



Apex Police Department General Order



Title: Performance Evaluation System		Order Number 308-19
Effective Date: June 5, 2019	Amends: General Order 308-16	
CALEA Standard: 35.1.1, 35.1.2, 35.1.4, 35.1.6, 35.1.7, 35.1.8	Rescinds:	
Reference: Town of Apex Personnel Policy Manual: Article V, Condition of Employment, Section 8, Performance Evaluation, Article X, Grievance Procedures, Article IV, Section 4, Probationary Period, Performance Evaluation System	Pages: 11	
Forms:		

Performance Evaluation System

Purpose

The purpose of this directive is to provide information, instruction and guidance on the department's performance evaluation system and its proper use.

Policy

It is the policy of the Apex Police Department to maintain an ongoing performance management system to support the Performance Management and Evaluation Process (PMEP) implemented by the Town of Apex. Under this process, the department will evaluate both sworn and non-sworn employees performance uniformly applying fair, impartial and honest evaluation procedures.

Definitions

Performance Evaluation - Is the measurement of the employee's on-the job performance of assigned duties by the employee's supervisor(s).

Performance Improvement Plan – A developed plan between the supervisor and employee to improve and/or enhance performance as it applies to basic job skill proficiency, career development objectives, and achievement in vital performance dimensions. The objectives sought, methods intended to achieve objectives, and the timeframe expected to accomplish the

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improvement plan are defined. Steps required of the supervisor to assist the employee in accomplishing the action plan may also be defined in the action plan.

Performance Review Conference - As used in this General Order, discussions between the rated employee and the rater concerning the employee's job performance at the end of the review period.

Rater - The supervisor who evaluates the performance of a subordinate employee and completes the performance evaluation form.

Reviewing Supervisor - The person reviewing the evaluation report and responsible for its completeness, fairness, and objectivity, normally, the rater's supervisor.

Procedures

Performance Evaluation System

1. The department employs a performance evaluation system, which serves many useful purposes for both the organization and its employees. Objectives of the performance evaluation system include:
 - Maintaining and improving individual job performance
 - Identifying training needs
 - Measuring individual strengths and weaknesses
 - Providing an opportunity for counseling and feedback to improve job performance
 - Fostering fair and impartial personnel decisions
 - Determining an employee's potential for future promotion
 - Determining an employee's potential for specialized positions
2. All performance evaluations are considered confidential information and will be treated as such. All copies of the performance evaluation and related documentation are to be kept in a secure file. Performance evaluations will not be disclosed to anyone but the employee or his/her representative, police department supervisory staff, and the Chief of Police or his/her designee and the Town of Apex Human Resources Department. Once the evaluation process is completed, each employee will receive a copy of the final evaluation.
3. The Chief of Police or his/her designee coordinates the department's performance evaluation system. The employee's immediate supervisor will complete the appropriate evaluation form in accordance with the Town's Performance Management and Evaluation Process (PMEP) guidelines by the deadline established by the Town's Human Resources Department. Each Town of Apex employee is evaluated on his/her specific job assignment, under rating guidelines established by the Town of Apex.

Performance Evaluation Process

1. The criteria used to evaluate an employee's performance are specific to the assignment of the employee during the rating period. (35.1.4)

- The criteria are outlined in the Key Performance Results (KPR) and are based on the job descriptions for each position.

2. Rating Period (35.1.5 (a))

- Performance evaluations for non-probationary sworn and civilian employees, including all sworn Limited Service Employee (LSE) Reserve Officers, will be conducted and documented annually and cover the time period between July 1st and June 30th (Town's fiscal year).

- Performance evaluation conferences should take place between July 1st and August 15th.

- Six-Month Interim Reviews for all employees are to be conducted between January 1st and January 31st and cover the period of July 1st to December 31st.

- The purpose of Interim Reviews is to give both the supervisor and employee an opportunity to check on work progress to date.

- The Interim Review will document any unsatisfactory performance and serves as written notification to the employee. (35.1.6)

- In addition to the Six-Month Interim Review, a supervisor may complete an Interim Review at any time during the rating period to document and notify the employee of unsatisfactory performance. (35.1.6)

- **Probationary Reviews**

- All non-sworn probationary employees will serve a minimum of six months of probation and will receive a performance review no more than six months from their hire date.

- All sworn probationary employees, including probationary Limited Service Employee (LSE) Reserve Officers, will serve a minimum of 12 months of probation and will receive performance reviews no more than six months and one year from their hire date.

- During the probationary period, supervisors will set the work expectations for the employee, monitor an employee's performance and communicate with the employee concerning performance progress.

- Probationary Reviews will be completed on the Performance Management and Evaluation Process (PMEP) Form and are due no later than the last day of the employee's performance review period for both the six-month and one-year review.

- If a supervisor believes a probationary employee's performance merits an extension to their probation, such requests must be documented and forwarded through the employee's chain of command for approval by the

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Chief of Police no later than one week prior to the expiration of the employee's probationary period.

- The employee will be notified of the extension prior to the expiration of the employee's probationary period in the last documented performance review.
 - Extensions will be granted for periods of three months. Supervisors will document the employee's performance on the Town of Apex Probationary Review form, which is due to the Chief of Police, through the employee's chain of command, no less than one week prior to the end of the review period.
- Each of the reviews completed for probationary employees will also indicate one of the following:
- The employee is progressing toward successful completion of the probationary period
 - The employee has successfully completed the probationary period
 - Recommend that the probationary period be extended for three months to allow time for improved performance
3. The Performance Evaluation process is meant to stimulate communication between an employee and supervisor about job performance, and the performance evaluation conference should be a collaborative effort between the employee and the supervisor. Employees are expected to actively participate in the performance evaluation conference, and may be asked to present a self-evaluation of performance. Supervisors are expected to discuss the employee's specific accomplishments and areas for improvement and solicit feedback from the employee on how to improve job performance.
4. At the conclusion of the performance evaluation conference, and after any necessary changes are made to the evaluation document based on the employee's input, the employee will sign the evaluation form and may make written comments. The completed PMEP form and attachments, if any, will be forwarded to the Chief of Police through the Chain of Command. Each level of command will review and comment per the PMEP guidelines. **(NOTE: The employee's signature on the form only indicates the performance evaluation was reviewed and does not imply agreement with the contents. (35.1.5 (d))**
- Refusal of an employee to sign a performance evaluation form when directed to do so by a supervisor is considered insubordination and may subject the employee to disciplinary action pursuant to General Order 310 – *Disciplinary Systems and Grievance Procedures* and any other applicable written directive.
5. The employee may attach a separate written document to the evaluation, which must be submitted within two business days **(NOTE: For purposes of this process, a "business day" is considered a weekday, Monday through Friday, exclusive of Town-recognized holidays).** (35.1.5 (d))

6. Completed and signed performance evaluation reports will be retained and distributed as follows: (35.1.5 (g))

- Annual Performance Evaluations and Six-Month Interim Reviews:
 - A copy will be placed into the employee's personnel file at the Human Resources Department
 - A copy will be placed in the employee's departmental file in the department's electronic personnel file software
 - A copy will be provided to the employee by uploading it into an approved performance documentation management system (i.e. Guardian Tracking) under the appropriate employee profile (35.1.5 (e))
- Probationary/Other Interim Reviews:
 - A copy will be placed into the employee's personnel file at the Human Resources Department
 - A copy will be placed in the employee's departmental file in the department's electronic personnel file software
 - A copy will be provided to the employee by uploading it into an approved performance documentation management system (i.e. Guardian Tracking) under the appropriate employee's profile (35.1.5 (e))

7. Employees may contest a performance evaluation through the Town's grievance procedures set forth in the Town of Apex Personnel Policy, Article X and departmental General Order 310 – *Disciplinary System and Grievance Procedures*. (35.1.5 (f))

Measurement (Rating) Definitions (35.1.1 (a))

Measurements used in the Performance Management and Evaluation Process (PMEP) are:

Consistently Excellent

A rating of 'Consistently Excellent' is demonstrated by performance and behavior that consistently surpasses, by a large extent, the expectations set for performance and behavior standards. A Consistently Excellent employee takes initiative to solve problems, and works proactively, with minimal supervisory direction required for even the most difficult and complex tasks. The high level of work is sustained throughout the performance review period and work outcomes are of high quality and recognized as a model for other employees to follow. A Consistently Excellent employee is self-motivated and positively engaged in the workplace and demonstrates the on-going ability and desire to perform at the highest level of performance and behavior in routine and challenging assignments. Performance is characterized by contributions to the workplace that improve services, reduce costs, or add value and worth to the department and organization.

Highly Successful

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A rating of 'Highly Successful' is demonstrated by performance and behavior that is frequently above what is expected of a fully qualified and experienced individual. A Highly Successful employee displays the desire and ability to take on extra projects and/or new, more challenging assignments without complaint or without defaulting on requirements of routine work assignments. Work is completed on-time and with a high degree of quality and accuracy. A Highly Successful employee seeks ways to improve the work output in assigned areas, and makes suggestions to improve service delivery or reduce costs. A Highly Successful employee produces results that are dependable and reliable, and displays a work ethic and attitude towards work assignments that others should emulate.

Achieved Expected Results

A rating of 'Achieved Expected Results' is demonstrated by performance and behavior that meets all of the work expectations set for the position, and any minor lapses in performance and behavior are easily corrected through performance coaching. An Achieved Expected Results employee is a solid performer, whose performance is what is expected of a fully qualified and experienced person who has the training and education that enables them to perform in a dependable, reliable and professional manner. An Achieved Expected Results employee follows established priorities without supervisory direction or reminders, and demonstrates the ability to adapt to change rapidly with minimal work disruption. Overall performance and behavior meets and sometimes exceeds the expectations set by the supervisor, and the employee is considered a positive contributor to the work team.

Needs Some Improvement

A rating of 'Needs Some Improvement' is characterized by performance and behavior that for the most part meets expectations, but deficiencies are (or were) presents in certain areas and may still need improvement. The areas identified for improvement may have been documented through a written warning or more severe disciplinary action. A rating of Needs Some Improvement may also occur when a new employee still needs to improve in certain areas before meeting the expectations of a fully qualified and trained employee in the position. An employee who needs some improvement generally shows the desire to improve performance and is open to performance feedback and coaching.

Needs Much Improvement

A rating of 'Needs Much Improvement' is characterized by performance and behavior that does not meet expectations in more than one critical area. Typically, these areas have been addressed with the employee and a performance improvement plan is in place. A written warning or other disciplinary action exists in the employee's personnel file. An employee who receives a Needs Much Improvement rating may be creating a morale problem with other employees due to work deficiencies or unprofessional work practices and behaviors.

Rater Responsibilities (35.1.1 (c))

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1. The rater will generally be the immediate supervisor of the employee at the end of the rating period. The rater will contact other supervisors during the review period for additional performance evaluation information as needed. The rater will complete the performance evaluation form accurately and in a timely manner.
2. The performance evaluation should be representative of the employee's total performance and contribution for an entire evaluation period. Evaluations require well-planned, accurate and detailed information. Raters should review performance notes taken throughout the year, and take enough time to put considerable thought into each evaluation.
3. When preparing evaluations, supervisors will make every reasonable effort to:
 - Eliminate from consideration any performance that occurred at some other time than the specific period covered by the current performance appraisal
 - Avoid being unduly influenced by his/her perception of the employee's personality when preparing the evaluation. (**NOTE:** The objective of performance appraisal is to evaluate performance, not personality)
 - Ensure that evaluative judgments are based upon a clear understanding of the job standards and adequate documentation of performance
4. In cases where the employee rotates through different shifts/assignments, or otherwise performs regularly assigned duties for more than one supervisor during the rating period, the rating supervisor will confer with the employee's other supervisor(s) to ensure a fair and accurate evaluation.
5. The rater is encouraged to utilize the PMEP Self-Evaluation Form as a tool in preparing for the conference with the employee. The rater should provide this form to the employee at least two weeks prior to the employee's review date. The employee must return the form to his/her supervisor within two weeks of receiving it. Both the rater and the employee should maintain this form in strict confidence.
6. The rater will discuss the performance evaluation with the appropriate Division Commander prior to an employee evaluation conference.
7. The rater will then discuss the evaluation with the employee in a performance evaluation conference. At this time, the employee should be given an opportunity to provide additional information to be considered in the review period, and to include his/her comments in the space provided on the performance evaluation form. Alternatively, the employee may submit a memorandum with comments.
8. After the rater has completed the performance evaluation conference with the employee, the performance evaluation form is to be forwarded to the Chief of Police through the chain of command for review, modification, if any, comment and approval as outlined in this General Order.

Documentation (35.1.1 (b)) (35.1.1 (c))

1. The Performance Management and Evaluation Process (PMEP) form is to be used to document the annual performance evaluation.

- The form is used to evaluate all department employees
- Section 1 of the form contains rating definitions
- Templates identifying Key Performance Results (KPR) for each classification of employee are available on the police department network and will be used when conducting performance evaluations; KPR are identified in Section 2 (35.1.4)
- Raters will use performance notes taken throughout the review period, as well as their observations and feedback from employees as described in the PMEP Training Manual, to complete the performance evaluation form
- Observations, self-reports, department records and other performance information will be considered when selecting applicable Key Performance Result categories and comments to complete Section 2
- Raters will evaluate employees based upon individual performance that relates to the KPR and will determine an approved rating for each KPR
- Section 3 - Raters will evaluate the employees level of achievement of goals established for the current year and will indicate a status
 - Raters and employees should together identify work performance/career development goals for the upcoming year and will list next step(s) toward goal achievement
- Section 4 – Raters will provide a summary narrative of the assessment of key performance and behavior results and identify areas where further development or improvement is indicated
 - For ratings of Consistently Excellent and Successful, specific examples of performance above the achieved level must be described in narrative form (35.1.5 (b))
 - For ratings of Needs Some Improvement or Needs Much Improvement, specific examples of performance below the achieved level must be described in narrative form (35.1.5 (b))
- The employee has the option of adding comments to the form (35.1.5 (d))
- Section 5 – Raters will choose a rating level for each KPR and identify an overall rating category
- Section 6
 - The rater will forward the form to the Division Commander through their chain of command
 - The Division Commander will review the completed evaluation report, may recommend changes and return to the rater for edit or make additional comments, sign and date the form and forward it to the Chief of Police (35.1.5 (c))

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- The Chief of Police will review the completed evaluation report, may recommend changes and return to the rater for edit or make comments, sign and date the form and return it to the rater
- Both the rater and employee will sign and date the form
- The rater will forward the signed form to the Administrative Coordinator

2. The Performance Management and Evaluation Process (PMEP) – Interim Review form is to be used to document interim performance evaluations.

- Raters will complete the heading, indicating the name and position of the employee being evaluated, the department, review type, supervisor completing the review and the review period (35.1.5 (a))
- Part I – The rater will provide a highlight summary of the quality and effectiveness of the employee’s work based on the expectations set in the Key Performance Results (KPR) areas. The rater will note whether performance expectations are being met, and provide specific direction for improvements if needed. Explanatory comments are required when performance ratings are unsatisfactory or outstanding. (35.1.5 (b))
- Part II – The rater will provide a highlight summary of the employee’s performance in the key behavior areas of working relationships with others, work ethics and productivity, judgment and ethical behavior, and service orientation. The rater will note whether behavior expectations are being met, and include specific direction for improvements if needed
- Part III - Both the rater and employee will sign and date the form
 - The employee has the option of adding comments to the form (35.1.5 (d))
 - The rater will forward the form to the Division Commander
 - The Division Commander will review the completed evaluation report, may make additional comments and will sign and date the form and will forward it to the Chief of Police (35.1.5 (c))
 - The Chief of Police will review the completed evaluation report, may make comments and will sign and date the form

3. The Performance Management and Evaluation Process (PMEP) form is to be used to document probationary period performance evaluations.

- Section 1 of the form contains rating definitions
- Templates identifying Key Performance Results (KPR) for each classification of employee are available on the police department network and will be used when conducting performance evaluations; KPR are identified in Section 2 (35.1.4)
- Raters will use performance notes taken throughout the review period, as well as their observations and feedback from employees as described in the PMEP Training Manual, to complete the performance evaluation form

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- Observations, self-reports, department records and other performance information will be considered when selecting applicable Key Performance Result categories and comments to complete Section 2
 - Raters will evaluate employees based upon individual performance that relates to the KPR and will determine an approved rating for each KPR
 - Section 3 - Raters will evaluate the employees level of achievement of goals established for the current year and will indicate a status
 - i. Raters and employees should together identify work performance/career development goals for the upcoming year and will list next step(s) toward goal achievement
 - Section 4 – Raters will provide a summary narrative of the assessment of key performance and behavior results and identify areas where further development or improvement is indicated
 - i. The rater will also note how the employee is progressing through the probationary period with one of the following statements:
 - Is progressing toward successful completion of the probationary period
 - Has successfully completed the probationary period
 - The probationary period will be extended for three months to allow time for improved performance
 - ii. For ratings of Consistently Excellent and Successful, specific examples of performance above the achieved level must be described in narrative form (35.1.5 (b))
 - iii. For ratings of Needs Some Improvement or Needs Much Improvement, specific examples of performance below the achieved level must be described in narrative form (35.1.5 (b))
 - The employee has the option of adding comments to the form (35.1.5 (d))
 - Section 5 – Raters will choose a rating level for each KPR and identify an overall rating category
 - Section 6 – Both the rater and employee will sign and date the form
 - i. The rater will forward the form to the Division Commander
 - ii. The Division Commander will review the completed evaluation report, may make additional comments and will sign and date the form and will forward it to the Chief of Police (35.1.5 (c))
 - iii. The Chief of Police will review the completed evaluation report, may make comments and will sign and date the form
4. The Performance Management and Evaluation Process (PMEP) – Probationary Review form is to be used to evaluate the performance of probationary employees serving an extension to their probationary period.
- Raters will complete the heading, indicating the name and position of the employee being evaluated, the department, review type, supervisor completing the review and the review period (35.1.5 (a))

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- Part I – The rater will provide a highlight summary of the quality and effectiveness of the employee’s work based on the expectations set in the Key Performance Results (KPR) areas. The rater will note whether performance expectations are being met, and provide specific direction for improvements if needed. Explanatory comments are required when performance ratings are unsatisfactory or outstanding. (35.1.5 (b))
- Part II – The rater will provide a highlight summary of the employee’s performance in the key behavior areas of working relationships with others, work ethics and productivity, judgment and ethical behavior, and service orientation. The rater will note whether behavior expectations are being met, and include specific direction for improvements if needed
- Part III – The rater will select the appropriate rating from the list below:
 - Has successfully completed the probationary period
 - The probationary period will be extended for three months to allow time for improved performance
- Part IV - Both the rater and employee will sign and date the form
 - The employee has the option of adding comments to the form (35.1.5 (d))
 - The rater will forward the form to the Division Commander
 - The Division Commander will review the completed evaluation report, may make additional comments and will sign and date the form and will forward it to the Chief of Police (35.1.5 (c))
 - The Chief of Police will review the completed evaluation report, may make comments and will sign and date the form

Rater Training (35.1.1 (d))

The Town Human Resources Department will provide all raters with training on the administration and implementation of the Performance Management and Evaluation Process.

Performance Documentation Management System

1. The department will utilize a performance documentation management system (i.e. Guardian Tracking) to maintain employee performance documentation, as well as, other appropriate documents.
 - The purpose of the employee performance documentation management system is to maintain a record of an employee’s performance, which will provide substantiation for performance ratings or other performance or conduct related actions
 - Supervisors are expected to maintain employee performance documentation within this system for each subordinate employee
 - Employees will be assigned a user profile and password to access the system
 - Supervisory staff will have limited access rights to enter and remove documentation, add comments, etc. for subordinate staff assigned under their control

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2. The employee performance documentation management system should contain:
 - Discussion notes concerning the employee's job performance and conduct including notes made during an employee counseling session related to policies and practices
 - Performance reviews
 - Copies of completed work assignments
 - Drafts of work in progress
 - Informal written communications between the employee and the supervisor concerning performance or conduct issues
 - Other appropriate documentation as authorized by the Chief of Police
3. Written materials stored within this system should be retained for a period of at least 12 months and should be used during that time or during a rating period covered to support official personnel actions.
 - These written materials will become a part of an employee's official personnel file only if they are incorporated in or attached to related personnel actions
 - Written material , which is not used to support a formal personnel action within 12 months of its inception should be removed from the system at intervals approved by the Chief of Police
4. All employee performance documentation is considered confidential, but may be reviewed by the employee; it is not to be viewed by any other individual who is not in a supervisory position related to the employee.
5. During the annual performance evaluation process, the rater will print all comments for the rating period and attach the sheets to the performance evaluation form.

Employee Conference

1. At the conclusion of every rating period and during the performance evaluation conference, or in a separate meeting, the rater will review with employee:
 - Results of the performance evaluation (35.1.7 (a))
 - Level of performance and behavior expected in the upcoming review year (35.1.7 (b))
 - Rating criteria and/or goals for the new review period (35.1.7 (b))
 - Career goals relative to advancement, specialization or training (35.1.7 (c))

Evaluation of Raters (35.1.8)

1. All supervisors who conduct employee performance evaluations and rate an employee's performance will be evaluated by their supervisor regarding the quality of evaluations given employees.

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- The reviewing supervisor should evaluate raters regarding the quality, fairness and impartiality of ratings given; their ability to carry out the rater's role in the performance evaluation system; and that the rater applies ratings uniformly
- This rating will be captured in the "Supervision and Leadership" Key Performance Result area

Text in "Green" denotes a significant change in policy

BY ORDER OF:



John W. Letteney
Chief of Police