

City of Johns Creek Police Department

<i>Subject:</i> Performance Appraisals		<i>Number:</i> 01-09
<i>Reference:</i> See also Selection (Hiring) and Promotions		<i>Amends:</i>
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PURPOSE:

Establish evaluation criteria, in accordance with prescribed guidelines, that fairly and equitably provide a standard for: (1) the measurement of objectives; (2) maintaining or improving individual performance; and (3) provides a means of individual recognition. Evaluations provide a medium for identifying training needs, providing for personnel counseling, and facilitating proper decisions regarding probationary employees.

POLICY: (01-09)

The primary objective of a performance evaluation is to improve employee performance. In addition, most leaders recognize one of the major sources of job satisfaction for any employee is for him/her to know the work he/she does is considered worthwhile and essential. Everyone needs to know their efforts toward the accomplishment of any task or job is appreciated, is accepted and is an important part of the progress toward the achievement of the Department's goals. Above all, each person needs to know whether or not he/she is performing their duties properly and correctly.

The establishment of job performance standards is a means of informing the employee of what constitutes satisfactory or "standard" performance of the tasks in their specific job. The foundation on which these standards are based is each person is entitled to know (and is expected to know if he/she is to do his/her best work) what is expected (unit goals and objectives) of them and what constitutes a job well done.

Therefore, it is the policy of the Johns Creek Police Department to assure each regular and probationary employee will have the opportunity, at predetermined intervals, to discuss with their supervisor his/her overall work performance and his/her personal progress. This policy is to be implemented through the performance evaluation system in which results achieved are compared with results expected.

The intention of the results oriented approach is to: (1) strengthen the working relationship between each employee and his/her supervisor; (2) provide a clear understanding of mutual expectations regarding past and future work; (3) stimulate a commitment to excellence for the individual; (4) standardize the personnel decision making process; (5) ensure Department personnel are qualified to carry out their assigned duties; (6) provide the officers and employees with the necessary information to allow them to maintain appropriate behaviors from the Department's standpoint; and (7) to eliminate inappropriate employee behaviors.

PROCEDURES:

Leadership and Responsibility (01-09-01)

Each Commander or Supervisor will personally evaluate his/her immediate subordinates at the prescribed intervals and will review all evaluations done by his/her subordinates. Too often the performance evaluation process is considered an unpleasant chore. To make the process a positive effort, it should be thought of as an aid to good leadership and training.

A leader's, or supervisor's, greatest value is in the development of his/her staff and not in doing the work of the unit. The primary responsibility of a leader is to improve the work performance of subordinates, both individually and collectively.

A large percentage of the supervisor's work effort should be spent in training or instructing. Training may be accomplished in various ways, but the basic principles of teaching apply. These principles are:

- A. **Explaining;** "Instructing" (or telling) both the senior and new employee how to do the job, task, or assignment (what is to be accomplished and in what time frame).
- B. **Demonstration;** Then "showing" both the senior and new employee exactly how the job is done.
- C. **Observing performance;** next have the employee "show by doing" that he/she has an understanding of what he/she is to do.
- D. **Evaluation;** "Examine" the results of his/her efforts to determine whether the lesson has been learned. This "evaluation" should be done in an objective manner. The subsequent analysis and review of your evaluation provides an opportunity for further training of the employee.

These leadership principles are applicable to both office and field positions. It should be noted that the competency of any instructor or teacher (or supervisor) is measured in the competency and learned abilities of the pupils (or staff).

Effective leadership is the demonstration to the employee his/her work is considered fairly and objectively. The supervisor's objective analysis of the work done by the employee increases the employee's own satisfaction for the work product. At the same time, it creates respect for the supervisor who treats him/her fairly and impartially.

Pre-Evaluation (01-09-02)

Before an evaluation is initiated, each evaluator should do the following:

- A. Familiarize yourself with the form. Analyze its general scope as well as detailed instructions. The evaluation form is an extension of this policy.
- B. Understand thoroughly the duties, requirements and the job description of the position held by the employee to be rated.
- C. Use a process of objective reasoning. Eliminate all personal prejudice, favoritism, or bias. It is more important to measure competency and effectiveness than mannerisms or disliked aspects of personal appearance, etc.
- D. Don't assume excellence in one factor implies excellence in all factors.
- E. Base your judgment on demonstrated performance, not on anticipated performance.
- F. Evaluate on the experience of the entire rating period. Single accomplishments or failures, or the most recent performance *shall not* be the only criteria considered. Neither should single instances of faulty or brilliant performances be ignored. They should be considered in context with the total performance of the period. Review all documents in Guardian Tracking and print an evaluation sheet to assist in the evaluation of the employee.
- G. Consider seniority apart from performance. An employee with a short service record may not necessarily be less effective than one with a longer term of employment. Seniority does not guarantee superiority.
- H. Consider the requirements in terms of the level of the position. A beginning officer may well be meeting the requirements of his/her position more effectively than his/her immediate supervisor does in his/her position in the higher classification. Reviews of the evaluation by the evaluator's superior at the next level shall *always* evaluate the evaluator *and* his/her evaluation of the employee.
- I. Comments and additional factors considered important should be included in the overall appraisal of the employee.
- J. Prepare yourself. Be generous in rating the best of the employee's qualities, but be critical in rating weaknesses. Do not create over-confidence in an employee when improvements are really needed. Trying to avoid an unpleasant situation or avoid the risk of losing friendship is unfair to the employee and the Department.

Frequency of Evaluation (01-09-03)

- A. All employees will be rated by their supervisor at least annually on the anniversary of the employee's hire date.
 - 1. One evaluation shall be conducted in accordance with this Policy; at the prescribed intervals. This appraisal is based on performance and governs merit pay increases. This date is established by the Personnel Department of the City and is on the anniversary of the employee's date of hire.
 - 2. When an employee is not performing at the level of acceptable standards, he/she shall be advised in writing in a timely manner prior to the end of the rating period.

- B. It is the policy of the Johns Creek Police Department that all newly hired and promoted members, employees, and officers shall be placed in a probationary status for a period of twelve (12) months.
 - 1. In addition to the annual performance appraisal, all newly promoted officers, members, or employees shall receive formal evaluations every ninety (90) days of their progress and performance during probationary status. (See also Promotions)
 - 2. New-hire probationary status for all officers, members or employees shall be for a minimum of twelve months. Formal evaluations will be conducted every ninety (90) days for the term of the probationary status with the final review due before the end of the period. The frequency of this rating standard is not to be construed to be in conflict with the established procedures of the Field Training Officer's Program. This policy refers to the formal evaluation process conducted by the employee's supervisor.
 - 3. When the shift/unit supervisor completes the probationary evaluation form it will be forwarded to the Training Unit prior to the ninety (90) day probationary evaluation deadline. All missed deadlines will be documented in Guardian Tracking by the Training Unit.
 - 4. Once the Training Unit has reviewed and approved the probationary evaluation he/she will initial the form and forward it to the appropriate Division Major, via the chain of command, who will then sign and forward to the Chief of Police. Once approved by the Chief of Police it will be given to the Executive Assistant to be scanned into Guardian Tracking in a timely manner.
 - 5. If the employee is not to be retained in the position hired or promoted to, a rating should be made with careful, complete documentation, at least fifteen (15) days prior to the completion of the probationary period. This evaluation may be amended if the employee's performance improves significantly any time prior to the close of the probationary period.
 - 6. It is expected that if probationary employees are not performing up to standard, they should be informed immediately after determination is made in the hope of correcting their performance and avoiding termination, or demotion in the case of the promoted employee. When the determination is made any probationary employee is not meeting the standards expected, the frequency of evaluation may

be accelerated to an appraisal due every seven days. This should facilitate any efforts to attend to any training needs should they be required, and facilitate retention decisions.

7. This policy does not preclude the supervisor of any officer, member, or employee from evaluating him/her at any time if they wish to recognize and document unusually good or poor performance.

Documentation for Evaluations (Supporting Performance Records) (01-09-04)

All Commanders and Supervisors are required to support with complete and thorough documentation all performance ratings given to their subordinates. This will be done through use of notes compiled and maintained on the Guardian Tracking System throughout the particular evaluation period. These notes or supportive documentation shall be made in all positive and negative contacts, observations or discussions regarding the subordinate's performance. The Guardian Tracking System automatically maintains their performance records or notes and records of all events in a chronological order. The maintenance of such records in Guardian Tracking has been found to typically require only a few minutes of time each day. This avoids reliance on memory when completing the evaluations. **Supervisors are expected to counsel employees at the time any adverse performance related comment is recorded**. Commendable performance should be noted as well.

Counseling for good performance is also required if the employee is to know if he/she has corrected any noted deficiencies or is to know if he/she is doing the job satisfactorily. Positive reinforcement as a form of counseling, or "coaching", for a job well done, will normally produce better results than negative criticism, and usually serve as inspiration and motivation in all facets of the job.

When an employee is indicated as not meeting standards in a given factor, it is essential some written comment be provided to explain the reason for such a rating. Comments will be necessary for desired areas of improvement and should be discussed with the employee to assure understanding. The employee and supervisor should initial comments on the performance record to verify such discussions have been held.

The importance of retaining notes and records of employee performance is underscored in that the supervisor will be called upon, when applicable, to justify ratings or any other personnel actions such as demotion, non-promotion, termination, or to refute charges of favoritism or discrimination. These records or notes may also be subject to review by the supervisor's superior officer at any time, and should be utilized at the secondary level of review of any evaluation.

Completing the Evaluation Report (01-09-05)

Practical performance factors are outlined in this section. Each factor should be checked in relation to the individual employee's duties and amount of responsibility. Evaluators must

not assume all the factors are of equal importance. The degree of importance in each factor will vary according to the requirements of each employee's job. There are evaluation forms for both sworn and non-sworn personnel. Each evaluation form has instructions for completion and the performance evaluation form is broken down in several specific areas. The evaluation form is an extension of this policy. The following performance factors are outlined as guidelines in determined acceptable performance in each of the categories, but are not all inclusive. The evaluation form will have inclusive rating categories which are specific to sworn and non-sworn positions.

1. **Punctuality:** Reporting to or leaving a duty station, assignment or task in accordance with the prescribed schedule of working hours, breaks, or leaves of absence. Can the employee be relied upon to be working when and where he/she is supposed to?
2. **Attendance:** Reflects absences from duty for any reason. This factor introduces the opportunity for necessary or desirable counseling of an employee regarding any improper or excessive use of leave privileges, especially if attendance has become unreliable. (See Abuse of Leave Policy)
3. **Grooming and Dress:** An appropriate type of dress and standard of good grooming is required in every position. Is the employee meeting the standards of dress commensurate with the degree of public or employee contacts he/she makes? Is his/her clothing consistently clean, neat, and in good repair?
4. **Compliance with Rules:** Members of the Department are subject to policies and regulations. Failure to observe reasonable directions and regulations are listed as a reason for disciplinary action. Does the employee comply with policies, procedures and regulations applicable to him/her and his/her job?
5. **Safety Practices:** Nearly all employees, even those under physically hazardous circumstances, must comply with reasonable safety practices, particularly in situations involving the public. These practices may reflect specific supervisory directives, or simple forethought for potentially dangerous conditions and the use of good common sense. Does the employee endanger his/her own safety or the safety of others by his/her actions? Does he/she help in the prevention of accidents by practicing good safety procedures?
6. **Public Contacts:** Refers to all public contacts made through personal or telephone conversations, correspondence, and daily appearance before the public. Does the employee's exposure to the public reflect good credit for the department and promote a good public image? Is the employee courteous and discreet in his/her public contacts and behavior? Is he/she aware of the necessity to present a good appearance to the public?
7. **Suspect Contacts:** This may not apply to some employees and yet be extremely significant in the cases of others. Is the employee too harsh or possibly too timid with suspects or prisoners? Is his/her attitude or behavior toward suspects or prisoners detrimental to security? Does he/she display attentiveness toward their constitutional rights?
8. **Employee Contacts:** Reflects only those contacts which either improve or reduce the effectiveness of the employees involved. It does not apply to an employee's personal

- popularity or lack of it. Does he/she mind his/her business, but at the same time have a proper concern for the cares and problems of fellow employees? Is he/she a disruptive influence? Or, a positive influence on the morale of others? Does he/she bother or embarrass others with his/her personal problems?
9. **Knowledge of Work:** This factor should not be confused with, or restricted to, the technical knowledge an employee is required to bring to a specialized job class. (See Job Skill Level.) It is much broader and includes particularly the range of pertinent policies, regulations, and procedures relating to his/her assignment. Has the employee (or probationary employee) acquired an acceptable working standard, or level, of job knowledge?
 10. **Work Judgments:** Every employee makes decisions depending upon the degree of responsibility assigned within his/her position. Does the employee make a minimum of poor judgments? What effect do these judgments have on the quality and/or quantity of work produced by him/her and others?
 11. **Planning and Organizing:** Measure the manner and method in which an employee approaches his/her assigned duties, and how successful his/her planning and organization is in achieving desired results. Does the employee take time to plan the sequence of steps required in carrying out his/her task? Or does he/she attack the job thoughtlessly or with such blind enthusiasm that waste and mistakes result, or work deadlines are missed? Does he/she make allowances in organizing the job so that unforeseeable circumstances are properly taken into account? Does the lack of planning or poor organization indicate reasons for low production or poor quality work?
 12. **Job Skill Level:** This factor relates particularly to mental and manual skills required in a given position, rank or function. Does the employee consistently demonstrate at a proper level the prerequisite to entry in the job class? Has he/she made any effort to improve his/her basic skills? Does he/she have potential for acquiring or developing his/her job skills to higher levels of proficiency? Should he/she be enrolling in additional training? Has he/she taken advantage of related career schools or other related in-service training opportunities? Does he/she read or research material or technical publications related to the job or task?
 13. **Quality of Work:** The degree of excellence of the work performed over the entire rating period should be measured here. In rating this factor, attention should be paid to the consequences of poor quality work. Is the employee's work effective, accurate, thorough, and acceptable? Must the work frequently be redone, thus reducing the potential volume of acceptable work which could be produced? Do errors in the employee's work affect the efforts of others? Does poor work too often reflect adversely upon the Department? Are reports clear, concise and accurate?
 14. **Volume of Acceptable Work:** Refers to amount of work required to meet job standards. Does the employee accomplish his/her assigned tasks in a timely manner and at a sufficient volume to clearly be a net asset to the Department? Supervisors should not make undue or unnecessary allowances for such reasons as the employee's poor health, home problems, age, or length of service. While there may be short term

- exceptions to the volume standard, care should be exercised to see that proper warnings are issued when indicated.
15. **Meeting Deadlines:** If work schedules were important enough to set reasonable deadlines, were these deadlines met? If the employee could not meet deadlines, did he/she give advance notice? Was an honest attempt displayed in the effort?
 16. **Accepts Responsibility:** Refers to the degree of willingness an employee exhibits when given responsibility and the manner in which the responsibility is carried out. Does the employee readily accept responsibility or does he/she avoid it? Does he/she deny his/her responsibilities when things go wrong? Or, is he/she quick to own up or admit to his/her mistakes or failures? Does he/she consistently act in a responsible manner?
 17. **Accepts Direction:** The word "direction" as used here is synonymous with such words as supervision, training, and instructions. Does the employee demonstrate he/she has accepted the direction by carrying out the direction to the best of his/her ability? Does he/she chronically challenge supervision, instruction, or orders? Does he/she meekly or passively accept directions he/she thinks is faulty? Does he/she blindly, angrily, or maliciously carry out such directions? Is he/she resentful of direction or supervision? Does the employee accept direction, but then consistently complain about it to fellow employees?
 18. **Accepts Change:** Use this factor to evaluate the traits of adaptability and flexibility. Does the employee accept change willingly? Does he/she slow down progress or cause inefficiencies by being resistant to change? Does the employee complain excessively about routine and/or new tasks, assignments, coworkers, or duties? Or, adapt satisfactorily to new work surroundings, work activities, new equipment, new procedures, and new leaders?
 19. **Effectiveness under Stress:** There are some positions where pace, pressure, and tempo is consistently demanding. Is he/she capable of meeting the demand? Can he/she produce an acceptable volume and quality of work in an emergency? Is his/her work generally organized well enough to meet unforeseen contingencies? Before marking this factor, consider whether stress is inherent in this position or is a result of the employee's failure to properly plan and organize his/her work, or is insufficient training an issue?
 20. **Appearance of Work Station:** Refers to the neatness and efficient arrangement of work areas. Does the appearance of the work area or patrol vehicle contribute to a desirable work atmosphere and/or display a proper public image?
 21. **Operation and Care of Equipment:** Reflects the employee's concern for safe, responsible, and reasonable operation or use of equipment. Is the employee concerned with conservation of equipment? Does he/she request appropriate and timely maintenance and repair of equipment when necessary?
 22. **Work Coordination:** Measure specifically the necessary coordination of work which directly or indirectly involves other employees, sections, units, or divisions. The characteristics of this factor include preplanning, timing, and a consistent standard of satisfactory work judgments. In situations where work coordination is applicable, does the employee consistently maintain a smooth flow of work effort or

- product? Has the production process been slowed because of obstructions caused by the employee?
23. **Initiative:** Refers to initiation of action by the employee. While initiative shows up in the form of suggestions and constructive criticism, it is most obvious when the employee originates activity and/or investigations, or acts to produce more efficient, productive or economical methods and procedures. Does he/she take opportunities to exercise initiative or must he/she be prodded into action? Is he/she alert to operating efficiently and cost-cutting? Is he/she inventive? Does he/she display a capability of leadership or an ability to take charge? Does he/she offer practical constructive criticism?
 24. **Attitude:** Refers to the overall manner in which the employee accepts and fulfills his/her daily responsibilities. Good or bad? Positive or negative? Helpful?
 25. **Leadership Potential:** Leadership is the art of influencing, directing, controlling, and guiding others in such a way as to obtain their willing obedience, confidence, respect and loyal cooperation in the accomplishment of an objective. Does the employee display an ability to take charge and make effective decisions under pressure and stress? Does the employee inspire and tend to motivate others? Does he/she demonstrate an ability and willingness to teach or guide others through complex problems or the simplest task? Does he/she project confidence and readily admit and accept responsibility for errors or misdeeds?

Factors such as oral or written communication, thoroughness, or accuracy may figure significantly in fulfilling the requirements of a particular position. Intangible qualities such as integrity, patience, and courage usually refer to character or personality traits and not to an employee's performance. These should be avoided unless direct correlation to performance can be specifically demonstrated.

Evaluating the Supervisor (01-09-06)

In addition to factors, the following should be completed for those who supervise and evaluate the work of others.

There are various levels and types of supervisory functions and activities within the organization. It is important, when rating a supervisor, to understand how and to what degree each of the factors applies to him/her. Each level, rank, or classification shall be evaluated by the next higher level, rank, or classification within the organization. Who is to be rated as a supervisor? For evaluation purposes, a supervisor is one whom the responsibility and authority has been delegated to lead and evaluate other employees.

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

31. **Scheduling and Coordination:** This is the next logical step and is a critical phase of the supervisor or leader's function. Does he/she affect the necessary scheduling or rescheduling of work? Does he/she provide the necessary personal coordination of the work, not only among his/her subordinates, but, more importantly, between other sections and divisions? Does he/she anticipate scheduling or staffing problems, or is he/she "caught short" when these occur? Does he/she keep his/her superior informed of problems or delays, or does he/she wait until these may be discovered, or wait until it is too late for planning adjustments?
32. **Training and Instruction:** Refers to the orientation of new employees, or to the demonstration and exploration of technical methods, procedures, and rules in which a new employee cannot be expected to be competent. It also refers to introducing permanent employees to changing methods, procedures, techniques, as well as improving basic skills to their highest potential level.

It refers also to day to day instructions or periodic observation and supervision of employee performance. It may be occasional work or it may be planned periodic meetings of small groups of employees in which effective methods, techniques, and standard procedures are explained, demonstrated, and reviewed.

Does he/she plan and carry out a program of orientation and training for new employees? Does he/she provide for the correction of any technical skill deficiencies in new employees? Does he/she provide training for permanent employees in new methods and procedures? Does he/she assist employees in career and self development programs? Does he/she offer positive reinforcement and provide positive feedback for successful accomplishments or improvements? Does he/she plan and execute roll call training that provides personnel with sufficient awareness of new policies, directives, pertinent staff or command decisions, and/or information from staff meetings?

33. **Effectiveness:** The factor is designed to measure the results achieved by the supervisor and his/her subordinates. In all matters, the supervisor is held accountable for the actions, functions and responsibilities of those personnel under his/her command. Do his/her subordinates prevent crime, apprehend violators, and/or provide police services to the desired degree? Does he/she set clearly defined goals and objectives and convey them clearly to subordinates? Does he/she evaluate their work product based in part upon their accomplishment of his/her goals and objectives? Are assigned tasks and functions accomplished in a timely manner or as assigned? Completely? Is the quality of work produced by the supervisor and his/her staff up to standard?
34. **Evaluating Subordinates:** Measure the accuracy and manner in which the supervisor approaches and completes the formal evaluation of his/her subordinates. Does he/she exhibit a good balance of constructive criticism and praise in rating employees? Does he/she indicate how an employee's work may be improved when improvement is needed? Are his/her evaluations consistently objective, accurate, and

- fair? When (you are) reviewing his/her evaluations of subordinates, does the supervisor submit the necessary supportive documentation (performance notes)?
35. **Judgments and Decisions:** Refers to practical exercise of authority and responsibility by the supervisor. Does he/she exhibit firmness and fairness in judgments affecting functional goals? Does he/she cause resentment or other adverse reactions to his/her decisions because of poor timing or the manner in which he/she states them? Are his/her judgments always in accord with the goals, concepts, and philosophies of the Department? Does he/she, using sound reasoning and good judgment, balance employee and Department interests when these are not fully compatible? Does this balance tend to favor a particular one or two employee, (favoritism) or does it encompass a broader range of issues and/or people?
 36. **Leadership:** Does the supervisor spur subordinates to their best efforts and their potential through example rather than by relying on the authority of the position? Does he/she mold them into a group or team whose cooperative endeavors surpass their individual performance collectively? Does his/her intelligent exercise of leadership create an atmosphere in which employee attitudes are optimistic and positive? Does he/she convey to employees a positive or negative reflection of the Department's management trends? Does he/she positively or negatively present ("sell" to his/her subordinates) administrative directives, new policies, procedures, or activities? Does he/she portray an image of positive support for his/her leaders?
 37. **Operational Economy:** Refers to the conservation of time and materials. Is the supervisor truly budget conscious? Does he/she work within budgets? Does the supervisor calculate operational costs for units or phases of his/her operational responsibilities? Is he/she able to identify uneconomical procedures, methods, or equipment? Does he/she recommend changes in policies or procedures which impact departmental economics? Is he/she conscientious about efficient manpower uses?
 38. **Supervisory Control:** Refers to the maintenance of order in all areas of his/her supervisory jurisdiction. Do his/her employees perform their duties and functions in an orderly and disciplined manner which promotes work objectives? Do his/her subordinates have a clear understanding of behavior and performance standards which are expected of them? Does the supervisor enforce these standards which are expected? Does he/she enforce these standards fairly and consistently? Is he/she "accepted" as a leader by his/her subordinates and in full control at all times? Is the discipline and control too oppressive? Or, too lax?
 39. **Conceptual Thinking:** Does the supervisor understand the total concepts of the position he/she holds? Does he/she think in terms of totality or does he/she bog down in less important matters? The application of authority and (or versus) its inherent responsibility? The difference in leadership and discipline? Leadership and supervision? Discipline (a noun) and discipline (the verb)?

A leader is defined as one who shows, guides and directs the actions and activities of others. (See also Leadership, # 36.) Supervision is defined as the direction and watching over the works of others.

40. **Human Relations:** Does the supervisor understand the personal needs of his/her employees? Does he/she properly weigh these needs with departmental needs?

Rating the Employee (01-09-07)

Performance Levels

1. Unacceptable: Does not meet departmental performance expectations. Employee has not demonstrated the necessary knowledge, skills, abilities and/or commitment. Has not kept pace with job requirements; successes may be occasional; or performance has been deteriorating. Immediate and sustained improvement is needed in order to maintain continued employment. A performance improvement plan is required.

2. Needs Improvement: Does not consistently meet departmental performance expectations. Demonstrates some skills and abilities required to perform the job. Work is often incomplete and/or does not meet scheduled deadlines. Supervisors review of work is frequently required. Meets only the minimum position requirements. Performance must be improved. A performance improvement plan may be required.

3. Meets Standards: Consistently meets established departmental performance expectations. Work is completed accurately and by scheduled deadlines. Assigned responsibilities are completed with some supervision. Employee demonstrates behaviors that result in the effective performance of the position requirements.

4. Exceeds Standards: Consistently exceeds a departmental performance expectation to a degree that is obvious to supervisor, customers and peers. Work is of Exceeds Standards quality and is completed ahead of scheduled deadlines. Assigned responsibilities are completed without supervision. Recommends innovative and highly effective solutions to problems and serves as a role model to others.

N/A Not Observed/Does Not Apply:

Performance or task did not occur during this rating period or Supervisor did not observe employee performing the task. This performance level is also used for those statements or performance criteria that are not applicable to the employee or rating criteria.

Signatures: Both the employee and the evaluating officer must sign the report. The employee's signature indicates that the conference has been held and he/she has had an opportunity to read the report. If he/she refuses to sign for any reason, explain that his/her signature does not necessarily imply or indicate agreement. Further, refusal to sign shall be recorded on the evaluation report and the report shall be forwarded to the next level for review. The employee is encouraged to write comments, if applicable, on the evaluation form.

The evaluator's supervisor or Division Major (second level review) will review the evaluation report and its supporting documentation. The focus of the second level review should be an evaluation of the rater's impartiality, fairness, objectivity, participation in counseling, the interview with the evaluated employee, and the evaluator's capability to fulfill the role of an appraising supervisor. He/she (the supervisor's supervisor) will signify by signature the review and interview with the evaluating officer has occurred. The reviewer may also append comments in reference to the particular evaluation or comments about the evaluator.

Routing and Retention of Evaluation Records (01-09-08)

Forward the original and supporting documentation to the Chief of Police or his/her designee through proper command channels for review. After review and approval by the Chief, the original copy of the evaluation form will be forwarded to the Personnel Department. A copy shall be retained in Guarding Tracking under the employee's name which provides the employee a copy of the completed report for his/her files.

Evaluating the Probationary Employee (01-09-09)

For the probationary employees, the evaluators must, on the fourth (4th) and final probationary evaluation make the definitive statement below, and sign the statement on the form as follows:

I do (I do not) recommend this employee be granted permanent status.

The probationary, or working test period, is the final and most important stage in the selection process of quality employees. By the end of the probationary period, the supervisor(s) should have complete confidence the probationary employee being evaluated fully meets or exceeds performance standards in every important factor if he/she is to be recommended for permanent status. (Applies to all newly promoted employees as well.)

It should be noted that probationary employees may be released or demoted if, in the judgment of the Chief of Police, their dismissal or demotion is in the best interest of the Department. Should the supervisor have a question as to the general fitness of the probationary employee for the position, he/she should consider the consequences of burdening the Department with an employee who may be a liability instead of an asset. He/she should also consider the possibility that it may be a disservice to the employee to retain him/her in a position for which he/she is poorly suited or altogether unsuited.

Evaluation Interview (01-09-10)

A. Review your initial evaluation of the employee's work performance, and consider why you evaluated his/her work as you did. Make notes to guide your interview as well as printing out the performance Guardian Tracking Report for the employee.

- B. Determine what you wish to accomplish in the interview and plan your discussion accordingly.
 - 1. Your main objective should be an improvement in the employee's performance and his/her will to work.
 - 2. If these are already superior, the objective shifts to commendation and his/her maintenance of excellence.
- C. Plan to meet in private. If this is the employee's first evaluation interview, anticipate curiosity, tension, or anxiety, and be prepared to minimize them.
- D. Create the impression you have time for the interview and you consider it to be highly important.
- E. Make the employee feel the interview is a constructive, cooperative one by placing primary emphasis upon his/her development and growth. Tell the employee the purpose of the evaluation report is to inform him/her of your opinions and results of his/her work performance, to improve his/her performance when possible, and to sustain his/her superior performance achieved.
- F. Review, discuss and encourage the employee's career goals and the level of performance expected (goals and objectives) for the new rating period. Discuss his/her ambitions and career objectives. Advise and counsel him/her on the Department's advancement opportunities, career paths or specialized fields he/she may have an interest in or talent for, and the training needs to accomplish those objectives. A career mapping plan/form may be completed at this time.
- G. Be open to the opinions and facts presented by the employee. Be willing to learn about him/her. Don't dominate or cross-examine. Avoid arguments. Remember, the employee must do most of the talking at some point in the interview in order to:
 - 1. To bring his/her opinions and feelings to the surface and to your attention;
 - 2. To gain a better understanding of himself/herself; and
 - 3. To identify his/her own areas of needed or potential improvement and in making plans for their accomplishment.
- H. Talk about his/her own areas of needed or potential improvement and in making plans for their accomplishment in the new rating period.
- I. While building upon the employee's strengths, don't fail to mention his/her failures or weaknesses and how he/she can prevent or curtail them in the future. Introduce your specific suggestions for a specific improvement program. Remember, if you don't show the employee how he/she can improve his/her work performance, you are not doing your job as a supervisor.
- J. Close the interview when:
 - 1. You've made clear those points you intended to cover;
 - 2. The employee has had a chance to review his/her problems and release any emotional tensions that may exist;
 - 3. When plans of action have been cooperatively developed; and
 - 4. You and the employee are at a natural stopping point.
- K. Always reassure the employee of your interest in his/her progress, and indicate a willingness to discuss these performance matters again at any time.

- L. Allow the employee an opportunity to sign the evaluation and make any written remarks or comments as a supplemental to the report. The report should be read and signified as understood by the employee by his/her signature. The signature doesn't necessarily imply or reflect agreement or disagreement by the employee.

Training of Rating Personnel (01-09-11)

All supervising personnel vested with the authority and responsibility to rate and evaluate subordinate personnel shall receive the necessary training that ensures uniformity, fairness and objectivity in accordance with this policy. Supervisory personnel who rate and evaluate employees are also charged with conducting career development activities and will be required to receive training in this particular topic. All supervisors at every level of the Department shall ensure their subordinate supervising personnel have received said training, and they comprehend the intent of this policy, its goals and its application.

The Department's Training Coordinator will ensure the required training is completed. However, nothing in this policy prohibits supervisors from conducting training in the required topics with their subordinate supervising personnel. All training should be documented.

Appeal Process (01-09-12)

Any employee who wishes to contest any evaluation has the right of grievance (appeal) to the next higher level through the chain of command. The grievance should be directed to the Chief of Police, however, efforts to resolve the appeal should be made at every level received. The appeal process should follow those guidelines set forth in City's Grievance and Appeals Policy.

Personnel Early Warning/Intervention System (01-09-13)

It is important that our employees realize this system is being put into place not as a punitive measure, but as a resource that will provide a supervisor with a procedure to recognize and correct performance or patterns of behavior, that if allowed to continue, could be detrimental to an employee's career or the department. We believe corrective measures implemented, at the earliest possible time, are essential in maintaining a commitment of support and fairness to our employees. The department utilizes the Guardian Tracking System which is an automated and paperless Early Intervention System. The early warning system triggers a review based on documentation collected and entered into the system by supervisors and employees, as well as rules established by the Chief of Police.

1. Supervisors are responsible for reporting all aspects of their subordinates conduct and behavior and documenting incidents in Guardian Tracking. These reports shall include conduct that is both commendatory and disciplinary. An early intervention warning system will be utilized to identify those employees who may

require agency intervention. Agency personnel will refer to agency policies, rules and regulations and code of conduct regarding requirements of conduct and behavior.

2. Documentation of each incident such as an award or commendation, citizen complaint, disciplinary action, response to aggression, video review, internal affairs investigation, injury report, and tardiness, code of conduct violations, report corrections, any verbal warning or performance issue or traffic accident report, etc. will be placed into every employee's Guardian Tracking file by their immediate supervisor for review and documentation.
3. The Guardian Tracking System Rules for Early Warning/Intervention are decided by the Chief of Police. Intervention rules are considered inclusive of this policy. The collected material may trigger the threshold of an early intervention rule which will automatically place the employee in an "intervention" status. The supervisor and employee will be notified by the red intervention button. The red intervention button will remain red until the intervention has been addressed and documented. All supervisors in the employee's chain of command are also notified of the intervention.
4. Upon notice of the "intervention" the unit Commander (second level), in conjunction with the immediate supervisor (if not already involved), will determine if any remedial action is necessary and implement the recommendation with an "Early Intervention Response"; this will also notify the Chief of Police of implementation, if any. Prior to clearing the intervention a supervisor shall meet with the employee and discuss the intervention and offer any additional assistance, if applicable.
5. Each time a sworn employee triggers the Early Warning System the supervisor(s) will be required to complete a documented review of the employee(s) activities, referred to as the **Rule of 15**. The review shall consist of reviewing a combination of fifteen (15) separate items from the following categories:

Incident and Traffic Accident Reports

In-Car Videos

Citations

Officer initiated stops/actions

Review of asset forfeiture(s) and/or submitted evidence/property

Field interview contacts

The review shall be documented in the Early Intervention Response in Guardian Tracking within five (5) days of the activation and shall include the number and type of categories reviewed. For example; "***A review was conducted for Officer 123 and included a review of 5 reports, 5 in car videos, 5 citations.***" The review

shall state if there were any concerns noted or discrepancies identified and shall also include a comment on the quality and accurateness of the employee(s) work reviewed. All reviews shall be conducted and pulled from incidents initiated between one (1) sixty (60) days prior to the employee activating the system. Once the review is complete the appropriate Division Major will review the entry and make any comments on the findings and/or recommendations, if applicable. Prior to clearing the intervention a supervisor shall meet with the employee and discuss the intervention and offer any additional assistance, if applicable.

6. Any remedial training should be documented in accordance with agency policies. If the intervention does not require any further action, the supervisor shall close out the intervention with no further action. The OPS Commander will also review all interventions and responses and report any issues or concerns that may require his intervention to the Chief of Police.
7. All supervisors are encouraged to utilize the Employee Assistance Program provided to all City of Johns Creek employees when they feel such intervention is warranted.
8. Annually, the OPS Commander, with input from other unit supervisors, will review and submit to the office of the Chief of Police a written evaluation of the Early Warning/Intervention System.

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