journal Entry

**TIP:** Click the down arrow to make additional journal entries.

The Interpersonal Skills score is the second of the two elements tallied for the officer’s year-end evaluation score. As a general rule, supervisors shall rate an officer’s individual performance independent from the officer’s assigned Action Plan to avoid “double-scoring”. See Scoring Section for the definitions and formula on how an officer’s Final Assessment score is calculated.

**SECTION TWO: INTERPERSONAL SKILLS (cont.)**

At the conclusion of the rating period, the supervisor will summarize the officer’s performance in a “Year End Narrative” field embedded within the Interpersonal Skills Section of the evaluation form.

**SECTION TWO - INTERPERSONAL SKILLS**

**JOURNAL ENTRIES**

Date:	<input type="text"/>	Source:	<input type="text" value="Select..."/>	Category:	<input type="text" value="Select..."/>
Narrative:					
<input style="height: 40px;" type="text"/>					
Supervisor:	<input type="text"/>	Badge Number:	<input type="text"/>		
ASSESSMENT SCORE	<input type="checkbox"/> EXEMPLARY	<input type="checkbox"/> SATISFACTORY	<input type="checkbox"/> UNSATISFACTORY	<input type="checkbox"/> NOT APPLICABLE	

Insert New Journal Entry

**YEAR END NARRATIVE**

**NOTE:** Year End Narrative has an enabled expanding text box.

The year end narrative is not factored into an officer’s Final Assessment score, but instead is designed for the supervisor to summarize the officer’s total body of work (strengths and weaknesses) during the calendar year.

### SECTION THREE: PERSONAL DEVELOPMENT

The third part of the evaluation, referred to as “Personal Development”, is intended to more formally engage both the officer and supervisor. Specifically, prior to the start of the new calendar year for a given rating period, each officer will be required to communicate to their direct supervisor the short and long term goals they wish to achieve. This communication aspect prompts the supervisor to tailor future training and mentoring opportunities that are more consistent with that particular officer’s stated professional and/or personal goals.

An additional component to this section of the evaluation will include an officer’s Self Assessment Log where each officer can elect to document his/her activities that a supervisor may not be directly aware of due to circumstances outside of their control. Such scenarios include, supervisor on vacation/day off during an officer’s notable performance, supervisor not present to observe noteworthy officer performance, etc. The officer’s Self Assessment Log is due on the last day of each quarter (March 31<sup>st</sup>, June 30<sup>th</sup>, September 30<sup>th</sup> and December 31<sup>st</sup>).

Upon receipt of an officer’s Self Assessment Log, the supervisor shall verify the content and cause the authenticated activities to be integrated into the journal section of the evaluation within section two, “Interpersonal Skills”. These journal entries are then eligible to receive a “score” of Satisfactory, Unsatisfactory or Exemplary.

Officers are not required to complete a Self Assessment Log, but shall complete their short and long term goals within the last quarter of the annual rating period. The supervisor will retain this addendum, titled Officer Self Assessment, for inclusion in the officer’s year end evaluation.

### FREQUENCY

The frequency of the rating will be on a quarterly basis, except as outlined for probationary officers on page 5 of this guide. Assessment scores within the Service Delivery and Interpersonal Skills sections will be sub-totaled each quarter and calculated into a final, year-end evaluation score. Final Assessment scores are Distinguished Performance, Meets Expectations, Needs Improvement and Unacceptable.

Assessment scores within the Service Delivery and Interpersonal Skills sections of the evaluation system shall be finalized fifteen days after the conclusion of the given rating quarter. This will ensure timely feedback to the officer on his/her performance and prevent data manipulation by the supervisor to influence an officer’s final assessment. A Performance Evaluation Calendar will be made available to outline each phase of the evaluation and corresponding deadlines.

### PERFORMANCE RATING

Benchmark scoring for the year-end performance rating is defined and outlined on the evaluation form as follows:

<b>DISTINGUISHED PERFORMANCE</b>	10+ exemplary ratings AND 0-3 unsatisfactory ratings for the year
<b>MEETS EXPECTATIONS</b>	0-9 exemplary ratings AND 0-3 unsatisfactory ratings for the year
<b>NEEDS IMPROVEMENT</b>	4-7 unsatisfactory ratings for the year ( <i>automatic qualifier</i> )
<b>UNACCEPTABLE</b>	8+ unsatisfactory ratings for the year ( <i>automatic qualifier</i> )

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## ASSESSMENT SCORES

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In order to effectively, accurately and fairly evaluate an officer, the supervisor must carefully read and apply the definitions, examples and models of each core dimension/rating scale. The definitions are not only designed to give the supervisor an understanding of each core dimension, but also serves to eliminate ambiguity and minimize rating errors. Each definition has been carefully worded and phrased in order to standardize the evaluation process. Supervisors need to be vigilant in the application of these definitions and to not evaluate the officer based on their own personal definition or bias. Guided by these definitions, the officer must be evaluated by the criteria provided here.

While the wording is precise and many examples have been provided, these models are not intended to be all inclusive, but rather a representation for the typical application of these definitions. The supervisor will make every attempt to stay within this framework when evaluating the officer.

**EXEMPLARY:** The performance exhibited is exceptional and rarely equaled; work is consistently excellent in terms of quality, thoroughness, accuracy, efficiency, tactical and technical expertise; officer is proactive in thought, demonstrates innovation and without exception, initiates and completes responsibilities while always adhering to policy and procedure; the officer has an exceptional understanding of what job tasks are needed to be accomplished; there is no doubt in the application of sound judgment; the officer is desirous of seeking additional work and responsibility upon the completion of normal duties and often does not need prompting; the performance is far above the department's expectations specific to rank/position.

**SATISFACTORY:** The performance exhibited is acceptable; the officer performs work in a steady manner; there is an effective application of skills and tactics to various responsibilities; in most instances uses sound judgment; is usually desirous and willing to do the job; is able to perform tasks with minimal instruction and direction; performance is considered to be consistent, effective, efficient and generally meets the expectations set forth by the specific rank/position.

**UNSATISFACTORY:** The performance exhibited is marginal to poor; there is a limited or complete lack of ability to perform the basic responsibilities; is unwilling to work, shows no desire to work; performance is not sufficient, requires repeated or extensive direction; does not exercise sound judgment; the officer frequently or consistently disregards responsibilities or adherence to policy and procedure or tactics.

**NOT APPLICABLE:** Some entries on the evaluation will be informational only, for example the documentation of training attended. Entries that are not performance based should have no bearing on the evaluation and therefore the 'not applicable' standard should be applied. Additionally, this rating would be appropriate if for reasons beyond the control of the officer, an action plan was delayed or abandoned and no measureable performance metrics had been accomplished.



## INTERPERSONAL SKILLS

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### (1)

#### COMMUNICATION – WRITTEN

*The ability to express information or ideas to other people in written form*

#### MODELS

**EXEMPLARY:** When writing, spelling and grammar usage are flawless. Reports and correspondence are concise and include all necessary and relevant facts. Content is detailed and appropriately cited. All information is clearly understood. The execution is appropriate to the content and provides the recipient with a clear statement of position or an identifiable call to action.

**SATISFACTORY:** Reports and correspondence are accurate, concise and understandable. Although there may be minimal errors in spelling or grammar, they do not affect the meaning or factual content. Handwritten reports are neat and legible. Written communication is delivered in the format appropriate to the subject.

**UNSATISFACTORY:** Reports and correspondence are inaccurate because they either include unnecessary and/or contradictory information or are generally lacking necessary information. The content is confusing and the uses of language, spelling and grammar are frequently incorrect or misleading. Handwritten reports are illegible. Written communication is delivered in the format inappropriate to the subject.

### (2)

#### COMMUNICATION – VERBAL

*The ability to express information or ideas to other people verbally*

#### MODELS

**EXEMPLARY:** When speaking or answering questions, the ability to communicate information or ideas is exceptional and commands the attention of all listeners. Statements are concise and deal directly with the subject matter. Speaks with forcefulness and has near perfect enunciation. Actively listens and participates in the conversation; utilizing focused questions that demonstrate genuine interest. Responds appropriately to questions; demonstrating professionalism, compassion and/or expertise. Has an excellent awareness of body language.

**SATISFACTORY:** Able to speak and be understood with little explanation or distortion. Main ideas are conveyed, although some clarification may be needed. Has a general awareness of inflection, enunciation and tone, and understands the impact they have on the message. Compassionate to different communication styles and makes adjustments as required. Speaks calmly and clearly, using appropriate language. Has a general awareness of body language.

**UNSATISFACTORY:** Attempts to communicate result in confusion, misunderstanding or confrontation. Continually brings up irrelevant issues, is unclear and/or directs the discussion to become obscure. Enunciation is poor and language usage is often inappropriate. Has a limited awareness of body language and has a tendency to convey disinterest, indifference or dissension.

**(3)**  
**PROFESSIONALISM – RESPECT**

*The ability to demonstrate respect for all persons, at all times.*

**MODELS**

**EXEMPLARY:** Recognizes and understands the need for respecting the values and perspectives of a diverse community and workforce. Demonstrates empathy and consideration to all members of society: regardless of race, gender, ethnicity, age, creed, sexual orientation and/or economic status. Sympathetic and tactful when dealing with the feelings of others; maintains composure and neutrality when dealing with sensitive situations and/or conflict.

**SATISFACTORY:** Tolerant of all perspectives that are different from their own. Respectful to all members of society: regardless of race, gender, ethnicity, age, creed, sexual orientation and/or economic status. Uses appropriate titles when addressing or referring to others; does not speak in overly familiar terms. Maintains a professional demeanor with citizens; demonstrates restraint even when they are discourteous or unreasonable.

**UNSATISFACTORY:** Abrasive, abusive, inconsiderate or tactless. Displays bias or prejudice against others due to race, gender, ethnicity, age, creed, sexual orientation and/or economic status. Intolerant or indifferent to the perspective of others and treats persons different from themselves in a disrespectful manner. While on-duty, uses derogatory words, slang or offensive language when referring to others, regardless of audience.

**(4)**  
**PROFESSIONALISM – CUSTOMER SERVICE**

*The application of police services to the community in which they serve.*

**MODELS**

**EXEMPLARY:** Proficient and diligent in the application of police services, constantly aware that a police department ultimately serves the public. Thorough and anticipatory in the ability to render service, always considering and properly utilizing sound tactics, officer safety, necessary gear and appropriate resources; while at the same time adherent to policy and procedure and all applicable laws. Takes and assumes personal ownership and responsibility in providing the efficient application of police service.

**SATISFACTORY:** Generally understands how his/her job and the application of police services affects the quality of life and safety of citizens. Can prioritize calls for service, attempts to limit personal needs and recognizes that the service to the community will always take precedence. Listens to citizen needs and provides them with service consistent and adherent to policy and procedure and all applicable laws. On-time and prepared to provide service with all necessary gear and departmental paperwork.

**UNSATISFACTORY:** Provides police services without much enthusiasm, energy or effort. Lacks the ability to prioritize calls for service and/or fails to provide police services due to laziness, indifference or defiance. Displays tardiness and absenteeism and/or is generally unprepared to provide services due to lack of departmental paperwork/gear/equipment.

**(5)****PROFESSIONALISM – APPEARANCE**

*The projection of an image that is consistent with that of a professional law enforcement officer.*

**MODELS**

*\*EXEMPLARY: Not an acceptable selection for this category. Officers are expected to project a professional appearance and this category will only be measured to the degree of satisfactory or unsatisfactory.*

**SATISFACTORY:** Contingent on the scope of assignment; complies with department standards for personal grooming and the wearing of the uniform. Always dresses appropriate for assignment, reflective of professional pride. Maintains his/her outward appearance; neatly pressed clothing, polished leather, brass and footwear, serviceable equipment; demonstrates a professional command presence.

**UNSATISFACTORY:** Fails to dress appropriately for assignment. Uniform and/or equipment are not clean and/or serviceable. Not in compliance with department standards for personal grooming or wearing of the uniform. Appearance is not in accordance with professional duties. Lacks command presence.

**(6)****PROFESSIONALISM – INTEGRITY**

*The ability to apply principle to conduct and duty while having a sense of moral obligation to do so.*

**MODELS**

*\*EXEMPLARY: Not an acceptable selection for this category. The expectation is that all officers, at all times, maintain an extraordinary high-level of professional integrity and therefore there is only one acceptable standard.*

**SATISFACTORY:** Protective of all citizens' rights; respectful of the responsibility the police profession carries and executes all duties in a lawful manner. While rendering police services, personal conduct and police services are reflective of being honest, trustworthy and noble. Adheres to all department directives/policy and procedures. At all times maintains strict case confidentiality. Irrespective of perceived popularity or personal comfort, adheres to principles.

**UNSATISFACTORY:** Executes duties in an unlawful manner while displaying characteristics of dishonesty or lack of integrity. Disregards department directives/policy and procedures and/or rules and regulations. Fails to maintain case confidentiality.

**(7)****PROFESSIONALISM – JOB KNOWLEDGE**

*The ability to understand the role, function and duties of a law enforcement officer while operating under policy and procedure.*

**MODELS**

**EXEMPLARY:** Considered an ‘expert’ in a particular field. Often called upon to speak or instruct on a particular subject internally or externally. Considered a leader in a particular field; having attended advanced training, possessing a higher level of knowledge and in addition, applies their knowledge to further the department’s mission, vision and values. Develops and mentors fellow employees to enhance to overall performance and efficiency of the department, as well as the advancement of future leaders of the department. *(The majority of officers will not meet this definition).*

**SATISFACTORY:** Knowledgeable of all policy and procedures that require immediate application under emergent situations. Able to recall and apply the knowledge of all directives, policy and procedures and/or aware of what situations require the verification of policy prior to taking police action. Abides and understands the duties and responsibilities specific to the officer’s rank. Attentive to changes in legislation and cognizant of the proper enforcement application of municipal/ state/federal laws.

**UNSATISFACTORY:** Unable to recall and apply policy and procedures that would require immediate application under emergent situations. Often seeks repeated instruction or requires extensive direction from a supervisor for routine police activities that are outlined within the operations manual. Unable to recall and apply directives and/or policy and procedures as it pertains to taking police action and fails to consult the operations manual prior to taking police action. Officer fails to understand and negligent in the application of the duties and responsibilities specific to the officer’s rank. Demonstrates little or limited knowledge of municipal/state/federal laws and fails to apply arrest powers in a lawful manner or fails to enforce the law as it was intended.

**(8)****INITIATIVE – INNOVATION**

*The ability to consider alternative approaches given a problem. The ability to deconstruct a process or issue and able to formulate a plan that corrects the problem and yields better, more efficient results. The ability to improvise in situations when policy & procedure do not apply, resulting in improved community policing.*

**MODELS**

**EXEMPLARY:** Extremely resourceful when confronted with obstacles, always able to develop a new procedure, tactic or system to overcome the obstacle. Proactive in solving problems, works independently to devise creative ways to improve existing procedures, tactics or methods of enforcement. When faced with a problem, offers creative insight and solutions and not averse to taking calculated risks and/or utilizing unconventional methods.

**SATISFACTORY:** Occasionally resourceful when confronted with obstacles, has the ability to formulate a creative solution. When faced with a problem, sometimes capable of devising a creative way to improve existing procedures, tactics or methods of enforcement.

**UNSATISFACTORY:** Not resourceful when confronted with obstacles, is unable to develop a creative solution. When faced with a problem, is incapable of formulating a solution, or often will devise a solution that decreases efficiency, offers no improvement or contrary to community policing initiatives. Generally does not offer suggestions or solutions to problems.



**(9)****INITIATIVE – MOTIVATION**

*The ability to demonstrate enthusiasm, interest or commitment toward the process of initiating or following through on assigned work. Without prompting, the ability to perform tedious work and see it through to completion.*

**MODELS**

**EXEMPLARY:** Relentless in the pursuit of resolving problems. Works on tasks with little or no supervision, takes a personal interest in resolving problems, submitting work or improving conditions within purview. Unless delegating, never tries to pass off work or a community problem deserving of police services. Meets deadlines and stays motivated to work, even when his/her efforts go unnoticed or when the task is less than desirable.

**SATISFACTORY:** Sometimes requires direction or prompting to resolve problems. Usually meets deadlines. When encouraged to do so, accepts responsibility for difficult or challenging assignments. Demonstrates initiative toward problem management including the development of an action plan and assumes responsibility for the outcome.

**UNSATISFACTORY:** Allows problems to go unresolved rather than confront them directly. With no delegation authority or the improper use of authority, tries to pass off his/her work onto others. Avoids taking responsibility, requires a great deal of supervision or guidance and/or will sit around idly unless specifically directed to work. Without acceptable reason, does not meet deadlines.

**(10)****INITIATIVE – AWARENESS**

*The ability to demonstrate an interest in and awareness of remaining current in departmental policy & procedure, technology and culture, the natural evolution of law enforcement application, the trends and advancements of a particular law enforcement field, crime patterns and general community concerns. The ability to recognize or identify the existence of a problem; does not include the ability to solve the problem, but the ability to identify and recognize the elements of a problem.*

**MODELS**

**EXEMPLARY:** Not only possess a global view of the department and a contemporary view of law enforcement, but also attempts to further the natural evolution by demonstrating a non-disparaging attitude while encouraging others to be open and accepting of change. Actively seeks new and emerging trends within law enforcement and presents them to the department for incorporation. Aware of crime patterns and community concerns, disperses the knowledge upward and laterally to seek support for remedy.

**SATISFACTORY:** Possess a global view of the department and the role of law enforcement, amicable to the natural evolution of both and attempts to remain current and contemporary. Knowledgeable of current and emerging law enforcement issues, trends and best practices. Generally aware of crime patterns and community concerns and seeks remedy.

**UNSATISFACTORY:** Indifferent or disparaging towards the department's mission/vision/values while lacking a general understanding of the department's structure and/or the role of law enforcement within society. Within a particular area of responsibility, generally unaware of crime patterns, departmental needs or community concerns and makes little to no effort in identifying them.

**(11)****TEAMWORK – COLLABORATION**

*The ability to collaborate with others - fully utilizing and recognizing the strengths of its members as individuals, yet working cohesively and collectively to achieve a unified goal.*

**MODELS**

**EXEMPLARY:** Actively contributes to the achievement of team and organizational goals by actively seeking out the expertise of others and formulating a solid road map for success that fully utilizes every team member. Facilitates the success of teamwork by effectively connecting thoughts and ideas from otherwise conflicting, arbitrary or non-participatory players. Although perhaps a strong player and perhaps does shoulder a large portion of the workload, allows others to contribute and be rewarded in success.

**SATISFACTORY:** Actively contributes to the achievement of team and organizational goals. Has a positive influence on the outcome of projects/goals and places success of the team ahead of individual recognition. While capable of handling an equitable share of the workload, allows others to express their ideas and constructively contribute.

**UNSATISFACTORY:** Places personal recognition and attainment of status ahead of team success and the advancement of the department's mission/vision/values. Often non-participatory or contrary towards teamwork, allowing others to make decisions that they have a stake hold in, so as to create distance if the idea fails. Without good cause, is disparaging or overly critical of ideas not their own. When presented with group tasks, does not handle a fair portion of the workload.

**(12)****TEAMWORK – ADAPTABILITY**

*Individually and within a team, the ability to modify one's approach in order to most effectively meet the needs of changing circumstances. In addition, the ability to remain focused on results while keeping those affected informed and up-to-date although strategies and tactics may change.*

**MODELS**

**EXEMPLARY:** Effectively adjusts behavior, modifies strategies and alerts affected team-members when confronted with changing, uncertain or critical situations; adapts to change or rapidly evolving situations without loss of effectiveness. Quickly rebounds from setbacks by adjusting and changing tactics, strategy or goals.

**SATISFACTORY:** Proactive when dealing with ambiguous situations, acquires new knowledge or applies new skills to meet demands. Remains calm, composed and in control when facing stressful situations. Flexible; is able to let go of past practices and open to trying new and different approaches. As tactics evolve, is always conscientious of officer safety.

**UNSATISFACTORY:** Fails to adapt plans when difficult or unexpected situations arise, which can lead to compromised officer safety. Demonstrates difficulty, hostility or defensiveness towards processing new information or changing conditions; thus leading to the potential breakdown in effectiveness or progress. Dwells excessively on setbacks, fails to recognize it is part of the learning process. When adapting, is negligent to informing team-members and supervisors of imperative changes to tactics or strategies.

**(13)****LEADERSHIP - MANAGEMENT**

*This dimension will only be applied to supervisory positions; to include the officers holding the rank of sergeant, lieutenant and captain.*

*The ability to lead, inspire and elevate the performance standards of the officers within their purview; in a manner consistent with the mission, vision and values of the Denver Police Department.*

**MODELS**

**EXEMPLARY:** Establishes a clear vision for executing duties, sharing that vision so others follow willingly and provides knowledge, information and methods of being able to realize that vision. Calm, confident and competent; effectively and efficiently can maneuver through roadblocks, setbacks and rapidly evolving situations. Able to delegate when appropriate and seeks to empower others with the ability to develop leadership traits of their own through guided supervision/mentoring. Continually sets and achieves personal and professional goals and motivates his/her officers in the accomplishment of their personal and professional aspirations. Displays sound fiscal discretion and prudent deployment of department resources. Proficient at consensus building and possesses unquestionable character.

**SATISFACTORY:** Able to manage employees, resources, situations and projects. Able to meet deadlines through applied general project management skills and proper allocation of resources. Provides subordinates with feedback and support, enabling them to develop personally and professionally. Regularly communicates expectation levels for his/her subordinates; sets personal and professional goals not only on an individual basis, but also for members of his/her team of officers. Displays the necessary core-competencies to instill trust from his/her subordinates. Responsible with the financial and physical resources made available in the performance of the police mission.

**UNSATISFACTORY:** Untimely or delinquent in decision making. Knowingly allows or through simple negligence, allows the mission, vision or values of the department to fall short; unwilling or unable to facilitate the development of such qualities in the officers within his/her purview. Fails to set clear objectives and expectation for subordinates; rarely formulates personal and professional goals for himself/herself or for the members of his/her team. Lacks competency, unable to inspire subordinates, fiscally irresponsible with department funds and improperly manages physical resources.

# DPD performance evaluation calendar

## Performance Evaluation Planning Calendar

Action Plan Development
Officer Self Assessment Log Due
Performance Meeting
Quarterly Assessment Due
Evaluations Closed for Data-Pull

**2014**

December 2013						
S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

January 2014						
S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

February 2014						
S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	

March 2014						
S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

**Q1**

April 2014						
S	M	T	W	T	F	S
		1	2	3	4	5
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13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

May 2014						
S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

June 2014						
S	M	T	W	T	F	S
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8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

**Q2**

July 2014						
S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

August 2014						
S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

September 2014						
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7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

**Q3**

October 2014						
S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

November 2014						
S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

December 2014						
S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

**Q4**

January 2015						
S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

**2014 Year-End  
Performance Evaluations DUE  
No Later than January 15<sup>th</sup>, 2015**





## Appendix F. Brooklyn Park self-appraisal form

When assessing a police agency's performance management and evaluation system, it is critical to map out the performance management and evaluation processes and examine the content of materials. What forms or documents are completed during the evaluation process? Is the employee permitted to provide his or her input? These questions are particularly important as during the course of this project, one of the major challenges cited by police personnel was the lack of employee input in their own evaluations.

Many evaluation processes do not provide an opportunity for officers to give their opinion on their own performance or respond to the evaluations provided by their supervisors. Police employees want to feel that they have a say in the process and a chance to talk about their performance on their own terms. They may be able to explain perceived irregularities or shortcomings in their performance and provide the supervisor with insight into ways of addressing those issues should they arise in the future. This type of involvement in the process also can improve the process of discussing areas of weak performance or issues where additional training may be needed.

The following example is a self-appraisal form from the City Brooklyn Park, Minnesota, and is used by the Brooklyn Park Police Department.

### City of Brooklyn Park Self-Appraisal Form

Name:

Date:

Supervisor:

Your performance review is scheduled for \_\_\_ a.m./p.m. on \_\_\_\_\_.

In order to get the maximum benefit from the performance review, please fill out this form and turn a copy in to your supervisor five working days prior to your evaluation. Attach additional sheets if necessary.

1. Over the past 12 months, what was your most outstanding accomplishment? What tasks did you do best or improve in the most? Were there any problems or obstacles that you overcame that made you feel especially proud?
1. Over the past 12 months, what tasks could you have performed better?
2. In what areas could you have used more experience or training? Are there any skills that you do not have now that you would like to develop? What are the specific things you need to do in the next 12 months for your own development?
3. What courses, training, or experience especially benefited you during the past year?
4. What could I have done, as your supervisor, to help you be more effective?
5. What suggestions, ideas, concerns do you have for yourself or for the entire department?
6. Do you have skills now that you are not using or that you feel are under-used that you would like to use more?
7. What are your long-range work plans (next three to five years)? How can the City assist you in achieving your goals?

## Appendix G. Materials from the Minneapolis Police Department goals and metrics program

The Minneapolis Police Department Goals and Metrics program formalizes monthly conversations among supervisors and between supervisors and their subordinates to improve the overall efficiency and effectiveness of the department. It requires a monthly meeting of all unit supervisors to review the goals, results, and progress of the unit. These worksheets are tailored to each employee’s job functions and professional aspirations and talents. On a monthly basis, all of the supervisors from a unit meet to review progress, discuss employee performance and attitudes, and plan for improvement. Supervisors meet monthly to assess performance toward the annual goals established for their unit, to modify the goals as needed for the upcoming year, and to identify objectives for each subordinate on a worksheet. The primary goals of this program are to improve every unit’s effectiveness and to provide consistent and fair supervision to every unit member.

The following samples include a patrol unit goals worksheet and a patrol performance worksheet. Both of these worksheets are intended to be used by unit supervisors to track unit progress. The sample unit goals worksheet provides examples of specific long term goals along with the person(s) responsible for meeting each one. The sample performance worksheet tracks each unit member’s activities by month and helps the supervisor relate officer activities to the unit goals.

AUGUST Month

MPD YEAR-LONG UNIT GOALS UNIT: P3 MIDDLE WATCH

Goal	Strategy	Assignment	On Track Y/N
<b>Robbery Reduction</b>	Officer initiated robbery details: Officers will initiate proactive details in response to crime patterns from CODEFOR analysis on robbery. Officers will organize three details per month and report back with results on proactive enforcement, suspect identification and crime deterrence.	Sgt. A	
<b>Juvenile Diversion</b>	Officers will aggressively patrol for curfew violators and track performance monthly. Stops for curfew violators and arrests will be totaled for each officer. Patterns on curfew violations, THFTMV, burglary, and other juvenile related crimes will be passed on to the shift to improve effectiveness. Curfew arrests will increase by 10% and arrests will total 20 each month	Sgt. B	
<b>Hot Zone Enforcement</b>	Supervisors will ensure officers know the precinct’s hot zones and focus daily enforcement in these areas. Supervisors will track enforcement each shift and work directly with district officers to ensure effective enforcement is occurring.	Sgt. C	
<b>Employee Engagement and Morale</b>	Middle watch will host two shift training days to encourage shift cohesion and coordination. Three speakers will be invited to attend roll calls and inform shift members of various patrol related issues. Sgt. A will be assigned to recognize an officer from the shift each month for the Officer of the Month Award. Shift supervisors will strive to submit an award write up for at least one officer per month.	Lt. A	

*The MPD goals are to improve: Public Safety, Public Trust and Employee Engagement and Morale*  
**Monthly unit goals** ensure all units are focused and engaged in long term strategies while adding to the department’s mission and goals.

<b>OFFICER</b>	<b>CALLS</b>	<b>ARRESTS</b>	<b>TRAFFIC ARRESTS</b>	<b>COMMUNITY CONTACTS</b>	<b>WORK DAYS</b>	<b>AVERAGE ACTIVITIES PER DAY</b>
Officer A.	78	16	4	123	11	20.09090909
Officer B.	53	3	0	75	9	14.55555556
<b>Precinct Average</b>	<b>65.5</b>	<b>9.5</b>	<b>2</b>	<b>99</b>	<b>10</b>	<b>17.32323232</b>

## Appendix H. Sample individual development plan

An individual development plan (IDP) is a structured document used to identify employee goals and establish actionable steps for achieving them and a tool to help facilitate ongoing discussions between supervisors and employees. An IDP can be a stand-alone tool, or it can be folded into a performance review process.

The foundation of an IDP rests on a joint effort between an employee and his or her supervisor. The instrument is meant to be personalized to fit the needs and wants of the employee and can be adjusted to address short-term goals related to their current work and position or long-term career goals. The key is to treat the instrument as a living document that is constantly updated as goals are achieved or revised. Across the majority of IDP models, the general process is (1) assess, (2) draft, (3) discuss, (4) implement, and (5) repeat.

The following sample IDP was produced for the U.S. Department of Commerce. The example illustrates clear areas to identify employee goals, skills, actionable steps or activities, and a review or evaluation section. The form also identifies the resources the employee will need to achieve his or her goals as well as target dates to accomplish the goals. The sample IDP is part of an individual development planning guidebook specifically for U.S. Department of Commerce employees. This document can be assessed at [http://hr.commerce.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/dev01\\_006607.pdf](http://hr.commerce.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/dev01_006607.pdf).

Name: \_\_\_\_\_

Time period covered: FY \_\_\_\_\_

Developmental goals	Relationship of goals to office mission	Skills developed	Developmental activities	Deadline	Resources	Achievement review	Date completed
Personal goals for the next year	My goals have organizational and personal relevance because	My goals involve developing the following competencies	Developmental activities I will pursue	Target dates for goal completion	Resources I will need	This is how I will measure my progress	This is the date I achieved my goal
Goal 1							
Goal 2							
Goal 3							





## About PERF

The **Police Executive Research Forum (PERF)** is an independent research organization that focuses on critical issues in policing. Since its founding in 1976, PERF has identified best practices on fundamental issues such as reducing police use of force, developing community policing and problem-oriented policing, using technologies to deliver police services to the community, and evaluating crime reduction strategies.

PERF strives to advance professionalism in policing and to improve the delivery of police services through the exercise of strong national leadership, public debate of police and criminal justice issues, and research and policy development.

In addition to conducting research and publishing reports on our findings, PERF conducts management studies of individual law enforcement agencies, educates hundreds of police officials each year in a three-week executive development program, and provides executive search services to governments that wish to conduct national searches for their next police chief.

All of PERF's work benefits from PERF's status as a membership organization of police officials, academics, federal government leaders, and others with an interest in policing and criminal justice.

All PERF members must have a four-year college degree and must subscribe to a set of founding principles, emphasizing the importance of research and public debate in policing, adherence to the Constitution and the highest standards of ethics and integrity, and accountability to the communities that police agencies serve.

PERF is governed by a member-elected president and board of directors and a board-appointed executive director. A staff of approximately 30 full-time professionals is based in Washington, D.C.

To learn more, visit PERF online at [www.policeforum.org](http://www.policeforum.org).



## About the COPS Office

The Office of Community Oriented Policing Services (COPS Office) is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territory, and tribal law enforcement agencies through information and grant resources.

Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime.

Rather than simply responding to crimes once they have been committed, community policing concentrates on preventing crime and eliminating the atmosphere of fear it creates. Earning the trust of the community and making those individuals stakeholders in their own safety enables law enforcement to better understand and address both the needs of the community and the factors that contribute to crime.

The COPS Office awards grants to state, local, territory, and tribal law enforcement agencies to hire and train community policing professionals, acquire and deploy cutting-edge crime fighting technologies, and develop and test innovative policing strategies. COPS Office funding also provides training and technical assistance to community members and local government leaders and all levels of law enforcement. The COPS Office has produced and compiled a broad range of information resources that can help law enforcement better address specific crime and operational issues, and help community leaders better understand how to work cooperatively with their law enforcement agency to reduce crime.

- Since 1994, the COPS Office has invested more than \$14 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing.
- To date, the COPS Office has funded approximately 125,000 additional officers to more than 13,000 of the nation's 18,000 law enforcement agencies across the country in small and large jurisdictions alike.
- Nearly 700,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- To date, the COPS Office has distributed more than 8.57 million topic-specific publications, training curricula, white papers, and resource CDs.

COPS Office resources, covering a wide breadth of community policing topics—from school and campus safety to gang violence—are available, at no cost, through its online Resource Center at [www.cops.usdoj.gov](http://www.cops.usdoj.gov). This easy-to-navigate website is also the grant application portal, providing access to online application forms.







This publication is a guide for police executives who wish to institutionalize community policing in their organization through performance management strategies. This guidebook demonstrates how to incorporate principles of procedural justice into performance management systems. Procedural justice describes the extent to which community residents believe that the police treat them with fairness, dignity, and respect. This is critical to the success of community policing. Procedural justice also can be applied within a police department to reflect the extent to which officers feel that they are treated fairly and respected by their superiors. Officers who experience procedural justice themselves are more likely to use those principles in their interactions with the public. This guidebook presents strategies and tools to develop and assess the performance of officers. The strategies lead to creating internal procedural justice for employees and also model how officers (and other department employees) should interact with community members.



**COPS**

*Community Oriented Policing Services*  
*U.S. Department of Justice*

U.S. Department of Justice  
Office of Community Oriented Policing Services  
145 N Street NE  
Washington, DC 20530

To obtain details on COPS Office programs,  
call the COPS Office Response Center at 800-421-6770.

Visit the COPS Office online at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).



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