

---

## Notes and Observations Procedure

### 1017.1 PURPOSE AND SCOPE

This procedure is designed to be a guide to assist staff with the proper use of the Supervisor's Notes and Observations form (UCPD form #045). The Supervisor's Notes and Observations (Notes and Observations) is a tool intended to address both positive and negative instances of employee behavior. In the event of a negative instance, the Notes and Observations does not arise to a level that is considered discipline. The Notes and Observations form should be utilized by supervisors to keep track of behavior and performance during a deployment period and serves as an integral tool of the performance appraisal process.

### 1017.2 DEFINITION

The Supervisor's Notes and Observations (SNO) is a written document which is given to an employee by a supervisor to document positive and negative employee performance and behavior. The SNO form is not considered a disciplinary document and it should not be used for instances of negative or improper behavior which require a level of discipline, such as a Performance Improvement Plan, or a Written Reprimand.

#### 1017.2.1 EXAMPLES

The following are a few examples of when a Notes and Observations form might be used:

(a) Negative Notes and Observations

1. An employee is involved in a non-injury collision where they are deemed to be at fault and the employee has not had any prior incidents or performance issues.
2. An employee fails to attend and/or is late for a mandatory training session without proper notification or approval.
3. An employee fails to activate their body worn camera according to department policy and there are no prior policy violations.

(b) Positive Notes and Observations

1. An employee receives a thank you note from a member of the community for a job well done.
2. An employee receives a letter of appreciation from an outside agency for help on a case or involved incident.
3. An employee is recognized for demonstrating good leadership and decision making on a call for service.
4. An employee is responsible for a community policing project that impacted the department in a positive way.
5. An employee investigates a very difficult, complex, and intricate case or incident which resulted in a significant arrest, recovery of dangerous weapons, or drugs etc.

# Union City Police Department

## UCPD Procedures Manual

### *Notes and Observations Procedure*

---

#### **1017.3 PROCEDURE**

When a supervisor is notified of an employee's negative or positive behavior and a decision has been made to complete a Supervisor's Notes and Observations, the supervisor should do the following:

- (a) Attempt to obtain as much information as possible regarding the incident or action that led to the potential issuance of the Notes and Observations.
- (b) If the Notes and Observations will be for negative or improper behavior, the supervisor should review the employee's temporary evaluation folder to ensure that this is the first reported incident. If there are additional Notes and Observations already on file for the same behavior, the supervisor should consider a higher level of documentation.
- (c) Complete the Supervisor's Notes and Observations form located on the [REDACTED] under UCPD Forms (UCPD form #045).
- (d) Once completed, the supervisor may review the Notes and Observations with their assigned Watch Commander to ensure that the proper level of documentation is being used.
- (e) Once approved, the Notes and Observations should be discussed with the employee.
- (f) The Notes and Observations should be signed and dated by the initiating supervisor or manager and the employee.
- (g) In the event that the Notes and Observations is served or discussed with an employee by a supervisor or manager other than the one who wrote the document, the employee serving the document shall sign the form on the "Comments Discussed With Employee By:" section.
- (h) The employee should be given a copy of the Notes and Observations and the original should be placed into the employee's temporary evaluation file.

#### **1017.4 ROUTING AND PURGING**

The Supervisor's Notes and Observations document shall be kept in an employee's temporary evaluation file for one full deployment period (6-month or 1-year) or evaluation period according to their assignments.

In the event of a Notes and Observations documenting an employee's positive behavior, the employee or the employee's supervisor may elect to forward the document to the Chief's COA so it may be attached to their personnel file.

##### **6-Month Evaluation Period**

If an employee is issued a Notes and Observations during the first 6 months of their deployment, the Notes and Observations shall remain in the employee's temporary file until one full and complete 6-month deployment has been completed, not 6 months total. Therefore, the document would remain in the employee's temporary evaluation file until the end of the next 6-month rotation. The Notes and Observations documents should be purged after that time has been reached.

##### **1-Year Evaluation Period**

# Union City Police Department

## UCPD Procedures Manual

### *Notes and Observations Procedure*

---

If an employee is issued a Notes and Observations and their current assignment falls within the 1-Year Evaluation Period, the Notes and Observations shall remain in the employee's temporary evaluation file for one (1) calendar year from the date it was issued. The Notes and Observations document should be purged after that date has been reached.

The following is a list of employees who have either a 6-month or 1-year evaluation period:

| <b>Six Month Evaluation Period</b>            | <b>One Year Evaluation Period</b>  |
|---|--|
| All Patrol Supervisors Assigned to Patrol     | All Officers and Supervisors Assigned to Investigations                                      |
| All Officers Assigned to Patrol               | All Non-Sworn Employees Assigned to Investigations   |
| All Traffic Officers Including the Supervisor | All Traffic Officers Including the Supervisor All POA's, COA's, and Office Manager positions |
| All Non-Sworn Employees Assigned to Patrol    | Patrol, Investigations, PSU, Lieutenants   |
| All Records Cadets                            | Records and Property & Evidence Supervisors  |
| All Property Room Specialists and Cadets      |  |

#### **1017.5 EMPLOYEE TEMPORARY EVALUATION FILES**

The Employee Temporary Evaluation Files are in different locations throughout the department. The following is a list of the location of each file.

|  |   |
|--|---|
| <b>Patrol Supervisor Equipment Cabinet – Patrol Supervisors Office</b> | All Sworn Officers, All Non-Sworn Employees including Cadets, POA's, COA's, Office Manager                |
| <b>Watch Commander Equipment Closet – Watch Commander's Office</b>     | Watch Commander Equipment Closet – Watch Commander's Office All Sworn Sergeants and Non-Sworn Supervisors |
| <b>Field Operations Division Captains Office</b>                       | All Patrol Lieutenants  |
| <b>Support Services Division Captains Office</b>                       | All Lieutenants assigned to Support Services  |

#### **1017.6 IA-PRO**

Supervisor's Notes and Observations should not be added to the IA-Pro system.

#### **1017.7 REVISIONS**

Adopted Procedure: September 8, 2021