



## **3-32 PERFORMANCE EVALUATIONS**

### **Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):**

#### **A. Related SOP(s)**

- 1-94 Training Division (Formerly 6-1)
- 3-12 Awards and Recognition
- 3-33 Performance Evaluation and Management System (PEMS) (Formerly Early Intervention and Recognition System (EIRS)) (Formerly 3-20 and 3-49)

#### **B. Form(s)**

Employee Performance Audit

#### **C. Other Resource(s)**

Family and Medical Leave Act of 1993  
PeopleSoft Performance Management

#### **D. Rescinded Special Order(s)**

SO 21-77 Employee Work Plan/Performance Evaluations

### **3-32-1 Purpose**

The purpose of this policy is to set forth the expectations of Albuquerque Police Department (Department) personnel with respect to performance evaluations.

### **3-32-2 Policy**

It is the policy of the Department to implement fair and consistent practices for evaluating the performance of all Department personnel in areas related to constitutional policing, integrity, community policing, and critical police functions on an ongoing and annual basis. It is also the policy of the Department to develop objective criteria to assess whether personnel meet performance goals and to implement an evaluation system to provide for appropriate corrective action when such action is necessary.

### **N/A 3-32-3 Definitions**

#### **A. Checkpoint**

An evaluation of a Department employee's performance that is conducted once every quarter and on an annual basis.

#### **B. Performance Document**



A web-based document located in PeopleSoft that is used by Department supervisory and command personnel to evaluate employee performance, excluding recruit officers. Performance Documents are not a form of discipline but are tools to effectively communicate expectations, observations, and concerns about employee performance.

**7 3-32-4 Rules and Procedures**

**A. Performance Evaluation System and Performance Documents**

1. All supervisory personnel shall use a performance evaluation or management system, based on a standardized Department template located in the Performance Management section of PeopleSoft to assist them in evaluating the work of the employees they supervise.
2. Performance Documents shall relate to and be guided by:
  - a. The Department's Mission and Vision Statements;
  - b. The Department's values: integrity, respect, fairness, and pride;
  - c. Department goals and objectives;
  - d. Unit goals and responsibilities;
  - e. Ethical and objectively reasonable uses of force, including shows of force; and
  - f. Constitutional and community policing.
3. The direct supervisor and employee shall review the performance documents during quarterly checkpoint meetings.
  - a. Documents shall be completed and submitted through PeopleSoft Performance within five (5) days of their checkpoint or annual due date; and
  - b. Personnel Management Division personnel shall notify the appropriate Deputy Chief of Police of all overdue Performance Documents within fourteen (14) calendar days.
4. The employee's direct supervisor shall finalize their employee's Performance Documents at the end of the annual evaluation period. The topics shall include:
  - a. Results of progress made during annual evaluation period;
  - b. Accomplishments;
  - c. Career counseling for advancement; and
  - d. Review of performance regarding past notification(s) of performance issues.
5. The employee's direct supervisor shall enter relevant events into an employee's Performance Documents to ensure accurate and complete evaluations.
  - a. The relevant events should be entered in the employee's Performance Documents during the checkpoint period during which they occurred unless the events are still under investigation;



ALBUQUERQUE POLICE DEPARTMENT  
ADMINISTRATIVE ORDERS

**SOP 3-32 (Formerly 3-26)**

**P&P Draft 08/09/2023**

- b. If the events are under investigation, the information shall be entered when the investigation is complete; and
- c. Relevant events include, but are not limited to, the following:
  - i. Commendations and/or awards, consistent with SOP Awards and Recognition;
  - ii. Use of force incidents; and
  - iii. Policy violations.

6. Employees have the right to submit written responses to all negative documents placed in their human resources file or in PeopleSoft.

**B. Training on Performance Evaluations**

1. Department supervisory and command personnel shall be trained on performance evaluations.
  - a. Additional training shall be conducted for newly promoted personnel to the rank of Sergeant and Lieutenant, including Acting Sergeants.

**C. Performance Evaluation of Employees**

1. Full-time personnel, with the exception of personnel in on-the-job training (OJT) status, shall meet on a quarterly basis with their direct supervisor to evaluate their progress in meeting performance and career goals on a quarterly basis.
2. Within thirty (30) days from the date an employee transfers to a new assignment, the employee's direct supervisor shall conduct an initial review meeting.
3. During the initial review meeting, an employee and their direct supervisor shall review performance expectations and establish performance and career goals for the annual review period.
4. At the conclusion of the initial review meeting, the employee and their direct supervisor shall set or modify goals and initiatives for the upcoming quarter. These meetings shall be scheduled quarterly during the annual evaluation period.
5. The employee's direct supervisor shall review their employee's performance evaluation in PeopleSoft, as follows:
  - a. If personnel are incorrectly assigned to a supervisor, the supervisor shall immediately notify the Personnel Management Division of the error;
    - i. The Human Resources Division shall reassign personnel to the correct supervisor within one (1) calendar week.
    - ii. If the Human Resources Division does not reassign personnel within one (1) calendar week, the supervisor shall alert the chain of command and follow up with the Human Resources Division.



ALBUQUERQUE POLICE DEPARTMENT  
ADMINISTRATIVE ORDERS

**SOP 3-32 (Formerly 3-26)**

**P&P Draft 08/09/2023**

- b. In addition, supervisors shall review the employees assigned to them in PeopleSoft thirty (30) days prior to PeopleSoft checkpoints or annual evaluation periods;
    - i. Supervisors shall be responsible for notifying the manager assigned to the Personnel Management Division of any employees who are incorrectly assigned to them thirty (30) days prior to a checkpoint or an annual evaluation period.
    - ii. The manager of the Personnel Management Division shall ensure these employees are assigned to the appropriate supervisor and shall notify the supervisor to complete the checkpoint.
    - iii. If personnel are transferred or promoted within thirty (30) days of a checkpoint or annual evaluation period, their supervisor will need to complete the evaluation and close out the checkpoint and evaluation at the time of transfer or promotion.
  - c. When employees are placed on restrictive duty or Temporary Duty Assignment (TDY), they shall not be reassigned. TDY, Injured Light Duty (ILD), or similar temporary assignments will not be updated in PeopleSoft, which functions as the true source of record;
    - i. If personnel are on ILD or a TDY assignment at the time of the checkpoint, the supervisor shall consult with personnel's temporary supervisor and document this in PeopleSoft.
  - d. The direct supervisor shall transfer the documents of personnel on military leave for more than three (3) months to the Operations Review Section Lieutenant within fourteen (14) calendar days of starting military leave;
    - i. Department personnel on military leave for three (3) or more months shall be exempt from the performance evaluation requirements outlined in this Standard Operating Procedure (SOP) for the duration of their leave.
  - e. Employees on Family and Medical Leave Act (FMLA) leave shall remain assigned to their direct supervisor in PeopleSoft. The supervisor shall complete the checkpoint when it is due and indicate that the employee is on FMLA leave;
  - f. If a supervisor is retiring, they shall ensure all personnel assigned to them are transferred to the supervisor or acting supervisor who will take command of the retiring supervisor's duties; and
  - g. The Lieutenant shall be responsible for ensuring this is completed.
6. The employee's direct supervisor shall be responsible for checking all available Department databases, to ensure the employee is accurately evaluated based upon all available information.
  7. Police cadets and recruit officers in on-the-job training (OJT) status shall be evaluated using tools provided by the Department's Field Training and Evaluation and Program (FTEP), consistent with SOP Training Division.

**D. Performance Evaluation of Supervisors**

1. Supervisors shall be evaluated on the quality of their use of force reviews. To ensure this is done accurately and consistently, a use of force review shall be



entered in the performance period during which the use of force investigation is completed by the supervisor's chain of command for Level 1 use of force incidents.

- a. To document a use of force review in a performance evaluation, a use of force is considered finalized when it has been completely reviewed by the supervisor's chain of command; and
  - i. If no policy violations or issues are identified during the review, the use of force review can be entered for the current performance evaluation period.
  - ii. If a policy violation is submitted on the Level 1 use of force review, the use of force shall be entered when the Internal Affairs investigation is complete.
- b. Each review period a random audit of ten percent (10%) of supervisors who generated an Internal Affairs Request (IAR) for a deficient supervisory use of force shall be conducted each period. The audit shall ensure compliance with this SOP.
  - i. The criteria for assessing performance evaluation of the use of force category should include the following criteria:
    1. Was the use of force documented in the performance evaluation?
    2. Were policy violations or issues with the use of force documented in the employee's performance evaluation in the correct checkpoint/reporting period?
    3. Did the performance evaluation address the action taken for each policy violation, including, but not limited to, discipline and/or remedial training?
  - ii. If an employee's document is selected for the audit, their commander shall be sent a notification and the commander shall be responsible fully completing the Employee Performance Audit form.

#### E. Rating Period

1. Department personnel, with the exception of those in an OJT status, shall use the established rating period in PeopleSoft.
2. The direct supervisor's immediate superior shall review each employee's performance evaluation rating for timeliness, accuracy, completeness, fairness, and impartiality. Such reviewing personnel are required to approve or deny the ratings by the respective due date.
3. The rating period is completed in PeopleSoft on an annual basis.
  - a. In addition, upon the transfer of either the employee or the direct supervisor, the direct supervisor shall prepare a performance document prior to the transfer for the portion of the rating period that has occurred under their supervision.

#### F. Unsatisfactory Performance

1. If a supervisor believes their employee is not performing satisfactorily, the supervisor shall meet with the employee to document and discuss these concerns and identify performance deficiencies.



ALBUQUERQUE POLICE DEPARTMENT  
ADMINISTRATIVE ORDERS

**SOP 3-32 (Formerly 3-26)**

**P&P Draft 08/09/2023**

- a. Based on the meeting, the supervisor may adjust the Performance Document to assist the employee in meeting objectives;
- b. This meeting shall be scheduled as soon as practicable after the supervisor is made aware of the employee's unsatisfactory performance; and
- c. Supervisors are expected to document disciplinary concerns and correct deficiencies of their subordinates, consistent with SOP Performance Evaluation and Management System (PEMS).

2. Unsatisfactory work performance may include, but is not limited:

- a. Policy violations;
- b. Failure to conform to work standards established for sworn personnel's rank, grade, or position;
- c. Failure to perform job duties consistent with constitutional and community policing; and
- d. Any other reason supported by facts that adversely affect performance.

G. Review of Performance Document Progress

1. The manager assigned to the Personnel Management Division shall review the progress of individual employee performance evaluations in PeopleSoft to verify a review of all checkpoints have been completed by the employee's direct supervisor.
  - a. When an employee's direct supervisor is found to have failed to complete a performance document on time, their chain of command shall be notified in writing. The chain of command shall complete an IAR and ensure all checkpoints are completed.





### 3-32 PERFORMANCE EVALUATIONS

#### Related SOP(s), Form(s), Other Resource(s), and Rescinded Special Order(s):

A. Related SOP(s)

1-94 Training Division (Formerly 6-1)

3-12 Awards and Recognition ~~3-12 Awards and Recognition~~

3-33 Performance Evaluation and Management System (PEMS) (Formerly Early Intervention and Recognition System (EIRS)) ~~3-33 Performance Evaluation and Management System (PEMS) (Formerly Early Intervention and Recognition System (EIRS))~~  
(Formerly 3-20 and 3-49)

~~6-1 Training Division~~ ~~6-1 Training Division~~

B. Form(s)

Employee Performance Audit

C. Other Resource(s)

Family and Medical Leave Act of 1993  
PeopleSoft Performance Management

D. Rescinded Special Order(s)

SO 21-77 Employee Work Plan/Performance Evaluations ~~SO 21-77 Employee Work Plan/Performance Evaluations~~

#### 3-32-1 Purpose

The purpose of this policy is to set forth the expectations of Albuquerque Police Department (Department) personnel with respect to performance evaluations.

#### 3-32-2 Policy

It is the policy of the Department to implement fair and consistent practices for evaluating the performance of all Department personnel in areas related to constitutional policing, integrity, community policing, and critical police functions on an ongoing and annual basis. It is also the policy of the Department to develop objective criteria to assess whether personnel meet performance goals and to implement an evaluation system to provide for appropriate corrective action when such action is necessary.

**N/A** 3-32-3 Definitions

A. Checkpoint



An evaluation of a Department employee's performance that is conducted once every quarter and on an annual basis.

**B. Performance Document**

A web-based document located in PeopleSoft that is used by Department supervisory and command personnel to evaluate employee performance, excluding recruit officers. Performance Documents are not a form of discipline but are tools to effectively communicate expectations, observations, and concerns about employee performance.

**7 3-32-4 Rules and Procedures**

**A. Performance Evaluation System and Performance Documents**

1. All supervisory personnel shall use a performance evaluation or management system, based on a standardized Department template located in the Performance Management section of PeopleSoft to assist them in evaluating the work of the employees they supervise.
2. Performance Documents shall relate to and be guided by:
  - a. The Department's Mission and Vision Statements;
  - b. The Department's values: integrity, respect, fairness, and pride;
  - c. Department goals and objectives;
  - d. Unit goals and responsibilities;
  - e. Ethical and objectively reasonable uses of force, including shows of force; and
  - f. Constitutional and community policing.
3. The direct supervisor and employee shall review the performance documents during quarterly checkpoint meetings.
  - a. Documents shall be completed and submitted through PeopleSoft Performance within five (5) days of their checkpoint or annual due date; and
  - b. Personnel Management Division personnel shall notify the appropriate Deputy Chief of Police of all overdue Performance Documents within fourteen (14) calendar days.
4. The employee's direct supervisor shall finalize their employee's Performance Documents at the end of the annual evaluation period. The topics shall include:
  - a. Results of progress made during annual evaluation period;
  - b. Accomplishments;
  - c. Career counseling for advancement; and
  - d. Review of performance regarding past notification(s) of performance issues.
5. The employee's direct supervisor shall enter relevant events into an employee's Performance Documents to ensure accurate and complete evaluations.





- a. The relevant events should be entered in the employee's Performance Documents during the checkpoint period during which they occurred unless the events are still under investigation;
  - b. If the events are under investigation, the information shall be entered when the investigation is complete; and
  - c. Relevant events include, but are not limited to, the following:
    - i. Commendations and/or awards, consistent with SOP Awards and Recognition;
    - ii. Use of force incidents; and
    - iii. Policy violations.
6. Employees have the right to submit written responses to all negative documents placed in their human resources file or in PeopleSoft.

**B. Training on Performance Evaluations**

1. Department supervisory and command personnel shall be trained on performance evaluations.
  - a. Additional training shall be conducted for newly promoted personnel to the rank of Sergeant and Lieutenant, including Acting Sergeants.

**C. Performance Evaluation of Employees**

1. Full-time personnel, with the exception of personnel in on-the-job training (OJT) status, shall meet on a quarterly basis with their direct supervisor to evaluate their progress in meeting performance and career goals on a quarterly basis.
2. Within thirty (30) days from the date an employee transfers to a new assignment, the employee's direct supervisor shall conduct an initial review meeting.
3. During the initial review meeting, an employee and their direct supervisor shall review performance expectations and establish performance and career goals for the annual review period.
4. At the conclusion of the initial review meeting, the employee and their direct supervisor shall set or modify goals and initiatives for the upcoming quarter. These meetings shall be scheduled quarterly during the annual evaluation period.
5. The employee's direct supervisor shall review their employee's performance evaluation in PeopleSoft, as follows:
  - a. If personnel are incorrectly assigned to a supervisor, the supervisor shall immediately notify the Personnel Management Division of the error;
    - i. The Human Resources Division shall reassign personnel to the correct supervisor within one (1) calendar week.



ALBUQUERQUE POLICE DEPARTMENT  
ADMINISTRATIVE ORDERS

**SOP 3-32 (Formerly 3-26)**

**P&P Draft 08/09/2023**

- ii. If the Human Resources Division does not reassign personnel within one (1) calendar week, the supervisor shall alert the chain of command and follow up with the Human Resources Division.
  - b. In addition, supervisors shall review the employees assigned to them in PeopleSoft thirty (30) days prior to PeopleSoft checkpoints or annual evaluation periods;
    - i. Supervisors shall be responsible for notifying the manager assigned to the Personnel Management Division of any employees who are incorrectly assigned to them thirty (30) days prior to a checkpoint or an annual evaluation period.
    - ii. The manager of the Personnel Management Division shall ensure these employees are assigned to the appropriate supervisor and shall notify the supervisor to complete the checkpoint.
    - iii. If personnel are transferred or promoted within thirty (30) days of a checkpoint or annual evaluation period, their supervisor will need to complete the evaluation and close out the checkpoint and evaluation at the time of transfer or promotion.
  - c. When employees are placed on restrictive duty or Temporary Duty Assignment (TDY), they shall not be reassigned. TDY, Injured Light Duty (ILD), or similar temporary assignments will not be updated in PeopleSoft, which functions as the true source of record;
    - i. If personnel are on ILD or a TDY assignment at the time of the checkpoint, the supervisor shall consult with personnel's temporary supervisor and document this in PeopleSoft.
  - d. The direct supervisor shall transfer the documents of personnel on military leave for more than three (3) months to the Operations Review Section Lieutenant within fourteen (14) calendar days of starting military leave;
    - i. Department personnel on military leave for three (3) or more months shall be exempt from the performance evaluation requirements outlined in this Standard Operating Procedure (SOP) for the duration of their leave.
  - e. Employees on Family and Medical Leave Act (FMLA) leave shall remain assigned to their direct supervisor in PeopleSoft. The supervisor shall complete the checkpoint when it is due and indicate that the employee is on FMLA leave;
  - f. If a supervisor is retiring, they shall ensure all personnel assigned to them are transferred to the supervisor or acting supervisor who will take command of the retiring supervisor's duties; and
  - g. The Lieutenant shall be responsible for ensuring this is completed.
- 6. The employee's direct supervisor shall be responsible for checking all available Department databases, to ensure the employee is accurately evaluated based upon all available information.
- 7. Police cadets and recruit officers in on-the-job training (OJT) status shall be evaluated using tools provided by the Department's Field Training and Evaluation and Program (FTEP), consistent with SOP Training Division.

**D. Performance Evaluation of Supervisors**



1. Supervisors shall be evaluated on the quality of their use of force reviews. To ensure this is done accurately and consistently, a use of force review shall be entered in the performance period during which the use of force investigation is completed by the supervisor's chain of command for Level 1 use of force incidents.
  - a. To document a use of force review in a performance evaluation, a use of force is considered finalized when it has been completely reviewed by the supervisor's chain of command; and
    - i. If no policy violations or issues are identified during the review, the use of force review can be entered for the current performance evaluation period.
    - ii. If a policy violation is submitted on the Level 1 use of force review, the use of force shall be entered when the Internal Affairs investigation is complete.
  - b. Each review period a random audit of ten percent (10%) of supervisors who generated an Internal Affairs Request (IAR) for a deficient supervisory use of force shall be conducted each period. The audit shall ensure compliance with this SOP.
    - i. The criteria for assessing performance evaluation of the use of force category should include the following criteria:
      1. Was the use of force documented in the performance evaluation?
      2. Were policy violations or issues with the use of force documented in the employee's performance evaluation in the correct checkpoint/reporting period?
      3. Did the performance evaluation address the action taken for each policy violation, including, but not limited to, discipline and/or remedial training?
    - ii. If an employee's document is selected for the audit, their commander shall be sent a notification and the commander shall be responsible fully completing the Employee Performance Audit form.

#### E. Rating Period

1. Department personnel, with the exception of those in an OJT status, shall use the established rating period in PeopleSoft.
2. The direct supervisor's immediate superior shall review each employee's performance evaluation rating for timeliness, accuracy, completeness, fairness, and impartiality. Such reviewing personnel are required to approve or deny the ratings by the respective due date.
3. The rating period is completed in PeopleSoft on an annual basis.
  - a. In addition, upon the transfer of either the employee or the direct supervisor, the direct supervisor shall prepare a performance document prior to the transfer for the portion of the rating period that has occurred under their supervision.

#### F. Unsatisfactory Performance



1. If a supervisor believes their employee is not performing satisfactorily, the supervisor shall meet with the employee to document and discuss these concerns and identify performance deficiencies.
  - a. Based on the meeting, the supervisor may adjust the Performance Document to assist the employee in meeting objectives;
  - b. This meeting shall be scheduled as soon as practicable after the supervisor is made aware of the employee's unsatisfactory performance; and
  - c. Supervisors are expected to document disciplinary concerns and correct deficiencies of their subordinates, consistent with SOP Performance Evaluation and Management System (PEMS).
2. Unsatisfactory work performance may include, but is not limited:
  - a. Policy violations;
  - b. Failure to conform to work standards established for sworn personnel's rank, grade, or position;
  - c. Failure to perform job duties consistent with constitutional and community policing; and
  - d. Any other reason supported by facts that adversely affect performance.

**G. Review of Performance Document Progress**

1. The manager assigned to the Personnel Management Division shall review the progress of individual employee performance evaluations in PeopleSoft to verify a review of all checkpoints have been completed by the employee's direct supervisor.
  - a. When an employee's direct supervisor is found to have failed to complete a performance document on time, their chain of command shall be notified in writing. The chain of command shall complete an IAR and ensure all checkpoints are completed.