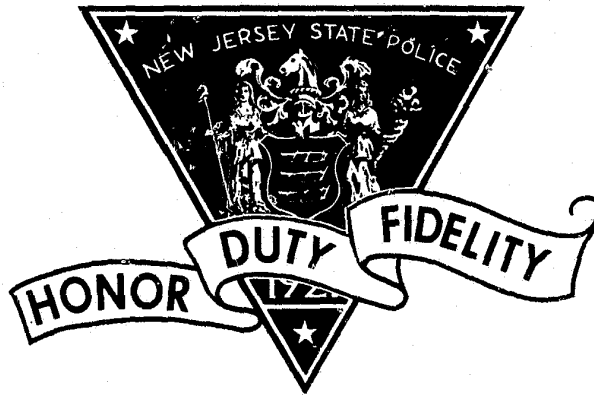


Performance Evaluation Manual



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State of New Jersey

DEPARTMENT OF LAW AND PUBLIC SAFETY DIVISION OF STATE POLICE

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INTRODUCTION

This manual is for all supervisory personnel in the Division of State Police. The manual will describe some techniques which have proved successful for fostering an effective relationship between supervisor and subordinate. Your particular needs will differ. Therefore, you are encouraged to adapt those that are practical for your individual station or assignment. Other chapters of the manual deal with such supervisory responsibilities as appraising new personnel, recognizing good work, and taking corrective action where performance falls below standard.

Over the years, the Division of State Police has prided itself on its high performance, and one of the conditions leading to high performance is an open relationship between supervisors and subordinates. As a leader, the supervisor has to advance the interests of his subordinates. The manual addresses itself to this responsibility.

It is designed to provide supervisors with a convenient reference for performance appraisal in the Division of State Police, and should provide a basis from which each supervisor can develop a sound and sensible approach towards meeting the objectives of performance evaluation. The many facets of performance appraisal are set out in a logical sequence which describes the relationships among them.

Review the manual carefully and apply its principles with discretion in your relations with State Police personnel.

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ACQUISITIONS

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CHAPTER I

I. GENERAL PROVISIONS:

A. Scope.

1. In modern organizations, one of the most crucial problems facing supervisors is evaluating subordinate's performance. No organization survives long if its members do not achieve at least a minimal level of satisfactory performance.
2. Contained herein are the instructions for conducting the performance evaluation process of the New Jersey State Police. All sworn personnel from the rank of trooper through captain shall have their performance evaluated in accordance with the guidelines set forth in this manual, related S.O.P.'s and orders. (See: *S.O.P. C-7, Operations Orders 302, 311, etc.*)

B. Authority.

1. Pursuant to title 53:1-10 of the New Jersey Revised Statutes, the Superintendent of State Police has the power to make all rules and regulations providing for the discipline and control of the Division and may provide the necessary preliminary and subsequent instructions to troopers in the performance of their duties.

C. Mechanics

1. State Police personnel are to be evaluated periodically for their job performance, personal characteristics, and supervisory potential. The rating will utilize the *State Police Personnel Evaluation Report S.P. 119 (revised 3-78)* and shall be processed through channels.

D. Purpose.

1. The system of personnel evaluation is designed to:
 - a. Appraise and improve individual performance.
2. To assist in determining:
 - a. Training needs.
 - b. Suitability of probationary troopers.
 - c. Promotional consideration.
 - d. Filling vacancies in other positions.
 - e. Eligibility for re-enlistment.

CHAPTER II

II. PERFORMANCE EXPECTATIONS:

A. Informing Personnel Of Performance Expectations:

1. Supervisors shall describe to their men, what they are expected to do and how well they are expected to perform. Consideration must be given for the various tasks undertaken by the State Police and descriptions must relate to those tasks. Periodic meetings should be held with subordinates to indicate performance goals and progress.

B. Appraising and Discussing Performance.

1. Discussions with personnel need not be limited to performance, but should include *guided development of the individual*.
2. When appropriate, the supervisor should encourage the man to indicate his career goals, such as next probable assignment, his long range objectives and what he plans to do to better prepare for advancement.
3. Guidelines from the supervisor may include suggestions for available training, either in or outside the Division of State Police, including college management development courses, details or reassignments to gain experience and possible modification or extension of the subordinate's goals.

C. Indicators.

1. The ordinary performance evaluation of a trooper *is not a predictor* of how well he is likely to do on a higher level or different job. However, it is an indicator to the extent that a poor performer is less likely than a good performer to do well on a more demanding job.

CHAPTER III

III. RATING PROCEDURES:

Rating procedures will be conducted in accordance with O.O. 311.

A. PURPOSE:

1. To establish a personnel evaluation system within the Division of State Police and provide for the appraisal and development of individual performance.
2. To assist in determining:
 - a. Training needs.
 - b. Suitability of probationary troopers.
 - c. Promotional consideration.
 - d. Filling vacancies in other positions.
 - e. Eligibility for re-enlistment.

B. MECHANICS:

1. Evaluation Reports shall be accomplished for all members of the Division, up to the rank of Sergeant First Class and Detective Sergeant First Class, semi-annually (October through March and April through September). These semi-annual reports will be referred to as "Periodic" reports and will be forwarded to the Superintendent as follows:
 - a. Evaluation Reports for Troopers and Sergeants are due at Division Headquarters by April 30th and October 30th.

- b. Evaluation Reports for Sergeants First Class and Detective Sergeants First Class are due at Division Headquarters by May 7th and November 7th.
2. *State Police Personnel Evaluation Report, Form 119 (revised 3-78)* shall be used for all evaluations.
3. Exceptions:
- a. Evaluation Reports shall be accomplished each 90 days, subsequent to academy graduation, for all members of the Division with less than one year of service.
 - (1) Report is due at Division Headquarters by the 10th day following the end of the 90-day period.
 - b. Evaluation Reports shall be accomplished for all members prior to their first and second re-enlistment.
 - (1) Report is due at Division Headquarters forty-five (45) days prior to the re-enlistment.
 - c. The Superintendent may in addition to the semi-annual or probationary reports, order the evaluation of *any* member of the organization for such reasons as he may deem necessary.
 - d. In all rating situations, rating supervisors will not evaluate personnel of equal ranks. In the event this situation arises, the next highest ranking supervisor in that station, unit, bureau, troop or section shall conduct the rating.
 - (1) Such ratings shall be conducted and reviewed as previously outlined in this order or, that being inappropriate, by the next highest ranking supervisor in the station, unit, bureau, troop or section.
4. **Informing Personnel of Ratings.**
- a. Supervisors will promptly notify personnel of their assigned performance ratings following the end of the rating period. With the notification, supervisors shall counsel their personnel. The discussion should include a follow-up and summary of the various counseling meetings held with the subordinate during the rating period. The supervisor should utilize personnel performance notices, public feedback and general performance. He should encourage the man to indicate what he thinks he has done well and what he would like to do better. The supervisor is encouraged to develop a plan with the man which will help him to do better in those aspects of his position in which there is room for improvement.

5. Who Shall Rate:

a. Troops

- (1) Patrol Troopers** (assigned to shifts at stations).
 - (a) Rated by Shift Sergeant or Assistant Station Commander.
 - (b) Reviewed by the Station Commander.
- (2) Tactical Patrol Troopers**
 - (a) Rated by Squad Sergeant or Platoon Supervisor.
 - (b) Reviewed by Tactical Patrol Officer.
- (3) Detectives**
 - (a) Rated by Detective Sergeant.
 - (b) Reviewed by Detective Sergeant First Class.
- (4) Detective Sergeants**
 - (a) Rated by Detective Sergeant First Class, Zone Supervisor.
 - (b) Reviewed by Troop C.I.S. Officer.
- (5) Detective Sergeant First Class**
 - (a) Rated by Troop C.I.S. Officer.
 - (b) Reviewed by Deputy Troop Commander.
- (6) Assistant Station Commander and Shift Sergeants**
 - (a) Rated by Station Commander.
 - (b) Reviewed by the Troop Administrative Officer.
- (7) Sergeant First Class, Station Commanders**
 - (a) Rated by Deputy Troop Commander.
 - (b) Reviewed by Troop Commander.
- (8) Sergeant First Class**
 - (a) Rated by Troop Staff Officer to whom responsible.
 - (b) Reviewed by Deputy Troop Commander.
- (9) Other Non-commissioned Officers and Troopers.**
 - (a) Rated by immediate supervisor.
 - (b) Reviewed by the Deputy Troop Commander.

6. Division Headquarters:

a. Bureaus directly responsible to the Superintendent.

- (1) Bureau members**
 - (a) Rated by Bureau Chief.
 - (b) Reviewed by Deputy Superintendent.

b. Bureaus directly responsible to Deputy Superintendent.

(1) Same as above.

c. Bureaus directly responsible to Section Supervisors.

(1) Bureau members

(a) Rated by Bureau Chief.

(b) Reviewed by Assistant Section Supervisor.

d. Unit Heads directly responsible to Bureau Chiefs.

(1) Unit Heads

(a) Rated by Bureau Chief.

(b) Reviewed by Assistant Section Supervisor.

(2) Other Unit Personnel

(a) Rated by Unit Head.

(b) Reviewed by Bureau Chief.

7. Evaluations in the event of transfer:

a. An evaluation report shall be completed by each supervisor to whom a member was assigned for at least *two months*.

(1) Evaluation Reports covering a partial six-month period shall be forwarded to the member's new Supervisor and held until termination of the six-month period.

(2) At the termination of the six-month period, all Evaluation Reports due for the period shall be forwarded through channels to the Personnel Bureau, Division Headquarters.

b. An Evaluation Report will not be submitted when a member has less than two months in his assignment. In this instance, the following procedure will be adhered to:

(1) Performance notices, commendations, letters of commendation/complaint shall be forwarded to the new supervisor.

(2) If transfer occurs within the fifth or sixth month of the evaluation period, the new supervisor will complete the heading of the Evaluation Report and indicate in Section B that the ratee has been under his supervision for less than two months. Extreme incidents shall be recorded in *Sections B and D of S.P. 119 (rev. 3-78)*, if applicable.

8. Responsibilities of Rater:

a. Counseling and development of State Police personnel, as outlined in Performance Evaluation Manual.

b. Completion and processing of *State Police Personnel Evaluation Report, Form 119 (rev. 3-78)* as outlined in this order.

9. Responsibilities of the Reviewer:

- a. The reviewer will insure that the performance evaluation is submitted on schedule and is complete.
- b. To obtain uniformity in the application of trait descriptions by the supervisors under his direction.
- c. To discuss evaluations with the rater and the ratee when requested, or when otherwise appropriate.
- d. To check the statements made in the comments section to see that they are specific, substantial and accurate.
- e. In the event of disagreement with the rater's report, the reviewer will not change the original report. Specific disagreement may be recorded on a Special Report by the reviewer and same attached to *S.P. 119 (rev. 3-78)* for forwarding through channels.

10. Routing will be through normal channels, *reports will be completed in duplicate, one copy being retained by troop headquarters or bureau head and one copy forwarded to Division Headquarters.*

11. All pages of *S.P. 119 (rev. 3-78)* and all supplemental reports initiated by a reviewer will be signed by the ratee.

12. In the event of formal grievances, *a copy of the member's rating will be made available to him upon request.*

Standard operating procedures (*S.O.P. C7*) for personnel evaluation are outlined in the following general statement.

C. ESTABLISHMENT:

1. The following establishes a formal system for the evaluation of personnel in the Division of State Police.

D. MECHANICS:

1. All members of the Division, below the rank of Lieutenant will be evaluated at least semi-annually.
 - a. Personnel are evaluated by immediate superiors in relation to their job knowledge, attitude, reliability, initiative, appearance and potential.
2. The system of personnel evaluation is designed to:
 - a. Appraise and improve individual performance.
 - b. Measure the ability of personnel during a probationary period.
 - c. Identify individuals capable of increased responsibility.
 - d. Identify individuals capable of filling vacancies in other positions.
 - e. Determine potential for re-enlistment.
 - f. Determine training needs.
3. The rater will conduct an appraisal interview with the member being rated, and review all phases of the evaluation.

CHAPTER IV

IV. RATING GUIDANCE FOR SUPERVISORY PERSONNEL:

A. Supervisor-Subordinate Relationship.

1. A rater should have *two months* experience in supervising or working with the ratee. A rater may wish to obtain objective data from the ratee's personnel file to assist him, but he must have some direct information as to the ratee's performance. Otherwise, the rating process may be hampered. Raters should not rate performance where they have no information. Inaccurate ratings are worse than no ratings.

B. Supervisory Training.

1. The rater should not be given a set of rating forms and told to rate his men, even if thorough instructions are included as part of the printed materials. Each rater should attend at least one training session devoted to methods for conducting performance ratings. The instructor will be someone knowledgeable in the overall rating process. The content of the training session will include ways to avoid bias as well as information about the scales, standards to be applied and procedures for using the scales. *Academy NCO supervision classes shall include this type training.*

C. Motivation of Rater.

1. A typical complaint of many supervisors with respect to performance evaluation is the excuse that "it takes too much time." This type of reaction reflects the problem of having to perform a task that may be unpleasant (if a member is performing below standard). This tendency must be overcome.
2. Two basic factors to be emphasized are the importance of an accurate evaluation for each ratee's career (pay raise, promotion, etc.) and the importance of accurate ratings for the *supervisor's own performance evaluation.*

D. Participation of Ratee.

1. The most important element in the performance evaluation process is the member being evaluated. One of the more useful results of the evaluation process is to inform the member being evaluated as to his performance level, both in terms of his strengths and weaknesses. In the case of his strong points, this represents an opportunity for this supervisors to personally acknowledge his superior efforts formally or in the case of his weak points, to work with him in developing a training program to bring his performance up to par in those areas of deficiency.

E. Personnel Performance Notices.

1. Personnel Performance Notices shall be an integral part of the State Police evaluation system. They serve as an efficient tool for the documentation of incidents and should constitute valuable information sources for counseling and subsequent improvement of performance. In considering and issuing

performance notices, supervisors should be aware that if they concentrate on mistakes, they become expert on them. If they concentrate on exceptional performance, they learn what can make a person or an organization successful. *The first step in learning how to supervise in a positive way is to avoid recreating what you experienced under negative supervision.* Supervisors are advised to maintain an active PPN Program, and make use of this tool in the overall evaluation process.

CHAPTER V

V. APPRAISAL PROCESS OBSERVATION:

A. Basic Information.

1. While the quasi-military nature of the Division of State Police is an integral part of our organization, this does not preclude the utilization of innovative management techniques. It is with this fact in mind that we can make the following observations of the appraisal process:
 - a. Personnel evaluation plans in many organizations are irrelevant to the job. Supervisors and subordinates actively ignore the system. Why have personnel evaluation plans failed?
 - b. Some plans rely too heavily on content and technique. A widely used method of evaluating performance is based on rating several aspects of performance. First, the component factors of overall work behavior are identified. Then each part is analyzed and evaluated. The "sum" of these produces a merit rating of the whole person. This approach seems to work well for transmitting information about a subordinate to third parties. While this is a desired end, you should understand that its effectiveness is limited to this *one aspect of a personnel evaluation program.*
 - c. A plan cannot ignore the characteristics of the people who will use it. There are supervisors who will avoid implementing the spirit of a personnel evaluation plan though seemingly adhering to its procedural requirements. Why?
 - (1) Some are reluctant to sit in judgment of subordinates.
 - (2) Some fear confrontations. They will avoid discussions that may end up in heated debate.
 - (3) Some avoid discussions of performance because they honestly doubt their own communicative skill in this area.
 - (4) Others state that it is impossible to cure certain subordinates of their weaknesses.
 - (5) Some object that their other supervisory duties leave them no time to adequately discuss performance with their subordinates.
 - (6) A few feel that so long as nothing is wrong, they need not spend time on personnel evaluation.
 - d. To make a personnel evaluation plan work effectively, the following approach is recommended.

B. Setting Your Sights.

1. From your first day as part of the State Police management cadre, (and probably well before) you became aware that, in addition to helping your subordinates improve their skills, one of your major responsibilities is to motivate your subordinates to do their job as well as they can. You've heard the term personnel evaluation used (and misused) many times, and you have a concept of what it means to you and the State Police. Naturally, you want to know, as concretely as possible, how to carry out this responsibility.
2. It would be a mistake to assume that a thorough knowledge of the content of S.O.P.'s, Rules and Regulations and Administrative Orders is all that you need in the way of preparation. Of substantially equivalent value is a sound philosophy of management and an understanding of some basic interpersonal processes. For this reason, and hopefully for application in the State Police rating process, we shall review some relevant principles of human behavior.
3. A good starting point for our discussion might be the nature of your supervisory relationship with your men. At the heart of this relationship is a job which has to be done, an objective that is held in common by both of you. While the tasks you and your subordinates are required to perform differ, the *objective* sought is somewhat shared.
4. Most endeavors involve four types of tasks in reaching the objective: *planning, leading, controlling, and doing*. Traditional organizational orthodoxy prescribes that the supervisor plans, leads and controls while the subordinate does. Another, and frequently more realistic way of looking at what happens, is that under the supervisor's leadership the subordinate plans and does his work and maintains adequate controls. The supervisor assigns responsibilities and works with the subordinate to identify work objectives, and plans and carries out the several tasks necessary to accomplish the objectives. The effective supervisor maintains a climate in which people are motivated to participate in the planning and accomplishing.
5. The deceptively simple key to doing this is to maintain an environment which supports *open communication*. You have to be able to talk to your subordinates; they must be able and want to talk to you openly, candidly and frankly. Anything less than this *two-way communication* is a hinderance to your common goal of getting the job done.
6. The practice of personnel evaluation has in many instances fallen short of the intent. This is predictable since performance appraisal interviews have, in many cases, raised barriers to the kind of open communications that must exist in order to get the shared job done. The performance appraisal interview is *mistakenly* considered to begin and end with an evaluation and rating of the subordinate. All too often what should have been a constructive and open exchange between supervisor and subordinate ends in a climate of passive acceptance or even mistrust, suspicion, or open hostility. Obviously, such conditions do not foster productive communications.

7. What should be evaluated? Behavior (or performance) can vary depending on how a person reacts to his environment. This suggests that if you ignore aspects of the subordinate's work objectives, the interpersonal relationships in the group, training, etc., you will not succeed in influencing his performance. You may influence the wrong way!

C. Two Way Communication And Appraisal.

1. A positive approach to performance evaluation should start with a sincere appraisal of your relationship with your subordinate. Both of you should have the opportunity to examine each other's assumptions and clarify each other's expectations about the working relationship. He should feel that you are willing to listen to constructive suggestions.
2. If both of you share an objective, then counseling and appraisal or development efforts must look at what you both are doing to meet the objective, not only at what the subordinate is doing by himself. Usually, in a counseling situation the relationship itself remains unexamined. The discussion centers around the performance of the subordinate alone. As a result, there can be little change in some of the major underlying forces which affect his performance.
3. There are no easily itemized instructions to lead you through this approach to personnel evaluation. Much must be left to you and your men. You must strive to create a work environment in which the men will feel personally motivated to do their best.
4. This is best done on a day to day basis during your normal meetings with the men. Avoid mechanistic situations or an *undue* amount of formality. Get to know your men. For example, don't tell the subordinate that there is now a need for a performance appraisal. The message more effectively comes across in your continuing discussions over actual work performance. In the rest of this part, we will review common barriers to communication and discuss some techniques which you and your subordinates may adapt.
5. **Filters:**
 - a. The major barrier to an effective two-way discussion of relationships is a natural tendency to evaluate what the other person is saying in terms of what it means to you. We tend to select what is being said. That which is familiar and compatible to the listener is retained. . . the rest is filtered out. This may work well when speaker and listener have much in common. . . values, word usage, expectations. Fortunately, you and your men are too individually complex for all other things to be equal. What is familiar and compatible to the listener may not be relevant to the speaker's main point.
 - b. A sound principle for you and the subordinate to follow is for each to assume the responsibility of being an active listener. Force a discussion if necessary. . . . structure it with "feedback" reports. . . until the listener understands what the speaker means.

6. **Fears:**
 - a. Conversely, barriers are created when the speaker assumes too much about the listener. In a supervisor - subordinate relationship, the subordinate will see himself at a disadvantage because of the difference in authority.
 - b. He "fears" that his supervisor will reject what he says. He worries about being judged!. He is not willing to express any difference he may have with the supervisor. The result is a *traditional one-way performance evaluation "discussion"*.
7. Two-way discussions must relate to what is shared. The job itself, progress toward work objectives, the work environment, and your relationships are relevant and important to effective work performance. In *one way*, negatively structured, counseling sessions the stage is set for rationalization, defensiveness, inability to understand, reactions that the supervisor is being unfair or arbitrary. These are not conditions conducive to effective motivation. Neither, it should be stressed, are those conditions conducive to effective communications.
8. Each party may find, when he discusses and examines expectations and assumptions with the other, that some of his expectations and assumptions are unreasonable, inaccurate, or unrealistic, and should be changed. Perhaps more than anything else the effective use of this approach requires all of us, supervisors and subordinates alike, to recognize the need for feedback about our performance through those with whom our work is related. We can only reap dividends from this feedback by using it constructively as an aid to our personal growth and development, and as a guide to our future performance.
9. Topics for encouraging two-way discussions.
 - a. Attitude toward - superiors.
 - b. Knowledge of - objectives, *S.O.P.'s, Title 39, Title 2A, etc.*
 - c. Skill in - writing, speaking, listening.
 - d. Behavior - emotional control, thoroughness, morality, etc.

D. Future Performance.

1. After you and your men have determined what in your working relationship needs changing, you may jointly set goals to improve the relationship and further the accomplishment of your joint tasks. One way of doing this is for each of you to prepare your own goals in advance and then sit down and discuss them. Another technique is for each party to take an appropriate amount of time to think about the subject and then work out specific goals together. Either way, the process should be a cooperative venture.
2. Goals can be either work-related or personal. Work-related goals can include a wide variety of considerations (*e.g.*, productivity, quality, target dates for

specific projects, depletion of caseloads, and continuing assignments). Goals can be remedial (e.g., a subordinate who is reluctant to participate in large groups might set as a goal the completion of a course in public speaking at a local college or school. In goal setting there is bound to be some overlap, and certain goals will be both personal and work-related. At the conclusion of these sessions, you may want to record your agreed upon goals. Keep in mind there is no *one precise* technique in developing personnel. You will not be led in a step by step format, it is up to you, the supervisor, to lead.

3. Subsequent exchanges should center, naturally, on how well each member has done in improving the working relationship and in meeting the goals that were previously set. It's usually a good idea for both to prepare somewhat in advance for these meetings so that you can begin with an analysis of your own performance.
4. While the expectations and goals that were previously set are the basis for the discussion, you must remember that they are not, necessarily, ends in themselves. *Rather they are the means to improved individual effectiveness.* If either party has not achieved expected goals, there may be perfectly valid reasons, but performance may have improved in other areas. On the other hand, if either of you have hit all targets, you may have been aiming too low and may be capable of doing much more. So don't jump to conclusions at the outset of these meetings. Use goals as the basis for discussion and not as absolute standards for appraisal.
5. Neither forecasts nor results of enforcement activities should be used to compute a production quota for an individual enforcement officer for the purpose of evaluating his performance. Results measured solely by closed cases, or summons enforcement do not sufficiently indicate the *effectiveness* of an enforcement officer's performance. Therefore, goal-setting for increasing individual performance effectiveness is misused if the goal-setting process amounts to identifying expected production rates *only*.
6. On the other hand, productivity in the sense of how effectively skills, knowledge, and resources are applied to an assignment is a very significant element to consider in evaluating overall performance. Therefore, goals for an individual should: identify work processes that will be employed; identify work scheduling on a specific case or assignment when it is feasible and reach agreement on how and when performance will be reviewed.

E. Towards Greater Performance.

1. It ought to be clear that this approach moves toward recognizing more individuality at work while leading to increased individual effectiveness. If innovation and creativity can be achieved and are to persist, supervisors must support individuality as long as it is consistent with the objectives of the Division of State Police.

2. As organizations grow and get more complex, they maintain consistency in objectives and unity in command by codifying policies, operating procedures, communication channels, and standards of minimum acceptable performance. However, this can be carried to an extreme leading to codification of acceptable behavior and definitions of punishments for going beyond limits. Specifically, in the area of performance in technical or professional positions, too much emphasis can be placed on uniform performance expectations. An opposing consideration deserving careful attention is that uniformity can unfairly restrict initiative. A work environment which vigorously enforces norms cannot support motivation-seeking behavior. One which vigorously *supports individual attempts at improvement* can lead to more effective performance.

CHAPTER VI

VI. RATING THE PROBATIONARY TROOPER:

A. Recognition.

1. Another aspect of performance evaluation is your role in recognizing good performance.
 - a. A trooper serving a probationary period must be assessed toward the conclusion of this period to determine whether he is capable of doing the job for which he was hired.
 - b. Recognition of good performance for permanent State Police personnel must be substantiated with appraisals.
 - c. Promotions or selections for other positions are *in part* based on supervisor's evaluations.
 - d. Usually, for each of these purposes the decision-maker (you, your supervisor or a commissioned officer) needs an evaluation of the man's performance and a judgment of the man's potential.

B. Probationary Period Evaluation.

1. The probationary period is the final and most significant step in selecting new troopers. It is the indispensable test of the man on the job. The purpose of the probationary period evaluation is to finally establish whether the new trooper is qualified to hold the job.
2. Because the probationary trooper generally has no previous experience upon which to base personal work goals, your initial exchanges will of necessity be mostly one way (downward from you to him). Very soon after coming on board he should understand what you expect him to do in the work relationship in order to accomplish your shared objectives.
3. If a trooper fails to measure up to the total job requirements, he will be advised of his deficiencies through counseling. If he then does not choose to upgrade himself, he may be recommended for dismissal. Recommending an

unsatisfactory probationary trooper for dismissal, however, does not in itself fulfill your responsibility. You must have assured yourself that you have done all in your power to help him meet an acceptable standard.

4. The evaluation should cover the probationer's performance conduct and character traits. If necessary to describe less than acceptable performance, give illustrative examples of the probationer's performance. The appraisal must conclude with your determination of whether or not the probationary trooper should be retained. Enter information in *Section D of S.P. 119 (revised 3-78)*.
5. Counsel the probationer. Discuss your evaluation in terms of specific examples of what he has done. But do not limit your comments to past performance only. Use this opportunity to explore career opportunities with the subordinate, your working relationship, and joint goals. When counseling the trooper, it is recommended that his coach be present to participate in this responsibility.

C. Unfavorable Determinations.

1. If you feel that the probationary trooper should be dismissed, consult your administrative officer for guidance. Prepare a special report, utilizing trooper-coach feedback, identify the man's deficiencies in performance, conduct, or general character traits and recommend appropriate action.

CHAPTER VII

VII. INEFFECTIVE CAREER PERSONNEL:

A. Recognizing Poor Performance.

1. Your best efforts to support men and maintain a motivating work environment may not always yield satisfactory results. It is important to recognize and deal with the ineffective performance of career personnel. From the organizational standpoint, the situation could affect the morale of other personnel and eventually their performance. From the ineffective man's standpoint, it is not fair for you to deceive him into thinking that you feel he is doing an adequate job when this is not true. Moreover, corrective action is likely to be more effective if both parties recognize the need for it soon after the ineffective performance is noted.
2. You and the man might first consider whether he is willing and able to meet the demands of his current position or whether he might be productive to the State Police in another capacity. Ineffective performance may be the result of a poor meshing of a man and a job or a man and a supervisor. The best remedy in these circumstances *could be reassignment*.
3. Reassignment is not a good remedy *if it means passing off a real problem*. What measures are available?

B. Corrective Action.

1. Perhaps the most difficult task which faces supervisors is that of correcting an inefficient man. Closely associated with the problem of inefficiency are the problems of minor misconduct and poor attitude on the part of some personnel. The following is an *effective method* for either correcting or recommending disciplinary action of the career man who:
 - a. **Is unsatisfactory** (whose performance is significantly below performance standards).
 - b. **Fails to follow rules and regulations** (who is frequently tardy, takes excessively long work breaks, leaves his assignment early, or otherwise fails to attend to State Police business).
 - c. **Presents an attitude problem** (is antagonistic with the public or fellow troopers or is quarrelsome, rude, or belligerent in his dealings with others).
2. In dealing with the problem man, it often seems that no single instance of failing to attend to the job or poor attitude on the member's part is sufficient to justify formal disciplinary action, but that the accumulation of these instances poses a problem to the morale and efficiency of the station or unit and demands correction. Often the inefficient man is also guilty of failure to follow rules and may, in addition, present an attitude problem. The following procedure is designed to resolve any one or all three of these problems.

C. Procedure.

1. Now we can close in to examine the steps you must take to improve your man or to *develop proof* to support formal disciplinary action.
 - a. **Step 1 – Normal Supervisory Correction** – Normally, when it begins to appear that problems are developing about a man's performance, observance of rules and regulations or attitudes, the supervisor discusses these problems with him. During these discussions the supervisor compares the man's actual results against standards on an informal basis. The supervisor should keep notes of the man's deficiencies during this informal period. However, as soon as it becomes evident that the man is not responding to the informal process, the supervisor should proceed to Step 2. Don't make the common mistake of proceeding under Step 1 for too long a period!
 - b. **Step 2 – Prepare a Special Report** – Now is the time to begin documentation. Prepare a rough draft of a report covering these points:
 - (1) How the trooper has failed to perform satisfactorily. Write down, in some detail, each of the man's deficiencies in performance, observance of rules and regulations or attitude. Be specific - - give facts, numbers, dates, amounts. This information can be developed

from the notes you prepared in Step 1. In addition to the description of deficiencies in the report, you may find it useful to correct improperly prepared written material and attach it to the Special Report as a further specific example of what is wrong. In any event, retain copies of improperly prepared written material and attach it to your report.

- (2) What the specific requirements are for each area of deficiency. Immediately below each deficiency write the requirement you have conveyed to your men. In the areas of poor attitude, often no written requirement exists. If this is the case, indicate in writing the area of deficiency. For example, if the man's problem is tardiness, write that you expect regular prompt attendance.
- (3) How the man may improve. Provide general advice that you feel is helpful. You should also suggest reference sources, or improved work habits. At times the way a man can improve is evident from the description of his deficiencies; at other times, it is not and the man needs help. In any event, attempt to give practical advice which you feel the man is capable of applying.
- (4) What supervisory assistance and guidance will be given? An important part of your job, as a supervisor, is to instruct your personnel. The deficient man has a particular need for this kind of help. Set aside some time each week to help him; plan a program of assistance, and state briefly the kind of help you plan to give him. Be sure that you follow through on this commitment. If he does not improve satisfactorily during a specified period, it may be necessary to recommend disciplinary action. One of the purposes of the report is to convince the subordinate of the seriousness of the situation. By telling him that the situation could result in disciplinary action or possible dismissal, you are reinforcing the value of the report. If the situation does result in any action, the man has been fully advised of the possible consequences. In reference to the specified period, generally one rating period is sufficient to determine if a subordinate is capable of improving to a satisfactory level. In the process of writing your report, you will have clarified the salient points in the whole situation. You will now have written statements of the man's deficiencies and the specific standards he should attain to be fully satisfactory. Your report will help you to:
 - (a) Form a judgment as to whether or not you have good cause for recommending disciplinary action.
 - (b) Provide you with a written guide to discuss the matter with your immediate supervisor;
and
 - (c) Provide you with a written guide for your discussion with the man in question.

- c. **Step 3 – Discuss the Problem with the Subordinate** – Using your report as a guide, discuss the matter with him privately. Tell him why you are not satisfied with his performance, observance of rules, and regulations or attitude. Explain standards completely. Tell him what he must do to meet them. Tell him what assistance and guidance you will give him to help him improve. Tell him what will happen if he does not improve. Listen to him if he wants to explain, complain, or just clear the air. Make it clear that you are not taking disciplinary action; that your efforts are directed towards *helping him to improve*. Tell him that the discussion will be summarized in a special report.
- d. **Step 4 – Follow Through** – You must now follow through with your stated intention of helping the trooper to improve. The subordinate who is deficient often is not capable of self-improvement. However, your personal attention and help may well make the difference between his improving or failing to improve. Whether or not you feel he is capable of improvement, you must make a sincere effort to help him. Set up a schedule and follow it. You should provide some of the help personally, but you may assign some senior, experienced person to do a portion of it.
- e. **Step 5 – Follow Up – Counseling** – You should meet with the man two or three times during the process to discuss his total progress toward improvement. It is suggested that a follow up discussion be held during each two-week period. After the follow up discussion, issue a brief performance notice to the man covering the major points discussed.
- f. **Step 6 – Decide What You Will Recommend and Act** – Toward the end of the observation period, several possible solutions to the problem will become evident. Here are the possible solutions and course of action:
- (1) The man may improve sufficiently so that you feel he has or soon will meet standards. In this case, the problem is solved.
 - (2) The man improves enough so that you do not want to recommend disciplinary action, but not enough to fully meet standards. In this case, simply continue the followup procedure a bit longer until it is clear that the man can or cannot meet standards.
 - (3) The man fails to improve. In this case a formal recommendation for disciplinary action should be initiated by the supervisor and submitted through the chain of command.

2. In summary, whenever YOU, the supervisor, are confronted with a problem of performance, observance of rules and regulations or attitude, consider using this procedure before you resort to formal disciplinary action. Distinct advantages of this procedure are:
 - a. You are giving the man a chance to improve. Often he will appreciate the opportunity and respond to it.
 - b. It is much less damaging to your relationship with him than is formal discipline. Since the documentation is kept by you alone and does not become part of the man's Personnel Folder, he is more apt to accept the procedure.
 - c. YOU are the person who uses the procedure.
 - d. You have a good chance of resolving the problem without having to use formal discipline. The man may improve or be recommended for formal disciplinary action.
 - e. Even if you fail to achieve one of the above solutions, and must resort to formal discipline, you will have developed excellent documentation to support the case.

CHAPTER VIII

IX. INTRODUCTION TO PERSONNEL EVALUATION REPORT FORM.

The system described in this chapter is based on procedures recommended by the National Advisory Committee on Criminal Justice Standards and Goals and the International Association of Chiefs of Police. It takes into account recent trends in the field of police personnel evaluation.

In this system, which is designated to avoid minute numerical discrimination, the numerical ratings have been eliminated. Men are grouped into general categories of unsatisfactory, some improvement needed and competent. Further discrimination of individual personnel requires detailed examination of the personnel evaluation report form.

A. Method For Completing Form.

1. Using the preliminary draft sheet and pencil, complete Section A first, then other appropriate sections. Markings and comments will then be typed on the final report. All signatures shall be in ink.
2. Should additional space for comments be needed, attached bond paper is acceptable.
3. Evaluation period is that period covered by this report.
4. The "Personnel Evaluation Manual" should be reviewed in preparing this report. Definitions, interpretations and further instructions will be found in this manual.
5. The main purposes of this rating report are to inform the subordinate of his performance, to improve performance when possible and recognize potential and sustain superior performance.
6. Appropriate blocks will be marked with the use of an X.

Section A:

Check one column for each trait. The "Does Not Apply" Column may be checked when a trait is not considered applicable to a particular duty assignment. Marks in columns "Some Improvement Needed" and "Unsatisfactory" requires explanation in Section D.

Section B:

Used to describe job strengths and include specific job functions, qualities or performance. Use this section to record other progress or improvements in performance resulting from subordinate's efforts to reach previously set goals. Commendations received should be included in this section. Include ratees specific job function, *i.e.*, general road trooper, terminal supervisor, squad leader, etc.

Section C:

Record agreed upon or prescribed performance goals for the next evaluation period.

Section D:

Give specific reasons for check marks in the "Some Improvement Needed" and "Unsatisfactory" columns. Record relevant disciplinary actions in this section, if applicable.

Section E:

The promotional potential rating should not be confused with regular performance evaluation. Consider the man's supervisory skills, administrative ability, ability to make decisions and past performance. Indicate whether the ratee is capable of performing in next higher rank. If you feel the ratee is not capable of additional responsibility, indicate the reason why and establish goals for the ratee so that he might improve his promotional potential standing.

When recommending personnel for promotion be specific and indicate to what rank the ratee is being recommended, *i.e.*, Trooper II, Trooper I, (Detective) Sergeant, (Detective) Sergeant First Class or Lieutenant.

B. Performance Descriptions.

Competent – The work performance is consistently up to the requirements of the position. It is of such noticeable and obvious nature that it stands out when the man's performance is viewed as a whole.

Some Improvement Needed – This rating indicates that (1) a part of the work performance is below the required performance for the position and (2) it is reasonable to expect that the trooper will bring performance up to acceptable standards. A Plan for Improvement must be included specifying steps to be taken by both the supervisor and the subordinate to improve performance during a specified period of time. These remarks will be included under Section C.

Unsatisfactory — A substantial part of the work performance is inadequate and definitely inferior to the performance required for the position. Factual evidence must be included under Section D to substantiate this rating.

NOTE: If performance is considered by you, the rater to be *outstanding or superior* and over and above the performance descriptions provided in this manual, prepare a *special report* justifying same and attach it to the rating and forward it through the proper channels.

Signatures: Both the rater and the subordinate shall sign the report. The ratee's signature indicates that the conference has been held and that he had had an opportunity to read the report. The ratee's signature does not necessarily imply or indicate agreement with the report.

C. Trait Definitions.

1. **Observance of Work Hours:** Refers to punctuality reporting to or leaving a duty station in accordance with the prescribed schedule of working hours, breaks, or leaves of absence. Can the man be relied upon to be working when and where he is supposed to be?
2. **Attendance:** Reflects absences from duty for any reason. This factor introduces the opportunity for necessary or desirable counseling of a man regarding his improper or excessive use of leave privileges, especially if his attendance has become unreliable. If sick leave use has been greater than the norm, should the man seek medical care? Is there a Friday-Monday or holiday pattern of sick leave use? Have continued absences been costly to the Division or harmful to the morale of personnel who may have been required to carry extra loads?
3. **Grooming and Dress:** An appropriate mode of dress and standard of good grooming is required by the Division of State Police. Does the trooper meet the standards of dress commensurate with his job assignment and the degree of public or Division contacts he makes? Is his uniform consistently clean, neat, and in good repair?
4. **Compliance with Rules:** Members of the Division are subject to State Police rules and regulations. Failure to observe reasonable orders and regulations is listed as a reason for disciplinary action. Does the ratee consistently comply with rules and regulations applicable to him and his job?
5. **Safety Practices:** Nearly all personnel even those who do not work under physically hazardous circumstances, must comply with reasonable safety practices, particularly in situations involving the public. These practices may reflect specific supervisory directives, or simply forethought for potentially dangerous situations and the use of good common sense. Does the ratee endanger his own safety or the safety of others by his actions? Does he help to prevent accidents by practicing good safety procedures?

6. **Public Contacts:** Refers to all public contact made through personal or telephone conversation, correspondence, and day-to-day appearances before the public. Does the man's exposure to the public eye and ear reflect credit on the Division of State Police and promote a good public image? Is he courteous and discreet in public contacts and behavior? Is he aware of the *necessity* to present a consistently good appearance to the public?
7. **Suspect Contacts:** As with public contacts, this factor may not apply to some personnel assignments and yet may be extremely significant in the case of others. Is the man too harsh or too timid with suspects or prisoners? Is his *attitude or behavior toward suspects or prisoners* detrimental to security, a good image, or investigative efficiency?
8. **Interpersonal Relationships:** Reflects only those contacts which either improve or reduce the effectiveness of the personnel involved. It does not apply to a man's personal popularity or lack of it. Does he show a proper concern for the problems of others whose jobs touch his? Is he a disruptive influence? Does he bother or embarrass others with his personal problems? Is he a positive influence on the morale of others?
9. **Knowledge of Work:** This factor should not be confused with, or restricted to, the technical knowledge required for a specialized job. It is much broader and includes particularly the range of pertinent policies, regulations, and procedures relating to his assignment. Has the ratee acquired an acceptable working level of job knowledge?
10. **Work Judgments:** Every man makes decisions depending upon the degree of responsibility assigned in his position. Does he make poor judgments in the course of his work? Is he consistent and reliable in his judgments? What effect do his judgments have on the quantity and quality of work produced by himself and by others?
11. **Planning and Organizing:** Measure the manner and method in which a man approaches his assigned duties, and how successful his planning and organizing is in achieving desired results. Does the man take time to plan the sequence of steps required in carrying out his tasks? Or does he attack the job thoughtlessly or with such blind enthusiasm that waste and mistakes result or work deadlines are missed? Does he make allowances in organizing the job so that foreseeable circumstances are properly taken into account? Does lack of planning or poor organizing indicate reasons for low production or poor quality of work?
12. **Job Skill Level:** This factor relates particularly to the mental and/or manual skills required in a given position. Does the man consistently demonstrate the skills required for his job assignment? Has he made any effort to improve his basic skill levels? Does he have potential for acquiring or developing his

job skills to higher levels of proficiency? Should he undertake a remedial or continuing education program? Has he taken advantage of related in-service training opportunities?

13. **Quality of Work:** The degree of excellence of the work performed over the entire rating period is measured here. In rating the factor, attention should be paid to the consequences of poor quality work. Is the man's work effective, accurate, thorough and acceptable? Must the work be redone, thus reducing the potential volume of acceptable work which could have been produced? Do errors in the man's work affect the efforts of others? Does poor work too often reflect adversely upon the Division? Are reports clear, concise and accurate?
14. **Volume of Acceptable Work:** Refers to the amount of work needed to meet job requirements. Does the man consistently accomplish a day's work for a day's pay? Does he produce enough work so that he is clearly a net asset to the Division? Supervisors should not make undue allowances for such reasons as the man's poor health, home problems, age, or length of service. While short-term exceptions to the volume standard can sometimes be made, care should be exercised to see that proper warnings are issued when indicated.
15. **Meeting Deadlines:** If work schedules are important enough to set reasonable deadlines, were these deadlines met? If the man could not meet deadlines, did he give advance notice? Did he show an honest attempt to meet deadlines?
16. **Accepts Responsibility:** Refers to the degree of willingness a man exhibits when given responsibility and the manner in which the responsibility is carried out. Does he readily accept responsibility or does he avoid it? Does he deny his responsibility when things go wrong? Or is he quick to own up to his failures? Does he consistently act in a responsible manner?
17. **Accepts Direction:** The word "direction" as used here is synonymous with such words as training and instruction. Does the man demonstrate that he has accepted the direction by carrying out orders to the best of his ability? Does he chronically challenge supervision, instruction, or orders? Is he resentful of direction or supervision? Does he accept direction, but continually complain about it to fellow members?
18. **Accepts Change:** Use this factor to evaluate the traits of adaptability and flexibility. Does the man accept change willingly? Does he slow down progress or cause inefficiencies by resistance to change? Does he adapt satisfactorily to new work surroundings, new equipment, new procedures, new supervisors?

19. **Effectiveness Under Stress:** There are some positions where pace, pressure, and tempo are consistently demanding. Is the man capable of meeting the demand? Can he produce an acceptable volume and quality of work in an emergency? Is his work generally organized well enough to meet unforeseen contingencies? Before marking this factor, consider whether stress is inherent in the position or results from the man's failure to properly plan and organize his work.
20. **Appearance of Work Station:** Refers to the neatness and efficient arrangement of work areas. Does the appearance of the work station contribute to a desirable work atmosphere or a proper public image? This trait may not have application to some positions.
21. **Operation and Care of Equipment:** Reflects the man's concern for safe, responsible, and reasonable operation or use of equipment. Is the man concerned with conservation of equipment? Does he request appropriate maintenance and repair of equipment when necessary? Is assigned equipment kept neat and clean?
22. **Work Coordination:** Measures specifically the necessary coordination of work which directly or indirectly involves other personnel, sections, bureaus or unit. Characteristics of this factor include preplanning, timing, and consistently good work judgments. In situations where work coordination is applicable, does the ratee consistently maintain a smooth flow of work materials? Has the production process been slowed because of obstructions caused by the ratee.
23. **Initiative:** Refers to initiation of action by the ratee. While initiative shows up in the form of suggestions and constructive criticism, it is most obvious when a man originates investigations or acts to produce more efficient, productive or economical methods and procedures. Does he take opportunities to exercise initiative or must he be prodded into action? Is he alert to operating efficiency and cost factors? Is he creative? Does he offer practical constructive criticism?
24. **Spaces 24 - 30** have been left blank for additional factors the rater may consider *necessary* in achieving a view of the man's total job effectiveness.

SUPERVISORY FACTORS: (In addition to factors 1 through 30 the following should be completed for those who supervise.)

31. **Planning and Organizing:** Knowledge, talent, and mental effort are required in planning and organizing the work of subordinates. How well does he analyze and then put into effect improved and more efficient work processes? Does he plan improvements or changes and effect them in a logical and systematic manner?

32. **Scheduling and Coordinating:** This is the next logical step and is a critical phase of the supervisor's function. Does the supervisor effect the necessary scheduling or rescheduling of work? Does he provide the necessary personal coordination of the work, not only among his subordinates, but, more importantly, between other sections and bureaus? Does he anticipate schedule problems, or is he surprised and "caught short" when these occur? Does he keep *his* supervisor informed of problems and delays, or does he wait until these may be discovered, or until it is too late for planning adjustments.
33. **Training and Instructing:** Refers generally to orientation of new personnel or to the demonstration and exploration of technical methods, procedures and rules in which new personnel cannot be expected to be competent. It also refers to introducing permanent personnel to changing methods, procedures, and techniques, as well as improving basic qualifying skills to their highest potential level. Refers also to instructions given in day-to-day or periodic observation and supervision of personnel performance. It may be an occasional word or it may be a planned period meeting of a small group of personnel in which effective methods, techniques, and standard procedures are explained, demonstrated, and reviewed. Does the supervisor plan and carry out a program of orientation and training for new men? Does he provide for the correction of any technical skill deficiencies in new men? Does he provide training for personnel in new methods and procedures? Does he assist his subordinates in *self-improvement* programs?
34. **Effectiveness:** This factor is designed to measure the results achieved by the supervisor and his subordinates. Do his subordinates prevent crime, apprehend violators, or provide services to the desired degree? Are assigned functions accomplished? Completely? On time? Is the quality of work produced by the supervisor and his staff up to standard?
35. **Evaluating Subordinates:** Measures the accuracy and manner in which the supervisor approaches and completes the formal evaluation of his subordinates. Does the supervisor exhibit a good balance of constructive criticism and praise in evaluating subordinates? Does he indicate how a subordinate's work may be improved, when improvement is needed? Are his evaluations positive contributions to personnel development? Are his evaluations consistently objective, fair, and accurate?
36. **Judgments and Decisions:** Refers to the practical exercise of authority and responsibility by the supervisor. Does the supervisor exhibit firmness and fairness in judgments affecting subordinates? Is he accurate in making judgments affecting functional goals? Does he cause a resentment or other adverse reactions to his decisions because of poor timing or the *manner* in which he states them? Are his judgments always in accord with the best interests of the Division? Does he balance personnel and Division interests when these are not fully compatible?

37. **Leadership:** Does the supervisor spur subordinates to their best efforts through example rather than by relying on the authority of his position? Does he mold them into a group or team whose cooperative endeavors surpass their individual performance collectively? Does his intelligent exercise of leadership create an atmosphere in which personnel attitudes are optimistic and positive?
38. **Operational Economy:** Refers to the conservation of time and material. Is the supervisor truly budget conscious? Does he live within his budgets? Does he make careful and accurate budget estimates? Does he know, or periodically calculate, operational costs for units or phases of his operational responsibilities? Is he able to identify uneconomical procedures, methods, tools, or equipment? Does he recommend changed policies or procedures which might effect dollar economies?
39. **Supervisory Control:** Refers to the maintenance of order in all areas of supervisory jurisdiction. Do the supervisor's personnel perform their duties and functions in an orderly and disciplined manner which promotes work objectives? Do subordinates have a clear understanding of behavior and performance standards which are expected? Does the supervisor enforce these standards consistently? Is the supervisor "accepted" by his subordinates and in full control at all times? Is the discipline and control too oppressive?
40. **Spaces 40 - 45** have been left blank for any additional supervisory factors the rater feels should be included as determinants of supervisory effectiveness necessary to the position of the supervisor being evaluated. These may come under the heading of particular qualities or skills, without which effective supervision cannot be achieved. Intangible qualities and references to character or personality traits should, however, be avoided.

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NOTE: Column four (Does Not Apply) has been shaded on the first four factors. All factors apply to all members, and therefore no option is provided.