

**DEPARTMENT GENERAL ORDER 10-01**

OFFICE of the CHIEF OF POLICE  
REPLACES: General Order 09-18

DATE: January 4, 2010

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**PROMOTIONAL PROCESS**

I. PURPOSE.

To establish a system of procedural guidelines in regard to the promotional process for commissioned officers. The objective of such guidelines shall be to select the most qualified candidate, while administering the process in a fair, equitable, and professional manner.

II. DEFINITIONS.

Promotional Process - The combined effect of various elements and procedures leading to a promotion decision, to include minimum qualifications, written tests, performance evaluations, oral boards, Chief's interviews, and supervisory/command potential evaluations.

III. AGENCY ROLE IN PROMOTIONAL PROCESS.

The department will assume a major administrative and operational role in each promotional process involving sworn agency members. As such, the Chief of Police shall be responsible to:

- A. Issue announcements of supervisory and/or command vacancies.
- B. Post a sign-up roster.

- C. Conduct personal interviews with qualifying candidates and assign a score to same.
- D. Review and address any appeals in regard to the promotional process.
- E. Make final selections for promotion and issue the appropriate Personnel Orders.

The Commander of the Investigations and Support Bureau shall be responsible to:

- A. Schedule the various elements of the promotional process and ensure that the necessary Personnel Orders are issued.
- B. Ensure that adequate testing/evaluation supplies and materials are available.
- C. Coordinate written testing with the personnel department.
- D. Arrange for qualified command personnel from other law enforcement agencies and/or citizen representatives to sit on oral boards.
- E. Obtain performance evaluations on each qualifying candidate from the Personnel Department.
- F. Participate in the supervisory/command potential evaluations.
- G. Receive and tabulate scores for each element of the promotional process prior to the Chief's interview.
- H. Advise individual candidates, in writing, of their scores prior to the interview segments of the promotional process.
- I. Rank the candidates according to their composite scores and forward such list to the Chief of Police for his review and consideration.
- J. Ensure that promotional materials are protected in a secure environment and that the confidentiality of individual candidate's scores is maintained as a matter of routine policy.

In conjunction with the above activities, the Personnel Department shall be responsible to:

- A. Order, administer, and score the written examination.
- B. Forward the results to the Commander of the Investigations and Support Bureau.
- C. Assist with the promotional process as requested and provide an oversight role.
- D. File all appropriate documentation in each individual employee's personnel file.
- E. Ensure that Personnel Action Forms are correctly processed.

#### IV. ADMINISTRATIVE AUTHORITY.

The authority to administer promotional processes shall generally be a shared responsibility, with certain activities performed by the City's Personnel Department and other promotional-related functions performed by the Police Department.

The Commander of the Investigations and Support Bureau shall serve as the primary departmental administrator of each promotional process involving non-appointive positions, and it shall be his responsibility to effectively manage their operation and direction, while maintaining proper liaison activities with the Chief of Police and the Personnel Department. Both the Chief of Police and the staff of the Personnel Department will provide oversight and guidance, as necessary, in regard to each on-going promotional process.

#### V. ELEMENTS OF PROMOTIONAL PROCESS.

The promotional process for sergeant and lieutenant shall consist of five (5) separate promotional process elements. The individual elements and the percentage of the total possible score assigned to each are listed as follows:

- 1). Supervisory/Command Potential Evaluations - 30 percent
- 2). Written Examinations - 30 percent
- 3). Performance Evaluations - 15 percent
- 4). Oral Boards - 15 percent
- 5). Chief's Interviews - 10 percent

When a promotional process is announced, those officers who meet the eligibility requirements stated in paragraph I of this section, must sign the roster provided to indicate their intention to participate in the process. A promotional process shall then be conducted in accordance with the following procedures:

A. Supervisory/Command Potential Evaluations

A Supervisory/Command Potential Evaluation will be completed on each candidate competing for promotion to sergeant and lieutenant. A standardized rating form consisting of ten separate categories shall be utilized to perform the evaluation, wherein individual candidates will be assigned a score of 1-100 for each separate category.

However, the method in which the evaluation is conducted will vary according to the rank of the position. In the promotional process for lieutenant, all captains and lieutenants shall meet to discuss and evaluate the candidates, and will then jointly complete one evaluation form for each candidate.

In the promotional process for sergeant, all captains and lieutenants will meet and complete supervisory potential evaluations on each separate candidate in the same manner as that for lieutenant. Sergeants will also be involved in the evaluation process at this level and shall complete an evaluation form on each candidate who works directly for them. The scores from the commanders and sergeants will then be averaged by the Commander of the Investigations and Support Bureau, and a final Supervisory/Command Potential score will be assigned to each of the candidates based on the available number of percentage points (30) allotted to this element of the promotional process.

Following their tabulation, completed evaluation forms will be retained by the Commander of the Investigations and Support Bureau and entered into a promotional process results file.

B. Written Examinations

A validated written examination will be utilized in promotional process for sergeant and lieutenant. The Personnel Department shall administer the test, which will generally be obtained from the International Personnel Management Association (IPMA). Such a standardized written examination may consist of multiple choice, true and false, fill-in-the-blank, essay questions, or any combination thereof.

A reading list shall be made available to all promotional candidates between thirty to sixty days in advance of the written test date so that department personnel may properly prepare for the examination.

There shall be no cut-off score on the written examination, and the results will be tabulated by the Personnel Department. Sworn personnel who take the test will be assigned a score for the number of correct answers achieved. This score shall then be translated into a percentage score based on the maximum number of percentage points (30) allotted for the written examination.

Upon completion of testing, the Personnel Department will forward the results to the Commander of the Investigations and Support Bureau.

At the appropriate time, the results from the written examination, supervisory/command potential evaluations, and performance evaluations will be tabulated together and, contingent upon the number of openings, a designated number of candidates will advance to the interview segments of the promotional process. Those officers who fall short of the cut-off score will be eliminated from further competition and consideration for sergeant. It should be noted however, that as the number of qualified supervisors competing for promotion to lieutenant will be limited, all candidates will complete the interview segments of the process.

#### C. Performance Evaluations

The Commander of the Investigations and Support Bureau will obtain a copy of each candidate's last performance evaluation from the Personnel Department. He will review the numerical scores attached to each and assign a new percentage score based on the available points (15) allotted to this segment of the promotional process.

The results shall then be tabulated.

#### D. Oral Boards

An oral board or interview process shall be conducted as part of the promotional process. The oral board membership shall consist of three interviewers, composed of command rank officers from other law enforcement agencies. The membership of the oral boards will use a standardized set of ten (10) questions with which to rate promotional candidates on their knowledge, verbal skills, command presence, and other personal attributes. Each candidate will receive a score of 1-100 on each of the ten questions. The scores assigned to an individual candidate by each separate reviewer will then be averaged together, and a percentage score assigned to the candidates based on the total number of points (15) allotted for this element of the promotional process.

At the conclusion of the oral boards, the Commander of the Investigations and Support Bureau will forward the tabulated scores for each candidate to the Chief of Police.

#### E. Chief's Interviews

The Chief of Police will distribute a written notice announcing a schedule for the last element of the promotional process - the Chief's Interview. There shall be no set format or questions during this element of the process, which will be used by the Chief of Police to evaluate individual candidate's long and short range goals, their ideas concerning the direction in which the department should be moving, knowledge of internal problem areas, suggested areas of improvement, and their personal strengths and weaknesses.

At the conclusion of each interview, the Chief of Police will assign a percentage score to each candidate based on the total number of points (10) allotted for this segment of the process.

The scores from the chief's interview will be factored in with those already available from previously completed elements of the process. Once this has been accomplished, a promotional list, generally containing the top three candidates, shall distributed to all department personnel.

The Chief of Police, while maintaining his authority to exercise the "Rule of Three," shall then promote a candidate from the list and issue the appropriate Personnel Order to that effect.

#### F. Other

Alternate means to evaluate a candidate's suitability for promotion, such as assessment centers, may be used during the promotional process as a replacement for, or an addition to, the existing five process elements. The decision to utilize an alternate method of testing shall require adequate justification for its use, and will occur only at the direction of the Chief of Police.

## G. Review and Appeal Procedures

Candidates for promotion may review their own individual scores and/or evaluations at each stage of the promotional process, and challenge the results or the process element itself by submitting a written appeal to the Chief of Police. The appeal should stipulate specific reasons for the challenge and must be filed prior to the beginning of the next step in the promotional process. The Chief of Police shall review the appeal and either rule to uphold same, or deem the challenge to be without sufficient merit to invalidate the results/process. The Chief of Police shall then communicate his findings, in writing, to the promotional candidate. Should the candidate desire to pursue the matter further, he/she may then appeal the Chief's decision to the City Manager who will serve as the final internal City arbiter of such challenges.

## H. Reapplication for Promotional Testing

In the event a candidate for promotion should miss a scheduled segment of the promotional process, voluntarily withdraw from the process, or be otherwise disqualified, no re-application for promotional testing shall be considered. Under such circumstances, candidates shall be required to wait until a vacancy occurs in the future and a new promotional process is announced.

## I. Promotional Eligibility Requirements

### 1). Numerical Weight of Eligibility Requirements

As the single requirement for sworn officers to be eligible to participate in the promotional process is a minimum number in years of service or grade, seniority is not an issue in the promotional process, and candidates of long standing service receive no special consideration or additional score. As such, no numerical weight shall be attached to this requirement.

### 2). System of Ranking Eligible Candidates

Candidates who sign the roster acknowledging their intent to compete in a promotional process, shall not be ranked or be given special consideration in any way, shape, or form. Competition shall be free and open, with the final promotional list based solely on the candidate's individual performance.

### 3). Time-in Grade and/or Time-in-Rank Requirements

Certain seniority and time-in-grade requirements must be met before sworn officers are eligible to compete for promotion or appointment to a higher rank. These are listed as follows:

- a. Sergeant - A candidate must have five (5) years continuous service with the Clayton Police Department as a sworn officer on the posting date of the vacancy.
- b. Lieutenant - A candidate must have three (3) years continuous service as a sergeant with the Clayton Police Department on the posting date of the vacancy.
- c. Captain - A candidate must have successfully completed their probationary period as a lieutenant on the posting date of the vacancy.

### 4). Educational Preferences

While the department prefers police applicants to possess at least sixty (60) hours of college credit from an accredited college or university, educational preferences also exist for sworn candidates seeking promotion or appointment to vacant supervisory and command positions. These are listed as follows:

- a. Sergeant - Bachelor's Degree from an accredited college or university required.
- b. Lieutenant - Bachelor's Degree from an accredited college or university required.
- c. Captain - Master's Degree from an accredited college or university preferred.

### J. Security of Promotional Materials

Promotional materials shall maintained in such a manner as to prevent the unauthorized disclosure or loss of tests, answer sheets, scoring sheets, or other related documents to any individual not approved to possess and/or view such material.

To accomplish this objective, the written examination shall be ordered by the Personnel Department, maintained in locked files until distributed for the actual examination, and then returned to the testing company.

Other testing materials, score sheets, and/or related notes shall be maintained by the Commander of the Investigations and Support Bureau and the Chief of Police in locked files under their direct control.

## VI. PROMOTIONAL ELIGIBILITY LISTS.

The Police Department does not utilize promotional eligibility lists per se. Personnel are required to have the proper amount of seniority or time in grade to allow them to compete for a higher rank, and must indicate their decision to participate by signing a roster form in the Office of the Chief of Police. Every sworn officer who meets these basic qualifications shall be eligible to participate in the promotional process.

At the conclusion of each promotional process, the department will release a promotional list containing the names of the top candidates. The Chief of Police will select one of the candidates for immediate promotion, while the other individuals will remain on the list for a designated amount of time.

### A. Duration of Lists

Promotion lists remain in effect for one year from the date the list is announced.

### B. Selection of Names from Lists

Should a vacancy in a higher rank occur while a promotion list is still in effect, the Chief of Police will generally promote the candidate with the highest rating. However, in similar fashion to all formal promotional processes, the Chief of Police reserves the authority to exercise the "Rule of Three," and may promote a lower ranking candidate if it is felt to be in the best interests of the department.

### C. Lateral Entry

No lateral entry shall be permitted for vacant supervisory or command rank positions.

## VII. JOB SPECIFICITY OF PROMOTIONAL PROCESS ELEMENTS.

The various elements which comprise the promotional process have been selected to provide valid job-specific measurements of a candidate's ability to perform effectively at a higher rank. The promotional process elements are also intended to be non-discriminatory by virtue of the fact that the measurement standards utilized are applicable to all candidates in an identical manner. Specificity and validation arguments for each element of the promotional process are listed as follows:

### A. Supervisory/Command Potential Evaluations

Conducted by supervisory and command personnel in a type of round-table discussion group, this element of the promotional process combines objective measures such as education, seniority, and performance with those of a more subjective nature, such as extensive personal experience and working knowledge of the separate candidates, to assign a composite score to each.

### B. Written Examinations

The written examination obtained from the International Personnel Management Association is a standardized test which is available to law enforcement agencies across the nation. The questions utilized in the examination have been subjected to various validation measures by the issuing firm and have been determined to be job specific and non-discriminatory.

### C. Performance Evaluations

The evaluation standards which form the textual basis for completing the various categories of the current performance evaluations utilized by the Police Department have been specifically adopted to reflect job relatedness. Command and supervisory personnel are both rated on the Sworn Exempt Evaluation Form, which measures job specific criteria, similar to that listed in the prepared job descriptions.

### D. Oral Boards

Staffed by law enforcement personnel with actual supervisory and command experience, and citizen representatives of the community, the oral boards are designed to objectively evaluate a candidate's ability to communicate their ideas while under stress. The questions are standardized for all candidates and are job-specific in nature.

#### E. Chief's Interviews

Conducted by the Chief of Police, this formal interview with the chief executive of the department solicits ideas and input from promotional candidates in regard to existing management practices. While inherently subjective in nature, this interview does utilize a specific format in that identical questions are posed to each candidate with their answers noted and graded. This information is then coupled with the Chief's intimate working knowledge of the various candidates, which provides a valid measurement of those individuals the Chief of Police feels will best fit in with existing command and supervisory staff, will effectively handle the additional responsibility, and can be counted on to support existing management policies.

#### VIII. WRITTEN ANNOUNCEMENT OF PROMOTIONAL PROCESS.

Prior to the commencement of any promotional process, a written notice announcing the process shall be issued to department personnel. This shall occur between thirty to sixty days in advance of any scheduled testing date. The announcement will provide:

1. A description of the open position.
2. A brief synopsis of the duties and responsibilities inherent to the position.
3. Eligibility requirements (e.g. experience, rank, education).
4. The format of the promotional process to be used.
5. The timetable in which the process will be completed.
6. The most recent reading list to permit candidates to study for the written exam.

#### IX. PROBATION PERIOD FOR PROMOTED CANDIDATES.

A twelve (12) month probationary period is required of all sworn personnel who are newly promoted. Such employees shall be closely monitored by their superiors to ensure that they can effectively assume the duties and responsibilities of their new positions. Unsatisfactory performance shall be identified and properly documented, and should remedial action (e.g. counseling, training) fail to correct the situation, the officer may be reduced to his/her original rank.

## X. APPOINTED POSITIONS.

Certain sworn positions within the department shall be appointed positions and, as such, will not be subject to the above-defined promotional process. The positions in question are:

### A. Detective

Sworn employees shall be appointed to the position of detective by the Chief of Police. This shall not be considered a promotion, but a change of assignment. Each individual employee's tenure as a detective will generally be of limited duration, the length of which shall be determined by the Chief of Police. To be eligible for appointment to the Criminal Investigations Division sworn employees must have a minimum of three years experience as an officer, one of which must be with the Clayton Police Department.

### B. Corporal

The rank of corporal shall be an appointive rank wherein the individuals selected by the Chief of Police will periodically function as a first line squad supervisor in the regular sergeant's absence. Tenure in the position will depend upon performance. To be eligible for appointment, sworn employees must have three years police experience, one of which shall be with the Clayton Police Department.

### C. Captain

The rank of captain shall be an appointive position wherein the individual(s) selected by the Chief of Police shall serve at his discretion. Candidates may be required to undergo a testing and/or evaluation process prior to their appointment, however, the format chosen, if any, shall be at the discretion of the Chief of Police. In addition, it is preferable that candidates for the position of captain possess a Master's Degree.

Personnel appointed to the rank of captain shall hold the permanent rank of lieutenant.

BY ORDER OF:

THOMAS J. BYRNE  
Chief of Police

TJB:mj

