Texas Police Chiefs Association Foundation

Performance Appraisals and Employee Accountability

12 Hours – TCOLE Course Number - 37008

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Performance Appraisals and Employee Accountability

Course Schedule

- Day One
- 0800-0900 hrs – Welcome and Overview
- 0900-1000 hrs – Evaluation Purpose/Design
- 1000-1200 hrs – Types of Systems/Forms
- 1200-1300 hrs – Lunch (on your own)
- 1300-1500 hrs – Leadership Issues
- 1500-1700 hrs – Behavior Tracking

- Day Two
- 0800-1000 hrs – Legal Concerns/Validity
- 1000-1200 hrs – Policies and Supervisor Duties

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Performance Appraisals and Employee Accountability

Instructor

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Performance Appraisals and Employee Accountability

Course Goals

At the conclusion of this course, the student will:

1. Identify the purposes of performance appraisals.
2. List the required steps informal evaluation design.
3. Describe various types of appraisals and their benefits vs. weaknesses.
4. Articulate the common rating errors in performing appraisals.
5. Identify the steps in performing appraisals and briefings.
6. Define methods for behavior tracking and trend detection.

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Performance Appraisals and Employee Accountability

Performance Appraisals

- Required by most policies.
- Periodically administered
- Basis for various personnel decisions and actions

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Two Basic Purposes of Appraisals

- Judgmental/Measuring – Supervisor judges and measures the individual's performance in comparison with a performance standard which may reflect any aspect of competence, judgment or performance.
- Developmental – Used to correct weaknesses or improve strengths. Development is accomplished through counseling, training or setting objectives for self improvement.

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Other Purposes

- To Create an Environment of Measurement (That Which is Measured is Valued) and Accountability.
- Provide a Formal Opportunity for Discussion with Employees about Goals, Objectives and Career Development.
- Leadership Opportunity to Learn About Each Other and Work Through Concerns.
- Establish Trust and Value.
- Determine Training Needs
- Develop Individual Goals Congruent with Department Goals

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Formal Evaluation Design

- Job Task Analysis
- Job Description
- Evaluation Instrument
- Valid Based on
  - Content
  - Criterion in Some Cases (Firearms Qualification)

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- Job Task Analysis
- Identify Essential Tasks
- Develop Valid Job Description
- Develop Relevant Evaluation

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Job Task Analysis

- Determining Job Requirements (Knowledge, Skills and Abilities – KSA's) normally by assessing and surveying incumbents.
- Normally Ranks Priorities and Time Allotments for Those KSA's.
- Various Formats – Normally Requires Expertise to Ensure Validity
- Examples Provided:
  - Job Analysis Worksheet
  - California POST
  - Surfside FL. PD
  - Santa Monica CA Police Sergeant

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JOB ANALYSIS WORKSHEET

NAME: CLASS NO. & TITLE:

DEPARTMENT/DIVISION: FUNCTIONAL JOB TITLE:

BRIEF JOB DESCRIPTION:

HR USE ONLY	II. ESSENTIAL JOB FUNCTIONS: These are the most important/major job functions which are "essential" as a matter of business necessity in this position and the %time spent performing each function. List essential job functions in order of importance.	%TIME

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HR USE ONLY	III. PHYSICAL AND ENVIRONMENT/HAZARD DEMANDS OF ESSENTIAL JOB FUNCTIONS: Notate in the code boxes the frequency letter code for each physical activity and environment/hazard listed below for this position. N = NEVER, O = OCCASIONAL (< 25%), F = FREQUENT (25-75%), C = CONTINUOUS (75%+).			
CODE	ACTIVITIES	CODE	ENVIRONMENT/HAZARD	
	a. Sitting - job functions performed by sitting		a. Client/Customer Contact - communication outside work unit	
	b. Crawling -job functions performed by crawling		b. Mechanical Hazards - exposure to dangerous machinery	
	c. Standing - job functions performed by standing		c. Indoor Activity - job functions performed indoors	
	d. Twisting Upper Body - job functions performed by twisting		d. Electrical Hazards - exposure to electrical shock or danger	
	e. Walking - job functions performed by walking		e. Outdoor Activity - job functions performed outdoors	
	f. Climbing - job functions performed by climbing		f. Dust/Mites Hazards - exposure to excessive dust/mites	
	g. Kneeling - job functions performed by kneeling		g. Extreme Heat - work setting in excessive heat	
	h. Carrying 50 lbs. of Weight		h. Extreme Cold - work setting in excessive cold	
	i. Squatting - job functions performed by squatting		i. Extreme Noise - work setting around noisy machinery	
	j. Lifting 50-100 lbs. of Training Supplies		j. Other: Telephone – talking on telephone while working on projects – note taking	
	k. Bending - job functions performed by bending			
	l. Other:			

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CODE	IV. AMBULATORY DEMANDS OF ESSENTIAL JOB FUNCTIONS: Notate in the code box the most appropriate letter code for the level of ambulatory demands (excluding travel requirements) which is applicable to this position:
	a. **No ambulatory requirements.**
	b. **Minimal ambulatory requirements** - ability to move to and from work space with little other movement required using wheelchair or other aid.
	c. **Moderate ambulatory requirements** - ability to move in and around personal work space using wheelchair or other aid.
	d. **Normal ambulatory requirements** - ability to move in and around personal work space **AND** to and from other areas of the office or building using wheelchair or other aid to attend meetings, deliver/retrieve materials, conduct interviews, or other activities outside of personal work space.
	e. **Extreme ambulatory requirements** - ability to stand/sit/move with no physical limitations or aids to perform activities such as retrieve/replace files in a large file system.

CODE	V. COGNITIVE SKILLS OF ESSENTIAL JOB FUNCTIONS: Notate in the code box the most appropriate letter code for the level of cognitive skills which is applicable to this position:
	a. **Minimal cognitive requirements** - ability to learn and retain repetitive actions.
	b. **Moderate cognitive requirements** - ability to learn, retain, and act according to basic rules guiding the performance of an activity.
	c. **Normal cognitive requirements** - ability to learn, remember, and integrate rules, policies, or practices guiding the performance of an activity.
	d. **Extensive cognitive requirements** - ability to learn, remember, and integrate complex concepts, difficult procedures, or complicated processes.
	e. **Extreme cognitive requirements** - ability to use creative thinking to originate new methodologies, concepts, or programs; or to solve highly complex and unique problems impacting major programs; or to perform highly technical procedures requiring specialized skills.

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Types of Appraisal Systems

- Narrative – Usually no numerical ratings. Just written input on dimensions.
- Trait-Rating Scales – List of "traits" with numerical ratings. (most common)
- Forced Distribution – Arranging employee ratings according to the bell curve. Certain percentage must be "low" and "high".
- Forced Choice – List of multiple choice questions that are either negative or positive. No middle ground is allowed.
- Critical Incident – Only notices exceptions to the norm, both positive and negative. Difficult to apply trend behavior.
- Rank Order – Forces the workforce to be ranked in comparison to each other.
- Paired Comparison – Mostly for small teams, compares each employee with a partner within dimensions.
- Mixed Standards Scale – Narrative Statements (usually 3) for each dimension that are arranged with other dimensions. Intends to limit arbitrary ratings.
- Management by Objective – Stated objectives compared with accomplishment toward those objectives.
- Others (Graphic Rating Scales, Behavioral Anchored Rating Scales etc)

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Forms of Appraisals

- Informal – Regular Communications to Correct and Shape Behavior.
  - See Harker Heights Policy on Tickler Files and Checkride Requirements
- Formal or Systematic – The Periodic Formal Evaluation of Employee Performance used for Permanent Recording.

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Informal Appraisals

- A Necessary Part of Supervision
- Performance Cannot be Adequately Assessed only Once or Twice a Year.
- "State" Behavior Must be Addressed When it Occurs to Avoid Becoming a "Trait" Behavior.
- Most People Need and Seek Input.
- Lessens the Stress of "Formal" Appraisals

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Informal Appraisals

HHPD Policy IID-7

2. SUPERVISORY MONITORING
Every supervisor of the Harker Heights Police Department shall regularly monitor the performance and work product of his/her subordinates. In doing so, the supervisor will provide opportunities to coach and teach subordinates as well as serving as a resource to those subordinates for technical support.

2.1 REGULAR "CHECK-RIDES" OR INFORMAL MONITORING REQUIRED
Every supervisor of the Department shall establish and maintain a schedule of "check-rides" or other means of direct observation and supervision. Each supervisor will have such personal and exclusive time with each subordinate at least 2 hours per month. A report of such activities will be submitted monthly, up the chain of command, to the Chief of Police.

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Informal Appraisals

HHPD Policy IID-7 (Continued)

2.2 INFORMAL COUNSELING
Each supervisor of the Department shall informally counsel subordinates as is required to make small corrections in conduct as mistakes are made. If conducts become worthy of notation, these informal sessions shall be documented and acknowledged by the subordinate. These informal notations will be kept in a "ticklier" file as defined in this policy.

3 TICKLER FILES AND THEIR USES

Tickler files are informal records kept by supervisors to keep track of conduct and performance issues, both good and bad, between formal evaluation periods

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Informal Appraisals

HHPD Policy IID-7 (Continued)

3.1 FILES PURGED UPON FORMAL EVALUATION
These files shall be kept by each supervisor as assistance in supporting formal evaluation ratings given periodically. Once the information contained in the file is utilized in a formal evaluation, that file shall be purged and its contented either forwarded with the formal evaluation or destroyed.

3.2 EMPLOYEE IS ADVISED OF FILES CONTENTS
No item may be entered into a tickler file unless the effected employee has been advised of that item. It shall be the responsibility of the supervisor to discuss all matters that will affect an officer's formal evaluation as it occurs. This includes positive and negative entries. The time and date when an officer is advised of the issue to be kept in the file shall be recorded on that item and the employee should be asked to initial that item. This allows for formal evaluations to be simple reviews of all matters of importance that have occurred within the evaluation period.

3.3 FORMAL EVALUATION RATINGS BASED ON TICKLER FILE INFORMATION
No supervisor shall rate an employee as exceptionally high or exceptionally low without having evidence in the tickler file that the employee has been advised during the period by his/her supervisor of the exceptional conduct.

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Tickler Files

- Running documentation of everyday performance and related issues
- Forces supervisory informal evaluations
- Provides defensible basis for formal evaluations
- Keeps employee informed
- Keeps supervisor focused
- No Surprises, Every Entry Discussed

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Formal Appraisals

- Some Resist Doing Them
- Necessary for Due Process
- Clarifies Expectations
- Form or Type not as Important as Content
- Documents Strengths and Shortcomings
- Opportunity for Goal Setting, Encouragement, Appreciation and Correction.
- Gives the Organization Standing for Discipline Throughout.
- MUST Guard Against Arbitrary Ratings (Can Create Indefensible Patterns)

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Guidelines for Improving Productivity and Competence (ICORD)

- I = Identify – Determine the Performance Area of Interest
- C = Communicate/Collaborate – Discuss Needs and Arrive at Agreement and Strategy for Progress
- O = Opportunity – Provide Opportunity for Improvement Through Guidance and Coaching
- R = Revisit – Inspect and Track Progress. Do Not Languish.
- D = Document – Provide Accurate Documentation of Each Developmental Step.

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Common Rating Errors

- Supervisory Bias – Can Result From Many Things
- Halo Effect – Arises When Negatives are Ignored.
- Horns Effect – Negative Halo Ignoring Positives.
- Sunflower Effect – Rating Everyone High to Look Good as a Supervisor
- Central Tendency – Rating Everyone as Average/Satisfactory – Lazy
- Favoritism – Rating Based on Personal Likes and Dislikes.
- Recency – Rating Based Only on the Most Recent (Fresh) Behaviors.
- Grouping – Rating as a Unit Rather Than Individuals, Usually Negative
- Grudges – Never Forgiving and Revisiting Old Issues.
- Guilt by Association – Don't Like His/Her "Group".
- Comparative Error – Comparing Against Individuals and Not Standards

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Effects of Bias/Rating Errors

- Accusations of Being Arbitrary or Capricious
- Poor Leadership Quality Leads to Lack of Confidence/Trust
- "State" Behavior Goes Unaddressed – Becomes "Traits"
- Inconsistent and Therefore Indefensible Disciplinary Practices
- Poor Morale/Dissatisfied Workers
- Subcultures Develop
- Misconduct Flourishes/Good Behavior Unrewarded
- Administered Necessary Discipline Becomes Difficult
- Likelihood of Legal Challenges

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Filling Out the Form

- Review Tickler File and Other Documentation
- Fill Out the Form Ahead of Time and Free From Distraction
- Base Ratings on Articulable Facts Already Discussed Informally
- Be Generous in Rating Positives and Direct in Weaknesses
- Consider Unusual Circumstances
- Accurately Portray Conducts, without Personal Opinions
- Concentrate on Performance, Not Personality (Except Extremes)
- Support Ratings with Documentation
- Confirm Thinking with Superior if Possible Before Briefing
- Review Privately the Next Day, Before Briefing

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Appraisal Briefing

- Control the Environment (Time, Phones etc)
- Relieve the Stress and Set the Mood
- Summarize the Appraisal First (Let Them Off the Hook)
- Explain Ratings (Justify with Facts)
- Listen
- Strive for Agreement and Acknowledgement
- Set Goals and Objectives
- If Possible, End on a Positive Note
- Follow-up Throughout the Appraisal Period.

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Appraisal Briefing

- No Surprises. The Employee Should Know What to Expect.
- Informal Appraisals Throughout the Period Should Have Fully Informed the Employee along the way
- Tickler Files Contain Items Included in the Formal Appraisal.
- Do Not De-humanize or Rob of Dignity
- Emphasize "Development" Regarding Both Positives and Negatives. Be Frank Regarding Potential Impacts
- No Anger, Frustration or Confrontations. Matter of Fact. Professional

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Leadership Matters

"Those who are here unfaithfully do incredible damage."

- Rumi

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Leadership Matters

Describe Your Past Bosses

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Leadership Matters

Nobility: Greatness of character and high ethical qualities or ideals that serve a cause greater than self; faithfulness to a higher calling or purpose.

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Leadership Matters

"…humility is the true measure of a warrior's strength."

Eric Greitens, The Heart and The Fist

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Leadership Matters

- **Motivation**
- **Daniel Pink – DRIVE**
  - **Autonomy**
  - **Mastery**
  - **Purpose**

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Leadership Matters

Rewards

If You Aren't Getting the Behavior You Want, What are You Rewarding?

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Employee Behavior Tracking

- **What is Counted is Valued**
- **Keep Track of Positives – Calls, Arrests, Compliments, Traffic Stops, Days Worked, Special Duties, etc.**
- **Keep Track of Negatives – Complaints, Returned Reports, Rejected Cases, Excessive Sick Days, Crashes, etc.**
- **Ratio of Positives to Negatives Shifts – May Indicate Something Worthy of Addressing.**
- **Conduct Management Systems Required by Consent Decrees.**

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Legal Issues

- Discrimination
- Wrongful Termination
- Hostile Workplace
- Arbitrary and Capricious
- Fundamental Fairness
- Statutory Requirements for Civil Service 143.089(a)

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The Most Often Made Mistake By Police Supervisors

Settling for Mediocrity

- by Rewarding Poor Performance . . .
- by Not Challenging It Directly . . .
- by Training and Developing Toward the Average.

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Greatest Principles

- If You Aren't Getting the Behavior You Want, Remove the Reward.
- Do What is RIGHT…Only Then Do You Have the Right to Expect it of Others.
- Do It Right….
- Do It Right Now

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