



<b>WRITTEN DIRECTIVE</b>	No. PD15-0201	Page: 1 of 7
Subject:  PERFORMANCE APPRAISAL	Effective Date:	12/15/15
	Supersedes/ Amends:	PD12-0201
	Reference:	32.2.10, 35.1.1 35.1.3 –5, 35.1.7-8,



**I. Purpose**

The purpose of this directive is to provide a method by which employees may be assessed on an annual basis regarding individual job performance.

35.1.2, 35.1.4, 35.1.5 A

**II. Policy**

Supervisors of the Lynchburg Police Department shall document and formally appraise an employee’s work performance on an annual basis at minimum and will make sure that the criteria used for the performance evaluation is specific to the assignment of the employee during the evaluation period.

**III. Procedure**

**A. PERFORMANCE APPRAISAL SYSTEM OBJECTIVES**

1. Make fair and impartial personnel decisions.
2. Attain and maintain a higher level of employee performance.
3. Provide a medium for personnel counseling.
4. Facilitate informed decisions regarding employees serving in the initial employment period.
5. Provide an objective and fair means for recognition and measurement of individual employee performance.
6. Serve as an aid for identification of training needs.

**B. APPRAISAL PROCEDURE**

1. Whenever possible, employee performance will be appraised by a Rating Team, to include the employee’s immediate supervisor.
2. When an employee’s performance is monitored by more than one supervisor, a rating team will be used for the evaluation that will include all supervisors that are responsible for the immediate supervision of the employee.

3. Supervisors will adhere to the procedures outlined in the City of Lynchburg *Performance Appraisal Manual/ Instructional Guide* during the appraisal process.
- 35.1.1.B,C**
4. Performance appraisal ratings will be supported by observed behavior and other available information.
    - a. Supervisory monitoring of employee work performance will be an ongoing process throughout the evaluation period.
    - b. Supervisors will record behaviors as soon as possible after observation.
    - c. Supervisors will consider observed behaviors noted during the appraisal period when completing employee performance appraisals.
    - d. Observations of notable employee behavior will be documented in the electronic Daily Observation Report (DOR) software found on the LPD server.
    - e. Employees will have access to the DOR software and will be able to monitor any DOR entries involving them.
- 35.1.6**
5. In the event that specific actions of a non-initial employee's performance during the evaluation period are deemed unacceptable by the immediate supervisor, the employee must be given written notification and/or the observation must be entered into the DOR system, depending on the behavior observed.
    - a. Written notification will be given in letter format and/or by way of DOR entry, depending on the behavior observed and the necessary documentation required (see PD-0212 Disciplinary System).
    - b. Written notification will be given to the employee in a timely manner after unacceptable performance has occurred, but no later than 30 days thereafter.
    - c. Any written notifications, other than DOR entries, should include specific actions that may be taken to improve the employee's performance.
    - d.. Although written notification is required for performance appraisal purposes, such counseling is not a prerequisite for disciplinary action, and the absence of such does not prohibit the application of appropriate disciplinary action by supervisors in accordance with established disciplinary policies.

**35.1.5 C / 35.1.1 C**

6. Upon completion of the performance appraisal process:
  - a. The immediate supervisor and/or the rating team will make their comments electronically in the *Overall Statement of Performance* section on the Summary page of the evaluation.
  - b. The immediate supervisor will then set the security for the employee's evaluation to include the employee's chain of command.
  - c. The immediate supervisor will then notify the next level in the employee's chain of command via email that the employee's evaluation is ready for review.
  - d. Each level of supervision in the employee's chain of command will review the employee's evaluation.
7. After chain of command review, the immediate supervisor will review the performance appraisal with the employee.

**35.1.5 D**

- a. The employee will be given the opportunity to make comments in the employee comments section of the summary page.
  - b. The immediate supervisor will have the employee sign the evaluation electronically, indicating that the evaluation has been reviewed with the employee.
  - c. The immediate supervisor will sign the evaluation electronically, and forward digital copy through the chain of command for review and signatures.
8. The performance appraisal Part III Developmental Activities will be completed as part of the evaluation process.
  9. The Rating Team will document any additional employee responsibilities/ certifications in Part IV of the performance appraisal.
  10. Each employee will be counseled at the conclusion of the rating period related to:

**35.1.7 A**

- a. results of the performance evaluation just completed

**35.1.7 B**

- b. level of performance expected, rating criteria or goals for the new reporting period

**35.1.7 C**

- c. career counseling relative to such topics as advancement, specialization, or training appropriate for the employee's position.

**35.1.5 E**

11. A copy of the completed evaluation report will be provided to the employee.

- 35.1.5 G** 12. Completed performance appraisal forms and attachments will be maintained within the employee's LPD personnel file according to guidelines established by the Library of Virginia.

**35.1.5 A**

C. APPRAISAL SCHEDULE

1. Employee performance appraisal will be performed annually at a minimum in conjunction with the City fiscal year, or by the anniversary date of the employee's being hired, promoted or reclassified, whichever is applicable.
  2. Employee performance prior to or following the evaluation period will be excluded in the ratings.
  3. To provide the employee with a better understanding of the appraisal process and expectations during the rating period, each employee will be advised by the immediate supervisor at the beginning of the rating period regarding:
    - a. tasks of the position occupied
    - b. level of performance expected
    - c. performance evaluation criteria.
- 35.1.3** 4. All employees, civilian and sworn, serving in the initial employment period (inclusive of newly promoted employees) will receive quarterly appraisals. Police Recruits will begin their initial employment period on the day of being sworn. During academy training, recruits will be evaluated/monitored based on written examinations and practical testing results.
- 32.2.10**
- a. All newly-hired employees will be required to serve in an initial employment period, as follows:
    - 1) Civilian employees – twelve months unless otherwise stated.
    - 2) Police Officers – one year from date of swearing in.
  - b. All employees will be required to complete all entry-level department specific training during the initial employee period.
  - c. Initial employment period performance appraisal will include:
    - 1) information concerning the employee's training progress and work performance
    - 2) constructive input as to how the employee may improve performance.
5. Prior to the full time transfer of an employee, the employee's current supervisory Rating Team may complete a performance appraisal of that employee.

- a. After conducting the appraisal interview with the employee, the current supervisor will forward the following to the new supervisor in a timely manner:
    - 1) a copy of the employee's performance appraisal form
    - 2) all section or unit-level documentation on that employee, including:
      - a) past performance appraisals
      - b) commendations
      - c) corrective or disciplinary documentation
      - d) *Memoranda*, letters, daily observation reports and other materials relating to job performance.
  - b. In cases where an employee is due an annual performance appraisal within four months of the effective date of transfer, the employee's new supervisor will supplement the transfer appraisal with information pertaining to the employee's job performance while in the new assignment.
  - c. If the employee has been in the new assignment four months or longer when the annual performance appraisal is due, the new supervisor will complete an updated job performance appraisal and appraisal interview.
6. Temporary assignments:
- a. Prior to the transfer of an employee to any temporary assignment projected to exceed 120 days duration, the employee's original supervisory Rating Team will complete a transfer appraisal of that employee.
  - b. Should an employee's temporary assignment exceed the 120 day threshold when it was not originally projected to do so, the original supervisory Rating Team will complete a retroactive transfer appraisal at that time.
  - c. The employee's temporary supervisory Rating Team will complete a written appraisal on the employee at the conclusion of the temporary assignment.
  - d. Should an employee's annual performance appraisal become due during the temporary assignment, the temporary supervisor will be responsible for:
    - 1) completing the annual performance appraisal
    - 2) attaching the appraisal to the transfer appraisal completed by the original Rating Team.

7. Supervisors who are transferred shall, prior to their effective date of reassignment, coordinate a Rating Team to appraise those employees assigned under their supervision who have not been assessed within the previous 120 days.
8. The immediate supervisor will review and relay to the Rating Team the in-service training record of each employee under their supervision during the annual appraisal, in order to assess:
  - a. the employee's training progress in achieving career objectives
  - b. whether the in-service training provided is adequately assisting the employee in achieving the skills, knowledge and abilities required to perform present and projected agency job functions.

**35.1.5 F****D. CONTESTING PERFORMANCE APPRAISAL RATINGS**

1. Performance appraisal ratings are not grievable under the *City of Lynchburg Employee Grievance Procedure*; however, an employee may contest any rating or comment on the appraisal.
2. A dissenting opinion on any aspect of the performance appraisal not resolved to the employees satisfaction may be recorded in the *Employee Comments* section provided on the appraisal form.
3. Contested performance appraisal factors will receive a second review by the original Rating Team only on employee submission of new or additional information indicating that further review is appropriate.
4. An employee who remains dissatisfied with a performance appraisal after a second review by the Rating Team may contest the appraisal through the employee's chain of command.
5. The employee's chain of command will review:
  - a. all materials submitted by the employee for consideration.
  - b. any further information provided by the second Rating Team review.
6. Decisions rendered by the Deputy Chief regarding performance appraisals will be final, with no further procedural recourse available.
7. Upon completion of the review process, the Deputy Chief will forward the contested performance appraisal to the Chief of Police for review.
8. The employee will be provided a copy of the performance appraisal after final review by the Chief of Police.

35.1.1 D

E. TRAINING AND MONITORING

1. The Deputy Chiefs will be responsible for:
  - a. providing training for bureau supervisors in employee performance appraisal
  - b. monitoring the performance appraisal system regarding proper procedure and usage.

35.1.8

2. Each rater will be assessed by a supervisory Rating Team within the rater's annual performance appraisal regarding:
  - a. fairness, impartiality and uniformity of subordinate performance ratings
  - b. participation in counseling and guidance for evaluated employees
  - c. demonstrated ability to conduct employee performance appraisals.

*Original Signed*

---

Raul M. Diaz  
Chief of Police

December 15, 2015

---

Date