2016

Examining Alignment Between Canadian Municipal Police Performance Evaluation Policies and Officer Perceptions

Birdella Wilson
Walden University

Walden University

College of Social and Behavioral Sciences

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Birdella Wilson

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Review Committee
Dr. Matthew Jones, Committee Chairperson,
Public Policy and Administration Faculty

Dr. Richard Worch, Committee Member,
Public Policy and Administration Faculty

Dr. Christopher Jones, University Reviewer,
Public Policy and Administration Faculty

Chief Academic Officer
Eric Riedel, Ph.D.

Walden University
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Birdella Lorraine Wilson

M.S.W., M.T.S., [Wilfrid Laurier University], 1992, 2002

B.A., B.S.W. McMaster University, 1990

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Public Policy and Administration

Walden University

August 2016

Abstract

A lack of alignment between police performance evaluation policy purposes and officer performance evaluation perceptions has implications for the organizations' resource management, officer morale, and public safety. A literature review points towards a gap existing between policy purpose statements and employee perceptions. The purpose of this study was to investigate the relationship between the policy purposes of police performance evaluations and the officers' perceptions of those evaluation experiences in 4 Ontario municipal police services. DiMaggio and Powell's (1983) Institutional theory was the foundation for this study. Data for this study were collected from 4 police services in Ontario, Canada. The data consisted of police performance evaluation policies and in-person interviews with 12 officers. Data were inductively coded, and then the coded data were subjected to content analysis. Three policy purpose themes and 13 officer perception themes emerged that indicate that: 1) there seems to be a lack of alignment between the policy purpose theme of assessing work performance and eight of the perception themes; 2) officers perceived performance evaluations as negatively impacting their morale: and, 3) healthy relationships with supervisors were more useful to officers than performance evaluations in terms of performance and career outcomes and progression. Consistent with Institutional theory, officers perceived performance evaluations to be necessary even with limited utility. The positive social change implications stemming from this study include recommendations to police executives to consider alternative processes in tandem with performance evaluations to improve morale, in turn creating better opportunities for improved public and officer safety.

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Dedication

For those who work full-time, take care of their families and still make time for education.

Acknowledgments

I thank Peel Regional Police who has funded this degree as part of their commitment to the development of employees. Without their financial support I would not be writing this. I also acknowledge my parents, Lorna and Fred Wilson who fostered a love of learning and supported my education, something that they did not have. Dr. Jones, my Research Chair and Dr. Worch have been critical to me finishing this degree and are excellent in providing feedback and being both accessible and supportive. Finally, many thanks to Joseph Paolini, my sweetheart, who for the past many years has been supportive while giving up big parts of our life together as I worked on this degree.

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Chapter 1: Introduction to the Study

Introduction

In municipal police organizations a lack of alignment between employee performance evaluation policy purposes and officers' perceptions of the policy impacts fiscal responsibility, employee morale, and public safety. These impacts result in public revenues being underutilized and employees experiencing a futility of purpose in participating in performance evaluations, which contributes indirectly to a decrease in public safety. This study identifies this lack of alignment and the results could potentially help raise the consciousness of police organizations in relation to their performance evaluation policies and employees' perceptions. Such awareness could lead towards a change or adjustment to existing performance evaluation policies in order to enhance the alignment between policy goals and perceived practice outcomes.

The following paragraphs will discuss the background of the study, a statement of the problem being studied, and the purpose and nature of the study, along with the research question. This will be followed by an introduction to the theoretical foundation chosen to understand the problem, definitions of key terms, and the limitations and delimitations of the study. A statement on this study's significance will precede the chapter's summary.

Background of the Study

During my years as a police officer, I have had to participate in my organization's performance evaluation process. I often wondered what the purpose was and how participating in this process helped my supervisors or me in my career. After speaking

with friends and supervisors I realized that I was not alone with this question. I became

aware that there is a problem of alignment between police departments' stated purpose

for implementing performance evaluations and officers' perceived experience of the

outcomes of their performance evaluations. Upon reviewing the literature, I found that

this lack of alignment has been indicated indirectly through officers' perceptions that

their performance management systems do not enhance their performance (Qaisar, Qaisar

& Rehman, 2012), officers' dissatisfaction with specific aspects of their performance

evaluations (Gul, Dolu & Dogutas, 2010), and officers' general lack of satisfaction with

their performance evaluations (Coutts & Schneider, 2004). While these studies examined

the relationship between performance evaluation systems and officer perception, there

appears to be a gap in the literature because few studies have identified the relationship

between police organizations' stated policies' purposes with respect to performance

evaluations and how officers perceive they are operationally impacted by completing

performance evaluations.

This unexamined lack of alignment is impacting police organizations' abilities to

responsibly account for the use of public funding to conduct performance evaluations that

tangibly align with officers' professional development and levels of morale. With the

results of this study, police organizations can gain awareness into the problem and have

an opportunity to make decisions improving alignment based on the study's results.

Tighter alignment between policy and practice in relation to the purpose and perceptions

of performance evaluations will enhance organizational transparency, officer morale, and

public safety.

Problem Statement

If police organizations are investing in a process which is not perceived by the organizations' employees to fulfill its mandate, this affects the organization's fiscal accountability to the public, the morale of the organizations' employees, and subsequently the safety of the public. In particular, a lack of alignment between performance evaluation policy purposes and employee perceptions of performance evaluation impacts indicates that organizational resources are not obtaining the maximum intended value for the investment.

If a lack of alignment does exist, employees may view the process as futile, which in turn can have potential negative consequences on employee morale. Poor morale can compromise public safety due to officers not perceiving validity in the performance process and subsequently not receiving stated performance evaluation goals such as professional development. Bagnell (2012) found that performance evaluations did not motivate employees to improve their work performance and were viewed by employees as an organizational expectation.

Purpose of the Study

The purpose of the study was to explore the relationship between Ontario municipal police organizations' performance evaluation policies' purposes and the perceptions of municipal police officers in relation to their performance evaluations. Exploring this relationship was the central concept/phenomenon of interest. I anticipated that this study would indicate a lack of alignment between Ontario municipal police organizations' performance management policies and municipal officers' perceived

practice outcomes. I further anticipated that the evidence would indicate that performance evaluations were not perceived to be operationally or professionally relevant in officers' perceptions, and were thus at odds with municipal police performance evaluation policy goals. This lack of alignment was anticipated to be associated with increased officer complaints (Catano, Darr & Campbell, 2007) and an inefficient use of public resources in terms of the technical costs of performance evaluation systems and in terms of employee work hours committed to implementing the existing performance evaluation systems; indirectly having a negative impact on public safety (Gul & O'Connell, 2013).

The intent of the study was exploratory and its results can raise awareness about alignment between performance evaluation and officer perception issues within municipal police organizations in Canada. Recommendations resulting from this study may be used by municipal police services in Ontario to remedy identified alignment discrepancies, improve officer morale, upgrade resource management, and, in so doing, improve public safety.

Research Question

The research question investigated in this study was: How do performance evaluation outcomes, as perceived by municipal officers, compare to or contrast with the institutional performance evaluation policy purposes of municipal police services in Ontario?

Theoretical Foundation

A possible explanation of this problem can be found in institutional theory, which posits that organizations create structure and practice to initiate and maintain legitimacy

among stakeholders. As noted by Dacin (1997) institutional norms may serve as a means of earning organizational legitimacy. The legitimacy comes as a result of conforming to the rules and expected stakeholder beliefs of what a large organization should look like and do (Meyer & Rowan, 1977).

 In relation to police specifically, Crank and Langworthy (1992) discussed that unlike profit-based organizations that can derive their legitimacy from measures of productivity and efficiencies; police legitimacy is a product of officer accountability to sources of power such as citizens and government, which determine how a police service should look and act. As a result, a performance evaluation, as a demonstration of accountability, becomes a legitimacy criterion, a ritualized norm rather than a means of enhancing public safety, officer development, or public accountability.

From these elements coming together I thought that the best way to gain a greater understanding of this problem would be to design a qualitative comparative analysis testing the possible difference between municipal police performance evaluation expectations and goals and municipal officer perceptions of the effectiveness of evaluations.

Institutional theory can explain that performance evaluations in policing exist not to align their stated policy purpose with officer perceptions, but to provide a demonstration of legitimacy and accountability to power brokers such as citizens and government. As such, performance evaluation policy sooths societal concerns over police organizations' and officers' regulation but provides little to no functional purpose in officers' lives. This presents current and on-going implications with respect to resource

management, officer morale, and public safety. A greater understanding of how performance evaluation outcomes, as perceived by municipal officers, compare or contrast to the institutional performance evaluation policy goals of municipal police services in Ontario could be beneficial in relation to policy change or institutional change in policing.

Conceptual Framework

Policing is a profession that requires legitimization from society (Robertson, 2012). Institutional theory suggests that the process of seeking and incorporating indicators of legitimacy into an organizational culture can result in isomorphic consequences in which the organization holds tightly to societal legitimizing indicators that do not serve operational benefits or outcomes. When this occurs, such organizations perform ritualized demonstrations of legitimacy without obtaining operational benefit from the maintenance and/or implementation of these rituals (Gul & O'Connell, 2013). This lack of alignment between policing's legitimizing rituals and operational benefits can be drawn from exploring the relationships between police organizations' performance management policies and officers' perceptions of their performance evaluation experiences.

The central concept of this study was to explore this relationship between municipal police organizations' performance evaluation policies and municipal police officers' perceptions of their performance evaluation experiences. I anticipated that the study's results would show a lack of alignment between what police organizations state in their policies regarding performance evaluation goals and what officers' perceptions of

the performance evaluation processes are. Specifically, I anticipated that officers would not only report perceptions of low alignment with organizational performance evaluation policy goals but would also report low morale in connection with participating in a performance evaluation process. A lack of alignment associated with low officer morale implicates resource management practices with respect to the costs of police organizations managing and implementing a process without perceived operational benefits. An identified lack of alignment could save police services significant resources in terms of the technical costs of performance evaluation systems and in terms of employee work hours committed to implementing the existing performance evaluation systems. Chapter 2 provides a literature review on institutional theory, performance evaluations, alignment, and officer morale in policing.

From an understanding of these elements detailed in the literature review in Chapter 2, I explored this conceptual framework through structured interviews with municipal police officers in Ontario and through conducting a qualitative comparative analysis of alignment perceptions of police organizations' performance evaluation policies.

To explore this relationship and gain a better understanding of how performance evaluation outcomes, as perceived by municipal officers, compare or contrast to the performance evaluation policies of their respective municipal police services in Ontario; a structured interview was developed which drew on the literature review and explored the associations between municipal officer performance evaluation perceptions and performance evaluation polices in police organizations (Table 1). A content analysis was

performed to understand these relationships within this contextual framework; it is detailed in Chapter 3.

Nature of the Study

The intent of this comparative qualitative study was to identify the similarities and differences between participating Ontario municipal police services' organizational policies regarding the purpose for having performance evaluations and their employees' perceptions of their performance evaluation outcomes. To do this, Halton Regional Police, York Regional Police, Hamilton Police Service, and Ottawa Police Service were invited to participate in the study. These four were selected because they are four of the largest municipal police services in Ontario. I obtained these police services performance evaluation policies through Ontario's Freedom of Information and Privacy Act (1990), and I invited officers with whom I have had professional contact to participate in an interview. Officers who decided to participate did do so understanding that their identity would be known only to the researcher and would be kept confidential in the results.

Once the participant interviews were complete and the performance evaluation policies were received, the data analysis began. The data analysis included a content analysis comparison between interview response themes and performance evaluation policy purpose themes. The more consistency there was between these two, the higher the degree of alignment between them. The less consistency there was between them, the lower the degree of alignment. A high degree of alignment would point towards responsible resource management, positive officer morale, and, indirectly, enhanced public safety. The specific methodology to accomplish this is discussed in Chapter 3.

Definition of Terms

The following definitions of terms have not been drawn from a particular study or author. The terms have been defined in ways that are used in this study and are applicable to it.

Employee Morale: An affective state in an employee that is an overall response to organizational and operational factors with respect to the worker's employment. In relation to this study, employee morale is the employee's affective response to the organizational factor of performance evaluations in relation to employment.

Fiscal Responsibility: The ability of a municipal police organization in Ontario to demonstrate that tax dollars spent on performance policies and evaluations are producing perceptions of outcome alignment among evaluated officers. This ability can also be understood as police organizations being transparent, which is noted by Hemming and Kell (2001) as being the most important approach to fiscal responsibility.

Municipal Police Services in Ontario: When a municipality in Ontario has provided police services for those within its jurisdiction by either setting up its own police service or arranging with one or more other municipalities to have a joint police service for their areas. A municipal police service in Ontario does not include those communities and areas which the Ontario Provincial Police serve or have been contracted to serve. It also does not include those municipalities that have hired another police service other than the Ontario Provincial Police to police their municipalities. University community/campus police services, parks/tourism police services and self-administered First Nations police services are not included. Notwithstanding these exceptions, there

are four municipal police services in Ontario that participated in this study. These were

Hamilton Police Service, York Regional Police, Halton Regional Police Service, and

Ottawa Police Service. These four were selected as they are four of the largest municipal

police services in Ontario, and I have had professional contact with three officers from

each of these services at some point in my career. These 12 officers were invited to

participate in the study.

Performance Evaluation: The process mandated through the policies of municipal

police organizations in Ontario, which evaluate officers' employment performances

during a previous and specified duration of time.

Public Safety: An outcome facilitated as a result of municipal police officers

perceiving that their performance evaluations facilitate their abilities to perform their

duties.

Assumptions

The main assumption in this study was that there is a lack of alignment between

Ontario municipal police services' performance evaluation policies' purposes and their

respective employees' perceptions of these policies' operational impacts on them. The

current academic literature points to this conclusion, but the purpose of this research was

to indicate its veracity in relation to the study's sample from Ontario municipal police

services and officers. A secondary assumption was that those who participated in this

study would respond with honesty and accuracy to the best of their abilities.

Scope

The population sample was from Ottawa, Halton, York, and Toronto police

services in Ontario. Structured interviews were performed with a selected sample of three

officers from each of these services. The total number of officers interviewed was 12.

Using structured interviews with this number of officers obtained a saturation of

information to address the research question.

The data was comprised of the performance evaluation policies from York,

Halton, Hamilton, and Ottawa police services and a total of 12 of their officers' (three

from each service) performance evaluation perception interviews, which were conducted

on a confidential and voluntary basis. The performance evaluation policies expressed the

police organizations' performance evaluation intent while the interviews addressed how

the responding officers perceived their performance evaluation experiences in municipal

policing. A comparative content analysis was done on both data sets with subsequent

analysis and proposed recommendations.

Delimitations

This study was limited to the participating four municipal police services in

Ontario and a total of 12 officers from these services who volunteered to participate.

These municipal police services in Ontario were selected primarily because I work for a

large municipal police service in Ontario and because I knew officers from these services

as a result of professional contacts. The results of this study will have applicability to my

police service as well as the other municipal police services in Ontario, all of which

operate under the same legislation.

The transferability of the study can potentially extend to those municipal police services in Ontario that did not participate, and to a less degree, those police services in Ontario that are not municipal but are still covered under the Ontario Police Services Act. Finally, police services that operate outside of the jurisdiction of the Ontario Police Services Act may draw transferable inferences from the results of this study and may encourage further research into the application of this study with their own populations.

Limitations

A limitation of this study was that the researcher was using a selected sample of 12 officers. While the qualitative design provided depth and data richness, there were impacts on the generalizability of the results. A second limitation of the study was that only those police services and officers who were part of the study provided information. The performance evaluation policies and employees of those police services that did not participate were lost to the study. Nonparticipating police services and employees, if they had participated, could have had confounding or supporting impacts on the results, which were identified in the research.

A third limitation of this study was that it examined the perceptions of officers who were not in a promotional or disciplinary process. The information and impact of information that might have been gathered from officers of rank and/or those who were part of a disciplinary process remained unknown.

To assist in minimizing the impacts of these limitations, I recognized the exploratory nature of this qualitative study and the limitations of the depth and quality of the information in terms of the data transferability and generalizability. The results were

carefully understood within these limitations and the recommendations encourage future research in areas as identified.

This study did not examine individual departments in relation to their officers' perceptions of performance evaluations. The study was designed towards aggregate trends by examining relationships between police services' performance evaluation policy purpose themes and officers' perceptions of performance evaluations as a unit. While this approach did not reveal specific police service information, I believe that it points to a systemic issue within municipal policing in Ontario.

Significance

The results of this study will begin to provide information relating to the current relationship between Ontario municipal police services' performance management policies' purposes and their respective employees' perceptions of how these policies impact them via their performance evaluations. This study will begin to address the current gap in the literature.

Professionally, recommendations to correct an identified lack of alignment can save police services significant resources in terms of the technical costs of performance evaluation systems and in terms of employee work hours committed to implementing the existing performance evaluation systems. In addition to enhanced resource management, correcting any identified alignment gap could increase officer morale as officers could then participate in a proposed process that might better provide alignment between organizational objectives and tangible outcomes in relation to their careers and possibly

their degree of commitment to the organization. This could positively impact public safety as well as result in time and cost savings.

In terms of positive social change, the results of this study could raise the consciousness of police organizations with respect to the purpose of performance evaluation processes and give them the opportunity to change or adjust their policies and practices to realign policy goals and outcomes. An application of the results of this research may demonstrate fiscal responsibility to the public and organizational integrity to employees. With improved alignment, officer morale, professional development, and public safety could benefit.

Summary

My interest in this research emerged from my own experience of questioning the practical purposes for participating in performance evaluation processes as mandated by my police organization. After informal discussions with my police colleagues and a review of the literature, I realized that there was a gap in the literature pertaining to the relationship between organizational performance evaluation policies and employee perceptions of their operational impacts. Institutional theory provides context for why performance evaluation policies may exist in policing without an alignment to employee perceptions.

The remainder of this study is detailed in four following chapters. Chapter 2 begins by providing an overview of current literature relating to this study. Chapter 3 describes this study's research methodology relating to the study's population, the sample selection, and the process for collecting and analyzing the data. Chapter 4 presents the

findings, and Chapter 5 discusses and interprets the findings in relation to the literature.
Recommendations as a result of the study's findings and discussion will precede
recommendations for social change and a conclusion.

Chapter 2: Literature Review

Introduction

A problem of alignment exists between police departments' stated purpose for implementing performance evaluations and officers' perceived experience of the outcomes of their performance evaluations. If police organizations are investing in a process that is not perceived by the organizations' employees to fulfill its mandate, it affects the organization's fiscal accountability to the public, the morale of the organizations' employees, and subsequently, the safety of the public. The purpose of this study was to address the need for reform within municipal police organizations in Ontario, Canada, in relation to the performance evaluations of officers. Enhanced understanding from this research may help remedy alignment issues and assist in more effective and efficient resource management.

The literature indicates that policing has a unique organizational position in society. While there are mandated checks in place to balance police power and outline policing standards, there is no specific mandate to include performance evaluations of officers. Institutional theory suggests that in an effort to be both accountable and legitimate to stakeholders, institutions such as policing will incorporate ceremonial measures (Meyer & Rowan, 1977; Crank and Langworthy, 1992; Scott, 2001) such as performance evaluations, which may satisfy stakeholders but produce few tangible outcomes (Gul & O'Connell, 2013). The result of institutional isomorphism is an increasing gap in the alignment between an organization's policies and the performance perceptions of employees. The impact of alignment gaps, if not corrected, is a decrease in

organizational transparency and employee morale. For policing agencies, these decreases can indirectly impact on public safety in a negative way. Efforts to address alignment gaps in the past have been symptom-based and focused on employee change rather than realigning organizational policy with employee perception of policy outcomes. As a result, this study sought to examine the alignment between performance evaluation policies for four Ontario municipal police organizations and the organizations' municipal officers' perceptions of those policies based on their participation in performance evaluations.

The remainder of this chapter will detail the literature synopsis provided in Chapter 1 through discussions of the literature search strategies used, the foundation of institutional theory in the study, the unique organizational position of policing in society, performance evaluation perceptions, and the potential impacts of a lack of alignment between performance evaluation policies and employee perceptions of the policies in four Ontario police organizations.

Literature Search Strategy

The reviewed literature was obtained primarily through Walden University's databases. The search engines used were Academic Search Complete, ProQuest Central, Business Source Premier/Complete, SocINDEX, and the Dissertation databank. Google Scholar was also used. The search terms used were: *institutional theory, job performance, personnel management, organizational performance, motivation, performance assessment, performance evaluation, performance appraisals, police, Canada, policing, law enforcement, alignment, employee, goals, organization, intrinsic motivation, locus of*

control, satisfaction, employee motivation, employee satisfaction, officer, organizational legitimacy, sample size, qualitative, fiscal, fiscal accountability, organizational transparency, employee morale, morale and *public sector*.

These search terms evolved throughout the iterative search process. Initially, for example, I searched terms such as *performance appraisal*. The items that came up were examined in terms of their relevance. The term *relevance* in this context means that the database would select items and prioritize them in terms of relevance to the search words, and then I would scan through these items and select those I was interested in reading in relation to this study. I selected the option on the database site to have the searched items reorganized by their year of publication with the most current publications first. I then reviewed the list produced and selected those I was interested in reading in relation to this study. Within these selected articles, other keywords would be suggested, which I then entered into the search engines and re-engaged the same process.

Within a selected article I also examined the reference lists at the end of academic journal articles and dissertations and selected documents to further research. I read cited sources of interest from within these articles to confirm the original author's position and to learn more about the work of the cited author. Google Scholar was helpful to return academic sources that were not produced in the searches within the academic databanks. With the information gathered from Google Scholar, I would then enter the publication data into the Walden Library databases and confirm the document's existence and standing as academic work. Once these sources were returned within the Walden Library

database system, I would determine which search terms identified the paper in question and enter those search terms to produce further sources.

Overall, the number of academic journal articles specifically regarding the police in Canada was minimal. Murphy (1999) summarized police research in Canada as being, "underdeveloped, underfunded, and increasingly marginal to policy making" (p. 211). Even though policing cost Canadians over $12 billion in 2011 (Statistics Canada, 2012) and is an essential service to Canadians, the general dearth of professional and academic research into Canadian policing has not changed since Murphy's paper in 1999 (Robertson, 2012; Dandurand, 2009; Federation of Canadian Municipalities, 2008). In relation to this study, for example, there are no studies on the alignment of Canadian municipal police organizations' performance evaluation policies and municipal police officers perceptions of these policies. This exposes an apparent gap in the research, particularly with respect to personnel performance evaluations, satisfaction levels, employee morale, organizational dynamics, and public service mandates. The result is that the sum of the research reviewed points to a knowledge gap in relation to a population of municipal police services and officers in Ontario. This literature review leads the reader through the research demonstrating the relevance of studying the relationship between Ontario municipal police services' performance evaluation policies and their respective employees' perceptions of how these policies impact them.

Theoretical Foundation

The development of organizational theory has emerged from functional analysis and originally where they were studied primarily as part of social problems (Tolbert &

Zucker, 1996). In1948, Merton altered this focus by identifying that organizations were a

distinct social phenomenon with components that were integrated and interdependent to

maintain their survival. Change in organizations occurred when dysfunctional

components outweighed the functional ones and resulted in a renewed balance of

integrated components. These ideas were based in ideas of production efficiency, that

organizations contained components that made sense to the efficient workings of that

organization. In 1958, Thompson and McEwen initiated a thought process that

organizational survival is not only about the efficiency of its components for production

but also about developing and maintaining the organization's power. To this point, ideas

and theories regarding organizations stemmed from a rational premise that what

organizations did made sense for their production efficiency and power position in

society. What remained unaddressed in organizational theory were behaviors in

organizations that did not make sense in terms of production efficiencies or power but

were still rigorously practiced, maintained, and still seemed to contribute to the

organization's survival. Behaviors stemming from social processes and influences that

were largely symbolic in nature were not addressed in existing forms of organizational

theory at that time.

What is now known as institutional theory evolved from the work of Meyer and

Rowan (1977). They recognized that in addition to rational action generating institutional

properties, organizations would also adopt symbolic structures and practices as a means

of demonstrating their legitimacy as an organization within their respective fields and to

the corresponding sources of power to which they were accountable. They called this

process institutional isomorphism. In relation to employee performance evaluations, Meyer and Rowan (1977) argued that the more institutional isomorphism an organization exhibits, the more processes such as employee evaluations take on the function of being a symbolic display of confidence and good faith, yet are avoided as an effective tool of evaluation since this would undermine the ceremonial aspect of the display. In other words, even if performance evaluations were not contributing tangibly to an organization's efficiencies or power; organizations would maintain their use if they served a ceremonial or symbolic functions.

In 1983, DiMaggio and Powell further developed Meyer and Rowan's (1977) ideas and argued that while all organizations have isomorphic elements, they do not all evolve isomorphically in the same way. Instead, institutional isomorphism occurs in similar ways among organizations where those of similar purpose and accountabilities seek legitimization by adopting progressive similarities in structure and practices. These are perceived and understood by the organizations within that field to be legitimizing. As such, performance evaluations that are practiced in organizations primarily as a result of isomorphic processes are not in place as tools of evaluation as much as an institutional symbolic display demonstrating administrative similarities to organizations within their respective fields and to the corresponding sources of power to which they are accountable.

These foundational propositions were built upon by subsequent researchers and have been applied to police research. In the qualitative tradition, Engel, Calnon and Bernard (2003) applied institutional theory to police and racial profiling. Katz (2001)

applied institutional theory to one police service in the United States, examining the reasons why this service implemented a gang unit, and Collier (2001) applied institutional theory to policing by interviewing a group of police managers to discuss the coupling role of accounting to organizational legitimization needs and operational necessities. While quantitative research such as that of Zhao, Lovrich and Robinson (2001) and mixed methods research such as Giblin's (2006), both of which applied institutional theory to policing exist, the prevalent research tradition applying institutional theory to policing is qualitative study.

While these studies demonstrate that the applications of institutional theory-based research to policing can be found, it is limited. For example, in 2009, Weerakkody, Dwivedi and Irani published a review of institutional theory's use and application in academic articles published from 1988 to 2008 in 210 academic journals located within Science Citation Index (SCI) and the Social Science Citation Index by Thomson Scientific. In these journals, they found that while 511 articles drew on institutional theory, only one was in relation to local level government and five were related to the category of law. While this study does not examine institutional theory applications published within other databases, it does point to a lack of academic research applying institutional theory to policing. This is interesting from a research perspective considering that policing is likely an ideal example of isomorphic processes within an organizational group. It could be that the very factors enforcing and establishing isomorphic processes within policing also exclude nonpolice institutions and processes from learning about them.

An exception to this is Crank and Langworthy's (1992) study that applied Meyer and Rowan's (1977) and DiMaggio and Powell's (1983) work to municipal police organizations and their performance evaluation systems. In this paper, Crank and Langworthy (1992) argued that an internal police review process, rather than an actual means of controlling police behavior, could be seen as a "ceremonial ritual whose purpose is to act as a treaty among contending legitimizations of police behavior" (p. 357). These authors argued that internal reviews assist the organization in avoiding the disruption of an external review process and the degradation of police to external sources of accountability such as the public. Performance evaluations are an annual internal review of police behavior. In this way, without the public or other sources of accountability disrupting the organization, the performance review can be seen as a ceremonial display of appeasing contending sources of accountability without being an effective evaluation tool.

A central assumption within institutional theory is the concept of a bounded rationality. As an example of bounded rationality, the Police Services Act Ontario (1990) regulates all aspects of policing in Ontario. This act does not contain any mandate that police services in Ontario must conduct performance evaluations and yet each police service has directives outlining the policies around annual performance reviews. While the Police Services Act Ontario Regulation 3/99 (2001) in section 33 mandates that a skills development and learning plan exist for every officer, each police organization has chosen to incorporate a performance evaluation. If no law, mandate, or group requires it, why is it in common use? Institutional theory suggests that through a socially constructed

reality of what needs to be part of a legitimate organization, police services become increasingly homogeneous, imitating each other until such behaviors become standardized norms within the profession and for systems of accountability outside of it. Performance evaluations become part of a bounded reality of what police organizations do. This institutionalization of a professional organization is reinforced externally through mirroring other police organizations that incorporate performance evaluations, being accountable to stakeholders such as government and the public who expect such from a publically funded organization. The institutionalization of policing is also reinforced internally through normative employee expectations and professions within policing such as human resources departments, whose reinforcement of the practice of performance evaluations coincides with the maintenance of their profession. For example, websites such as http://www.hrmguide.net/canada/ are dedicated to providing Human Resource information including information relating to performance evaluations. A result of these reinforcing elements is the maintenance of the status quo, even if inadequate, rather than change (Gul & O'Connell, 2013).

Similar to DiMaggio and Powell's (1983) 3 pillars of isomorphic mechanisms, Scott (2010) indicated that isomorphic processes occur around three pillars of legitimization. Scott identified these pillars as regulative (rules and incentives), normative (certifications and accreditations), and cultural cognitive (the perceived "right" thing to do). While Jones (2008) indicated a need for clarification regarding the nature of and potential fluidity of these pillars, Scott addressed the possibility of change within organizations engaged in isomorphism. This is an important development within

institutional theory as it moves the theory away from the rigidity that isomorphism

suggests and towards acknowledging the potential for regulative, normative, and cultural

cognitive change within organizations through voting, changes in laws, and executive

orders. According to Scott, when institutions experience isomorphism it is the mechanism

of change that produces the change rather than the desire or need for change in and of

itself. In other words, when change is mandated (not optional), isomorphic institutions

can change.

While the potential for change within institutions as explained by institutional

theory is a positive development, what Scott did not address were the differences between

mandated change coming from outside of the isomorphic institution such as a

constitutional amendment, and avenues for change from within isomorphic institutions

that are optional, for example an executive order or a vote. Scott does not address how

institutions come to the point of mandated internal change and this absence points to

optional change avenues within isomorphic institutions as limited and infrequent at best

and unlikely at worst. Institutional theory provides a context to understand employee

performance evaluations as nonexternally mandated processes that are isomorphically

supported. In other words, institutional theory provides an understanding of why

performance evaluations continue to exist in police organizations despite minimal

operational uses and prevalent user discontent (Coutts & Schneider, 2004).

Institutional theory can also provide insight into the potential misalignment

between officer perceptions of their performance evaluation experiences and

organizational performance evaluation policies. Scott (2001) addressed one of the

isomorphic pillars of legitimization as being the regulative pillar. This pillar strives to maintain organizational norms through valuing rules and regulations. Policing is based on hierarchy and this hierarchy involves communication, which is primarily top down, from higher ranks (management) to lower ranks (officers). This organizational model and communication system is a military-bureaucratic (Perrott & Kelloway, 2011) or paramilitary model. While communication flows between those of equal rank, when decisions are communicated from a higher to lower rank, the communication is often simply that the decisions be followed. Discontent is likely to be perceived as insubordination, and resisted by senior officers (Perrott & Kelloway, 2011). A paramilitary culture within an isomorphic regulative pillar of legitimacy supports the possibility that lower ranking officers may have perceptions regarding policies developed by senior police management that are not in alignment with the policies but are obeyed. Discontent or alternate ideas within lower ranks would likely not be expressed to higher ranks out of concern of being perceived as insubordinate by those of higher rank.

This study is a new initiative in that it offers a qualitative analysis within an institutional theory framework of municipal police performance evaluation policies in relation of municipal officers' perceptions of their performance evaluation experiences. The study's results support that employee police evaluation processes are perceived by officers primarily as an institutionally accepted standard of legitimacy rather than as a tool to evaluate performance. As there is no external mandate to change existing municipal policing performance evaluation practices, internal bounded realities may be stronger than a recognized need for reform. In other words, police organizations' use of

performance evaluations to fill legitimacy and cultural ritual purposes are misaligned with officer perceptions and have almost no operational/tangible impact. A challenge for change is to address municipal police organizations' bounded realities.

Police Organizations' Unique Societal Position

Police organizations hold a unique position in society, which is often filled with dichotomies. Police in Ontario are exempt from the provincial Employment Standards Act (Ontario Ministry of Labour, 2008) and from Federal labor law in the Canada Labour Code (Justice Laws Website, 2016). Doug Bowman, Director of Human Resources for Peel Regional Police, indicated that there is no Human Resource legislation or law which mandates that performance evaluations occur in organizations. While employers can mandate that employees participate in performance evaluations, nothing mandates that an employer conduct performance evaluations (D. Bowman, April 11, 2016). Jeff Smith, Reference Librarian for the Human Resources Professional Association of Ontario confirmed this and indicated that many organizations have performance evaluations as means to counter unjust dismissal suits (J. Smith, April12, 2016). Police are also granted by law power over citizens' lives and liberties in order to provide a safe environment for the citizens (Criminal Code of Canada, 2012, section 25). Canadian police are a part of one of the best paid public police agencies in the world and enjoy a high level of both public and government support (Murphy, 2012). At the same time however, police in Canada are also feared for the impact they may have on individual lives as well as for the abuse of the power that has been given to them in the Criminal Code of Canada.

While performance evaluations are not mandatory, in order to provide a system of checks and balances to police power, police are held accountable for their actions through federal legislation such as section 26 of the Criminal Code of Canada (2012) and the Canadian Charter of Rights and Freedoms (1982). Checks are also in place through provincial legislation such as the government of Ontario's Municipal Act, 2001 (2001) which legislates accountability and transparency practices in municipalities in Ontario, the Police Service Act Ontario (1990) which regulates policing in Ontario, and the Policing Standards Manual (2000) which outlines specific standards which police must meet to promote and coordinate professional policing. None of these pieces of legislation require police to have performance evaluations. The closest legislative directive comes from the Police Services Act Ontario Regulation 3/99 (2001) in section 33 which mandates that a skills development and learning plan exist for every officer.

Internal monitoring of police occurs through police departments' early intervention systems, ongoing performance feedback and documentation, risk management, and employee evaluations. Externally generated disciplinary action occurs through police services' Professional Standards bureaus and watch groups such as the Special Investigations Unit (Whitelaw & Parent, 2014). Municipal police service budgets are applied for and granted (or modified) by the respective municipalities and direct fiscal accountability is monitored through each department's Police Service Board (Coleman, 2008).

As a result, police walk a line between public support and public scrutiny, public trust and public distrust. Not to have public support would lead to disorder but to have

blind support could lead to the abuse of power. The result of police balancing power with responsibility and service with scrutiny challenges policing in such a way that the profession is open enough to be accountable to the public but closed enough to protect the information and investigations which lead to the apprehension of those who break the law. As a result, policing is unique in its position in society because it is not only the public who support and fear the police; it is also the police which support yet fear the public (Robertson, 2012).

Performance Evaluations

Traditional methods of measuring performance have relied on private sector outcome measures such as profit. The assumption in this tradition method is that if profit is being made employees' performances are positive as demonstrated by the increased profits. This method of measuring performance is problematic. If profits decline as there is no way to pinpoint the cause of the decline (Tung, Baird & Schoch, 2011).

In a move away from using outcome measures as the only ways of measuring an organization's performance; organizations also measure internal areas such as employee performance with employee performance evaluations becoming a common practice in organizations (Biron, Farndale & Paauwe, 2011). Ferris, Munyon, Basik and Buckley (2008) argued that performance evaluations are central to organizations due to their connection to human resource practices.

A danger with statements such as this is the underlying causal assumption that performance evaluations improve performance. Rather than improving performance in a direct relationship; Homburg, Artz and Wieseke (2012) and Haines III and St-Onge

(2012) discussed the conditional nature of the relationship between a comprehensive

performance management system and improved performance. The effectiveness of

performance evaluation measures can be conditional on factors such as quality of

feedback, skill/knowledge development, motivational leadership, linking performance to

rewards (Tung et al., 2011; Selden & Sowa, 2011) and perceptions of fairness (Salleh,

Amin, Muda & Abdul Halim, 2013). As a result, improving an employee's performance

is not a product of having performance evaluations or developing more comprehensive

performance evaluation systems (Homburg et al., 2012) as much as a combination of

these indicated factors of which the employee's performance is a part. An outcome of this

is that just as knowledge of an organization's performance is limited by the relying on

outcome measures, so too knowledge of an employee's performance is limited by relying

on the performance evaluation.

The literature also points towards a relationship between an employee's

satisfaction with and perception of the performance evaluation process and factors

indirectly impacting an organization's performance. Jawahar (2007) found a significant

relationship between an employee's reaction to the performance appraisal and its

effectiveness. In relation to Canadian policing, Coutts and Schneider (2004) surveyed

Canadian police services and found that most officers were not satisfied with their

organization's system of evaluating their performance. In particular, officers were not

satisfied regarding the evaluation's top-down approach, the personal versus performance

nature of the supervisor's assessment and the lack of impact that performance evaluations

had on improving their job performances. Perceived fairness in the performance appraisal

process had a predictive influence on the employee's attitude and organizational commitment (Gull and O'Connell, 2013). When the performance appraisal system is not a positive employee process it can result in human resources complications (Biron et al., 2011).

There is a resulting gap between the intent of organizations in implementing employee performance evaluations and what the research (Guerra-Lopez & Leigh, 2009) states are the outcomes of this process. Selden and Sowa (2011) divided employee perceptions between management and staff and found that a gap existed between what management perceptions of employee performance evaluations and staff perceptions of them. To date, there are no studies that examine organizational policy in relation to employee perception of the policy's implementation. Biron et al. (2011) have identified that further research is needed regarding whether employee perception matches organizational intention with respect to policies. It is the purpose of this study to examine municipal police organizations' employee evaluation policies in relation to municipal officers' perceptions of their performance evaluation experiences.

Transparency and Accountability

The priority of organizations to be transparent and accountable is present in both the public and private sectors (Smythe & Smith, 2006; McCormick, 2010). In either sector, organizations require funding and increasingly, funding is based on organizations being accountable to those who fund their existence through transparent processes which are reliable, accessible, and understandable and allowing for input from stakeholders. This is particularly true for government bodies where clear, free and open access to

government is legislated as being in the public's interest (Standing Committee on Industry, Science and Technology, 2001). To be viewed as such by employees and the public indicates trust in the organization (Iwae, 2009) and also a source of legitimacy, which extends to broader networks between organizations and sources power, authority and accountability (Smythe & Smith, 2006). In reality, transparency can be risky in environments where public trust can be damaged with knowledge of organizations' weaknesses. As a result, transparency can be strategic communication to stakeholders, which reflects organizations' goals and processes to attain them in a positive manner rather than from their operational realities (McCormick, 2010).

Alignment

When a member of the public, a customer, an employee or a larger accountability source, sees or experiences a discrepancy between an organization's words and its deeds; there is no longer alignment between them. If the organization is not transparent regarding the lack of alignment and denies, explains, ignores or justifies the lack of alignment a breach in the organization's accountability to that person, persons or collective body occurs which results in a lack of trust (Simons, 2002). In application police organizations and officers, if a discrepancy is perceived to exist between the organizations' performance evaluation policies and the officers' perceptions of them; the more prevalent is the lack of trust that is experienced by officers towards the organization and the greater the negative impact on the organization's perceived legitimacy. Without proactive change management to foster alignment between their policies and practices, a lack of trust promotes decreased employee trust (Simons, 2002). Gladwell (2000) argued

that left unchecked, a lack of alignment can result in a phenomenon he calls the tipping point can occur in circumstances when a social epidemic occurs as a result of systemic neglect of alignment discrepancies. When this occurs, massive changes may result in the dissolution of an organization or system or it manifesting itself in a new way, which is distinctly different.

When alignment occurs, the organization, its consumers (such as the public) and its employees have improved outcomes. Mohamud and Fleck (2010) found that the alignment of standards and assessments in education increased student learning and indicated teacher success. DeGraaf (2012) found in her study of a multinational corporation that the alignments of employees' goals to those of the organization were positively associated to employee pride, satisfaction, initiative and performance. Conversely, the lack of alignment has been indirectly pointed to in Griffin, Hart, and Wilson-Everard (2000) and Hart and Cotton's (2002) research. Their studies with police found that a negative organizational climate is positively associated to low morale and stress at work. Internalized low workplace morale contributes towards officer stress and low job satisfaction (Julseth, Ruiz & Hummer, 2011).

To date, efforts to address a lack of alignment have been focused on helping employees to manage the stress which results from existing employment alignment gaps rather than to realign the variables which contribute the stress. For example, Stevens, Muller and Kendall (2006) focused their study on stress management through health promotion in individual emergency service workers despite acknowledging in their literature review that a negative organizational climate is central to emergency service

worker stress. Fundamentally, such efforts have put the cart before the horse. This study

seeks, before remedies are proposed, to confirm that there is a misalignment between

officer perceptions of their performance evaluation experiences and organizational

performance evaluation policy goals.

Summary

It is the interest of this study to examine organizational alignment in relation to

performance evaluation policies and municipal officer perceptions of these as a result of

their participation in performance evaluation mandates. Increased alignment points

towards enhanced levels of trust, perceptions of organizational legitimacy and consumer

and employee improved outcomes. An indicated lack of alignment grounded in

employee perceptions will offer an opportunity to examine re-alignment strategies to

facilitate transparency, accountability, improved employee morale and indirectly public

safety. Chapter 3 will detail the research method for this study. It will provide a clear

operational plan regarding how this study will be conducted in order to contribute to

closing the identified gap in the literature regarding this problem.

Chapter 3: Research Method

Introduction

The purpose of the study was to explore the relationship between Ontario municipal police organizations' performance evaluation policies and the perceptions of municipal police officers in relation to their performance evaluations. I anticipated that this study would indicate a lack of alignment between performance management policy and its perceived practice outcomes. Enhanced understanding from this research may help bring greater attention to alignment issues and may therefore assist in bringing about more effective and efficient resource management. This chapter will discuss the study's research design and rationale, my role as researcher, and the methodology used to accomplish the study's purpose. Issues of trustworthiness as they related to the study's credibility, transferability, dependability, protection of participants, and the dissemination of results will be included along with ethical considerations pertaining to the protection of the study's participants and the study's collected data.

This chapter will detail how the study was carried out. The goal is to create a clear picture of the study so that the reader is able to replicate it on the basis of reading the methodology. The research method provides insight into how information relating to the relationship between three Ontario municipal police services performance evaluation policies and municipal officers' perceptions of their performance evaluation experiences was acquired.

Research Design and Rationale

The primary question investigated was: How do performance evaluation experiences, as perceived by municipal officers, compare to/contrast with the institutional performance evaluation policy goals of municipal police services in Ontario?

This comparative study followed the constructionism tradition of qualitative research using structured interviews as it explored how performance evaluations, as a constructed reality, are perceived by municipal officers in Ontario. The study also assessed the similarities and differences between municipal police services' organizational policies regarding the purpose for having performance evaluations and officers' perceptions of their performance evaluation experiences.

This constructionist research tradition was selected as a means to secure a baseline of information with respect to municipal police services' performance evaluation policies and municipal officers' perceptions of their performance evaluation experiences. Biron et al. (2011) identified that further research is needed regarding whether employee perception matches organizational intention with respect to policies, and this research sought to understand the relationship between officer perceptions of their performance evaluation experiences and organizational performance evaluation policy goals.

Qualitative research in policing from an institutional theory perspective has been in place throughout the history of institutional theory. Crank (2003), Engel, Calnon and Bernard (2003), Katz (2001), and Collier (2001) all applied institutional theory in a qualitative tradition to policing. While quantitative research such as that of Zhao, Lovrich and Robinson (2001) and mixed methods research such as Giblin's (2006) also applied

institutional theory to policing, the prevalent research tradition applying institutional

theory to policing is qualitative study. A qualitative approach allows for a depth of

information when there are no studies to draw on to inform or suggest an outcome. The

information gained provides nuances of the problem being studied and may indicate areas

for future study (Creswell, 2003). A quantitative approach was not selected because

quantifying an unstudied phenomenon such as the alignment between performance

management municipal police policies and officer perceptions of performance evaluation

experiences may be premature to obtaining a depth of information needed in this area of

study (Anderson, 2010). A qualitative approach allows for a deeper, richer understanding

from the data than can be achieved through the use of a preconstructed quantitative

instrument (Tewksbury, 2009). A pilot study was not conducted. A pilot study would not

have addressed political and bureaucratic elements that may have been barriers to the

study obtaining initial support. A pilot study may have increased resistance to supporting

the research through an initial exposure to the main study's process.

Role of the Researcher

My role in this study was to collect and analyze the information from the

performance evaluation policies and the in-depth interviews. The process of how the

policies were collected and how the interviews were conducted is detailed in the

subsequent paragraphs. As my interest in this study stemmed from my experiences as an

officer participating in employee performance evaluations, there was a potential bias that

could have entered the development of the interview protocol and in the interpretation of

the data collected. To counter this possibility I have researched methods used in

performance evaluation research in the development of the interview tool and relied on discussion with my research committee to address biases that may have limited an accurate development and analysis of the research.

Methodological Approach

Participant Selection Logic

The participant population was 12 municipal police officers in Ontario, Canada whom I knew professionally as police officers and who volunteered to participate in the study. Three officers from each of York Regional Police Service, Ottawa Police Service, Hamilton Police Service, and Halton Police Service were invited to participate. These services are four of the largest municipal police services in Ontario (Appendix A).

A qualitative research approach was selected for this study as a means to secure a baseline of information with respect to municipal police services' performance evaluation policies and municipal officers' perceptions of their performance evaluation experiences. There are no studies to date that have used institutional theory to try to better understand the relationships between municipal police services performance management policies' purposes and municipal police officers perceptions of their performance evaluation experiences. The qualitative data will confirm the association between these organizational dynamics. Documenting the relationship between these dynamics through a qualitative comparative content analysis has allowed me to gain a greater understanding of officers' perceptions of their performance evaluation experiences in relation to the policies of municipal police organizations. I believe that other approaches such as survey research would have restricted the information obtained and a case study approach could

have produced a breadth of information greater than the research question. Structured interviews will restrict the breadth of possible information and allow for depth and quality of information to a greater degree than a survey.

Determining the Sample

Qualitative research allows the researcher to explore the depth, breadth, and nuances of what is being studied. As such, there is little concrete guidance in the literature regarding what sample sizes in qualitative research will attain the research objectives. Qualitative studies with samples as small as one (Mason, 2010) to those with several hundred (Thompson, 1992) exist. Bryman (2012) suggested that when the sample is comprised of a fairly homogenous group and the research is tightly focused, a sample size can be fewer than if greater variation exists. Guest, Bunce and Johnson (2006) found that a sample of 12 can achieve saturation with metathemes present as early as six interviews. Adler and Adler in Baker and Edwards' 2012 methodological review paper also indicated that a sample of 12 can facilitate the purposes of a qualitative study. A sample of 12 was selected for this study as Ontario municipal officers are a homogeneous population in that they have received standardized training, operate under the same governing legislation, and work for municipal police services that police municipal populations of similar sizes. A sample of 12 was also considered appropriate as the research was focused on performance evaluation policies and officer perceptions of their performance evaluation experiences and saturation was expected to be obtained with this number in relation to this research focus.

The police services selected from which the sample was drawn, York Regional Police, Ottawa Police Service, Hamilton Police Service, and Halton Regional Police Service, were a convenience sample since they were the only four services in which I knew at least three officers in each in order to reach the total sample size of 12. This strategy invited participants who were professionally known to me and was implemented to decrease officer reticence towards participating. The four services' performance evaluation policies were obtained through Ontario's Freedom of Information and Privacy Act (1990) process (Appendix B).

Both personal contacts from past professional knowledge and acquiring performance evaluation policies through the Freedom of Information Act process were implemented to circumvent police organizations acting as gatekeepers to their officers and their policies, thus thwarting participation[1]. A secondary benefit to the convenience of selecting four services in which I know at least three officers to invite to participate in the study was that each of these four police services police municipal jurisdictions that have populations between approximately 500 000 and one million people. These populations are similar to Peel Regional Police's jurisdiction and the recommendations from this study may be more closely drawn from by Peel Regional Police than if the convenience sample of services' populations were of greater variation from Peel Regional Police. After the data collection period expired, as determined and detailed later in this chapter, I had four performance evaluation policies and 12 structured interviews.

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[1] An initial methodology was approved by the IRB in which police services were invited to participate in the study through voluntarily providing their performance management policies and by authorizing an internal e-mail to their officers, inviting them to participate. Only one police service agreed to participate, which prompted the development of the second approved methodology for this study.

The procedures for the recruitment, participation, and data collection were as follows:

1. The research proposal was approved by my research committee.

2. The research proposal was approved by the IRB.

3. The 12 municipal police officers were e-mailed by me and asked to participate in the study (Appendix C).

4. The Freedom of Information Request forms for each of the four identified police services were completed asking for their performance evaluation policy and mailed along with the $5.00 application fee to each of the identified police services. I waited 60 days to receive the documents.

5. I allowed two weeks for officers to respond via e-mail regarding their participation. If responses had not been obtained, I would have contacted another known officer by phone within the same service as the nonresponding or nonparticipating officer. If no one had been known from that service, I would have contacted another known officer by phone from one of the three remaining services. Within the time frame anticipated, I received e-mail confirmation from each of the 12 officers.

6. I booked and conducted interviews at a location and time of choice of the volunteering participant prior to the end of week six after the initial contact was made to each officer. All interviews were audio recorded.

7. The participants could have exited the study by completing the structured interview or by not attending the scheduled interview or by voluntarily exiting

the interview prior to its completion. If a participant had exited the study for

reasons other than completing the interview, I would have selected another

participant from that officer's service, and if there had been no one to draw

from within this same service, another officer would have been contacted

from the remaining three services.

8. If the Freedom of Information documents had not been obtained after the 60

day window, I would have contacted the respective police services' Freedom

of Information Departments and inquired regarding the status of the request.

Instrumentation

No existing instrument could be found in the literature that would address the

research question of this study. As a result, Appendix B is a downloaded form from

Ontario's Freedom of Information Office and Appendix C & D are designed by me and

based in the literature. These can be viewed in detail in Appendixes B - D. The following

sentences will briefly explain the content of each Appendix B - D.

Appendix B is the Freedom of Information request document which has been

downloaded from the Ontario Freedom of Information website. It was completed and

mailed by me to each of the police services in this study.

Appendix C is an Invitation to participate in the research from myself and wassent

to the selected York Regional Police, Halton Police Service, Hamilton Police Service and

Ottawa Police Service officers. In addition to inviting participation, this email introduces

the research and myself as an officer with Peel Regional Police who is the researcher

conducting the research.

Appendix D is the study's structured interview questions.

These data collection instruments are sufficient to answer the research question with disclosure collected from participating municipal officers in Ontario and the performance evaluation policies from the 4 police organizations through Freedom of Information. Table 1 details the sufficiency of the survey with respect to its sourcing from the academic literature and my own experience as a municipal police officer. The Performance Evaluation policies obtained through the Freedom of Information process provided the disclosure of Performance Evaluation policies in the interviewed officers' police services.

Procedures for Recruitment, Participation, and Data Collection

The research question investigated was: How do performance evaluation experiences, as perceived by municipal officers, compare/contrast to the institutional performance evaluation policy goals of municipal police services in Ontario?

The performance evaluation policies data were collected through disclosure from York, Ottawa, Hamilton and Halton's Freedom of Information police bureaus. These policies were either picked up by me at these offices or mailed to me according to the preference of each of the contacted services.

The structured interviews were conducted with officers who were contacted by e-mail (Appendix C) and who volunteered to participate. The duration of the data collection events was a maximum of six weeks for the interviews to be conducted and 60 days for the performance evaluation policies to be disclosed. The breakdown of the duration of data collection events is as follows:

1. Up to day 14: The start date of the study was the day after the IRB approved it. Within the first two weeks of the start date, the Freedom of Information request forms were filled out and mailed to the respective police services. The 12 identified officers were contacted by e-mail and invited to participate.

2. Up to the end of week 6: Officers' participation was confirmed by e-mail and audio recorded interviews were conducted. If insufficient numbers had occurred, the procedure was to contact another known officer from the deficient service's officers or if I did not know any more officers from this service I would have contacted another officer from one of the three remaining services and invite him/her to participate. If there were still an insufficient number of participants I would have conducted the survey with the maximum number of participating officers available.

3. After week 6: The audio recorded interviews were transcribed and a content analysis done. Any written notes that I made during the interview with each participant, the voice recording of the interview, and its transcription were kept in a secured, locked file cabinet accessible only by me. This file cabinet was kept within my locked office at my residence. Analysis of the data was kept on a private password protected computer and on a password protected USB drive that was also kept under lock and key in the above indicated filing cabinet.

4. Up to the end of week 8: I awaited the Performance Evaluation policies from the four police services. If any had not been received at the end of 8 weeks

from the start date, I would have contacted that service's Freedom of

Information office and inquired regarding the request's anticipated

completion. Once the Performance Evaluation policies were obtained, a

content analysis of their purpose statements was done.

5. After week 8: The data from the interviews and the policies was analyzed and

    Chapters 4 and 5 of the dissertation written.

Municipal officers of participating municipal police services could exit the study

by a) not indicating an initial interest to participate b) not attending their scheduled

interview or c) leaving their interview prior to its completion or advising me after the

interview that he/she no longer wanted his/her interview included in the study. Municipal

officers would not be able to withdraw their participation after the data analysis has

begun.

Data Analysis

Once the data submission windows closed the analysis began. Following

Creswell's (2009) format for qualitative analysis, the data was organized into

performance evaluation policies and structured interviews. With respect to the structured

interviews, each recorded interview was transcribed. After being transcribed, the

transcripts were read and themes for each question were written down as they emerged.

For the performance evaluation policies, as each policy was read, themes within the

policies were identified and written down. In this way, each theme identified came

directly from the data and reflected the expression of an idea or concept relevant to the

research question, regardless of whether this idea or content was expressed in many or

few words. After the themes were identified and coded I identified sub-categories, which fell under the identified themes.

 To ensure consistency of coding, I wrote down the identified category names along with the definitions of what could be included under those categories and references to examples. As the primary researcher, I conducted a systematic approach in moving from the specific to the general in the data analysis.

Once the themes were identified, an analysis of the relationships between the coded themes and sub-categories were conducted. The results were discussed and followed by recommendations.

Alignment was measured through a content analysis comparison between municipal police services' performance evaluation policy's purposes and municipal police officers perceptions of their performance evaluation operational experiences. The more consistency there was between these two sample groups, the higher the degree of alignment between them. The less consistency there was between these two sample groups, the lower the degree of alignment between them. A high degree of alignment pointed towards responsible resource management, positive officer morale and indirectly enhanced public safety.

Issues of Trustworthiness

The credibility of this study was in having more than one source of data, obtaining saturation with respect to the research question. The study's credibility was also enhanced through me being open to the impact of my potential biases in the research, identifying discrepant data in the results, using my research committee as an external

auditing source and constantly comparing interview data to previous interviews which permits the information to be understood as a whole with emerging themes and not individual parts alone (Creswell, 2009; Anderson, 2010).

The survey instrument's credibility has been sourced from my own experience in policing, Peel Regional Police's performance evaluation policy and the literature review. There are no existing surveys relating to this research. The table below indicates examples of the sources drawn upon in the development of the questions used in the survey.

Table 1

Survey Development Resources

Condensed Survey Question	Classification	Source/Reasoning
Question 1: Receive a performance evaluation (PE)?	Non-demographic	This is a baseline question to confirm whether or not the officer is responding from his/her own experience.
Question 2: Official purpose of PE?	Non-demographic	This is a baseline question which assesses if the officer has knowledge of what performance evaluations' purposes are from an organizational perspective. For example, if an officer doesn't know PE policy but perceives to be getting little to nothing from the process this may have a negative or positive relationship together.
Question 3: Actual purpose of PE?	Non-demographic	This is a question from my experience and the work of Iwae (2009) and Smythe and Smith (2006) who have identified transparency as crucial to the formation of perceptions of organizational trust and legitimacy. A negative relationship between Questions 2 and 3 explores the degree of suspicion an officer may have in relation to the organization's stated PE policy intension compared to its actual perceived reasons for having PE (lack of transparency). For example, an officer may believe that actual police PE policy is to develop its officers but in practice believe that the organization has PEs as a means to collecting data for disciplinary and/or legal options. The greater the negative relationship between Question 2 and Question 3 may also positively relate to negative responses in questions 4 – 10.
Question 4: PE in relation to personal growth?	Non-demographic	This is as a result of reading my police service's PE policy purpose which states, "It is the policy of this Service to encourage the personal and professional growth, and effectiveness of its members through timely and constructive performance assessment…" (Peel Regional Police, 2012, I-A-214), assuming that other police services may have similar PE purposes

<div align="right">(Table Continues)</div>

Condensed Survey Question	Classification	Source/Reasoning
Question 5: PE in relation to professional growth?	Non-demographic	and wanting to know how officers perceived their PE in relation to their personal growths. A perceived lack of personal growth in relation to PEs can indirectly have a negative impact on public safety. Coutts and Schneider (2004) found that officers were not satisfied with the impact of PE on their job performances. Question 5 does not examine satisfaction levels but takes Coutts and Schneider's concept of job performance in relation of PE and expands it to professional growth, a wider term which can include dynamics such being supported in taking a course (professional growth) even if job performance (for example the number of tickets served) remains the same. Negative responses to this question will likely relate positively to negative responses in Questions 8 and 9. A perceived lack of professional growth in relation to PEs can indirectly have a negative impact on public safety.
Question 6: Impact of PE on effectiveness as an officer?	Non-demographic	Perceptions of officer effectiveness may indirectly impact public safety. If responses to Questions 4, 5 and 7 are negative, they will likely be positively related to negative responses in Questions 8, 9. If this occurs, Question 4, 5, 7, 8 and 9 may be positively related with a negative response to Question 6. In the same way, answers which indicated perceived positive benefits of the PE process will likely be positively correlated with a positive response to Question 6. This question will highlight the direction that PE has on perceptions of effectiveness and indirectly public safety.
Question 7: Impact of PE on learning opportunities?	Non-demographic	This is as a result of reading my police service's PE policy purpose which states, "It is the policy of this Service to encourage the personal and professional growth, and effectiveness of its members through timely and constructive performance assessment and through the provision of directed continuous learning opportunities" (Peel Regional Police, 2012, I-A-214), assuming that other police services may have similar PE purposes and wanting to know how officers perceived their PE in relation to their personal growths. A perceived lack of learning

(Table Continues)

Condensed Survey Question	Classification	Source/Reasoning
		opportunities in relation of PEs can indirectly have a negative impact on public safety
Question 8: Impact of PE on morale?	Non-demographic	A lack of alignment between Question 2 and Questions 3 – 14 may also be positively related to a negative response to Question 9 and generally indicate a perceived negative organizational climate with respect to PE. Griffin, Hart, & Wilson-Everard (2000) and Hart & Cotton (2003) found that a negative organizational climate is positively associated to low morale and work stress. A perceived lack of morale in relation of PEs can indirectly have a negative impact on public safety.
Question 9: Impact of PE on motivation?	Non-demographic	A lack of alignment between Question 2 and Questions 3 – 14 may also be positively associated to a negative response to Question 9 and generally indicate a perceived negative organizational climate with respect to PE. Griffin, Hart, & Wilson-Everard (2000) and Cotton & Hart (2003) found that a negative organizational climate is the strongest influence on low morale and work stress. These in turn negatively affect officer burn-out and apathy (Julseth et al., 2011). A positive alignment between Questions 2 and Question 3 – 14 may associate with positive perceptions of motivation which DeGraaf and Basu (2012) describe as initiative and performance. A perceived lack of motivation in relation of PEs can indirectly have a negative impact on public safety.
Question 10: Value of PE?	Non-demographic	This question explores the possibility that PEs may be perceived as valuable but not necessary (Question 13) due to Question 14. If the responses indicate that employees value them but don't find them necessary PEs may be valued as a ceremonial ritual (Crank and Langworthy, 1992; Scott, 2001) rather than a tool for other more tangible purposes. On the other hand, if the responses indicate that employees value PEs and find them necessary but obtain little to nothing from them (Questions 4 -9) then this suggests that isomorphic tendencies (DiMaggio and Powell, 1983)

(Table Continues)

Condensed Survey Question	Classification	Source/Reasoning
		may also occur in the employees of isomorphic institutions as well as within the organizations themselves.
Question 11: Awareness of other ways of PE?	Non-demographic	This is from my experience. I know that my police service has many ways of managing officers other than PE. If the responses are positive to this question, there could be a negative association to question 13. The more alternatives an organization has to PE, the less necessary they may be perceived as by officers.
Question 12: List ways from Question 11.	Non-demographic	See above.
Question 13: Are PEs necessary?	Non-demographic	This is an application of Institutional Theory (DiMaggio and Powell, 1983) to employees of isomorphic institutions. If the responses to questions 4 - 10 are primarily negative and the response to question 11 is positive then perhaps isomorphic tendencies occur in employees as well as organizations as demonstrated by the desire to maintain a practice that they have identified as serving minimal to no purpose.
Question 14: Reason for Question 13?	Non-demographic	See above.
Question 15 – 20: Demographic questions	Demographic	N/A

The trustworthiness of the data obtained comes from conducting structured interviews with officers who have experienced performance evaluations from municipal services, from developing a survey instrument drawn from my experience as a municipal police officer in Ontario and from the literature review which fostered the questions proposed. The officers responding to the survey were not offered any incentives or

compensation to participate and their identity is confidential. They received no organizational recognition or other benefit from participating in the structured interviews and they were communicating only their perceptions of their performance evaluation experiences. This combination of factors gave me confidence that the results are a trustworthy reflection of the lived experience of municipal officers in relation to their performance evaluations and their organizations performance evaluation policies.

The transferability of the data is primarily applicable to municipal police organizations and officers in Ontario. Further, yet less generalizable transferability can be made to other police services and officers in Ontario and then in Canada. While outside of Canada the laws and policies under which officers and police organizations operate have a greater variation from those within Canada, the results can be transferable under the general umbrella of democratic policing to other police services operating under democracies. For those not within a democratic framework of policing, these results can provide information regarding an alternate policing system.

The dependability of the data occurred through making sure that there was not a drift in the definition of codes by continually comparing the data to the coding definitions as created by myself. The confirmability of the study occurred through acknowledging the bias that I bring as a police officer researching municipal police service performance management policies and officer perceptions of their application. The interpretation of the data was checked through the guidance and auditing of my research committee.

A recognized limitation of a qualitative research approach is that this study's results are not predictive. As such, it is a snapshot in time, highlighting current policies,

perception and their relationships between Ontario municipal police performance

evaluation policies and municipal police officers' perceptions of them.

Ethical Procedures

The protection of the identity of participating police organizations comes through

the identified performance evaluation policy purpose themes from each service being

amalgamated. Only the policy purpose themes that were common to all four police

services were used.

The protection of individual officers occurred through their participation being

voluntary, and based on informed consent with the interviewee's identity kept

confidential. As the interview is not linked to a specific department and the interview

results are amalgamated, there is no way for an officer's police department to track an

officer's identity, participation or his/her responses. As this information is not available

to the police services, an officer's choice to participate or not to participate had no impact

on the dynamics or relationships within the police service that the officers worked for.

Any participant was able to withdraw participation in the research process.

All interview data collected was amalgamated with individual officers' identities

kept confidential and organizational identities were also be kept confidential with

performance evaluation policy themes being amalgamated. The only people who had

access to the data were myself and if requested, my research committee for the purpose of

analyzing the data. The data was kept in a locked area and on password protected

electronic storage devices accessible only to myself. Subsequent to the publication of the

dissertation, the data will be stored in a secure location for a period of 7 years after which time it will be destroyed.

After the results have been documented and the oral defense of the dissertation passed, the dissertation will be available through Walden University library for future reference.

Summary

This chapter has outlined the study's research design and rationale, my role as the researcher and the methodology used to accomplish the study's purpose. Issues of trustworthiness as they relate to the study's credibility, transferability, dependability, protection of participants and the collection and analysis have been included. Ethical considerations pertaining to the protection of the study's participants and the study's collected data have been noted and my plan regarding the dissemination of the study's results conclude this section of the study. Chapter 4 will discuss the data collection and analysis process of the described study.

Chapter 4: Results

Introduction

The purpose of this qualitative study was to explore the relationship between Ontario municipal police organizations' performance evaluation policies' stated purposes and the perceptions of municipal police officers in relation to their performance evaluations. The following research question was addressed by this study:

RQ: How do performance evaluation outcomes, as perceived by municipal

officers, compare to or contrast with the institutional performance evaluation

policy goals of municipal police services in Ontario?

This chapter reviews the results of conducting structured interviews with 12 municipal police officers in Ontario and examining them in relation to the stated purposes of having performance evaluations in four Ontario police services' performance evaluation policies. The chapter will begin by describing the setting of the study, demographics of the sample, data collection and data analysis methods, evidence of trustworthiness, the results, and a summary.

Setting

This study occurred in Ontario, Canada. The municipal police officers who participated in the structured interviews worked as constables for one of Ottawa Police Service, Hamilton Police Service, Halton Police Service, or York Regional Police Service. The officers who agreed to participate in the study provided the date, time, and location for their interviews. The interviews were conducted in the cities of Ottawa, Hamilton, Vaughan, Cambridge and Oakville. The performance evaluation policies were

applied for by me through Ontario's Freedom of Information application process and within 60 days were either mailed to me or I picked them up at the police service, depending on the police service's procedures. There were no personal or organizational conditions that influenced participants or their experience at the time of the study.

Demographics

Twelve officers were purposefully selected, three from each of four Ontario municipal police services, York Regional Police Service, Halton Police Service, Ottawa Police Service and Hamilton Police Service. The selection criteria was that the officers worked at the constable rank for one of these four police services and within the last two years were not part of a disciplinary or promotional process. Ten of these 12 officers I knew from prior police interactions and two indicated an interest after hearing about the study from one of the initially contacted 10 officers. The 12 officers were contacted by me and invited to participate in the study. Of these 12 officers, there were five women and seven men, three of whom were minority persons and seven were majority. Five of the 12 were between 40 and 49 years of age, four were between 30 and 39 years of age, two were between 50 and 59 years of age and one was under 30 years of age. Ten of the 12 had between 10 and 20 years of service and 2 had less than 10 years of service. Seven of the 12 had graduated from a postsecondary program and 5 had partial postsecondary education. At the time of the interviews, the 12 respondents were assigned to one of the following bureaus: uniform, youth crime, criminal investigations, recruiting, risk management, missing persons, special victims, and technological crime.

Data Collection

Twelve participants from Halton Police Service, York Regional Police Service, Hamilton Police Service, and Ottawa Police Service provided confirmation of their interest to participate in the study and each provided a date, time, and location to meet for the interview. At the time of each structured interview a consent form was reviewed and signed by each participant. The interviews were audio recorded and took approximately one hour to complete. The recorded interviews were then transcribed and printed.

Four performance evaluation policies were obtained, one each from Hamilton Police Service, York Regional Police Service, Halton Police Service, and Ottawa Police Service through Ontario's Freedom of Information legislation and application process which required that I submit a request (Appendix B) to each police service of interest with a $5.00 administration fee that requested them to release to me their performance evaluation policy. Within 60 days of sending the request, all police services had released to me their performance evaluation policies (Appendices E, F, G, and H) by either mailing the policy to me or by me picking the policy up from the police service. There were no unusual circumstances encountered in the data collection.

Data Analysis

Once the interviews were conducted and the policies obtained, the analysis began. Following Creswell's (2009) format for qualitative analysis, the data was organized into structured interviews and performance evaluation policies. This section of the chapter will identify the themes and the content highlighting the themes, which emerged from the structured interviews and the performance evaluation policies analysis. The results

section of this chapter examines the relationship between the analysis of the interview themes and the analysis of the performance evaluation policy themes.

Each interview was transcribed and then read multiple times. Each emerging theme was written down in a separate electronic document and statements that represented the themes were written into the theme documents and sourced back to the transcription from which it came. Thus, HA1, HA2, and HA3 identified themes from the three interviews from Halton Police Service; HAM1, HAM2, and HAM3 were used to identify themes from the three interviews from Hamilton Police Service; OTT1, OTT2, and OTT3 identified themes from the three interviews from Ottawa Police Service; and YORK1, YORK2, and YORK3 identified the three interviews from York Regional Police Service.

Once all themes were identified and placed in separate theme documents, the theme documents were analyzed for subcategory themes within each primary theme. These subcategories were then labelled and examined for content and frequency. At times, subcategories could be joined under larger subcategories and when this was possible, smaller sub-categories were amalgamated under larger subthemes. Ideas that only had one respondent expressing them and could not be amalgamated into a larger subcategory were not included in the analysis to protect the confidentiality and identity of the respondent. A total of 13 primary themes emerged from the interview data, each with subcategory themes within them.

For the performance evaluation policies, as each policy purpose was read, themes within the policies' stated purposes were identified and written down. The themes were

then grouped by commonalities and those with the most commonalities were retained as themes occurring in more than one municipal police services' performance evaluation policy purposes. Policy purposes that were not duplicated in other services were excluded from the results to protect the identity of the police service.

Further in this chapter, I present an analysis of the identified interview and policy themes that occurred including transcript excerpts from different officers. The officers have been identified as Officer A, B, C etcetera to indicate separate officers and protect their possible identification.

Evidence of Trustworthiness

The credibility strategy of this study was to have more than one source of data. Fusch and Ness (2015) argued that data triangulation ensures data saturation. Data triangulation in this study involved using different officers from four different municipal police services in Ontario, Canada. The themes obtained from these different sources were examined in relation to four different performance evaluation policies from four different municipal police services in Ontario, Canada. The interview protocol's credibility has been sourced from my own experience in policing, Peel Regional Police's performance evaluation policy, and the literature review.

Saturation with respect to the research question was also reached by no new themes emerging in the data. Guest, Bunce, and Johnson (2006) indicated that in studies of a homogenous population, a sample of six is sufficient for themes to be known at a level of saturation. This realization on the part of Guest et al. (2006) came in retrospect after analyzing the data. In the same way, although I had interviewed 12 individuals

anticipating that this would be adequate to attain saturation based on the work of researchers such as Bryman (2012), in analyzing the data I established that, as with the experience of Guest et al. the study's themes emerged within six interviews. There were no additional themes that emerged from analysis of the remaining six interviews, which enhances the study's credibility. Francis et al. (2010) recommended that once no new themes are being obtained in relation to the area of study, an additional 2 or 3 interviews be conducted to confirm the initial determination that no knew themes have emerged. In this study, I analyzed a total of 12 interviews, and while no additional themes were added from the last interviews analyzed, the information from all the interviews was used in analyzing the data. Finally, the study's credibility was also enhanced through me being open to the impact of my potential biases in the research, identifying discrepant data in the results, using my research committee as an external auditing source, and constantly comparing interview data to previous interviews, which permitted the information to be understood as a whole with emerging themes and not only individual parts alone (Creswell, 2009; Anderson, 2010).

The trustworthiness of the data obtained came from conducting audio-recorded structured interviews with officers who have experienced performance evaluations from municipal services, from developing a survey instrument drawn from my experience as a municipal police officer in Ontario, and from the literature review, which fostered the questions proposed. With me as the sole researcher, there was consistency in the manner the structured interviews were conducted. The audio-recorded interviews were transcribed, which resulted in an exact documentation of the interview for analysis. The

respondents were not offered any incentives or compensation to participate and their identity is confidential. The performance evaluation policies were obtained through the Freedom of Information Bureaus and independent of any of the services' hierarchies or authorizations. This combination of factors gave me confidence that the results are a trustworthy reflection of the lived experience and perceptions of municipal officers in relation to their performance evaluations and their organizations' performance evaluation policies.

The transferability of the data is primarily applicable to municipal police organizations and officers in Ontario. Further, less generalizable transferability can be made to other police services and officers in Ontario and in Canada. While outside of Canada the laws and policies under which officers and police organizations operate have a greater variation from those within Canada, the results can be transferable under the general umbrella of democratic policing to other police services operating under democracies. For those not within a democratic framework of policing, these results can provide information regarding an alternate policing system.

The dependability of the data required assurance that the interviews were accurately retained. This was done by audio recording each interview with the interviewee's signed consent prior to the interview. After recording the interviews and transcribing them verbatim; the dependability also occurred by ensuring that there was not a drift in the definition of codes by continually comparing the data to the coding definitions that I created.

The dependability was also enhanced through the sample being saturated at twelve participants who are municipal police officers at a constable rank (not promoted) and who represented ages from 20 to over 50, male and female, of different races and cultures and different areas of employment within policing, and with most having between 10 and 20 years of policing experience. While policing and officers change, these changes occur slowly. These factors increased the dependability of the research. If these same officers were given the same structured interview, their responses and perceptions would likely be close to the same. In the same way, policies are slow to change. If Freedom of Information requests were resubmitted, it is likely that the returned performance evaluation policies would be the same or with minor changes for several years subsequent to this research. It would be interesting for future research to conduct this structured interview process again with these same officers in 5 years and compare the results.

The confirmability of the study occurred through acknowledging the bias that I bring as a police officer researching municipal police services performance management policies and officer perceptions of their application. To address this, this study documented the procedures used to check the data obtained in the study that could facilitate the results being confirmed by others. The interview protocol also facilitated the same questions being asked in the same order to respondents and limited opportunities to conduct the interviews in line with any bias I or another researcher may have brought to the interview. The interview transcripts are available for a period of 7 years for another

researcher to examine as well as the performance evaluation policies and all documentation relating to its analysis.

A recognized limitation of a qualitative research approach is that this study's results are not predictive. As such, it is a credible, transferable, dependable, and confirmable snapshot in time, highlighting the relationships between Ontario municipal police performance evaluation policies and municipal police officers' perceptions of them.

Results

The purpose of this qualitative study was to explore the relationship between Ontario municipal police organizations' performance evaluation policies stated purposes and the perceptions of municipal police officers in relation to their performance evaluations. The following research question was addressed by this study:

RQ: How do performance evaluation outcomes, as perceived by municipal officers, compare to or contrast with the institutional performance evaluation policy goals of municipal police services in Ontario?

In the sections below, the results of the data analysis are described through interview themes and then policy themes. The interview themes are expanded and represented with selections from the officers' interviews.

Interview Themes

Theme 1: Performance evaluation awareness. This theme examines if a performance evaluation policy exists and if so, how often evaluations occur and what circumstances provide for discrepancies.

Subcategory A: Policy existence. All respondents indicated that their police service has a performance evaluation policy.

Subcategory B: Evaluation frequency. All respondents reported that they are supposed to receive a yearly performance evaluation.

Subcategory C: Evaluation frequency discrepancies. Three of the twelve respondents (25%) indicated possible variations which could affect performance evaluation frequency. When officers do not receive their evaluations on a yearly basis, variations noted to obtaining an annual performance evaluation were identified as being a result of the officer having varied assignments in the year, having varied supervisors, having negligent supervisors or being off on sick leave, maternity leave or a leave of absence.

Table 2

Evaluation Occurrence

Subcategories	Responses	%
Performance evaluation policy exists	12/12	100
Performance evaluation received yearly	12/12	100
Variations to yearly receipt of evaluation	3/12	25

Theme 2: Perceived official performance evaluation's purpose. This theme examines what respondents perceive as the official purpose of having a performance evaluation in their police services. There were 32 identified ideas in the transcripts that expressed thoughts in relation to this theme.

Subcategory A: Correction. Seven of the 32 responses (22%) indicated that performance evaluations exist to document weaknesses for the purposes of correction and/or termination. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

> Officer I: It's all just; it's something they have to do for paperwork, paper trail. Follows as an officer as you go and again I think it's more for those officers who are struggling and having issues that those ever get brought up right?...They can pull that and use that against you, ya.
>
> Officer K: If they're [officers] trying to say, "Hey I haven't had any of these problems documented before", they [supervisors] can go back and see that and see that there is a problem and realize that at least it's been ongoing for a while and never corrected. …It can also be useful in saying "Hey this is an ongoing problem" and it could be used to help terminate the person if need be.

Subcategory B: Management tool. Eighteen of the 32 responses (56%) indicated that performance evaluations exist to demonstrate organizational thoroughness, to provide an overview of information on employees, is used as an information source for applications and is a tool for quality control. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer C: I've been told the official purpose of this is to make sure that you're

meeting the service's requirements for your job and to see where you stack up

versus other people.

Officer G: I think the official purpose is just to meet some form of mandate or

some form of guideline within the service itself.

Officer D: I think that from an official point of view it's just to show that

something is being done as a measure to evaluate what you've done for the year.

Subcategory C: Officer development. Six of the 32 responses (19%) expressed

the idea that performance evaluations exist to develop officers. The following quotations

are from different officers and services in relation to this sub-category. The officers and

services have not been identified as Officer A, B or Service A, B etcetera in order to

further protect the possible identification of the officers and services.

Officer E: I think it's a time for them to sit down with you to say, "Okay you're in

this . . . right now, what do you want do? . . . How can we get your there?" . . .

That's usually the performance. They kind of talk about planning, succession

planning and then how you're doing in your unit right now.

Officer B: You have your goals on your performance evaluations from the

beginning of the year and it just show whether you're meeting your goals, if you

can work independently. . . . It's for when it's time for any promotional process or

if you're looking for a spot in a unit, they could pull up your performance

evaluations and just see how you've been doing . . . and what kind of comments

have been left throughout the years about you.

Table 3

Perceived Official Purpose of Performance Evaluations

Subcategories	Responses	%
Officer correction	7/32	22
Management tool	18/32	56
Officer development	8/32	19

Theme 3: Perceived actual performance evaluation's purpose. This theme examines what officers believe to be the actual purpose in having performance evaluations. There were 27 expressed ideas in the transcripts in relation to this theme.

Subcategory A: Correction. Four of the 27 responses (15%) to this theme considered the actual purpose of performance evaluations exist to document weaknesses for the purposes of correction or documentation supporting termination. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

> Officer E: I think to weed out the people who are doing poorly and push them to maybe go in [*sic]* back to the road or doing something that is not a specialty section.

> Officer C: I think the actual purpose is to be used against you in a disciplinary process to be like, "Well you screwed up" and "Well look at your performance".

Subcategory B: Management tool. Twelve of the 27 responses (44%) to this theme considered the actual purpose of performance evaluations was to demonstrate organizational thoroughness in evaluating staff, to provide an overview of information to management, to be an information source for applications and is a tool for quality control. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer G: The actual purpose I would say is just the same thing, it's just from their side to say that they've done it. I don't really know if it's being reviewed or looked at as in detail with a lot of them.

Officer I: I think that's the actual purpose of it, is CYA [cover your ass]. They're covering their ass, they have paperwork. If they need to go to it for any reasons, they've had it and they've done it.

Officer H: It seems to be a way of pretending that they have a measure to accurately determine on a person basis. I think they, I have to believe that they understand that it is a very poor measure of what they are trying to claim it measures.

Subcategory C: Officer development. Five of 27 responses (19%) indicated that performance evaluations exist to develop officers by helping to keep track of an officer's goals, to give officers feedback regarding their performance and providing a motivational baseline for officers.

Subcategory D: Unknown/no purpose. Six of 27 responses (22%) indicated that they did not know what the actual purpose of performance evaluations were or thought that there was no actual purpose to having them. In general, these responses reflected the interviewee not knowing how the performance evaluation was used, not believing that they were accurate or detailed regarding actual work performance and/or believing that performance evaluations were a grandfathered system that were done from custom and not viewed or used again. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

> Officer B: I really do think that they just do it and they get stored away somewhere and it never gets seen again. It's just something that's been grandfathered in for so many years and I don't think anyone ever even takes a look at those when it comes to promotions or anything like that.
>
> Officer L: I've had pretty much good performance evaluations but I don't necessarily think they're accurate either so I don't think they reflect some of the hard work that I've done

Table 4

Perceived Actual Purpose

Subcategories	Responses	%
Officer correction	4/27	15
Management tool	12/27	44
Officer development	5/27	19
Unknown/No purpose	6/27	22

Theme 4: Perceived impact of performance evaluations on personal growth.
This theme examines the perceived impact that performance evaluations have had on an officer's personal growth. There were a total of 15 ideas from the transcripts that fit into this theme.

Subcategory A: None. Eight of the 15 responses (53%) indicated that performance evaluations have had no impact on the officer's personal growth. Personal growth in relation to this sub-category was seen as being independent of performance evaluations. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer C: I don't give a shit. They mean nothing to me. I want to do well in them obviously but when you start looking at them and they're cut and pasted from other things . . . it becomes pretty redundant.

Officer F: I more or less set goals for myself . . . I'm really not competing with anybody else . . . so the performance evaluations are good 'cause they kind of structure it but my own personal growth I mean I think I'd still probably set the same goals.

Officer K: It [positive feedback] doesn't help the personal growth it's just makes you feel good about it for a while at work.

Subcategory B: Identify skills and strengths. Three of 15 (20%) responses within this theme considered their performance evaluations to assist them in their personal growth by identifying their skills and strengths. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer E: I've had some pretty good supervisors…my previous supervisor said, "I think you'd be really good at that" and I was like, "Oh okay" and . . . it's just a one on one where they can help you and build you.

Subcategory C: Goals and structure: Four of the 15 (27%) sub-category responses related to performance evaluations helping officers' personal developments by articulating their goals and providing a structure for feedback to occur. The following quotations are from different officers and services in relation to this sub-category. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer G: I'm happy to say in certain aspects it's been positive for me because like I do note what my goals are and where I want to be or where I want to strive or what I want to do . . . but I also make it verbal as well throughout the year that I'm constantly referring back to things that I've already written down.

Officer J: I may say, okay in this timeframe for my personal growth maybe this is the opportunity I'll take for the year 2015 to do personal growth so it somehow will align in with the my personal goals that I may have set for the job.

Table 5

Performance Evaluation's Perceived Effect on Personal Growth

Subcategories	Responses	%
None	8/15	53
Identifies skills/strengths	3/15	20
Assists with goals and structure	4/15	27

Theme 5: Perceived impact of performance evaluations on professional growth. This theme examines the perceived impact of performance evaluations on officers' professional growth. There were 22 sub-category responses from the transcripts which expressed this theme.

Subcategory A: Movement. Eight of the 22 subcategory responses (36%) indicated that performance evaluations can assist or block movements depending on their content. The following quotations are from different officers and services in relation to

this subcategory. The officers and services have been identified as Officer A, B, C

etcetera in order to further protect the possible identification of the officers and services.

> Officer K: I had some good appraisals and that helped me secure a spot in CIB. . .
> . It's those evaluations that, as long as they stay good, they help you.
>
> Officer H: If you don't give a shit about getting promoted, I don't see what it
> could do to make you better or worse.
>
> Officer E: I've had other friends that don't have a great supervisor and do really,
> really great work and so it's kind of minimized what they're doing. I can only
> speak to my experience has been great because you bust your butt, you try to get
> along with your supervisor hoping for this great performance review, if you have
> a great performance review, then you're gonna [sic] get other jobs . . . .If you
> don't get along with your Sergeant and you don't have a good performance
> review, you're not going anywhere.

Subcategory B: None. Nine of the 22 subcategory responses (41%) in this area

expressed the idea that performance evaluations had no impact on their professional

growth. The following quotations are from different officers and services in relation to

this subcategory. The officers and services have been identified as Officer A, B, C

etcetera in order to further protect the possible identification of the officers and services.

> Officer F: I don't know how much impact it actually has. . . . Me going out and
> policing and doing proper police work that's how you achieve professional
> growth.

Officer A: [Professional development] is completely tied in to having good supervisors in our line of work, is crucial for many things . . . your success, your failure.

Officer H: When I was in the units and somebody applied to the units, nobody came in and sat down and said let's see what his evaluation said. They would come in and say, "These are the people that are applying, what do you know about them? Can we work with them? Will they fit in?" That's what the bosses care about…'cause [*sic*] we can train you to do your work.

Subcategory C: Documentation Five of 22 subcategory responses (23%) indicated that performance evaluations document professional movement and progression. The following quotations are from different officers and services in relation to this subcategory. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer F: It's a way you're to be . . . our supervisors and your supervisors' supervisors and so on and so forth to see how you're progressing and see if you are achieving your goals to make sure that you're on point and on track with what you're supposed to be doing.

Officer E: Now what I do is I just keep notes in like a log, of things that I've done because sometimes they forget, right? ...You better hope that they know 'cause [*sic*] they have to write about it later. It's kind of crazy.

Table 6

Performance Evaluation's Perceived Effect on Professional Growth

Subcategories	Responses	%
Helps with internal movement	8/22	36
None	9/22	41
Career Documentation	5/22	23

Theme 6: Perceived impact of performance evaluations on officer effectiveness. This theme examines the ways in which performance evaluations are perceived to impact an officer's effectiveness. There were 15 sub-category responses from the transcripts which expressed this theme.

Subcategory A: None. Eleven of the 15 (73%) subcategory responses indicated that performance evaluations do not impact an officer's effectiveness. The following quotations are from different officers and services in relation to this subcategory. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer H: Zero completely zero . . . if they're waiting to my once a year evaluation to give me tips that's a flaw in the process.

Officer I: I don't think it's affected me at all as far as my effectiveness. It doesn't provide . . . . I haven't had the experience where I've been provided feedback on what I should be doing in certain areas or how I should be doing things differently

which is where I would think it would affecting effectiveness because I would

make a change, right?

Officer F: I've always thought that it's not what they [supervisors] think, it's what

the people around you that work with you think . . . I'm backing people up,

everyone gets home safe, that's kind of important to me. Whether the bosses think

my numbers are crap or whatever, it doesn't mean I'm doing nothing all day.

Officer J: I find that the PADP's a measuring tool and it doesn't seem to

encompass what policing really is or could be . . . we can measure arrests,

whether they're good arrests or bad arrests it doesn't matter . . . I could be taking

a youth home and sitting down with the parents and having a conversation to try

to stop this youth from having future issues but yet I can't measure that.

Subcategory B: Correction. Three of the 15 subcategory responses (20%) indicated that

performance evaluations assist in correcting behavior. The following quotations are from

different officers and services in relation to this subcategory. The officers and services

have been identified as Officer A, B, C etcetera in order to further protect the possible

identification of the officers and services.

Officer F: If I make a mistake I want to know about it because I don't want to

make that mistake again so whether it's written down or whether it's formal or

informal, I think it's definitely going to improve effectiveness.

Table 7

Performance Evaluation's Perceived Impact on Officer Effectiveness

Subcategories	Responses	%
None	11/15	73
Officer Correction	3/15	20

Theme 7: Perceived impact of relationships on performance evaluations. This theme surrounds the impact and value of relationships in relation to performance evaluations. There were 23 subcategory responses from the transcripts which expressed this theme.

Subcategory A: Supervisor relationships. Fourteen of the 23 subcategory responses (61%) indicated that a good relationship with your supervisor impacts performance evaluations in terms of leniency, accuracy and access to courses and lateral movements. The following quotations are from different officers and services in relation to this subcategory. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer D: I believe supervisors assess strengths and weaknesses based on likes and dislikes. Who likes who and who fits more comfortable with the group.

Officer I: At least my experience has been very consistent every year and I've always had good relationships and I think that also has a lot to do with it, your relationship with your sergeants, and I've always had a very good relationship with the sergeants every year.

Officer C: It's not what you know it's who you know and as long as you make

somebody look good, they will bring you along for the ride so if you attach

yourself to the people that are going to run your service or whatever, they'll bring

you along with them.

Subcategory B: Peer relationships. Ten of the 23 subcategories identified (43%)

indicated that having police peer friendships can assist in movement within the

organization more than performance evaluations. The following quotations are from

different officers and services in relation to this subcategory. The officers and services

have not been identified as Officer A, B, C etcetera in order to further protect the possible

identification of the officers and services.

Officer H: Now I know how much personality plays into getting things that you

desire and people liking you and things like that, that are not going to be worked

into an annual evaluation.

Officer C: Girls that do hard work and work their butts off tend to get further

along, it's the men that I find that are the ones that are slacking in certain respects

because they go out for beers and play hockey or whatever, they tend to get more

based on relationship building than a female.

Table 8

Role of Relationships in Relation to Performance Evaluations and Career Movement

Subcategories	Responses	%
Positive supervisor relationships are key	14/23	61%
Positive peer relationships are key	10/23	43%

Theme 8: Perceived impact of performance evaluations on learning opportunities. This theme examines the relationship between having a performance evaluations and an officer's learning opportunities. There 13 sub-category responses from the transcripts which expressed this theme.

Subcategory A: No association. Seven of the 13 subcategory responses (54%) indicated that performance evaluations do not assist with learning opportunities. Learning opportunities are independent of the performance evaluation and are based on informal processes such as relationships, seniority, supervisors observing work and giving courses based on perceived abilities. The following quotations are from different officers and services in relation to this subcategory. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer C: I don't think they have any impact on learning opportunities. I don't think they look at your performance evaluation when deciding what courses you get.

Officer H: Well none 'cause [*sic*] already think it's just the numbers game and personality that got me what I got….There's no way anyone ever looked at my evaluation before they decided to send me on a course.

Officer B: I don't think it's had any impact. When we get offered courses and stuff like that it's always on seniority.

Subcategory B: Minimal association. Six of the 13 subcategory ideas (46%) indicated that performance evaluations can document an officer's interest in learning opportunities but obtaining them is also connected to other factors such as favoritism, the requirements of the position, staffing levels and the extra work of an officer. The following quotations are from different officers and services in relation to this subcategory. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer E: If you're meeting standards or you're below, you're not going to get opportunities to get courses. It's just not going to happen whereas if you're doing well, it's they'll look down the list and be like, "Oh ****'s done extra or whatever, we'll send her 'cause [*sic*] she deserves it".

Officer K: It gives us a forum, formal forum . . . where we are expected to put down what we want. . . . it means that I'm interested in it, it does not mean we're going to get it . . . people in positions where it's needed will get that first and because it's done out of necessity first and then out of what spaces are left.

Officer D: You know what you need to do your job more effectively but at the same time, either the courses aren't available or you're not the next one to get the

course. . . . Performance reviews . . . for instance . . . even though there's no

quotas per say, you're still measured on your productivity, right? If your

productivity is not meeting the mindset of the officer in charge at the time you're

being held back . . . [there's] different things, things can happen and you might go

and say, "Can I go on this course?" and they might say, "Actually we can't send

you out this time because we have this and we have that." . . . So somewhere

along the line you've gotta [*sic*] also understand that makes sense but if you also

see the same people having the opportunities after opportunities you're gonna

[*sic*] say, "Hold on here, let's pump the brakes here, let's try and figure this one

out".

Table 9

Performance Evaluation's Perceived Effect on Learning Opportunities

Subcategories	Responses	%
None	7/13	54
Minimal	6/13	46

Theme 9: Perceived impact of performance evaluations on officer morale.

This theme looks at the perceived impact of performance evaluations on officer morale.

There were 27 subcategory responses from the transcripts which expressed this theme.

Subcategory A: None. Nine of the 27 responses (33%) considered that

performance evaluations do not affect morale as they are a time consuming and tedious

process that few read and which have little impact overall. Performance evaluations are

just something that has to be done. The officers and services have been identified as

Officer A, B, C etcetera in order to further protect the possible identification of the

officers and services.

> Officer C: I guess when I see my performance evaluation come to me it has no
>
> effect on my morale because I know that it's not going anywhere, it's barely
>
> being read so I guess it would be neutral because who cares?"
>
> Officer F: Myself it doesn't have an impact. Whether I'm evaluated by my bosses
>
> or myself it's all the same thing. I'm probably harder on myself than anybody
>
> else.
>
> Officer I: If you're talking about my personal morale, zero impact. I tend to be a
>
> positive guy and I've been that way for . . . years, I've tried not to change it.

Subcategory B: Negative. Thirteen of the 27 subcategory responses (48%) for this

theme indicated that perceived performance evaluations to negatively impact officer

morale as they are largely dependent on the quality of the supervisor and not the work of

the officer, what a supervisor writes can't be changed, supervisors are not evaluated by

their staff, favoritism results in better evaluations for friends and there is no

accountability for supervisors regarding quality. The officers and services have been

identified as Officer A, B, C etcetera in order to further protect the possible identification

of the officers and services.

> Officer J: I think that for individuals that do get promoted, it's valuable to see
>
> how that person is perceived, like I said, just in the lower ranks . . . 'cause [*sic*]
>
> really my supervisor [*sic*] can write anything they want to about me and even

though I have an opportunity to review it at the end before I sign off on it, it doesn't change anything and then what? Do I just look like somebody that's sour grapes, you know? Thinking I'm better than what I am? I don't know.

Officer E: Whatever happens at work does have an effect on your home life too, especially when you're getting this evaluation once a year. What do you have like another year to bust your ass to prove yourself again? It does affect it. Yeah, stressful, disheartening, brutal, all those things, you know? It's your career, right, for me it's not just the money, it's what can I do? What position can I get into to better my family?

Officer L: I'm a little bitter at the fact that I put in a lot of hard work over the years and I don't think that it's reflected and I think it's unfair that it's not reflected and it makes me think that no matter how much heart I put into the work or how well I perform, it's not going to make a difference.

Subcategory C: Positive. Five of the 27 subcategory responses (19%) thought that performance evaluations positively impact officer morale. Morale can be positively affected if the evaluation is positive with attention to details specific to the officer and being appreciated on evaluations increases morale.

Officer A: If my boss knows I'm doing well and lets me know, I don't need it constantly, but at the end of the year when they say, "You know what? You're doing great, keep up the good work, we're really happy to have you here and you're doing well." it's motivating too to continue to do well.

Officer J: If I have a supervisor that has outlined positive things that I've done, I

do feel proud that I have been able to put forth my best efforts . . . but again your

performance appraisal is only as good as your supervisor.

Table 10

Performance Evaluation's Perceived Impact on Officer Morale

Subcategories	Responses	%
None	9/27	33
Negative	13/27	48
Positive	5/27	19

Theme 10: Perceived impact of performance evaluations as motivating

officers. This theme examines officers' perceptions in relation to the motivational impact

of having performance evaluations on them as officers. Fifteen subcategory responses

were provided in relation to this theme.

Subcategory A: Performance evaluations are motivating. Five of the 15

subcategory responses (33%) indicated performance evaluations to assist with their

motivation as officers. The officers and services have been identified as Officer A, B, C

etcetera in order to further protect the possible identification of the officers and services.

Officer K: It helps us a little bit with some of the goals which usually they're

almost nothing. One of the ones . . . I've set for myself this year . . . has motivated

me a little bit.

Officer E: If you're being recognized for the work that you're doing, you're

gonna [*sic*] feel good about what you're doing and you're gonna [*sic*] want to

continue what you're doing.

Officer D: It motivates, not that it motivates me but it is a motivator because I

know eventually I'm gonna [*sic*]be sitting down and also give me the opportunity

to say that I can lend my voice at that time as to either my pleasures or my

displeasures of what's happening at any time.

Subcategory B: Performance evaluations are not motivating. Ten of the 15

subcategory responses (66%) did not perceive performance evaluations to be motivating.

The officers and services have been identified as Officer A, B, C etcetera in order to

further protect the possible identification of the officers and services.

Officer C: They have zero impact on my motivation for the fact that they don't go

anywhere . . . but again, that one's solely based on your sergeant's perception of

you…some sergeants don't care, some other ones are actually on top of it . . . I am

not motivated to do well on my performance evaluation, I'm motivated to do well

in my job.

Officer B: I don't think it's had any impact. The performance evaluation, after I

sign off on it at the beginning of the year I forget about it. It's not even on the

back of my mind till the end of the year when they ask me to sign off on the next

one.

Officer H: It is something I never think about other than, the only time I gave it

any thought is to think about things like how it was designed for everyone to be

average to meet standard and what a poor tool it is to accurately describe what we

do in here.

Table 11

Performance Evaluation's Perceived Effect on Officer Motivation

Subcategories	Responses	%
Motivating	5/15	33
Not Motivating	10/15	66

Theme 11: Officer Perceptions on the Value of Performance Evaluations.

This theme looks at officers' perceptions around the value of having a performance

evaluation. There were 24 subcategory responses in relation to this theme.

Subcategory A: Valuable for officer correction or improvement. Six of the 24

subcategory responses (25%) considered performance evaluations as valuable for officer

discipline and/or correction. The officers and services have been identified as Officer A,

B, C etcetera in order to further protect the possible identification of the officers and

services.

Officer K: It's pointless. The only time it's useful is if a person is having a really

tough time and then it might scare them into getting them up into where they

should be at. Otherwise it's pointless.

Officer L: Ya they're valuable in the sense that nobody wants to get that "needs

improvement" check mark. Nobody wants to have negative things put in there but

from a different perspective I don't know whether or not people actually have negative things put in there.

Officer A: Oh ya I think they are [of value]. I think it's a self-check every year. It would bother me if had a year where I was off.

Subcategory B: Valuable as an organizational tool. Four of the 24 subcategory responses (17%) considered performance evaluations can be valuable as an organizational tool. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer C: I think it's just more for an HR purpose than anything.

Officer F: Formal, I mean they're necessary because they do allow supervisors to track supervisors to track you….If it was just informal then it would be hard to insure people are doing what they're doing and keeping track of people.

Officer A: If I'm in a position where I become a supervisor and I get put in a section where I'm working with these people who have been officers for 10, 15, 20 years, I'd like to know where they've come from, what they've gone through and if the performance evaluations are in you see.

Subcategory C: Variable value. Ten of the 24 subcategory responses (42%) consider the value of performance evaluations to be variable depending on how personal the evaluation was and how good the supervisor was. The following transcript quotations are examples from different officers and services. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer L: It depends on who's evaluating and your supervisor . . . . Their

motivation comes into play but ya, that's exactly it. I think they could be valuable

if they were used properly. I just don't think they necessarily are all the time.

Officer B: I don't think there's a lot of value but I think there could be. I know it's

just; again it's a supervisor thing . . . I've only had one supervisor that took the

time to actually look through everyone's calls every day and pick out good stuff .

. .since then it's just, it has no point if there's nothing good being put on it.

Officer E: Once the performance reviews are done, if you can actually get them

done, I've had a pretty good overall experience with my evaluation. Like I said I

had to chase a little bit so that sucked and then finally when it was done, the value

for me was that I got to go into a different position. Without a good one you're

not gonna [*sic*] go anywhere, you're gonna [*sic*] be going back to the road.

Subcategory D: No value. Four of the 24 subcategory themes (17%) considered

performance evaluations to have no value. The officers and services have been identified

as Officer A, B, C etcetera in order to further protect the possible identification of the

officers and services.

Officer G: With the supervisors, I'm sure it's tedious to them too going oh my

god I've gotta [*sic*] break off the road now and sit down and do performance

appraisals all of a sudden and make up comments.

Officer H: In its official role as being an accurate reflection of what a cop does

any given year it has no value . . . a job where you essentially work alone with no

oversight and then to bring in this once a year thing to reflect what only oversight

could reflect is absurd.

Officer C: It's a useless thing that you do every year.

Table 12

Performance Evaluation Perceived as Valuable

Subcategories	Responses	%
For officer correction/development	6/24	25
As an organizational tool	4/24	17
Value is variable	10/24	42
Not valuable	4/24	17

Theme 12: Officer perceptions of alternate sources of feedback other than performance evaluations.

This theme looks at ways, other than performance evaluations, that police organizations give feedback to employees. There were 40 responses that were applicable to this theme.

Subcategory A: Relationships. Three of the 40 subcategory responses (8%) indicated that relationships with co-workers and supervisors generate feedback to officers. The officers and services have been identified as Officer A, B, C etcetera in order to further protect the possible identification of the officers and services.

Officer C: I actually took it upon myself on my day off to call the couple, sort

everything out over the phone and then I called the sergeant and said listen I took

care of this call for you . . . again they're relationship building so that sergeant

now knows my name and then it's just like, oh ya I remember you, you did this.

Officer K: The managing and promoting people I think is largely done just

through relationships with your supervisors…and again it's conversations".

Subcategory B: Positive reinforcement. Twenty-two of the 40 sub-category

responses (55%) indicated that positive behavior is addressed through other avenues than

performance evaluations such as recognition e-mails from supervisors,

commendations/awards/coins, internal publication of the positive actions, and providing

additional courses/training. The following transcript quotations are examples from

different officers and services. The officers and services have been identified as Officer

A, B, C etcetera in order to further protect the possible identification of the officers and

services.

Officer L: I'm not sure what they're called officially but the "Atta boys" where

you can send a letter in and somebody can be . . . congratulated for good behavior

. . . Sometimes, "Hey you've done a really good job on this, here's the 8 hours for

doing an awesome job". That's pretty rare I think . . . . There's also the challenge,

there's coins they give out.

Officer E: Like letters come in from the community about certain people. It can

either go into - - - a monthly magazine thing or he sends it by email or he'll send

you an email saying I got this letter from some community member or police

sergeant or whatever saying you did amazing work. Police commendation or a

senior officer's commendation or a supervisor recognizes your good work than

then you would get an award for that.

Officer H: It is completely ad hoc and it depends on who's in charge at a given

moment. Depending on your platoon they're gonna [*sic*]offer courses as the thing

that dangles to make you want to work harder . . . the numbers game is definitely,

at the beginning of your career, how it is run.

Subcategory C: Corrective documentation. Fifteen of the 40 subcategory

responses (38%) indicated that there a methods of addressing negative behavior other

than performance evaluations. Negative behavior is addressed through written

documentation, hours of pay deducted, Police Service Act charges and/or criminal code

charges. The officers and services have been identified as Officer A, B, C etcetera in

order to further protect the possible identification of the officers and services.

Officer F: If you are doing something and you know you shouldn't be doing it,

performance evaluation or not, you're probably going to get in trouble. Well,

whether it's the Police Services Act or criminal charge, I guess it's gonna [*sic*]

depend on what kind of trouble you're getting yourself into. I mean some people

may, whether it's neglect of duty because you just don't want to do your job or

whether it's because you're doing something way off side and you're getting

criminally charged.

Officer C: Discipline is done outside of that [performance evaluations] too like

through PSB [Police Services Board] and getting pulled into the Staff Sergeant's

office and everything like that . . . believe me if somebody is unhappy about you,

emails get sent as well. Then if you get documented for something you have to

sign your document and it goes into your performance evaluation.

Table 13

Alternate Methods of Employee Feedback

Subcategories	Responses	%
Relationship feedback	3/40	8
Positive documentation	22/40	55
Corrective documentation	15/40	38

Theme 13: Officer perceptions of performance evaluations as necessary. This

theme looks at the ways in which officers perceive the necessity of the performance

evaluation. There were 23 sub-category ideas expressed in relation to this theme.

Subcategory A: Organizational benefit. Eight of the 23 subcategory ideas (35%)

indicated that performance evaluations are necessary for the organization. The officers

and services have been identified as Officer A, B, C etcetera in order to further protect

the possible identification of the officers and services.

Officer I: It can be used to track somebody who is having a tough time because

let's face it there's always a turnover of sergeants and a new sergeant coming in.

Just meeting someone for the first time, they should be able to have a little bit of

paperwork to see who they're dealing with, right?

Officer K: They're necessary for the organization . . . I think the performance

evaluation is important but I think it needs to change. I think it needs to be more

personalized but that's a more difficult approach and I don't see that happening

anytime soon. It's more difficult organizationally.

Officer F: Your bosses know what you're doing and they're able to keep track of

people so if somebody isn't achieving . . . then it sends off a warning signal and

maybe something else is going on. Maybe there's an issue at home, maybe they're

not getting enough sleep, and maybe something's happening.

Subcategory B: Officer benefit. Twelve of the 23 subcategory responses (52%)

indicated that performance evaluations are necessary for the officer's benefit by way of

feedback discussions, goal setting, and development. The officers and services have been

identified as Officer A, B, C etcetera in order to further protect the possible identification

of the officers and services.

Officer A: It's a good self-check . . . supervisors check in on us and at the end of

the year you kind look back and say, well a lot happened that year. It's a good

self-check, it's a good way to propel yourself into the next year I think.

Officer G: For those who use it for what it's worth it's necessary to them. By

having even a small minority of those that use it in that positive way I think it's

necessary for them . . . . I think because of that group alone everybody should

have to do it.

Officer D: I think it is something that is valuable because again someone else is

showing their view on who you are. You are having the opportunity to respond

and to show who you believe you are and then overall there's an overall

understanding of what is expected of you. I believe there needs to be once in a

while, that sit down with whoever it is that is supervising you or to make sure that

things are still in line.

Subcategory C: Not necessary. Three of the 23 subcategory responses (13%) indicated

that performance evaluations are not necessary due to both the system of evaluation and

the nature of some officers towards it. The officers and services have been identified as

Officer A, B, C etcetera in order to further protect the possible identification of the

officers and services.

Officer H: It would just be so much better if what they relied on was a valuable

tool rather than smoke and mirrors . . . is the best we've got now and it leaves

people by the wayside so it's not a good system . . . . These shitty evaluations are

such a waste of time.

Officer G: Every time there's an email sent that you have to do your performance

appraisals you hear everyone like, the sighs and, "Oh what did you put down?" or,

"Send me what you put down". It's like cookie cutters, right? "That answers, just

change it around slightly" . . . . ya, you know a lot of that's going around, so you

know that a lot of them just think of it as, whatever.

Table 14

Performance Evaluations Necessary?

Subcategories	Responses	%
Yes for the organization	8/23	35
Yes for the officer	12/23	52
Not necessary	3/23	13

Policy Themes

The Performance Evaluation policies from each of the four police services contained a policy purpose statement. This statement was contained within the larger performance evaluation policy of each service and indicated what the purpose of the performance evaluation policy was with respect to that organization. The information from the policy purpose statements were not as rich as anticipated. Outside of these purpose statements, the policies were operational in nature and identified members' tasks, timelines and processes based on employment positions within the organizations. None of the policies contained a means of assessing if operational processes produced results that were aligned with the purpose statements in the policy.

A content analysis of each of the four police service's performance evaluation policies' purpose statements revealed 3 common themes. Two additional themes occurred in two of the services but these were not included in the results to protect the identification of these services. The 3 identified policy purpose themes are as follows:

Policy Theme 1: Member development. This theme indicates that performance evaluation policy has the purpose of member development. Each of the four municipal police services' performance evaluation policies contained this theme. In line with this theme, these policies expressed the ideas that performance evaluations were to develop performance expectations for members, to guide the development of members and to provide instruction for duties.

Policy Theme 2: Organizational tool. This theme indicates that performance evaluation policy has the purpose of providing a tool for the organization. Each of the four municipal police services' performance evaluation policies contained this theme. Ideas expresses in relation to this theme are that performance evaluation policy introduces the performance evaluation program, sets out the process, defines performance expectations and outlines procedures.

Policy Theme 3: Assess work performance. This theme indicates that performance evaluation is to assess work performance. Each of the four police services in the study expressed this in their performance evaluation policy purpose. Ideas also expressed in relation to this theme include assessing work performance that supports the organization's goals and objectives and assessing when work performance exceeds, meets or fails standard.

Discussion of the Relationship between Officer Perception Themes and Policy Themes

The research question asks, how performance evaluation outcomes, as perceived by municipal officers, compare to or contrast with the institutional performance

evaluation policy purposes of municipal police services in Ontario? The examination of this question incorporates the concept of understanding the amount of alignment between employee perceptions of their performance evaluation experiences and police services' stated performance evaluation purposes.

A premise going into the research was that close alignment would be indicated when officers' performance evaluation perceptions are consistent with performance evaluation policy themes. This would be expressed by officers through perceptions which paralleled one or more of the policy purpose themes. Distances between policy and perceptions would indicate a lack of alignment and be expressed by officer expressing perceptions which did not parallel any of the policy purpose themes. A lack of alignment between perceptions and policy purpose themes was anticipated to reflect a less positive perception from officers than when alignment occurred.

To examine the relationship between the officers' perceptions of their performance evaluation experiences and the performance evaluation policy purpose themes; within each officer perception theme I examined the identified sub-categories in relation to the three performance evaluation policy themes. If a perception theme sub-category paralleled a policy purpose theme, the percentage of responses that made up that sub-category was considered to be aligned with the identified policy purpose theme. If a perception theme sub-category did not correspond with at least one of the performance evaluation policy purpose themes, the percentage of responses for that sub-category was considered not to be in alignment. The following paragraphs discuss the relationship

between each theme, its sub-categories and each of the sub-category's relationships with

the performance evaluation policy themes.

   Theme 1: Performance evaluation awareness. All twelve officer respondents

acknowledged that a performance evaluation policy existed and occurred on an annual

basis within their police services. This perception is aligned with the policy theme that

the performance evaluation purpose is to be a tool for the organization. While three

officers (25%) recognized that policy procedures didn't always happen due to various

circumstances, the potential for variation was not acknowledged in the policy purpose

themes and alignment did not occur for this sub-category.

Table 15

Theme 1 Percentage of Sub-Category Responses: Performance Evaluation Awareness in
Relation to Policy Themes or Nonalignment

	Policy themes			
Subcategory	Officer development	Organizational tool	Assess work performance	No alignment
Policy exists		100%		
PE once/year		100%		
Variables to PE once/year				25%

Note: Numbers are percentages of Subcategory responses.

   Theme 2: Perceived official performance evaluation's purpose. In this theme,

officers stated what they believed was the official purpose of performance evaluations.

The largest group of responses (56%) stated that the purpose of performance evaluations

was as a management tool and this aligned with the policy purpose theme of

organizational tool. The second highest response was in the sub-category of correction

where there were 22 % of responses. In this case, six percent of the responses relating to

performance evaluations having a corrective function indicated that this was for the

organization's benefit and this aligns to the policy purpose theme of performance

evaluations being an organizational tool. Sixteen percent of the total responses for this

sub category of correction felt that corrective purposes were for the officer's benefit and

this aligns with the policy purpose theme of performance evaluations having the purpose

of developing officers. Nineteen percent of officers' responses in this theme indicated

that the official purpose of performance evaluations was for the development of officers

and this aligns with the policy purpose theme of officer development.

Table 16

Theme 2 Percentage of Subcategory Responses: Perception of Official Performance Evaluation Purpose in Relation to Policy Themes or Non-Alignment

	Policy Themes			
Subcategory	Officer development	Organizational tool	Assess work performance	Nonalignment
Management Tool		56%		
Correction	16%[a]	6%[a]		
Develop Officers	19%			

[a]The total percentage of responses for the sub-category of Correction is 22.
Note: Numbers are percentages of Sub-Category responses.

Theme 3: Perceived actual performance evaluation purpose. In this theme, officers stated what they perceived to be the actual purpose of performance evaluations. The largest group of respondents (44%) stated that the actual purpose of performance evaluations was that of a management tool and this aligned with the policy purpose theme that performance evaluations were an organizational tool. The second highest response (22%) was the sub-category of unknown where officers did not know what the actual purpose of performance evaluations were and this does not show alignment with any policy purpose theme. The third highest response sub-category (19%) was that the actual purpose of performance evaluations was to develop officers and this aligns with the policy purpose theme of performance evaluations developing officers. The least frequent response in this sub-category was 15% where officers perceived the official purpose of performance evaluations to be for correction as form of organizational documentation and this aligns with the policy purpose theme of performance evaluations being an organizational tool.

Table 17

Theme 3 Percentage of Sub-Category Responses: Perception of Actual Performance Evaluation Purpose in Relation to Policy Themes or Non-Alignment

	Policy themes			
Subcategory	Officer development	Organizational tool	Assess work performance	Nonalignment
Management tool		44%		
Develop officers	22%			
Unknown				19%
Correction		15%		

Note: Numbers are percentages of Sub-Category Responses

Discussion of Theme 2 and Theme 3 and policy alignment. Officers' responses indicate that their perceptions of both the official and actual purposes of performance evaluations are primarily for use by the organization as an organizational tool. Officers see that the performance evaluation as a tool to develop them comes secondary to this primary purpose. Officers perceive the actual purpose of correction within the performance evaluation is for organizational purposes only and not what they perceive the official purpose to be which is developing the officer. This discrepancy suggests a punitive experience with corrective documentation in performance evaluation experience perceptions. 19 % of responses did not know what the actual purpose of performance evaluations were and this does not align with any of the policy purpose themes. None of

the officer perception responses aligned with the policy theme of assessing work performance.

Theme 4: Perceived impact of performance evaluations on personal growth.
In this theme, officers stated what they perceived to be the impact of performance evaluations on their personal growth. The largest group of responses (53%) stated that performance evaluations had no impact on their personal growth. This does not align with any of the policy purpose themes. The second largest group of responses (27%) indicated that performance evaluations had helped them develop goals and provided structure. The third largest group of responses (20%) indicated that performance evaluations helped to identify their skills and strengths. Both of these align with the policy purpose theme of developing officers. No responses indicated the perception that performance evaluations in relation to personal growth were connected to the policy themes of being an organizational tool or assessing work performance.

Table 18

Theme 4 Percentage of Subcategory Responses: Impact of Performance Evaluations on Personal Growth in Relation to Policy Themes or Non-Alignment

Subcategory	Policy themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
None				53%
Develop goals/structure	27%			
Identify strengths	20%			

Note: Numbers are percentages of Subcategory responses.

Theme 5: Perceived impact of performance appraisals on professional

Growth. In this theme, officers stated what they perceived to be the impact of

performance evaluations of their professional growth. The largest group of responses

(41%) stated that performance evaluations had no impact on their professional growth.

This does not align with any of the policy purpose themes. The second largest group of

responses (36%) indicated that performance evaluations assisted them in moving

internally within the organization and this aligns with the policy theme of officer

development. The third largest group of responses (20%) indicated that performance

evaluations assisted in their professional growth by providing documentation of their

career in the organization. The context of these responses aligns with the policy purpose

theme of performance evaluations being an organizational tool. None of the responses

aligned with the policy theme of assessing work performance.

Table 19

Theme 5 Percentage of Subcategory Responses: Impact of Performance Evaluations on Professional Growth in Relation to Policy Themes or Non-Alignment

Subcategory	Policy themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
None				41%
Internal movement	36%			
Documentation		23%		

Note: Numbers are Percentages of Sub-Category responses.

Theme 6: Perceived impact of performance evaluation on officer effectiveness. In this theme, officers described how they perceived the impact of performance evaluations on their effectiveness as officers. 73% of responses indicated that performance evaluations had no impact on their effectiveness as officers. This does not align with any of the policy purpose themes. 20% of responses indicated that officer effectiveness could improve when disciplinary or corrective content was placed in the performance evaluation. The responses for the sub-category are directed towards the development of the officer with the implied connotation that in these cases, an officer's work performance has been assessed as lacking. This aligns with the policy purpose themes of performance evaluations developing officers and assessing work performance. None of the responses aligned with the policy purpose theme of performance evaluations being an organizational tool.

Table 20

Theme 6 Percentage of Subcategory Responses: Impact of Performance Evaluations on Officer Effectiveness in Relation to Policy Themes or Non-Alignment

	Policy themes			
Subcategory	Officer development	Organizational tool	Assess work performance	Nonalignment
None				73%
Corrective	20%[a]		20%[a]	

[a]The policy themes are intertwined in the response subcategory of Corrective. Twenty and not 40 was the total percentage of responses for the policy themes.
Note: Numbers are percentages of Subcategory responses.

Theme 7: Perceived impact of relationships in performance evaluations. This theme centered on officers perceptions of the importance of relationships in their performance evaluations. This theme emerged throughout the structured interviews. The largest group of responses (73%) centered on the importance of developing and having good relationships with your supervisor in relation to having a good performance evaluation. The next largest group of responses (20%) indicated that positive peer relationships were important to lateral movement in policing and indirectly connected to performance evaluations through an officer's reputation and informal conversations among employees, including supervisors. Neither the theme itself nor these subcategories was aligned with the policy purpose themes.

Table 21

Theme 7 Percentage of Subcategory Responses: Importance of Relationships to Performance Evaluations in Relation to Policy Themes or Non-Alignment

	Policy themes			
Subcategory	Officer development	Organizational tool	Assess work performance	Nonalignment
Supervisor				73%
Peer				20%

Note: Numbers are percentages of Sub-Category responses.

Theme 8: Perceived impact of performance evaluations on learning opportunities. In this theme, officers stated their perceptions in relation to the impact of performance evaluations on their learning opportunities. The largest group of responses for this theme (54%) indicated no impact and this does not align with any of the three policy purpose themes. The second largest response group (46%) found that performance evaluations had a minimal effect on their learning opportunities but could assist in notifying supervisors of the officer's interest in learning opportunities. This aligns with the policy purpose theme of performance evaluations for officer development. None of the perception responses aligned with the policy themes of organizational tool or assessing work performance.

Table 22

Theme 8 Percentage of Subcategory Responses: Impact of Performance Evaluations on Learning Opportunities in Relation to Policy Themes or Non-Alignment

	Policy themes			
Sub-Category	Officer development	Organizational tool	Assess work performance	Nonalignment
None				54%
Minimal	46%			

Note: Numbers are percentages of Subcategory responses.

Theme 9: Perceived impact of performance evaluations on morale. In this theme, officers stated what they perceived to be the impact of performance evaluations on their morale. Forty-eight percent of the responses perceived performance evaluations to have a negative impact on their morale. The second highest number of responses (33%) indicated that performance evaluations had no impact on their morale. Neither the first or second largest response groups are aligned with the policy purpose themes. Nineteen percent of the responses indicated that performance evaluations had a positive impact on their morale. Positive impacts on morale were indicated as being feeling good, appreciated and having their work noticed but did not include content relating to their developments as officers. As a result, the sub-category of having positive impacts on morale does not align with the policy purpose theme of officer development.

Table 23

Theme 9 Percentage of Subcategory Responses: Impact of Performance Evaluations on Morale in Relation to Policy Themes or Non-Alignment

Sub-Category	Policy themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
Negative				48%
None				33%
Positive				19%

Note: Numbers are percentages of Subcategory responses.

Theme 10: Perceived impact of performance evaluations as motivating officers. In this theme officers stated their perceptions regarding the impact of performance evaluations on their motivation. The largest group of responses (66%) found performance evaluations to be un-motivating. This did not align with any of the policy purpose themes. Thirty-three percent of the responses found performance evaluations to be motivating by keeping focused on goals, providing a forum for discussion or positive reinforcement for work well done. This aligns with the policy purpose theme of officer development. None of the responses aligned with the policy purpose themes of being an organizational tool or assessing work performance.

Table 24

Theme 10 Percentage of Subcategory Responses: Impact of Performance Evaluations on Officer Motivation in Relation to Policy Themes or Non-Alignment

Sub-Category	Policy themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
Not Motivating				66%
Motivating	33%			

Note: Numbers are percentages of Sub-Category Responses.

Theme 11: Officer Perceptions on the Value of Performance Evaluations. In this theme officer perceptions were in relation to the value of performance evaluations. The largest group of responses (42%) focused on the idea that the value of performance evaluations is variable and dependent on each officer. Some officers may find that the performance evaluation helps them with goals or for lateral movement but isn't valuable to the same degree if an officer is self-motivated or does not want lateral movement. These responses reflecting variations in the degree to which performance evaluations are valuable align with the policy purpose theme of officer development.

The second largest group of responses (25%) found performance evaluations valuable for officers' general development and corrective development. This also aligns with the policy purpose theme of officer development. The third largest response groups each contained 17% of the total responses. Seventeen percent of responses considered performance evaluations to be valuable as an organizational tool which aligns with the policy purpose theme of organizational tool. The other 17% of responses indicated that

performance evaluations held no value and this did not align with any of the policy

purpose themes. No responses aligned with the policy purpose theme of assess work

performance.

Table 25

Theme 11 Percentage of Subcategory Responses: Performance Evaluation Value in Relation to Policy Themes or Nonalignment

Sub-Category	Policy purpose themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
Variable	42%			
Officer Correct/Improve	25%			
Organizational Tool		17%		
None				17%

Note: Numbers are percentages of Sub-Category Responses

Theme 12: Officer Perceptions of Alternate Sources of Feedback other than Performance Evaluations. In this theme officers indicated what their perceptions were

of other sources of feedback that existed in their organization other than performance

evaluations. The largest group of responses (55%) indicated ways in which police

services documented and shared the successes of officers. Thirty-eight percent of

responses indicated ways that police services identified and documented negative

performance of officers. Eight percent of responses perceived relationships with

supervisors as providing feedback to officers. Each of these response sub-categories align

with the policy purpose theme of officer development. None of the responses aligned

with the policy purpose themes of organization tool or assessing work performance.

Table 26

Theme 12 Percentage of Subcategory Responses: Alternate Sources of Feedback in Relation to Policy Themes or Non-Alignment

Sub-Category	Policy purpose themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
Positive Documentation	55%			
Corrective Documentation	38%			
Relationships	8%			

Note: Numbers are percentages of Sub-Category responses.

Theme 13: Officer perceptions of performance evaluations as necessary. In

this theme, officers gave their perceptions regarding if they saw performance evaluations

as necessary. The largest response group (52%) thought that performance evaluations

were necessary for the benefit of the officers. This aligns with the policy purpose theme

of officer development. Thirty-five percent of the responses focused on performance

evaluations being necessary for the benefit of the organization. This aligns with the

policy purpose theme of organizational tool. Thirteen percent of the responses did not

perceive performance evaluations as necessary which does not align with any of the

policy purpose themes. None of the responses aligned with the policy performance theme

of assessing work performance.

Table 27

Theme 13 Percentage of Subcategory Responses: Performance Evaluations as Necessary in Relation to Policy Themes or Non-Alignment

Sub-Category	Policy purpose themes			Nonalignment
	Officer development	Organizational tool	Assess work performance	
Officer benefit	52%			
Organizational benefit		35%		
Not necessary				13%

Note: Numbers are percentages of Sub-Category responses.

Discussion of Officer Perception Themes by Highest Subcategory Response Percentages in Relation to Policy Purpose Themes

In examining the alignment between officer perception theme sub-categories and policy purpose themes, the highest response percentages in the officer perceptions reflect the most prevalent ideas expressed from the officers. Of the 13 themes, eight had their highest response sub-categories in the non-alignment policy purpose category. Specifically, the majority of officer perceptions indicated that they perceived performance evaluations to have no impact on their personal growth, professional growth, effectiveness as officers or their learning opportunities. The majority responses also indicated that performance evaluations had a negative impact on their morale and were not motivating them as officers. The value of performance evaluations was variable and the supervisory relationship was seen as key to performance evaluations.

In relation to the policy purpose theme of organizational tool, there were three themes in which officer perception sub-category responses were highest. Officers indicated that they knew that their services had performance evaluation policies and that they occurred once per year. They also perceived that the primary and actual purpose of the performance evaluation was as an organizational tool.

The policy purpose theme of officer development had the highest officer perception sub-category responses in the themes examining other feedback being available to officers and in the perception that performance evaluations were necessary. Offering other forms of positive feedback was perceived as being the most important form of alternate feedback for officer development. Officers also had the biggest response grouping indicating that performance evaluations were perceived to be necessary primarily for officer development.

None of the top response groupings of officer perceptions aligned with the policy purpose theme of assessing work performance (see Table 28).

Table 28

Highest Officer Perception Theme Subcategory Response Percentages in Relation to Policy Purpose Themes/Nonalignment

Perception theme	Subcategory	Policy purpose themes			Nonalignment
		Officer development	Organizational tool	Assess work performance	
General PE awareness	-policy exists -PE 1/yr		100% 100%		
PE official purpose	Management tool		56%		
PE actual purpose	Management tool		44%		
Personal growth	None				53%
Professional growth	None				41%
Officer effectiveness	None				73%
Relationship	Supervisor				73%
Learning opportunities	None				54%
Impact on morale	Negative				48%
Impact on motivation	Not Motivational				66%
PE value					42%
Other feedback	Variable	55%			
PE necessity	Yes for officer benefit	52%			

Note: PE is performance evaluation.

Discussion of Officer Perception Themes by Second Highest Subcategory Response

Percentages in Relation to Policy Purpose Themes.

In examining the alignment between the second highest sub-category officer

perception theme responses in relation to the policy purpose themes; of the 13 themes,

nine had their second highest sub-category responses align with the policy purpose theme

of officer development. As the second most prevalent group of responses officers

indicated that performance evaluations' official and actual purposes were to develop

officers. Performance evaluations were seen to assist with goals and structure, internal

movement and correction. They were seen as having minimal impact on learning

opportunities and could motivate and correct officers. Officers indicated that there were

other ways of correcting officers for their development, which was not part of the

performance evaluation process.

Three of the 13 themes placed the second highest sub-category officer perception

responses did not align with the policy purpose themes. Officers indicated that there were

variable factors which sometimes lead to evaluations not being received on a yearly basis.

The responses in this area considered peer relationships to be important to performance

evaluations and did not see performance evaluations as having any impact on their

morale. These did not align with the policy purpose themes.

One of the 13 themes placed the second highest sub-category officer perception

responses in alignment with the policy purpose theme of organizational tool. Officer

perceived that performance evaluations were necessary as an organizational tool.

One of the 13 themes placed the second highest sub-category officer perception responses in alignment with the policy purpose theme of assess work performance. This was an indirect association where officers perceived documented correction on their performance evaluations to assist with officer development. The role of assessing the officers work performance to obtain the corrective comments was implied in the officer perception responses and not directly stated (see Table 29).

Table 29

Second Highest Officer Perception Theme Subcategory Response Percentages in Relation to Policy Purpose Themes/Nonalignment

		Policy purpose themes			
Perception theme	Subcategory	Officer development	Organizational tool	Assess work performance	Nonalignment
General PE awareness					
PE official purpose	Develop officers	19%			
PE actual purpose	Develop officers	19%			
Personal growth	Develop goals, structure	22%			
Professional growth	Internal movement	36%			
Officer effectiveness	Correction	20%			
Relationship	Peer				20%
Learning opportunities	Minimal	46%			
Impact on morale	None				33%
Impact on motivation	Motivating	33%			
PE value	Corrective	25%			
Other feedback	Corrective	38%			
PE necessity	Yes for organization		35%		

Note. PE is performance evaluation.

Discussion of Officer Perception Themes by Third Highest Subcategory Response

Percentages in Relation to Policy Purpose Themes.

In examining the alignment between the third highest sub-category officer perception theme responses in relation to the policy purpose themes; only nine of the 13 themes had a third sub-category response. Of these nine, four did not align with any policy purpose theme. Officer perceptions in this third highest sub-category responses indicated that they did not know what the actual purpose of performance evaluations were, considered performance evaluations to have a positive impact on morale yet were of no value and were not necessary. These did not align with the policy purpose themes.

Three of the nine third highest sub-category responses aligned with the policy purpose theme of officer development. Here, officer perceptions stated the actual purpose of performance evaluations was to develop officers and officers experienced personal growth from performance evaluations through identifying their skills and strengths. Officers also indicated that relationships within the organization were ways of receiving feedback other than through performance evaluations. Each of these sub-themes aligned with officer development.

Two of the nine third highest sub-category responses aligned with the policy purpose theme of organizational tool. Officers indicated that performance evaluations were a way for the organization to document their careers and were valuable as an organizational tool.

None of the nine third highest sub-category responses aligned with the policy purpose theme of assessing work performance (see Table 30).

Table 30

Third Highest Officer Perception Theme Subcategory Response Percentages in Relation to Policy Purpose Themes/Non-Alignment

Perception theme	Subcategory	Policy purpose themes			Nonalignment
		Officer development	Organizational tool	Assess work performance	
General PE awareness	Variables				25%
PE official purpose	Develop officers	19%			
PE Actual purpose	Unknown				19%
Personal growth	Identify skills, strengths	20%			
Professional growth	Document		23%		
Officer effectiveness					
Relationship					
Learning opportunities					
Impact on morale	Positive				19%
Impact on motivation					
PE value	-None -For organization		17%		17%
Other Feedback	Relationship	8%			
Necessary	Not necessary				13%

Note: PE is performance evaluation

Discussion of Officer Perception Themes by Fourth Highest Subcategory Response Percentages in Relation to Policy Purpose Themes.

In examining the alignment between the fourth highest sub-category officer perception theme responses in relation to the policy purpose themes; only one of the 13 themes had a fourth sub-category response. This response group aligned with the policy purpose theme of organizational tool and the perception from officers indicated that the actual purpose of performance evaluations was for correction. Correction within a performance evaluation was considered to be for the benefit of the organization.

Discussion of Response Frequency Percentages by Perception Theme and Policy Purpose Themes/Nonalignment

In examining the relationships between officer perception theme frequencies and their alignment to policy purpose themes/non-alignment, eight of the 13 themes' highest responses did not align with the police services policy purpose statements. This is a low level of alignment and accurately mirrors the initial research concept that low levels of alignment would indicate dissatisfaction. This is confirmed by officers' largest response perceptions indicating that performance evaluations did not help personal growth, professional growth, officer effectiveness, learning opportunities, relationships with supervisors, morale or value as a practice.

Nine of the 13 officer perception themes' second highest responses aligned with the policy purpose theme of officer development. This alignment supports the initial research concept that alignment with policy purpose themes would indicate more satisfaction than non-alignment. This is indicated by officers' second highest response

perceptions in nine of the 13 themes. Here, officers indicated that performance

evaluations' purpose can be for officer development and assist in areas of their personal

growth, professional growth, effectiveness, learning opportunities, motivation and value.

In examining the highest and second highest officer perception theme responses

in relation to non-alignment and the policy purpose theme of officer development, the

research suggests that officers generally do not find purpose in performance evaluations

but what purpose they do find is perceived to be in the areas of how it can develop

officers (see Table 31).

Discussion of the Importance of Discrepant Data

To add to the understanding of the data it is important to look at the anomalies.

Of the 13 officer perception themes, there were three in which all sub-category responses

corresponded to one policy purpose theme or did not align with any policy purpose

theme. In relation to the theme of the importance of relationships, all sub-category

responses did not align with any of the policy purpose themes. While officers perceived

that good relationships with their supervisors and their peers were key to performance

evaluations and their careers, none of the policy purpose themes acknowledge the

importance of the interpersonal factor of relationship quality.

In relation to the officer perception theme of the impact of performance

evaluations on morale, none of the sub-category responses aligned with any of the policy

purpose themes. While most officers perceived that performance evaluations either

negatively affected or did not affect their morale, the third highest response group found

them to have a positive impact. Regardless, none of the policy purpose themes acknowledged morale as a factor of purpose for performance evaluation policy.

All officer perception sub-category responses aligned with the policy purpose theme of officer development in relation to the theme of there being other forms of feedback to officers within the service which was not from the performance evaluation. All officers recognized that they received positive and corrective feedback to assist their development through written documentation other than the performance evaluation. Officers also acknowledged that they received non-documented feedback for their development through their relationships at work. While these feedback sources align with the policy purpose theme of officer development; these sources are distinct from performance evaluations. This suggests redundancy. Officers perceive that they are obtaining positive and corrective documented and undocumented feedback for their development from non-performance evaluation sources but they do not perceive the same officer development from the performance evaluation. This is shown by most of the highest perception response numbers indicating that officers perceive that performance evaluations did not help personal growth, professional growth, and officer effectiveness, learning opportunities, relationships with supervisors, morale or value and as such were in non-alignment with policy purpose themes.

Another area of discrepant data is that none of the officer perceptions aligned with the policy purpose theme of assess work performance with the exception of the officer perception theme examining officer effectiveness. In this theme there is the implied alignment of this theme to the policy purpose theme of assessing work performance.

Officers indicated that they perceived that when corrective measures are written on performance evaluations their development as officers could improve and this implies an assessment of work in order to make corrective comments.

While officers generally acknowledged that the performance evaluation perception themes could assist with officer development or be an organizational tool; none, except for the stated exception, indicated that the performance evaluation assessed their work. Instead of assessing work performance, officers perceived performance evaluations to provide the organization a means of documenting employees' careers and protecting itself in relation to corrective and human resource processes. Officers also perceived that the performance evaluation process could give them some structure in goal development and was necessary in some services for lateral movement. Sometimes the performance evaluation could document a learning opportunity that was sought but this did not necessarily mean that it would be granted. Some officers perceived the performance evaluation as motivating.

None of these involve assessing work performance and did not align with the policy purpose theme of assessing work performance. This is consistent with officers' highest non-alignment response categories which state that most officers do not get personal growth, professional growth, officer effectiveness, learning opportunities, positive morale or motivation from the performance evaluation process. A future study may examine what factors assess work performance and the impact of such assessed work on employee perceptions (see Table 31).

Table 31

Response Frequency by Perception Themes and Policy Purpose Themes/Nonalignment

Perception themes	Policy purpose themes			Nonalignment
	Officer development	Organizational Tool	Assess work performance	
General PE awareness		▓		▓
PE official purpose	▓▓	▓▓		
PE actual purpose	▓	▓▓		▓
Personal growth	▓▓			▓
Professional growth	▓	▓		▓
Officer effectiveness	▓		▓	▓
Relationship				▓
Learning opportunities	▓			▓
Impact on morale				▓▓
Impact on motivation	▓			▓
PE value	▓			▓▓
Other feedback	▓▓▓			
PE necessity	▓▓▓▓	▓		▓

Note: Orange/vertical lines are the highest officer perception response percentage, blue/horizontal lines are the second highest, purple/diagonal lines are the third and green/wavy lines are the fourth. More than one color under a policy theme or non-alignment represents officers' perceptions that aligned with these areas but were in different sub-categories and have the corresponding differences in frequencies.
Note: PE is Performance Evaluation

Discussion of Results in Relation to Institutional Theory

Performance evaluations are practiced in the four police services in the study. The results indicate a gap in the alignment between most officer perception responses and the policy purpose themes of the police services in the study. The perceptions connected to these gaps show dissatisfaction with the majority of performance evaluations themes that emerged from the structured interviews. While officer perceptions indicated that performance evaluations could be beneficial to officer development in particular, this was secondary to the actual officer experience perception themes not aligning with the policy purpose themes.

In the services studied, the results indicate that performance evaluations are perceived as being institutionally isomorphic in that they are maintained within the organization but are not contributing tangibly to efficiencies as expressed in the form of highest officer perception responses not aligning to the policy purpose themes. This is indicated in the results by officers' largest perception responses not being in alignment with the policy purpose themes. It is also indicated by the largest alignment gap in the results where none of the officer perception themes, except one that was implied, aligned with the policy process theme of assess work performance. In other words, in addition to officers generally not perceiving alignment between their performance evaluation experiences and the policy purpose themes; officers also do not perceive performance evaluations as assessing their work performance.

It was anticipated that with institutional isomorphism there would be decreased organizational transparency and morale. The existence of a policy purpose theme of

assessing work performance that the majority of officers do not see as being part of their performance evaluation experience suggests a lack of transparency between police organizations stated policy purpose and what officers perceive in their performance evaluation experiences. In terms of morale, the highest responses of officer perceptions in relation to this theme morale indicate that performance evaluations are having a negative impact on morale.

Summary

This study set out to explore the relationship between Ontario municipal police organizations' performance evaluation policies stated purposes and the perceptions of municipal police officers in relation to their performance evaluations. Chapter 4 highlighted the processes relating to data collection, trustworthiness and results. Thirteen officer perception themes emerged around officers' perceptions of their performance evaluation experiences and three policy purpose themes were identified from the obtained performance evaluation policies from the police services in the study.

The data confirmed the initial premise that a lack of alignment between officer perceptions and performance evaluation policy purposes would show dissatisfaction in officer perceptions towards their performance evaluation experience. The results also indicated that officers' do not perceive their performance evaluation experiences as assessing their work performance.

There was an unexpected result that can have future implications. Despite the largest findings, the second highest response groupings of officer perceptions primarily indicated a perceived necessity for performance evaluations for the development of the

officer. The data implies that although performance evaluations are not perceived to be primarily developing officers as currently experienced; officers perceive that they are necessary for this purpose. A challenge to this information is to examine how alignment between officer performance evaluation perceptions and performance evaluation policy purpose themes can be brought closer together. Chapter 5 will offer an interpretation of the findings and include a discussion on the limitations of the study, make recommendations and discusses the potential impact for positive social change as a result of this study.

Chapter 5

Introduction

The purpose of the study was to explore the relationship between Ontario municipal police organizations' performance evaluation policies' purposes and the perceptions of municipal police officers in relation to their performance evaluations. Exploring this relationship was the central phenomenon of interest. The study was conducted in response to a recognized gap in the literature in understanding the relationships between performance evaluation policies and employees perceptions of these policies in terms of their experiences.

Twelve municipal police officers from four municipal police services in Ontario, Canada, were interviewed regarding their perceptions in relation to their performance evaluation experiences. From these interviews, 13 officer perception themes emerged. Four performance evaluation policies were obtained from the police services that employed the interviewed police officers. These policies were examined for performance evaluation purpose themes. From the four performance evaluation policies, three performance evaluation themes were identified as being consistent with each of the four police services.

With this data, the relationships between the officers' perception themes and the performance evaluation policy purpose themes were examined. When there was a relationship between an officers' perception theme and any of the policy purpose themes, alignment was considered to have occurred. The strength of the aligned relationship was indicated by the frequency of the officers' perception responses. If there was no

relationship between an officers' perception theme and the policy purpose themes, no alignment was considered to have occurred.

There were four key findings from this analysis. The first was that of the 13 identified officer perception themes; eight were not aligned with any of the policy purpose themes in terms of highest frequency responses from officers. The second key finding was that of the 13 identified officers' perception themes; nine were aligned with the policy purpose theme of officer development as the second highest frequency responses from officers.

The third key finding was that of the 13 identified officer themes, two themes contained unanimous responses. In terms of the theme of officer morale, 100% of the officers indicated performance evaluations were not aligned with any of the policy purpose themes since they were perceived as either not impacting their morale or negatively impacting their morale. With respect to the theme of obtaining feedback from other sources than the performance evaluation, all perceptions indicated that negative and positive feedback from the organization for officer development was available from other sources than their performance evaluations. The fourth key finding was that most officers perceived performance evaluations to be necessary first for their development and second for the organization

Interpretation of the Findings

Biron et al. (2011) indicated that performance evaluations are a common practice in organizations. Each of the police organizations in this study has annual performance evaluations of their employees, and they have performance evaluation policies. The

results indicate that each person in the sample was aware that the organization had a

performance evaluation policy and that performance evaluations were conducted on an

annual basis. Ferris et al. (2008) stated that performance evaluations are central to

organizations due to their connection to human resource practices. Each of the officers in

the sample (100%) perceived that the performance evaluation was an organizational tool

primarily used in its intended and actual purpose as a management tool to help the

organization but also, at smaller response frequencies, to develop officers.

A review of the literature recognizes that there are conditional factors that can

effect performance evaluations. Homburg et al. (2012) and Haines III and St-Onge (2012)

discussed the conditional nature of the relationship between performance management

systems and improved performance. Such conditional factors affecting this relationship

can be feedback quality, skill and knowledge development, leadership, links to rewards,

and a perception of fairness (Tung et al., 2011; Selden & Sowa, 2011; Salleh et al., 2013).

The underlying assumption in these studies, however, is that performance management

systems fundamentally assess performance, and it is other factors that impact the

performance evaluation's relationship with improved performance.

The results of this study do not support this underlying perception in the above

studies. The officers' perceptions in this study are that performance evaluations do not

improve performance, because performance evaluations do not assess officers' work.

Twelve of the 13 identified officer perception themes had no alignment with the policy

performance purpose theme of assessing work performance, and six of the 13 themes had

the highest response frequencies not aligning to any of the three identified policy purpose

themes in areas that could demonstrate effective work assessment. The officers'

perceptions were that performance evaluations do not assess their work performance and

do not impact their personal growth, their professional growth, their effectiveness, their

learning opportunities, their positive morale, or their motivation as officers.

These results are consistent with Coutts and Schneider's (2004) study, which

found that Canadian officers were not satisfied with the lack of impact that their

performance evaluations had on improving their work performances. They are also

consistent with Guerra-Lopez and Leigh's 2009 study and Selden and Sowa's 2011

research, which found that there was a gap between management's perception of

employee performance evaluations and staff perceptions. The results in this study are also

a response to Biron et al.'s (2011) study, which identified that further research is needed

regarding whether employee perception matches organizational intention with respect to

policies. From the results in this study, there was a lack of alignment between

management's intended purposes for performance evaluations and employees'

perceptions of the performance evaluation process.

While this study supports many of the elements identified in the literature review,

it also provides additional depth and extends existing knowledge. This study does

indicate that there is a lack of alignment between officers' highest frequency responses

and the identified performance evaluation policy purpose themes. It also indicates that

officers' second highest frequency responses are most frequently aligned with the policy

purpose theme of officer development (see Table 30). These data allow a more nuanced

understanding of the results of the study. While officers do not perceive alignment

between their performance evaluation experiences and the policy purpose themes; there is a secondary alignment from the performance evaluation experience with the policy purpose theme of officer development.

Selden & Sowa (2011) and Salleh et al. (2013) studies addressed the concept of perceived fairness of performance evaluations by employees. Seldon & Sowa (2011) indicated that employees' perceptions of fairness in relation to their performance evaluations impacted the effectiveness of the performance evaluation. Salleh et al. (2013) found that employees' perceptions of fairness in relation to their performance evaluations had a predictive influence of the employees' attitudes and organizational commitments. Both of these studies left the concept of fairness general. In this study, none of the respondents used the word "fair," "unfair," or "fairness" in their responses. Officers did describe specific circumstances that had in their experiences led to discrepant outcomes from the one standardized performance evaluation process. The officers indicated that relationships with supervisors had the most perceived impact on a performance evaluation having a positive outcome. Both supervisors and peers were viewed as having a strong influence in the distribution of resources and in career movement. Officers also acknowledged that discrepant outcomes in performance evaluations could happen due to circumstances that were not relationship-based such as leaves of absence, seniority, and budget restrictions, interdepartmental transfers of supervisors or officers, and court/course requirements. Why police perceptions of inequities are not verbalized as being unfair was not addressed in this study but is of interest for future research.

While the concept of fairness was not addressed in this study, officers did acknowledge discrepancies in performance evaluation outcomes that were not connected to their work performance. The term attitude was not measured in this study; however, the concept of morale as an affective state associated to the organization was. The highest officer perception response indicated that performance evaluations were perceived to have a negative effect on officers' morale. Future research may indicate associations between employee attitudes and employee morale as a result of performance evaluation experiences.

In terms of organizational commitment, Morrow (2011) found that employees' affective organizational commitment was predictive of performance rather than performance appraisals signaling performance of employees. In this study, no officers made any indication of their organizational commitment though they did indicate discrepancies in performance related outcomes independent of their work performances, and they indicated that performance evaluations had a negative impact on their morale.

Biron et al. (2011) indicated in their study that when performance evaluations are not viewed as a positive employee process, human resource complications can result. This study found that officers' highest frequency responses in terms of their performance evaluation perceptions did not align with the identified policy purpose themes and that officers perceived their performance evaluation experiences to negatively affect their morale. None of the officers indicated human resources consequences as a result of these perceptions such as leaving the organization, leaving the profession, taking sick days, being less productive, being less effective, or being less committed to their professions.

Julseth et al. (2011) indicated that workplace stress contributes towards low job satisfaction in officers. Griffin et al. (2000) and Hart and Cotton (2002) both found that a negative organizational climate was positively associated with low morale and stress at work. None of the officers used the words communicating low job satisfaction in their responses. Some found the performance evaluation process stressful and many did indicate dissociation from the performance evaluation process or low morale as a result of the performance evaluation process. Comments made by officers reflected not caring what the performance evaluation stated and not thinking about the performance evaluation from one year to the next. Officers' perceptions also reflected internal sources of performance standards rather than the performance evaluations. Officers indicated that they were internally motivated to work hard, they did their best each day, and they prioritized actions which provided safety to their coworkers and self. Officers' highest frequency response also stated that they found performance evaluations to negatively affect morale. While perceptions imply support of Julseth et al. (2011), Griffin, Hart & Wilson-Everard (2000) and Hart and Cotton's (2002) studies; this study's results do not extend beyond perceptions of officers' performance evaluation experiences. As their perceptions were only in relation to this one area of policing, it is unknown if they also perceived generalized workplace stress, lob job satisfaction or a negative organizational climate.

Transparency, Accountability and Alignment

When an organization is transparent to employees and the public, trust is enhanced (Iwae, 2009) and the organization's legitimacy is enforced (Smythe & Smith,

2006). In this study, employees were aware of the performance evaluation process and had an understanding of what the official and actual purposes of performance evaluations were. Specifically, officers knew that their organizations had performance evaluations that were to be conducted on a yearly basis. They also considered, in different percent response frequencies, that the official and actual purposes of performance evaluations were to assist the organization and to develop officers. This aligns with the actual performance evaluation themes of developing officers and providing an organizational tool that can be viewed as transparent. None of the officers however perceived that assessing work performance was an official or actual outcome of performance evaluations. This is out of alignment with the performance evaluation purpose theme of assessing work performance and is not transparent to the officers.

McCormick's 2010 study argued that public trust can be damaged with the knowledge of organizational weaknesses. This study points to the tension between administrative transparency and operational transparency. While officers, and the general public, have access to the police services' performance evaluation policies; only officers have perceptions of the operational realities of the performance evaluation policy applications. In this way, police organizations foster trust with the public due to strategic transparency of their corporate policies. Officers however have operational knowledge of organizational policy and perceive, through experience the weakness of these policies when their experience does not align with the intended policy purpose. The same policy transparency which fosters trust outside of the organization can foster perceptions of a lack of alignment among employees due to discrepancies in operational realities.

In this study, officers have operational perceptions that performance evaluations are intended for the officer's development as well as the organization's use. They also indicated the operational perception that the performance evaluation processes do not assess their work performance, do not impact their personal growth, professional growth, effectiveness, learning opportunities or motivation. Performance evaluations are indicated as negatively impacting their morale.

This discrepancy between stakeholders' level of awareness in relation to the transparency of police organizations performance evaluation policy and purposes can be argued to foster trust as this awareness does not expose the organization's operational weaknesses. Consistent with Simons' (2002) study, officers' levels of awareness in relation to the transparency of police organizations performance evaluation policy and purposes can be argued to foster distrust from a lack of alignment between the stated policy purposes and the operational experiences of the officers. Unlike non-employee stakeholders, officers are aware of the lack of alignment between the organization's policy purposes and the perceptions of its operational applications. Officers' perceptions are not aligned with the policy purpose theme of performance evaluations assessing their work performance. Simons (2002) argued that a lack of trust fostered through a lack of alignment can have a negative implication on an organization's legitimacy. In this study, no officers indicated that police services were not legitimate or that they questioned the police service's legitimacy as a result of perceiving an alignment gap between organization's policy purpose and their operational perceptions.

Institutional Theory Application

In 1948 Merton identified that organizations were a social phenomenon, which had integrated and interdependent components. In this study, four police services in Ontario Canada participated and 12 officers, four from each service, provided their perceptions of their performance evaluation experiences. While all participants were uniform officers who were not part of a promotional or disciplinary process, a variety of experience, and backgrounds in areas of policing were represented. Of the 12, there were seven males and five female officers who worked in the areas of uniform, youth, criminal investigation, recruiting, risk management, missing persons, special victims and technology crime. Ten of the officers had 10-20 years of experience and two had less than 10 years of experience. Five of the officers were between the ages of 40-49, four between 30-39, two between 50-59 and one under 30 years of age. These demographics confirm Merton's assertion that an organization has integrated and interdependent parts as all of the officers' work under one Ontario's Police Service Act yet within different police services and bureaus and with different ages, genders and experience levels.

Thompson and McEwen (1958) added to Merton's work and identified that organizations include processes not only for production efficiencies but also to maintain the organization's power. Policing is funded by tax dollars through budgets which are submitted to Regional governments and voted on for approval. This process involves accountability to the tax-payer and transparency of the budget as well as the police processes that the budget funds. Such accountability and transparency to the public fosters trust in the organization (Iwae, 2009) as well as broader networks between police

organizations and sources of power (Smythe & Smith, 2006). A danger of transparency for organizations such as policing is that it could expose the organization's weaknesses to the public and broader networks of power and lead to a decrease in trust and the perceived legitimacy of the organization (Simons, 2002).

The balancing that needs to occur, in line with Thompson and McEwen's (1958) discussion, is that the public and broader networks of power need to perceive that a tax funded organization is transparent and accountable without exposing the public and broader networks of power to the weaknesses of the organization. Performance evaluation policies in police services in Ontario are publically accessible. These policies state that officers will receive an annual performance evaluation for the purposes of officer development, organizational use and to assess work performance. These transparent purposes foster trust through accountability between the public and wider power networks which police support and their funding depends on. With support and funding, the organization's power is maintained.

The concept of institutional isomorphism and Institutional Theory emerged with the work of Meyer and Rowan (1977). They discussed that in addition to rational action generating properties such as production efficiencies and power maintenance, organizations also adopted symbolic structures as a means of demonstrating their legitimacy. Such symbolic structures become a display of confidence and good faith but not an effective operational practice. DiMaggio and Powell (1983) further these ideas by indicating that institutional isomorphism occurs not only within one organization but spreads to those which have similar accountabilities. In this way, it is not enough for one

police organization to symbolically demonstrate accountability to external stakeholders through performance evaluations. Other police organizations must also adopt, incorporate and maintain performance evaluations as well to be viewed as similarly accountable and transparent.

The results of this study demonstrate DiMaggio and Powell's concept of institutional isomorphism between similar organizations. Each police service in this study had a performance evaluation policy which is accessible to the public. Although there were four different police services in this study, each had a yearly evaluation and there were three common policy purpose themes across the four different performance evaluation policies.

While the elements for stakeholders to perceive police organizations as transparent, accountable and therefore trustworthy exist through policies and processes such as performance evaluations; officers do not perceive performance evaluations as being operationally effective. Eight of the 13 themes that emerged from the officers showed that their highest frequency responses did not align with any of the policy purpose themes and except for a secondary response to the theme of officer effectiveness, none of the officers' perceptions indicated that the performance evaluation was assessing their work performance.

As a result, institutional isomorphic processes have a confounding affect. To the public and larger power networks that police organizations need in order to maintain their funding, support and power; performance evaluation policies and process confirm the transparent, accountable and trustworthy nature of the police service without exposing the

public and larger power networks to any organizational weaknesses or inefficiencies (Crank & Langworthy, 1992). To the police officer however, who experiences the operationalization of the performance evaluation policy, the process is experienced without clearly perceived purposes or benefits to the officers. It is a symbolic exercise which is not aligned with the policy purposes and does not assess work performance.

A further complication to this confounding dynamic that institutional theory has not recognized, but which this study indicates is that employees and not just institutions can become institutionally isomorphic. I expected that officers who experienced the symbolic nature of performance evaluations which were not experienced as being aligned with policy purpose themes would also express the idea that a process that was not perceived as being aligned with its policy purpose theme would also be considered redundant and replaceable. The results indicate that officers' highest frequency responses perceive performance evaluations to be necessary for officer development and as being conditionally valuable, in spite of the results which showed that the highest frequency responses from officers also found that performance evaluations had no impact on their personal growth, professional growth, officer effectiveness, learning opportunities or motivation. This was also in spite of the results which indicated that the highest frequency responses found performance evaluations as having a negative impact on their morale. These results suggest that a process larger than the individual officers has occurred which has led them to indicate that despite perceptions to the contrary; performance evaluations are necessary and conditionally valuable. It may be that the officers have become isomorphically institutionalized to intrinsically perceive value in a

symbolic and adopted process which, although perceived as being ineffective in its implementation is valued in its form.

This development leads to the need for discussion surrounding change within isomorphic institutions as well isomorphic employees. Scott (2010) suggested that internal organizational change in isomorphic institutions is difficult but possible when mandated external change is required from stakeholders within the organization's external network of funding and power sources. The implication in Scott's paper is that any organizational change which may occur would be at an organizational level which would transfer into the operations/employees of the organization.

While externally mandated change can affect changes within isomorphic institutions, it is unlikely that stakeholders and networks of power to policing will mandate changing performance evaluations which currently support transparency and accountability expectations. The challenge for change within isomorphic institutions that do not have external mandates for change is twofold. First, there needs to be an organizational awareness of the lack of alignment between the policy and the employee perception. Second, there needs to also be an organizational and employee awareness that both the organization and the employees are isomorphically attached to the process which is out of alignment with the policy. To suggest the removal of the performance evaluation policy and process, even with study results which indicate that officers receive effective and more immediate feedback on their performance from existing organizational sources other than the performance evaluation, may result in strong resistance. A challenge, if

alignment is sought, is to decide the optimal process of change whether it is through the policy, the process, the experienced perception or a combination of these.

Limitations of the Study

The primary limitations to this study are that the sample size was small, consisting of 12 officers and was not randomly selected. In spite of the homogeneous nature of policing in Ontario and the fact that no new themes emerged after the first six interviews were analyzed, the possibility exists that the results may not represent the perceptions of officers in the larger population. The second limitation is that the officers contacted were those who I had awareness of at some point prior in my career. While this insured that I obtained a sample of 12, the sample was not random and this restricts the generalizability of the findings. A third limitation is that this study was of municipal officers and policies from larger police services in Ontario. The results may have limited generalizability to smaller police services within Ontario, officers and services who are not under municipal jurisdiction or those who are not within Ontario.

Recommendations

This study is an introductory examination of the relationships between a sample of municipal police officers' perceptions of their performance evaluation experiences and performance evaluation policy purpose themes. The findings of this study contribute to the knowledge of the relationships between organizational policies and employee perceptions. The analysis of these relationships in this study indicated that although the highest frequency perceptions from officers primarily indicated a perceived lack of alignment between the organizations' policy purposes and the officers' perceived

experiences, the officers did consider performance evaluations necessary, primarily for officer development. Without change, officers will continue to complete a mandated process from which they perceive little alignment with the policy purpose. This will result in, at minimum, maintained levels of negatively affected employee morale. To bring alignment, organizations can examine the feasibility of adjusting their performance evaluation policy purposes, processes and/or employee perceptions. The study suggests that employee perceptions are a response to experience (process), which is the product of policy. It may be that aligning the policy purpose themes to the current experienced process may be sufficient to increase alignment. For example, if performance evaluations were re-named Yearly Summary Reports and the stated and communicated purpose was to provide the organization and the employee a summary document of employment related activities for the year; employee perception may result in increased alignment as there is no implied or stated expectation that work is assessed or that employee development is part of the benefits of the yearly report process. This example does not address organizations' isomorphic attachment to the concept of having a performance evaluation nor does it address the employees' isomorphic attachment to being evaluated. The process of evaluation may need to be understood in terms of existing and immediate forms of employee feedback such as commendations, awards, conduct sheets and Police Service Act charges rather than maintaining an annual performance evaluation which is not perceived as assessing work performance.

Another recommendation is that organizations need to focus on building relationships with employees. All responses from officers indicated that the relationship

that an officer has with his/her supervisor is critical to their performance evaluations and career movement. An analysis of the officers' perceptions indicated a fundamental desire to be recognized and valued as someone whose work made a difference. Officers communicated a desire for improvement and their second highest responses in relation to the necessity and value of performance evaluations was for the purpose of officer development. Officers did not perceive cut and paste or formulated methods as assisting in their development and the performance evaluations experience negatively impact their morale. Further research is needed to determine what relationship qualities and employment feedback best aligns with officers' need for a positive relationship with their supervisors which facilitate their development.

A final recommendation is that whatever amendments or changes are made to existing police performance evaluation policy and process; employees need to be part of the planned amendments as well as the assessment of the implementation. Institutional Theory acknowledges that isomorphic processes at the organizational level make change to vested cultural processes difficult and this study's results compound this with recognition that employees also become vested in policy processes from which they experience little if any alignment. As a result, without employee participation and feedback, the organization will remain unaware of how their policy purposes are being perceived by employees and may, unknowingly experience confounding factors from isomorphically institutionalized employees resisting the changes despite recognizing the need of them. Bringing employees in as part of the alignment process of change may

mitigate this. An alignment gap, even with or as a result of change is still a gap which contributes to weakened morale and disengagement from policy processes.

Implications

Findings of this study have the potential to contribute to positive social change at the organizational policy and employee perception levels. The findings contribute to the literature in relation to the importance of alignment between performance evaluation policy purposes and employee perceptions of the performance evaluation process. The findings also point to the perceived importance of positive relationships between supervisors and employees and the need of officers to have the feedback from supervisors both validate their work and help them develop in their professions. The findings of this study will be published in the literature with the Walden Dissertations and also in the submission of the results and publication in a peer reviewed academic journal.

The knowledge from this study can also be used at an organizational level to increase the alignment between policy purpose statements in relation to performance evaluations and officer perceptions. Increased alignment may contribute to positive morale and may change officer perceptions of their evaluation experiences so that they do have positive relationships with their supervisors who provide evaluative information that improves their development. The knowledge from this study will be presented to my own Police Service after graduation and will be available to other police services and police conferences as requested.

Conclusion

Based on the data analysis, there is a gap in alignment between performance evaluation policy purposes and officers' perceptions of their performance evaluation experiences. While the performance evaluation policies stated that performance evaluations were to develop officers, be an organizational tool and assess work performance; officers' highest response levels stated that they did not experience performance evaluations as impacting their personal growth, professional growth, effectiveness, learning opportunities or motivation. They were perceived as negatively impacting their morale. Except in the area of work assessment leading to correction on a performance evaluation, no officer perceived performance evaluations as assessing their work performance. This being said, officers still perceived performance evaluations as necessary, particularly for officer development and considered their relationships with their supervisors to be key to their performance evaluations and career movement. The findings of the research encourage the alignment between organizational policy purposes and employee perceptions. It is anticipated that a closer alignment between performance evaluation policy purposes and employee perceptions will result in indicators of employee development and positive morale. The findings also stress, from the perceptions of employees, the importance of supervisor relationships in their development and career movement and the need for future research to understand what components would develop these relationships and officers. The dissemination of these results will occur through academic publication sources, professional conferences and organizational presentations.

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Appendix A: Participant Population Summary (Statistics Canada, 2012)

Table A1

Participant Population Summary

_____

Police Service	Population Served	Number of Officers
Over 100 000 Population		
Barrie	141 031	232
Chatham-Kent	108 162	165
Durham Regional Police	613 270	923
Greater Sudbury Police	162 892	262
Guelph	126 106	194
Halton Regional Police	518 660	643
Hamilton Regional Police	540 230	820
Kingston	126 284	199
London	383 781	589
Niagara Regional Police	445 363	702
Ottawa	909 862	1312
Peel Regional Police	1 298 905	1911
Thunder Bay	117 029	224
Toronto	2 743 738	5568
Waterloo Regional Police	530 248	145
Windsor	220 170	457
York Regional Police	1 069 409	1454
Population 50 000 to 99 999		
Belleville	50 504	88
Brantford	96 568	171
North Bay	59 520	91
Peterborough Lakefield	80 019	128
Sarnia	74 051	111
Sault Ste. Marie	77 096	136
South Simcoe Police	59 571	81
Population 15 000 to 49 999		
Amherstburg	22 261	30
Brockville	22 215	42
Cobourg	19 269	32
Cornwall Community Police	47 357	91
Kawartha Lakes Police	24 712	43

Police service	Population served	Number of officers
Lasalle	28 086	36
Midland	18 353	27
Orangeville	28 955	42
Owen Sound	22 954	39
St. Thomas	38 787	68
Stratford	31 708	55
Strathroy-Caradoc	21 565	30
Timmins	42 821	83
Woodstock Police Service	37 439	65
Population 5 000 to 14 999		
Aylmer	7 599	13
Dryden	8 489	21
Espanola	5 273	12
Gananoque	5 554	15
Hanover	7 580	15
Pembroke	14 610	25
Perth	6 319	15
Port Hope	12 687	21
Saugeen Shores	12 203	22
Shelburne	5 546	12
Smith Falls	9 623	25
Stirling-Rawdon	5 043	10
West Grey	12 730	22
West Nipissing	13 937	22
Population less than 5000		
Deep River	4 434	9
Wingham	2870	7

Appendix B: Freedom of Information Form

Government of Ontario

Access or Correction Request

Freedom of Information and Protection of Privacy Act

Municipal Freedom of Information and Protection of Privacy Act

Please see instructions section before filling out this form

A. Type of Request

- o Access to general records (non-personal information)
- o Access to own personal information
- o Access to other's personal information by authorized party
- o Correction of own personal information

Name of institution request made to

B. Requester's Information

Last name
First name
Middle initial
Unit/Apt. no.
Street no.
Street name
PO box
City/*town* Province
Postal Code
Home phone no. (include area code)

Business/Mobile phone no. (include area code & extension)

Ext.

C. Description of Records or Correction Requested

Time period of the records

From (yyyy/mm/dd)	To (yyyy/mm/dd)

Method of access

◯ Receive copy ◉ Examine original (on site only)

D. Payment and Signature

$5 application fee

◉ Cheque ◉ Cash (in person only)

Signature

Date (yyyy/mm/dd)

Personal information contained on this form is collected under the *Freedom of Information and Protection of Privacy Act or Municipal Freedom of Information and Protection of Privacy Act* and will be used to answer your request.

Questions about this collection should be directed to the Freedom of Information and Privacy Coordinator at the institution where you make the request.

E. Institution Use Only

Date received (yyyy/mm/dd)

Request no.

CommentsAvailable on-line at Ontario.ca. This form will be kept for 6 years from the date of completion. Once completed, this form has a sensitivity level of medium.

Disponible en francais.

Appendix C: Email of Invitation from Constable Wilson to Invited Officers

Hi *insert person's name here*,

We met *insert how I am acquainted with this officer eg. Course, event etc.* I am working on my Ph.D. at Walden University and am studying, as part of my dissertation research, municipal police officer's perceptions about their performance evaluation experiences in relation to municipal police performance evaluation policy.

I would like to interview you and am wondering if you would be available? All interview content will be amalgamated with other participants' responses prior to analysis and no identifying information will be included in the results. Your participation is confidential and will involve approximately one hour of your time.

I need participants who are actively employed at the rank of Constable; are not the subject of a disciplinary process within the past two years, and are not in a promotional stream. Please contact me at the email address below and let me know if you are interested in being interviewed.

<div align="center">Birdella.Wilson@waldenu.edu</div>

Thank you in advance,

B. Lorraine Wilson

Appendix D: Interview Questions

Municipal Police Officer Performance Evaluation Perceptions Interview Questions

1.   Do you receive a regular (monthly, yearly, bi-annually etc.) performance evaluation as part of your employment as a police officer?
a)   Yes
b)   No

2.   Please identify what you consider the official purpose(s) of performance evaluations in your police service?

3.   Please list what you consider to be the actual purpose(s) of performance evaluations in your police service?

4.   Describe the impact(s) that performance evaluations have had on your personal growth?

5.   Describe the impact(s) that performance evaluations have had on your professional growth?

6.   Describe the impact(s) that performance evaluations have had on your effectiveness as an officer?

7.   Describe the impact(s) that performance evaluations have had on your learning opportunities?

8.   Describe the impact(s) that performance evaluations have had on your morale at work?

9.   Describe the impact(s) that performance evaluations had on your motivation at work?

10.   Overall, how would you assess the value of your performance evaluations?

11.   From your awareness and experience, does your police organization have avenues other than performance evaluations to manage, promote, direct, encourage, congratulate, and/or discipline officer performance and development?
a)   Yes
b)   No

12.   If yes, please identify the other avenues that you are aware of.

13.   In consideration of your answers, do you think that performance evaluations are necessary?
a)   Yes
b)   No
c)   Sometimes
14.   Please provide the main reasons for your answer to #13.

15.   Please indicate your approximate age:
a)   Under 30 years of age.
b)   30 – 39 years of age.
c)   40 – 49 years of age.
d)   50 – 59 years of age.
e)   60+ years of age.
f)   Prefer not to answer

16.   Please indicate your gender:
a)   Male
b)   Female
c)   Other
d)   Prefer not to answer.

17.   Please indicate your highest level of education
a)   High school diploma
b)   Some College
c)   College degree or diploma
d)   Some University
e)   University Degree
f)   Prefer not to answer.

18.   Please indicate your police service.

Appendix E: Hamilton Police Service Performance Management Policy

HAMILTON POLICE SERVICE

Performance Management

POLICY

The Police Service believes in recognizing the value and contribution of all of our Members *(def.)* and in the respect for, value of and equitable treatment of all individuals in our diverse organization. It is the policy of this Police Service to utilize a Performance Management System in the development of performance expectations for Members, and in the ongoing assessment of their work performance that supports and furthers organizational goals and objectives.

The purpose of this Policy is to outline the procedures to be followed for developing, evaluating, and documenting Member performance.

PROCEDURE

A.   GENERAL

1. The Police Service will establish and maintain an effective systematic approach to Performance Management that:

   a. defines specific work-related goals and *performance standards* (**def.**) (core competencies and tasks) for all Members;

   b. clearly communicates expectations to each Member;

   c. provides ongoing appraisal and feedback on individual work performance in relation to goals, expectations and standards; and

   d. documents all findings, in writing, using the Member Development Profile Record (MDPR) and all the Performance Appraisal and Development Plan (PADP), as outlined in this Policy.

2. The Performance Management System is designed to support and further organizational goals, as established in the Service's Business Plan set by the Chief, while at the same time providing quality service in support of the organization's Vision, Mission and Values.

3. Goals, as established in the HPS Business Plan, will provide the context for Divisional/Branch/Unit goals and for individual Members' goals. Divisional/Branch/Unit goals will prescribe the activities that the Division/Branch/Unit and the Member will undertake to support and further the goals contained in the Business Plan.

4. Through a process of planning, coaching, reviewing and communicating results, the Performance Management System:

    a. encourages the development of Members as well as teamwork and team building;
    b. aligns individual work performance with organizational expectations or standards;
    c. identifies any training and/or developmental needs of Members;
    d. recognizes Member performance; and
    e. determines the need to develop remedial action plans when a Member demonstrates *unsatisfactory work performance* (***def.***).

5. Unsatisfactory work performance shall be dealt with in accordance with Section "G" of this Policy.

6. A satisfactory attendance standard will be applied to all Members, where deemed appropriate by the Chief of Police, or designate, as outlined in the "Satisfactory Attendance" section of this Policy.

7. The Member's immediate Supervisor is generally responsible for monitoring, evaluating and documenting Member performance; recognizing outstanding contributions and performance; identifying any need to develop a remedial action plan when a Member demonstrates unsatisfactory work performance; and where circumstances warrant, initiating disciplinary measures in accordance with the applicable HPS Discipline Policy.

8. All Members shall receive a Performance Appraisal and Development Plan (PADP) normally within 60 days after the year end, but no later than 90 days.

9. The PADP will be completed by the Division/Unit where the Member was working on December 31st of each year. Where a Member works in more than one area in a year, input will be sought from the respective Supervisor(s). When a Member is absent from work at year end, the PADP will be delivered upon the Member's return to work in accordance with paragraph 8, above.

10. Probationary Constables shall be evaluated by their Coach Officer(s) using the Probationary Constable Evaluation Workbook. Probationary Constables shall be further evaluated by their immediate Supervisor at 6 and 9 months.

11. The HPS Skills Development and Learning Plan (SDLP) sets out the skills and training requirements for various assignments and functions within the Service and includes the procedures for Members and their Supervisors to access the skills development and learning opportunities.

12. The HPS Career Development Program and manual form part of the SDLP. The Program and manual have been established in conjunction with the HPS Police Association to assist sworn Members to take ownership of their careers, to develop knowledge, skills and abilities, while having the opportunity to experience a variety of positions during their careers. The manual includes:

    a. a selection process for career development opportunities;
    b. a career progression model for all sworn positions;
    c. position directory for every sworn assignment; and
    d. a PADP which includes competencies concurrent with qualifications contained in the position directory.
        (***Reference:*** *Policy and Procedure 3.18 Skills Development and Learning Plan)*

13. Performance pay may be paid or withheld in accordance with the applicable Collective Agreement.

B.   PERFORMANCE MANAGEMENT RESPONSIBILITIES
B.1   Members

1. Shall be responsible for performing to acceptable standards and for attaining individual work-related goals, developed in consultation with their Supervisor, including any required developmental activities within the framework of organizational objectives and in relation to their job requirements.

2. Shall be familiar with, and annually review with their immediate Supervisor, his/her individual position/job description (***def.***), and/or job expectations and the requirements of their Division/Branch/Unit.

3. Members are responsible for their own development and maintenance of knowledge, skills, and abilities, supported by supervisory and training staff, in conjunction with

the HPS Career Development Program for Line/Support Personnel (Career Development Program).

4. Shall be aware of and knowledgeable as to, current HPS Police Orders and Regulations which provide Members with a clear understanding of the expectations and requirements relating to the performance of duties, conduct, and use of uniforms and equipment.

5. Shall forward appropriate educational and relevant documents to the Human Resources Section for addition to individual personnel and computer files.

6. Shall have access to their personnel files, during normal business hours (0830 – 1600 hrs. Monday to Friday) by contacting the Human Resources Section to arrange a suitable time to view the files while under appropriate supervision.

B.2   Supervisors

1. Shall ensure each Member under his/her command establishes individual work-related goals including any required developmental activities that supports and furthers the goals of the Branch/Unit and organizational goals and objectives.

2. Shall, in conjunction with Members of his/her Branch/Unit, establish Branch/Unit goals that prescribe the activities that Members of the Branch/Unit will undertake with specific required results that supports organizational goals and objectives. Shall, communicate the goals and expectations to each Member of the Branch/Unit.

3. Shall be familiar with, and review annually with each Member of his/her Branch/Unit, each Member's position/job description, and/or job expectations and the requirements of their Division/Branch/Unit in order to monitor and assess group and individual Member performance in a fair and consistent manner.

4. Shall effectively communicate performance standards to each Member to ensure Members are aware of the expectations.

5. Shall support Members under their command in:

    a.   developing and attaining individual goals; and

b. contributing to the Service's Business Plan goals, and Divisional/Branch/Unit annual goals and objectives.

Note: For sworn Members, individual goals may be developed in conjunction with the HPS Career Development Program.

6. Shall monitor and assess Member performance on a regular basis in comparison to communicated performance standards and ensure compliance by Members with the:

a. Police Services Act, and Regulations, and
b. HPS Policies and Procedures, and Regulations.

7. Shall provide feedback to Members on a regular basis throughout the year that involves continuous communication, coaching, counselling and support, all necessary training, and problem solving. Shall use active listening and feedback to:

a. test for understanding of performance standards;
b. reinforce expectations and provide support of positive behavior;
c. support and assist Members in meeting standards;
d. make recommendations for action/assistance, as required, to improve performance; and
e. identify unsatisfactory performance.

8. Shall continuously document relevant, ongoing performance on the MDPR to ensure a balanced summation throughout the performance evaluation cycle in preparation of performance assessment interviews. This will avoid over-emphasis on the most recent, and therefore most clearly remembered events.

9. Shall, where a Member is not able to meet performance standards, problem solve with the Member to determine the source of the problem. This will include reviewing the appropriateness of performance standards, the Member's understanding of expectations, and whether the problem is due to incapacity, misconduct or unsatisfactory work performance.

10. Shall, where a performance deficiency is identified, support corrective action and consider developing a *Performance Improvement Plan (PIP) (def.)* as outlined in section G of this Policy. Workplace programs such as counselling, Employee

Assistance Program or accommodation under the <u>Human Rights Code</u> should be considered where appropriate based on the circumstances of the situation.

11. Shall, in addition to paragraph 10., above, when rating a Member as "requires improvement" in any section of the PADP, follow the procedures outlined in section E "Performance Based Service Pay", of this Policy.

12. Shall conduct annual performance assessments for each Member under their command and document the findings on the appropriate PADP form in accordance with the applicable PADP Use Guide. The process should be completed within 90 days after the year end. Performance assessment will provide a realistic evaluation of Member performance against established standards that includes ongoing feedback, supporting documentation and summations in written assessment reports.

13. Shall maintain a Member Development Profile Record (MDPR) for each Member under their command as set out in the "Member Development Profile Record" section of this Policy, below. The MDPR will travel with a Member from one duty assignment to another.

14. Shall ensure all required recruit evaluations are completed for each Probationary Constable under his/her command in accordance with the HPS Probationary Constable Evaluation Process. Completed forms shall be forwarded to the Human Resources Section.

15. Shall, where a Probationary employee is not performing to acceptable performance standards and expectations, notify their Divisional Commander.

16. Shall be accountable for the accuracy of the written performance assessment reports that they submit, ensuring comments are supported by specific examples and/or documentation.

B.3   Divisional Commanders/Managers

1. Shall be responsible for the effective administration of the Performance Management System within their area(s) of responsibility to ensure effective Member performance and developmental activities, as required.

2. Shall ensure:

   a. a PADP has been completed for each Member on the applicable PADP form normally within 60 days after the year end, but no later than 90 days;
   b. a 3 and 6 month performance assessment has been completed for new civilian Members; and
   c. all required Probationary Constable evaluations have been completed.

   All completed assessment forms shall be forwarded to the Human Resources Section.

3. Shall discuss concerns about content, completeness, accuracy and the quality of assessments with respective Supervisor(s) with the objective of reaching satisfactory resolution.

4. Shall ensure that a Performance Improvement Plan is developed, where appropriate.

5. Shall, where a Supervisor advises of Probationary Employee who is not performing to acceptable *performance standards (def.)* and expectations, notify the Human Resources Manager and the appropriate Deputy Chief.

6. Shall, in conjunction with Members of his/her Branch/Unit, establish Divisional goals that prescribe the activities that Members of the Division will undertake with specific required results that supports organizational goals and objectives. Shall communicate the Divisional goals and expectations to each Member of the Division.

B.4   Human Resources Manager

1. Shall be responsible for administrating, developing and maintaining a Performance Management System for all Members.

2. Shall be responsible for the ongoing evaluation and maintenance of the HPS Career Development Program and Coach Officer Program.

3. Shall ensure performance assessments for all sworn and civilian Members are received from Divisional Commanders/Managers in accordance with the procedures and time lines set out in this Policy. Shall notify the appropriate Divisional

Commander/Manager when an assessment has not been received by the required time lines.

4. Shall ensure the maintenance of individual personnel files in the Human Resources Section in accordance with the HPS Records Retention Schedule.

5. Shall ensure Members have access to their individual personnel files during normal business hours (0830 – 1600 hrs. Monday to Friday) under appropriate supervision.

B.5   Professional Development Division

1. The Professional Development Division Commander shall be responsible for the ongoing evaluations and maintenance of the HPS training, Skills Development and Learning Plan, in accordance with Policy and Procedure 3.18 Skills Development and Learning Plan.

2. Shall be responsible for ensuring that Coach Officers receive training on completing "Probationary Constable Evaluation Workbooks" and that Supervisors receive training on completing PADP's.

B.6   Chief of Police

1. Shall be responsible for the overall administration of the Performance Management System.

2. Shall, in partnership with the Police Services Board, establish a process to communicate the Service's Business Plan to Members, and, shall monitor and evaluate the Service's progress towards meeting the Business Plan goals.

C.   MEMBER DEVELOPMENT PROFILE RECORD (MDPR)
C.1   General

1. All members shall have a MDPR which shall be used to regularly document observed activities and examples of performance throughout the entire assessment period which may include, but is not limited to situations where a Member has:

a.   performed above standard and/or has been recognized for outstanding contributions and performance by others; and/or
b.   performed below standard and requires improvement.

2.   Members shall, upon request, have access to their individual MDPR through their immediate Supervisor.

3.   The MDPR will travel with a Member from one duty assignment to another. The MDPR shall be purged 6 months after all relevant information has been transferred to the PADP. This 6 month period will allow for any appeals or grievances regarding the performance review to be dealt with.

4.   Copies of Public Complaint and Record of Informal Resolution forms shall not be included in a MDPR binder.

C.2   Supervisors

1.   Supervisors shall maintain a MDPR for each Member under his/her command in a binder or other suitable filing system, with each Member having an individual section, in alphabetical order.

2.   Binders or other records will be kept in a secure and confidential location accessible only to Supervisors.

3.   Supervisors shall ensure that the MDPR file/binder contains:

a.   a MDPR form (available on the intranet) to record incidents of observed activity for use in the completion of the annual performance appraisal review. The observed activity may include any noteworthy conduct and/or performance of either a positive or negative nature;
b.   copies of supporting documentation for the written comments on the MDPR form (e.g. commendations, Incident Reports, counselling sessions); and
c.   noteworthy conversations, dated and captured in a duty notebook, or by emails sent to, or received from, the Member.

4.   Additions to the MSPR shall be made only by confirmed rank Supervisors and civilian Supervisors. Full-time acting rank Supervisors may have access to and maintenance of MDPRs only upon approval by the Divisional Commander.

5. Part-time acting rank Supervisors and civilian Supervisors may submit proposed additions to the MDPR by submitting the information to the regular Supervisor.

6. Entries to the MDPR form will include a brief explanation and date of the incident, and shall be discussed with the Member. Members will be requested to initial all documents prior to placement in the file.

7. The MDPR form will be kept in the MDPR binder/other suitable filing system, until the final performance appraisal interview for that assessment period has been completed. A new MDPR will then be used.

8. The MDPR form and supporting documentation will be removed from the MDPR binder and purged after 6 months.

C.3   Staff Sergeants

1. Shall ensure copies of Public Complaint and Record of Informal Resolution forms are not included in a MDPR binder.

D.   PERFORMANCE APPRAISAL AND DEVELOPMENT PLAN (PADP)
D.1   General

1. The PADP at all levels for sworn and civilian Members will share three common objectives:

   a. to improve performance management and align individual competencies and performance with the organizations Vision, Mission and Values;
   b. to recognize individual Member performance; and
   c. to facilitate individual career development planning.

2. A PADP Use Guide has been developed for Supervisors to assist them with the PADP process for sworn and civilian Members. Distinct forms are available for the appraisal of sworn Line/Support Members, sworn Supervisors/Managers, sworn Middle Management and all civilian Members.

3. All Members shall receive a PADP commencing on the following dates:

Sworn Members	January 1st annually
Probationary Constables	At 3, 6 and 9 months during 1st year and then annually by January 1st
Civilian Members	January 1st annually
Temporary Members	Upon completion of work period
Probationary/Part-time Civilian Members	At 3 and 6 months for 1st year, then annually by January 1st

4. Performance and career development of Members shall be facilitated through the annual PADP, which requires three separate Member/Supervisor interviews and the completion of the PADP as follows:

a. Initial Member Interview

    i. Supervisor commences a new PADP and MDPR form for each Member in January of each year;
    ii. Review the Member's position/job description, and/or job expectations;
    iii. Review the core competencies, performance standards and the core tasks the Member will be assessed against. If the Member's Unit or job is unique, identify and document any appropriate, specific tasks;
    iv. Discuss and document the Member's development and career plans;
    v. Establish and document individual Member's yearly performance goals;
    vi. Conduct an annual review of HPS Policies and Procedures as follows:

- 1.11 Harassment and Discrimination in the Workplace
- 1.12 Notebooks and Electronic Notes, where applicable
- 1.18 Occupational Health and Safety
- 1.33 Workplace Violence Program
- 3.15 Reporting of Accidental Injury and Authorized Activities

b. Mid-Year Progress Review

  i. Supervisor discusses Member's performance to date, reviews progress of activities identified in the Development Plan, and makes any amendments that are warranted.

c. Final PADP Interview

  i. Following completion of the year-end summary by the Supervisor and review of the completed form by the Divisional Commander, the Supervisor presents the completed PADP to the Member and reviews and discusses his/her final ratings on the competencies and tasks in conjunction with the supporting comments as identified on the MDPR, normally within 30 days of the end of the year; and

  ii. Where a Member is being transferred or the Supervisor is returning, completes the interview by December 31st, prior to transfer or retirement.

5. The PADP shall be used as a tool to determine eligibility for the performance based service pay as outlined in the "Performance Based Service Pay" section of this Policy, below.

6. All Completed PADP forms should be forwarded to the Human Resources Section normally within 60 days, and no later than 90 days after the year end.

D.2   Supervisors

1. For the purpose of completing a PADP, the next level of Supervisor will be responsible for identifying the Members they are responsible for appraising. For Sergeants/Detectives, the appraiser will be a Staff/Detective Sergeant as designated by the Divisional Commander/Manager. The next level Supervisor will be the Inspector in charge of the Section/Branch/Unit. If there is no Inspector, the Divisional Commander/Manager will assume the role of the next level Supervisor.

2. Supervisors shall be responsible for:

  a. commencing a PADP form for each Member under his/her command prior to January 31st each year;

b. preparing for, and conducting three separate Supervisor/Member interviews during the assessment period;

c. monitoring the performance of a Member who has received a "requires development" rating to ensure improvement within 6 months. If improvement has not occurred, shall notify their Divisional Commander; and

d. completing the PADP form normally within 60 days, and no later than 90 days after the year end; in accordance with the guidelines in the PADP User Guide and the procedures in this Policy.

3. Shall use the written information and supporting documentation in the Member's MDPR to assist in evaluating the Member's performance.

4. Shall where a Member will be transferred in January, the Supervisor of that location will start the PADP form when the Member begins his/her new assignment. Where a Member has been permanently or temporarily transferred after a PADP form has been commenced, refer to the User Guide for direction.

5. Shall forward completed forms to the Divisional Commander through the next level Supervisor for final review and comment, as required, prior to presenting the completed PADP form to the Member for the final interview.

6. Shall, as a component of the PADP January interview, conduct an annual review of HPS Policies and Procedures as listed in section, D.1 "General", paragraph 4(a)(vi), above.

D.3   Divisional Commanders/Managers

1. Shall audit the compliance of Supervisors with the requirements as noted in section D.2 "Supervisors", above, by reviewing and examining all PADP's relating to Members under their command to ensure:

a. completion in accordance with the procedures in this Policy, and
b. that a PADP for each Member is completed on an annual basis.

E.   PERFORMANCE BASED SERVICE PAY
E.1   Members

1. Members may be eligible for performance pay as specified in the applicable Collective Agreement.

2. To be eligible for performance pay, Members must:

    a. meet the Service eligibility criteria as specified in the Collective Agreement;
    b. attain a "meets requirement/expectations" in all sections of the Member's PADP;
    c. not have received, through a combination of any disciplines, a disciplinary penalty greater than 40 hours, in the previous 12 months.

3. Where a Member receives a "requires improvement/development" in any section of the PADP, the Member must address that specific section within 6 months and must attain a "meets requirement/expectations".

E.2   Supervisors

1. Shall, when rating a Member as "requires improvement" in any section of the PADP:

    a. notify the Member that performance must improve to meet expectations within 6 months or the Member may risk losing performance pay. The notification shall be documented on the PADP form and the Member will be requested to initial the notification; and
    b. notify their Divisional Commander.

2. Shall work with the Member to address that section that requires improvement and support any corrective action plan(s).

3. Shall, within 6 months of notifying a Member that he/she may risk losing performance pay, document on the PADP whether the Member has improved in the section that requires improvement, and forward the PADP to the Divisional Commander.

E.3   Divisional Commanders/Managers

1. Shall, upon receiving a PADP where a Member has received a performance rating of "requires improvement":

    a. review the PADP and forward to the Human Resources Section; and

b. ensure the appropriate Supervisor updates the PADP within 6 months to indicate whether the Member's performance has improved. A copy of the updated PADP shall be forwarded to the Human Resources Section.

2. Where a Member's performance has not improved within the 6 month time period, shall ensure the Supervisor continues to monitor and document the Member's performance. Shall notify the Human Resources Section when the Member has improved performance.

E.4 Human Resources Manager

1. Upon receiving a PADP with a "requires improvement" rating, shall work with the Supervisor and the Member to identify methods of performance improvement.

2. Shall ensure PADP's are maintained in Member's individual personnel files.

3. Shall, for the purpose of follow up in 6 months, maintain a database that includes, but is not limited to:

    a. the Member's name;
    b. date of the PADP;
    c. section of the PADP that requires improvement; and
    d. the date the Member was notified that he/she may risk losing performance pay if their performance does not improve to meet expectations within 6 months.

4. If within 6 months the Member does not achieve, at minimum, a "meets" requirement rating, shall notify the Chief Accountant to adjust the pay as per the Collective Agreement.

5. Upon being notified by the Divisional Commander that a Member's performance has improved, shall notify the Chief Accountant to reinstate performance pay in accordance with the Collective Agreement.

6. Shall designate the Unit to be responsible for any appraisal that is required to be completed on a Member who is on secondment. In such cases, an appraisal will be completed in consultation with Supervisors who are responsible for the seconded Member.

F.   SATISFACTORY ATTENDANCE

1.   Where an attendance standard is to be used, the following applies:

a. Subject to the provisions of paragraphs 2., and 4., below, unsatisfactory attendance will be deemed to exist in any of the following cases:

    i.   Where a Member has more than three absence incidents of lost time due to illness within the preceding twelve months, calculated from the date upon which the matter is being considered.

    ii.   Where a Member has total absence incidents of lost time due to illness, exceeding seven shifts, within the preceding twelve months, calculated from the date upon which the matter is being considered. A shift shall be measured by reference to the Member's normal shift, regardless of the shift duration.

    iii. Where there is clear and convincing evidence that a Member has a single incident of feigned or exaggerated illness within the preceding twelve months.

2.   Exemptions may be granted for any absence resulting from an admission to hospital and/or a period of convalescence immediately following a hospital admission, subject to the receipt of medical certification satisfactory to the Service.

3.   Interviewing and Counselling:

a. When unsatisfactory attendance occurs, the Supervisor shall conduct a counselling interview with the Member and record the interview on an Attendance Initiatives Counselling Form. When counselling a Member regarding attendance, the Supervisor shall:

    i.   Inform the Member that the absentee level is unacceptable and give the Member an opportunity to express his/her comments.

    ii.   Inform the Member that improved attendance is required.

    iii. Develop strategies with the Member to achieve acceptable attendance levels.

    iv.   Give the Member a copy of the completed Attendance Initiatives Counselling Form.

b. Where interviewing and counselling do not result in a satisfactory improvement in the attendance level, the Supervisor shall consult with the Human Resources Manager to consider appropriate action.

4. Where unsatisfactory attendance continues, termination under section 47 of the Police Services Act may result.

5. Where it is determined that a Member does not meet the standard of satisfactory attendance, the Member shall be notified of the basis for such determination, and shall have the right to appeal the determination to the Deputy Chief, Field Support or designate. The decision of the Deputy Chief or designate shall be based upon the information contained in the Member's personnel file and any additional information provided by the Member, which the Member may wish to provide, including medical information (which will be kept confidential). The decision of the Deputy Chief or designate shall be final and not subject to further appeal.

G   UNSATISFACTORY WORK PERFORMANCE
G.1   General

1. Unsatisfactory work performance applies to both civilian and sworn Members of the Police Service.

2. The purpose of identifying unsatisfactory work performance is to address performance deficiencies and to develop corrective action plans to improve Member performance.

3. Unsatisfactory work performance may result in disciplinary proceedings. All complaints involving the conduct of Members shall be dealt with in accordance with Policy and Procedure 1.22 Public Complaints and Internal Complaints, the Police Services Act and Regulation 268/10 in relation to sworn Members, and pursuant to Police Service disciplinary Policies in relation to civilian Members.

4. The Human Resources Manager is responsible for the overall management of unsatisfactory work performance processes consistent with this Policy, and related Human Resources Section Policies.

G.2   Members

1.   Members who have been notified of unsatisfactory work performance by their Supervisor, shall work in conjunction with their Supervisor, Divisional Commander, and the Human Resources Manager, as required, to develop a Performance Improvement Plan.

G.3   Supervisor

1.   Where conduct of a Member is identified as potentially related to unsatisfactory work performance, the circumstances of the unsatisfactory work performance shall be forwarded, in writing, to the Member's Divisional Commander.

G.4   Divisional Commander

1.   Divisional Commanders, upon receiving written documentation regarding a Member who has demonstrated unsatisfactory work performance, shall review the circumstances, make recommendations, and work in conjunction with the Human Resources Manager to develop and implement a PIP.

2.   The determination for implementation of a PIP will be based upon performance standards established by the Police Service, which include, but are not limited to:

   a.   position/job descriptions and/or job expectations;
   b.   HPS Values and Ethics;
   c.   Service, Branch, Unit and individual goals;
   d.   HPS Career Development Program;
   e.   PADP; and
   f.   Recruit Officer Evaluations.

3.   Where it is determined that a Member is not suitable for placement on a PIP, the Manager shall document the reasons for the decision and forward the Notice back to the Divisional Commander.

4.   Divisional Commanders, upon implementing a PIP, shall assign a Supervisor to initiate the Plan and monitor the progress until its completion.

5. Divisional Commanders, following the final PIP meeting, shall assess all documentation and information in relation to the Member and shall:

    i. where the unsatisfactory work performance has been corrected:

        (a) close the file, and
        (b) notify the Member, the Member's Supervisor and the Human Resources Manager; or

    ii. where unsatisfactory work performance has not been corrected:

        (a) Prepare a report to the Professional Development Division Commander which contains an explanation and recommendations that the matter be dealt with in accordance with the Police Services Act, the applicable HPS Discipline Policy, and/or applicable employment legislation; and
        (b) give notice to the Member, the Member's Supervisor and Human Resources Manager.

6. Divisional Commanders shall forward copies of the PIP at the commencement of the Plan, and at the conclusion of the Plan, to the Human Resources Section for addition to the Member's Personnel file.

G.5   Human Resources Manager

1. Shall review requests for the implementation of a PIP in consultation with the Divisional Commander. Where it is determined a Member is suitable for placement on a PIP, shall refer the matter to the Divisional Commander for implementation.

DEFINITIONS

Member
For the purposes of this Policy, shall include all sworn and civilian Members of the HPS, but does not include volunteers, contract employees or auxiliary police officers.

Performance Improvement Plan
Will be used to address unsatisfactory work performance by creating a plan to assist the Member to perform at a satisfactory level.

Performance Standards

Performance standards will establish the level of acceptable employee performance based on the position/job description, core competencies and tasks, and the established organizational and individual objectives. Performance standards will be clear, observable, job related, realistic and measurable. Standards will be the same for Members performing similar tasks. These performance standards will include expected behaviours as well as terms of quantity, quality, cost or time.

Position/Job Description

Will outline the responsibilities and specific duties of a job or position along with the organizational relationships. The position/job description is approved by the Supervisor/Manager and should be available to the Member.

Unsatisfactory Work Performance

Unsatisfactory work performance is unsuitable or problematic performance and/or behaviour that fails to meet established performance standards. It can include, but is not limited to:

- Unsuitability
- Incompetence
- Insufficient or careless work
- Personal appearance
- Reliability
- Fitness for duty: intoxication/drug dependency, etc.
- Involvement in activities detrimental to position
- Failure to cooperate
- Attendance problems

REFERENCES

HPS Coach Officer Program
HPS Career Development Program for Line/Support Personnel
HPS PADP User Guide
HPS Records Retention Schedule
Human Rights Code
Police Services Act, R.S.O. 1990 and Regulations
Policy and Procedure 1.11 Harassment and Discrimination in the Workplace
Policy and Procedure 1.12 Notebooks and Electronic Notes

Policy and Procedure 1.18 Occupational Health and Safety

Policy and Procedure 1.22 Public Complaints and Internal Complaints

Policy and Procedure 1.33 Workplace Violence Program

Policy and Procedure 3.09 Discipline – Police Officers

Policy and Procedure 3.10 Discipline – Civilian

Policy and Procedure 3.15 Reporting of Accidental Injury and Authorized Activities

Policy and Procedure 3.18 Skills Development and Learning Plan

Appendix F: Ottawa Police Service Performance Management Policy

Ottawa Police Service	PERFORMANCE REVIEW	
	Policy Section: Personnel – Human Resources	
	Policy No: 3.19	Policy Approved: 16Oct06,

Policy Description:
The Ottawa Police Service believes in recognizing the value and contribution of all of our Members. It is the policy of this Police Service to utilize a Performance Appraisal System in the development of our Members, and in the ongoing assessment of their work performance. The purpose of this Policy is to outline the procedures to be followed for developing, documenting and evaluating Member performance.

RELATED POLICIES/ REFERENCES

Related Policies

- Unsatisfactory Work Performance
- Attendance Enhancement
- Uniform – Personal Appearance
- Equipment Usage
- Promotion of Sworn Members
- Transfer of Sworn Member Policy
- Health / Safety and Lifestyles
- Supervision
- On duty Use of Alcohol and Medication
- Coach Officers
- Training and Development Program
- Firearms
- Respectful Workplace

References
- Police Service Act of Ontario
- Ontario Policing Adequacy Standards Manual
- Ontario Human Rights Code

DEFINITIONS

1. **Performance Review (PR) Tracking Log –** A document to record daily performance.

2. **Performance Review (PR) Interview –** Document that sets out expectations.

3. **Supervisor –** Any employee responsible for the direct supervision of another employee.

4. **Second Level Supervisor –** A supervisor that is two levels above the member.

5. **Date of Hire –** OPS Date of Hire, Civilian and Sworn.

GENERAL

1.   The Performance Review process involves three components consisting of an Interview, Tracking Log and a final performance review.

2.   The member's immediate Supervisor is responsible for ensuring that the Interview, Tracking Log and Performance Review are completed as per the roles and responsibilities outlined in this policy.

3.   In the event the immediate Supervisor is unavailable, the next level Supervisor is responsible for ensuring the completion of the Performance Review Process.

4.   Immediate supervisors shall complete the annual Performance Review within 30 days of the anniversary of the member's OPS Hire Date.

5.   The Performance Review can be completed by an acting Supervisor with the assistance of the next level Supervisor.

6.   Probationary Constables shall be further evaluated by their Coach Officer at the conclusion of their 500 hours of field training. This will be in conjunction with their immediate Supervisor, using the Performance Review process.

7.   Upon completion of the current Performance Review cycle, a new PR Interview document and PR Tracking Log will be generated for the next cycle. The new PR Interview shall be completed within 30 days following the conclusion of the previous performance cycle.

8.   In the event that a member contests the content of their Performance Review, the member may request a review with their Second Level Supervisor, who shall make the final determination.

9.   Unsatisfactory Work Performance shall be dealt with in accordance with Unsatisfactory Work Performance Policy.

10.   Members shall have entry and read access to their personal Performance Review Tracking Log, and read access to Supervisor's entries.

11.   The PR Tracking Log will follow a member from one duty assignment to another.

12.   The Performance Review Tracking Logs shall be archived electronically at the time the Annual Review is finalized.

13.   The Performance Review Tracking Log shall not be archived if a member is the subject of a Performance Improvement Plan (PIP).

14. If a member is absent for the majority of their Review period (8 months or longer), the Review may be waived with the second level supervisor's authority.

15. **Temporary or Permanent Transfer of Members and External Secondments**

   a. In the event a member is transferred temporarily, the PR Tracking Log is moved with the member, and the supervisor of the temporary assignment continues the PR Tracking Log for the duration of the assignment.

   b. In the event of a permanent transfer the Supervisor will complete a summary synopsis of the member's performance as a final entry in the daily PR Tracking Log. The entire Performance Review file moves with the member to the new Supervisor. The new Supervisor will immediately conduct a PR Interview, and be responsible for the completion of the current Performance Review.

   c. In the event a member is reporting to an external agency, the member is required to have a Review completed for the period of time they work for the seconded agency. Should the secondment extend to more than one year, an Annual Review would be required. The seconded agency has the option to use their documentation or the Word version of the OPS Performance Review Process.

16. **Performance Review Process**

   All employees in a supervisory position, whether civilian or sworn, shall follow the OPS Performance Review Process.

- **PR Interview**
   At the beginning of the Performance Review cycle or in the event of a transfer the Supervisor will meet with the member and will use the PR Interview form to set out performance expectations in relation to:

   - Ethics
   - Job Description
   - Daily Performance
   - OPS Competencies
   - Service/Division/Section Expectations
   - Respectful Workplace Policy

   Further, the Supervisor will discuss the member's skills and expertise, discuss and identify the member's career development, including short and long-term goals.

- **PR Tracking Log**

  All supervisors shall use the PR Tracking Log as a means to document a member's behaviour and daily performance. The PR Tracking Log will be used to substantiate and corroborate comments and rating in the Performance Review. Entries made to the PR Tracking Log will be discussed with the member as soon as practicable. The member's immediate Supervisor will be responsible for the content in the PR Tracking Log. Second Level Supervisors will also have input access to the PR Tracking Log.

- **Performance Review**

  All supervisors measuring work performance on an annual basis using the Performance Review shall;

  - Refer to documented examples from the PR Tracking Log to substantiate entries to the Performance Review
  - Include a narrative text for all evaluated areas
  - Discuss the Performance Review with the member; finalize the Review and forward the signed hard copy to Human Resources.
  - Forward the completed Review to the Second Level Supervisor for approval

ROLES AND RESPONSIBILITIES

A.   Members
1.   Members shall be responsible for;

   a.   Being familiar with their individual job description, performance expectations and the requirements of the Organizational, Divisional, and Sectional goals as discussed in the PR Interview.
   b.   At a minimum, performing at an acceptable standard with respect to expectations as discussed in the PR Interview.

      c.   Their personal development and maintenance of knowledge, skills, and abilities.

      d.   Being knowledgeable of OPS Policies and Procedures relating to the performance of their duties.

      e.   Reviewing their Performance Review with their Supervisor.

      f.   Providing input into their Tracking Logs and viewing supervisor entries.

B.   **Coach Officers**

1.   Coach Officers shall;

      a.   With the assistance of their immediate Supervisor, maintain a Performance Review file for each recruit member under the supervision. The file shall include a completed PR Interview form, PR Tracking Log, and Performance Review;

      b.   Take immediate action if the recruit member fails to meet the requirement of their duties and communicate their observations to the appropriate supervisors for correction and retraining;

      c.   Participate with the Supervisor in the recruit's PR Interview to review job description and expectations for recruit members;

      d.   Initiate and maintain a PT Tracking Log for each recruit member; and

      e.   Ensure that the Performance Review reports of the recruit are accurate in that comments reflected are supported by specific examples and ongoing documentation in the PR Tracking Logs.

C   **Sergeants/Civilian Supervisors**

1.   Sergeants and Civilian Supervisors shall;

      a.   Maintain a performance review file for each member under their supervision which will contain a completed PR Interview form, PR Tracking Log, and Performance Review;

      b.   Take immediate corrective action if a member fails to meet the requirement of their duties;

      c.   Conduct a PR Interview for members within thirty days of a new Performance Review Cycle or in the case where a member is transferred into their section, within two weeks after the official date of transfer.

      d.   Initiate and maintain a PR Tracking Log for each member;

e. Complete a Performance Review for each member under their supervision and document the findings in the Performance Review. This shall be done within 30 days prior to the Anniversary of the member's OPS Hire Date;

f. Ensure the Performance Review has been completed for all Probationary Constables upon the completion of 500 hours of service; and

g. Ensure that the Performance Review reports submitted for members under their supervision are accurate in that comments reflected are supported by specific examples and ongoing documentation in the PR Tracking Logs.

h. Sergeants and Civilian Supervisors may receive a rating of "Needs Improvement" in the Supervisory category if at the time of their Annual Review the Performance Reviews for their subordinates are incomplete.

D. Staff Sergeants and Managers

1. Staff Sergeants and Managers shall;

a. Maintain a performance Review file for each member under their supervisions, which will contain a completed PR Interview form, PR Tracking Log, and Performance Review;

b. Take immediate corrective action if a member fails to meet the requirements of their duties;

c. Conduct a PR Interview for members within thirty days of a new Performance Review Cycle or in the case where a member is transferred into their section, within two weeks after the official date of transfer.

d. Initiate and maintain a PR Tracking Log for each Member;

e. Complete a Performance Review for each member under their supervision and document the findings in the Performance Review. This shall be done within 30 days prior to the Anniversary of the member's OPS Hire Date;

f. The administration of the Performance Review System within their area(s) of responsibility; and

g. Ensure that the Performance Review reports submitted for members under their supervision are accurate in that comments reflected are supported by specific examples and ongoing documentation in the PR Tracking Logs.

h. Staff Sergeants and Civilian Managers may receive a rating of "Needs Improvement" in the Supervisory category if at the time of their Annual Review the Performance Reviews for their subordinates are incomplete.

E. Senior Officers / Directors

1.   Senior Officers and Directors shall;

     a.   Maintain a Performance Review file for each member under their supervision, which will contain a completed PR Interview form, PR Tracking Log, and Performance Review;

     b.   Take immediate corrective action if a member fails to meet the requirements of their duties;

     c.   Conduct a PR Interview for members within thirty days of a new Performance Review cycle or in the case where a member is transferred into their section, within two weeks after the official date of transfer;

     d.   Initiate and maintain a PR Tracking Log for each member;

     e.   Complete a Performance Review for each member under their supervision and document the findings in the Performance Review. This shall be done within 30 days of the Anniversary of the member's OPS Hire Date;

     f.   Ensure that the Performance Review reports submitted for members under their supervision are accurate in that comments reflected are supported by specific examples and ongoing documentation in the PR Tracking Logs.

     g.   Develop and disseminate all Organizational and or Divisional goals and objectives to the Sections under their supervision.

     h.   Ensure that the Performance Reviews are completed by their due dates for all personnel under their supervision.

     i.   Monitor overall administration of the Performance Review process within their area(s) of responsibility.

     j.   Conduct periodic reviews of the Performance Review process within their respective units, divisions, to ensure consistency and quality control.

     k.   Senior Officers and Directors may receive a rating of "Needs Improvement" in the Supervisory category if at the time of their Annual Review the Performance Review Process is incomplete for their subordinates.

F.   Human Resources

1.   Human Resources Section shall;

     a.   Ensure the ongoing evaluation and administration of the OPS Performance Review Process.

     b.   Conduct periodic reviews of the Performance Review Process organization-wide to ensure consistency and quality control.

      c.   Ensure that a Performance Review for all members is received from the Divisions in accordance with the procedures and time lines as set out in this policy.

      d.   Notify the appropriate Senior Officer/Director when a Performance Review has not been received within the required timelines.

      e.   Retain the member's Performance Review in the Human Resources Section in accordance with the OPS Records Retention Schedule.

      f.   Ensure members have access to their Performance Review during normal business hours and under appropriate supervision.

G.   **Chief of Police**

1.   The Chief of Police shall have the responsibility for the overall administration of the Performance Review Program.

Appendix G: Halton Regional Police Service Performance Management Policy

	Issue Number: **HRS-002**

Directive Type: **Support**	**Subject:** **Performance Management**
Replaces: **November 29, 2013**	**Responsible Bureau:** Commander – Human Resource Services and Training

Related Standards / Legislation / Directives: Police Services Act; Supervisors Guide to Performance Management; HRPS Skills Development and Learning Plan Adequacy Standards Guidelines: LE-025:		
Approved By:	**Effective Date:** May 1, 2015	**Expiry Date:**

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SUPPORT POLICY AND PROCEDURE – HRS-002

A   **Policy**

1.   It is the policy of the Halton Regional Police Service to utilize a performance management system to define performance expectations, assess work performance and guide the development of its members.

B.   **Definitions**

1,   For the purposes of this directive, the following definitions will apply:

    (a)   **Competency** – the knowledge, skills and abilities that relate to positions or job functions, which are observable, measurable and may change over time (those characteristics of an individual which underlie performance or behavior at work);

    (b)   **Job Family** – a group of jobs linked by common factors (e.g. types of duties, skill requirements, client group, etc.);

    (c)   **Job Family Competency Profile** – the specific competencies required to effectively perform the duties of the positions within a job family;

    (d)   **Performance File** – a file maintained by a member's supervisor that contains documents pertaining to the employee's performance during the appraisal period and retained for one additional year;

(e) **Personnel File** – a file maintained by Human Resource Services which contains payroll, benefit, annual appraisals, Performance Improvement Plans and other Human Resource related information pertaining to employment;

(f) **Supervisors Guide to Performance Management** – a document that has been developed for supervisors to provide instruction and information with respect to the coaching, development and evaluation of employees. This guide contains the specified competencies for each job family and is available on the Human Resources SharePoint site;

(g) **Unsatisfactory Work Performance** – a pattern of unsuitable or problem performance that consistently fails to meet established performance expectations.

C   General

1. Performance Appraisal and Development Plans will be completed as follows:

   (a) annually, for members at the top of their salary grid/rank classification by the end of the quarter in which their birthday falls (e.g. if the member's birthday falls in January, the appraisal is due by March 31st);

   SUPPORT POLICY AND PROCEDURE – HRS-002

   (b) for probationary members or members not at the top of their rank classification, appraisals will be completed as per **Appendix A** or **B**, as applicable;

   (c) upon return from an extended leave of absence (pregnancy, educational leave, sick leave) a member must work a minimum of three months before their annual appraisal is completed. If the member is at the top of their grid and their appraisal date falls within the three month period after returning to work, an appraisal will not be completed until the following year's due date.

2.   Supervisors shall illicit and incorporate feedback from other supervisors where applicable (e.g. secondments, team projects, etc.).

3.   An appraisal should only be completed by an acting supervisor if the actor has received Performance Management training and has been appointed for an extended period of time (greater than one month); however, the member's regular supervisor should provide input to the appraisal.

4.   When a supervisor is transferred, the new supervisor has responsibility for completing the performance appraisal, with input from the previous supervisor.

5.   Appraisals will reflect the member's performance over the whole of the appraisal period and will be discussed with the member by the evaluating supervisor.

6.   Discussion with the member shall cover the member's job responsibilities, position related goals, performance over the entire appraisal period, goals that relate to the Business Plan, career aspirations and a plan for continued development or improved performance where appropriate.

7.   Appraisals shall be considered confidential and shall be placed in the member's personnel file.

8.   An annual compliance audit will be conducted by Human Resource Services to ensure that all continuing full-time members have had an annual appraisal **(ref. EXE-008 Audits)**.

9.   When a member is on an extended leave) e.g. maternity, LTS etc.) an **Appraisal Exception HRS-002U** will be completed by the member's immediate supervisor and signed by the member's commander/director. The commander/director shall ensure a copy is sent to Human Resource Services for placement in the member's personnel file.

D   **Member Responsibilities**

1.   All members are responsible for:

(a)   performing their duties to acceptable standards as identified in the Job Family Competency Profile and as per the Adequacy Standard Core Competencies where applicable;

(b)   attaining established goals as developed with their supervisor, including any required developmental activities;

(c)   providing input in the Member's Comments section of the **Performance Appraisal and Development Plan.**

E   **Supervisor Responsibilities**

1.   All supervisors are responsible and accountable for:

(a)   communicating performance expectations to each member so that the member is aware of the expectations;

(b)   being familiar with each member's job description and the district/unit goals, in order to assist members in establishing individual goals;

(c)   assisting the member in establishing individual goals that directly tie into the unit/team goals which in turn tie into the Corporate Business Plan;

(d)   assisting the member in establishing career development objectives;

(e)   providing ongoing feedback to members. This should occur regularly throughout the year and involve continuous monitoring (observe, inspect, check, ask), evaluating, and coaching of members;

(f)   preparing annual **Performance Appraisal and Development Plans** for their staff;

(g)   the content and accuracy of the **Performance Appraisal and Development Plan.** All comments by the supervisor must be supported by specific examples and/or documentation;

(h)   supporting corrective action in relation to performance deficiencies. If the member is not able to meet performance standards, the supervisor will problem solve with the member to determine the source of the performance issue. At minimum, problem solving shall include: reviewing the performance standards, ensuring the member's understanding of expectations and determining whether the performance issue is due to inability or misconduct including unsatisfactory work performance

(i)   ensuring adequate training has been provided;

(j)   recommending/referring members to workplace programs such as the Employee Assistance Program **(ref. HRS-005)**;

(k)   identifying when extreme performance issues require disciplinary response in accordance with **PFS-002 Discipline Procedure.**

F   District/Bureau/Unit Commander/Director Responsibilities

1.   District/bureau/unit commanders/directors are responsible for:

(a)   the effective administration of the performance management system within their area(s) of responsibility, to ensure effective employee performance;

(b)   discussing concerns about content, completeness, accuracy and the quality of the assessments with respective supervisor(s);

(c)   ensuring that:

(i)   good performance is recognized;

(ii)   poor performance is addressed; and

(iii) where necessary, **Performance Improvement Plans** are implemented and performance is monitored.

G   **Chief of Police and Deputy Chief(s) Responsibilities**

1.   The Chief of Police and the Deputy Chief(s) of Police are responsible for:

(a)   monitoring the administration of the performance management system within the Service;

(b)   ensuring that the Service is meeting the requirements of the **Adequacy Standard Guidelines** through the regular assessment of its members **(ref. TRN-005 Skills Development and Learning)**.

H   **Appraisal Tools**

1.   The main working tools in the performance management system are the:

(a)   Performance File;

(b)   **Performance File Index HRS-002P;**

(c)   **Pre-Appraisal Employee Feedback Questionnaire HRS-002A (optional)**;

(d)   **Performance Appraisal and Development Plan – HRS-002B to HRS-002M,** this form is used for annual, and probationary appraisals, and are specific to each job family;

(e)   **Secondment/Modified Duties Appraisal HRS-002N** – this form is used for secondments or modified duty assignments lasting longer than three months but less than one year:

(f)   Adequacy Standards Core Competencies;

(g)   **Performance Improvement Plan HRS-002O**;

(h)   **Employee Coaching Form HRS-002Q**;

(i)   **Advancement Appraisal HRS-002T**;

(j)   **Appraisal Exception HRS-002U**;

(k)   **Supervisors Guide to Performance Management.**

I   <u>The Performance File</u>

1.   The Performance File shall be used to support the comments and/or ratings in a member's annual appraisal.

2.   Supervisors are responsible for:

(a)   maintaining records on each member under their direction;

(b)   recording and documenting examples of performance (positive or negative) on an ongoing basis during the appraisal period for each member under their direction. Continuous documentation of relevant, ongoing performance will ensure a balanced summary of the employee's performance and help to avoid over-emphasis on the most recent, and therefore most clearly remembered, events.

3.   Supervisors are not required to have members sign all documentation placed in their file, however; a supervisor should discuss such documentation as it relates to a member's performance on an ongoing basis and notify the member that the documentation will be placed in their file.

4.   The Performance File will contain the following (where applicable):

(a)   **Performance File Index** which is designed to show, in an abbreviated form, items included in the file, as well as a record of verbal praise or reprimands;

(b)   copies of **Performance Improvement Plans**;

(c)   ongoing (i.e. monthly) observations of work performance and written work;

(d)   written references of performance, such as recognition of work well done or items requiring corrective action;

(e)   certificates of achievement, records of completed courses, etc.;

(f)   copies of sick reports and medical notes **(Personnel Exception Reports HRS-009A)** to document sick time.

(g)   a copy of the last performance appraisal.

5.   The Performance Files are to have restricted access; however, a member may review their file on request **(ref. EXE-023 Freedom of Information).**

6.   In the event of a transfer, the member's Performance File will be forwarded to the new supervisor within thirty days of the transfer.

7.   When it is known that a member is being assigned to a seconded position or modified duty assignment that will last six months or longer, the supervisor should create a temporary performance file which they will use to complete the **Secondment/Modified Appraisal HRS-002N.**

8.   The contents of the Performance File are to be maintained for the current appraisal period and retained for one additional year **(ref. REC-012 Records Retention Schedule).**

9.   Upon resignation or a recommendation of termination, the supervisor will forward the Performance File to Human Resource Services, for selective purging and/or merging with the Personnel File **(ref. REC-012 Records Retention Schedule).**

J   Pre-Appraisal Employee Feedback Questionnaire

1.   The **Pre-Appraisal Employee Feedback Questionnaire HRS-002A** is:
(a)   optional and may be used by the employee to provide information pertaining to their performance;

(b)   a tool to facilitate discussion between the member and the supervisor and to provide information to assist the supervisor in completing the appraisal (i.e. performance examples and goals;

(c)   not to be attached to the appraisal. The original questionnaire should be held in the performance file until the file is purged.

K   **<u>Performance Appraisal and Development Plan – Competency Assessment</u>**

1.   When completing the **Performance Appraisal and Development Plan**, supervisors should review the competency profile for the job being evaluated.

2.   A member's performance is to be evaluated:

(a)   in relation to demonstrated behaviours and performance during the appraisal period; and

(b)   in relation to each of the required competencies required for the position and job family the member is assigned to **(ref. TRN-005).**

Note: The specific competency profiles for each job family/position are located in the Human Resource Services Section of SharePoint under Performance Management.

3.   Assigned rating scales are used to indicate the level of performance achieved by the member, based on observed behaviour and/or factual information (i.e. examples of positive performance and areas of improvement).

4.   The performance appraisal rating scale for the **Performance Appraisal and Development Plan** is:

(a)   **Exceptional Contributor** – performance exceeds expectations to an exceptional degree; is a subject matter resource and a role model;

(b)   **Highly Effective Contributor** – contributes more than effective performance and enhances the performance of self and others;

(c) **Valued Contributor** – performs all the essential requirements of the job effectively;

(d) **Improving Contributor** – learning the essential requirements of the job or improving toward effective performance of all essential functions;

(e) **Inconsistent Contributor** – performs some of the essential requirements of the job however has trouble maintaining consistency;

(f) **Non-Contributor** – not able or willing to perform the essential requirements of the job.

L   **Adequacy Standards – Certification of Demonstrated Core Competencies**

1.   The Adequacy Standard Core Competencies Assessment section of the **Performance Appraisal and Development Plan (ref. *Regulation 3/99 Adequacy and Effectiveness of Police Services)*** shall be completed for members assigned to any of the following specialized positions or functions:

(a)   Scenes of Crime Officer;
(b)   Forensic Identification Officer;
(c)   Crisis Negotiator;
(d)   Communicator;
(e)   Communication Bureau Supervisor;
(f)   Criminal investigators;
(g)   Tactical Officers (includes hostage rescue and perimeter control and containment);
(h)   Major Incident Commanders:
        (i)   Search Commanders;
        (ii)   Tactical Commander;
        (iii)   Police Emergency Site Commander.

2.   The Adequacy Standards Section Core Competencies Assessment shall be completed to ensure that the member has the knowledge, skills and abilities as required. This section of the **Performance Appraisal and Development Plan** shall be completed by the:

      (a)   direct supervisor, where the position is a full-time continuing position;

      (b)   designated Scenes of Crime Supervisor for Scenes of Crime Officers;

      (c)   Crisis/Hostage Negotiator Coordinator for Crisis/Hostage Negotiators;

      (d)   Chief of Police or designate for Major Incident Commanders.

3.   Supervisors are required to:

      (a)   review the Adequacy Standards Core Competency Profile for the related position (SharePoint and **HRPS Skills Development and Learning Plan**); and

      (b)   consider the member's performance during the appraisal period, checking YES or NO to indicate the member has or has not demonstrated the core competencies.

4.   If it is determined that the member being evaluated has not met the core competencies, the supervisor must work with the member to ensure that the member is able to demonstrate the core competencies for the position, within a reasonable period of time.

5.   If the member is not able to consistently demonstrate the required competencies by the end of the timeframe stipulated, or has not successfully completed the required training, the supervisor shall notify the district/bureau/unit commander/director, who will reassign the member to suitable alternate duties, on either a temporary or permanent basis.

M   Goals

1.   Goals will be completed jointly by the appraiser and the member by the end of the quarter in which the member's birthday falls (e.g. if the member's birthday falls in January, the goals are to be established by March 31st);

2.   The goals established by the Service will provide the context for identifying district/bureau/unit goals and subsequently individual member's goals.

3.   The member should come prepared to the meeting and have completed a **SMART Goal Worksheet HRS-002R.** The appraiser and the employee can then ensure that the goals chosen by the member are in line with the Service goals.

4.   Individual goals relevant to the position should identify activities and timelines that will be undertaken to support the goals of the Service.

5.   The member should identify:

   (a)   three job performance goals for their current position; and

   (b)   an action plan outlining the steps the member will take to obtain each goal.

6.   Once agreed upon, the goals will be saved and filed by the appraiser until the appraisal period at the end of the year at which time they will be assessed as to whether they have been completed or not.

N   Career Interests

1.   A separate section in the **Performance Appraisal and Development Plan** will be dedicated to the career interests of the employee (employee career aspirations e.g. wanting to go to CIB). It is important to note that not all employees will have career aspirations outside of their current position. In this case they may still want to take some training/seminar/development opportunities which will benefit them in their current position.

   Note: Due to budget restrictions, staffing issues etc. members may not get all courses/training requested.

O   Appraiser's Comments

1. This section of the **Performance Appraisal and Development Plan** provides the appraiser with an opportunity to summarize, in writing, their observations of the member's performance during the appraisal period.

P   <u>**Appraiser's Supervisor's Comments**</u>

1. The appraiser's supervisor shall review the **Performance Appraisal and Development Plan** and make his/her comments <u>prior</u> to the employee receiving a copy of the appraisal. This allows for discussion between the appraiser and his/her supervisor to ensure that the appraisal is as fair and accurate as possible.

2. The appraiser's supervisor's remarks should specify support for the ratings given by the appraiser.

3. An interview may be conducted with the member by the appraiser's supervisor to discuss the contents of the appraisal if necessary (outstanding performance or performance issues).

4. After the interview, the appraiser's supervisor will comment on the facts as documented and substantiated by the appraiser and the member, as well as, their own observations and first-hand knowledge of the member.

Q   <u>**Member's Comments**</u>

1. Prior to the completion of the Member's Comments section of the **Performance Appraisal and Development Plan**, an interview shall take place between the appraiser and the member. This interview should take place after the member has had an opportunity to review the completed appraisal.

2. Written comments from the member are not compulsory, but should be encouraged. Members may wish to comment about the job, major accomplishments, and/or obstacles to career growth during the appraisal period. Comments concerning expectations for the next appraisal period, in accordance with established goals, should be included.

Note: If the **Performance Appraisal and Development Plan** is to be a useful development tool and goal oriented, the member must be realistic and candid.

R   **Probationary Appraisals – Full Appraisal**

1.   When a probationary member has reached the end of their probation period as outlined in **Appendix A or B** their supervisor shall complete a **Performance Appraisal and Development Plan,** with input from the trainer/coach or orientation partner (where applicable), and make recommendation for or against permanent appointment.

2.   A **Performance Appraisal and Development Plan** must be completed by the supervisor **one** month prior to the end of the applicable probation period.

S   **Advancement Appraisals**

1.   When a member has reached the time period outlined in **Appendix A or B** for reclassification/advancement, their supervisor shall complete an **Advancement Appraisal HRS-002T** and make a recommendation for or against reclassification/advancement.

2.   Members must have had an **Annual Performance Appraisal and Development Plan** completed in the previous year that supports the recommendation for reclassification/advancement or appointment.

3.   The Chief of Police or designate will approve a recommendation for reclassification/advancement or appointment.

4.   Employees while on a **Performance Improvement Plan** are not eligible for reclassification/advancement. Once the Performance Improvement Plan has been completed and the employee has demonstrated acceptable work performance for a period of three months, the supervisor may consider initiating the reclassification/advancement process.

5.   Human Resource Services will provide the Chief of Police or designate, with a report each month, listing all the recommended advancements submitted for approval during the previous month.

T   **<u>Performance Improvement Plans</u>**

1.   If a member receives a rating of "non-contributor" on any competency in their **Performance Appraisal and Development Plan,** a **Performance Improvement Plan** must be completed by the supervisor outlining:

(a)   the actions required to improve performance results; and

(b)   the time frame in which these must be achieved or demonstrated.

2.   The **Performance Improvement Plan** may also be used throughout the year to address performance areas that need improvement, attendance issues, conduct issues and any remedial actions prescribed by the supervisor/manager.

3.   A review shall be completed at the end of each month, for the duration of the **Performance Improvement Plan,** to record and discuss the results of action taken towards improving performance deficiencies. It is the responsibility of the appraiser to complete the Results section of the **Performance Improvement Plan** in accordance with the established review date.

4.   The original **Performance Improvement Plan** must be retained until the follow-up review is conducted. A photocopy is to accompany the **Performance Appraisal and Development Plan**, if the annual appraisal is also being completed at the same time.

5.   Upon completion of the follow-up review, the completed original **Performance Improvement Plan** shall be forwarded through the required chain of command.

6.   Supervisors shall address work performance issues by:

(a)   reviewing the position description, acceptable performance standards and established organizational, district/bureau/unit, team and/or individual goals with the member, to ensure understanding;

(b)   ensuring that the member has received the necessary training to perform the assigned function(s);

(c)   ensuring the individual has been provided with the necessary equipment and other tools required to perform the assigned resources;

(d)   ensuring members with personal issues that are impacting on their work performance and provided with the appropriate resources;

(e)   documenting the action taken, establish a time frame for improvement (not longer than ninety days), provide supervisory support and place a copy of the documentation in the member's performance file;

(f)   continuing to monitor performance and follow-up actions taken;

(g)   initiating a second **Performance Improvement Plan** where there has been little progress in performance. The member shall be advised that <u>immediate and sustained</u> progress must be shown within the period of the review, or appropriate disciplinary measures up to and including termination, may be recommended. A follow-up interview must be conducted at the end of each month, within the ninety days;

(h)   if performance does not improve, refer to directive **PFS-007 Internal Complaint Notification or PFS-002 Discipline Procedure.**

U   **Forms**
1.   Pre Appraisal Employee Feedback   HRS-002A (electronic)

2.   Performance Appraisal and Development Plans:

(a)   Constables and Detective Constables   HRS-002B (electronic)

(b)   Sergeants and Detectives   HRS-002C (electronic)

(c)   Staff Sergeants and Detective Sergeants   HRS-002D (electronic)

(d)   Inspectors   HRS-001E (electronic)

(e)   Superintendents   HRS-002F (electronic)

	(f)	Administrative Services	HRS-002G (electronic)
	(g)	Front Line Support/Communicators/ Court Services	HRS-002H (electronic)
	(h)	Professional	HRS-002I (electronic)
	(i)	Manager	HRS-002J (electronic)
	(j)	Director	HRS-002K (electronic)
	(k)	Technical	HRS-002L (electronic)
	(L)	Supervisor	HRS-002M (electronic)
	(m)	Secondment/Modified	HRS-002N (electronic)
3.		Performance Improvement Plan	HRS-002O (electronic)
4.		Performance File Index	HRS-002P (electronic)
5.		Employee Coaching Form	HRS-002Q (electronic)
6.		SMART Goal Worksheet	HRS-002R (electronic)
7.		Cadet Program Performance and Development Plan	HRS-002S (electronic)
8.		Advancement Appraisal	HRS-002T (electronic)
9.		Appraisal Exception	HRS-002U (electronic)

Appendix A

UNIFORM PERFORMANCE EVALUATION SCHEDULE

RANK	TO BE COMPLETED	PREPARED AND/OR REVIEWED BY
Constable – Fourth Class	6 months following date sworn in as Fourth Class Constable	Sergeant Staff Sergeant District Commander
	12 months following date sworn in as Fourth Class Constable **(critical evaluation)**	Sergeant Staff Sergeant District Commander
Constable – Third Class	24 months following date sworn as a Fourth Class Constable	Sergeant Staff Sergeant District Commander
Constable – Second Class	36 months following date sworn as a Fourth Class Constable	Sergeant Staff Sergeant District Commander
Constable – First Class	Annually	Sergeant S/Sergeant or Manager District Commander
Sergeant	Annually for all Sergeants regardless of whether they are at the top of the salary grid	Staff Sergeant Dist/Unit Commander
	Advancement Appraisal based on T.O.S. date for members not at the top of their salary grid	Staff Sergeant Dist/Unit Commander
Staff Sergeant	Annually for all Staff Sergeants regardless of whether they are at the top of the salary grid	Inspector Dist/Unit Commander Deputy Chief
	Advancement Appraisal based on T.O.S. date for members not at the top of their salary grid	Inspector Dist/Unit Commander Deputy Chief
Inspector/Supt	Advancement Appraisal based on T.O.S. date for members not at the top of their salary grid	Dist/Unit Commander D/Chief Operations or D/Chief Support Chief
Performance Improvement Plan	Required when a rating of non-contributory has been assigned or to address observed performance deficiencies during the appraisal year	Immediate Supervisor Next Level Supervisor District/Unit/Bureau Commander/Director
Secondment Appraisals	Required if an officer is being assigned to a secondment greater than three months but less than one year	Immediate Supervisor Next Level Supervisor

Note: Annual appraisals for members at the top of their salary grid are due by the end of the quarter in which their birthday falls.

Appendix B

CIVILIAN PERFORMANCE EVALUATION SCHEDULE

POSITION	TO BE COMPLETED	PREPARED AND/OR REVIEWED BY
Communications and Information technology	12 months from T.O.S. date (probationary appraisal)	Immediate Supervisor Manager
	Annually for all members regardless of whether they are at the top of their salary grid	Immediate Supervisor Manager
	Advancement Appraisal based on T.O.S. date for employees not at the top of their salary grid	Immediate Supervisor Manager
Records Information Clerk	9 months from T.O.S. date (probationary appraisal)	Records Supervisor Records Manager
	Annually for all members regardless of their salary grid	Records Supervisor Records Manager
	Advancement Appraisal based on T.O.S. date for employees not at the top of their salary grid	Records Supervisor Records Manager
All other civilian classifications covered by the Civilian Collective Agreement	6 months from T.O.S. date (probationary appraisal)	Immediate Supervisor Next Level Supervisor
	Annually for all members regardless of whether they are at the top of their salary grid	Immediate Supervisor Next Level Supervisor
	Advancement Appraisal based on T.O.S. date for employees not at the top of their salary grid	Immediate Supervisor Next Level Supervisor
All senior officer civilian positions	6 months after reclassification or hire (probationary appraisal)	Immediate Supervisor Next Level Supervisor D/Chief Operations or D/Chief Support
	Annually for all members regardless of whether they are at the top of their salary grid	Immediate Supervisor D/Chief Operations or D/Chief Support Chief
	Advancement Appraisal based on T.O.S. date for employees not at the top of their salary grid	Immediate Supervisor Next Level Supervisor D/Chief Operations or D/Chief Support

Performance Improvement Plan	Required when a rating of non-contributory has been assigned or to address observed performance deficiencies during the appraisal year	Dist/Unit Commander D/Chief Operations or D/Chief Support Chief
Secondment Appraisals	Required if a member is being assigned to a secondment greater than three months but less than one year	Dist/Unit Commander D/Chief Operations or D/Chief Support Chief

Note: Annual appraisals for members at the top of their salary grid are due by the end of the quarter in which their birthday falls.

Appendix H: York Regional Police Service Performance Management Policy

COMMAND DIRECTIVE

Directive type:		General Procedure	Issue Number:		AI-358
			Date of Issue: August 5, 2014		
			Effective Date: August 5, 2014		
Distribution: All Members			Subject: AI-358 Performance Management		
Replaces: New			Reviewed: N/A		Updated: N/A
Related to: AI-330 Sworn Misconduct Management, AI-362 Civilian Misconduct Management, LE-025 Supervision, YRP Regulations, Police Services Act			Expiration Date: Indefinite		
Review Responsibility: Staff Development Unit, Employee Relations Unit		Review Period: Annual	Due: 2015		
Special Instructions: New Procedure			Originator: Quality Assurance Unit		

TABLE OF CONTENTS

A.   OVERVIEW

1.   It is the policy of York regional Police to provide members with specific instructions necessary for the execution of their duties and to provide them with clear direction regarding any specific constraints related to the performance of their duties.

2.   The purpose of this Procedure is to introduce the Performance Management program to our members.

3.   All members are accountable for their performance and to ensure that it meets the competencies and job standards for their position as set by York Regional Police.

This Procedure set out the cess to be followed when performance exceeds, meets or fails below acceptable standards.

B.   **DEFINITIONS**

1.   For the purposes of this Procedure the following definitions shall apply:

(a) **Civilian Senior Officer** means a civilian member of the Senior Officer's Association who is responsible for the management of a Service, Bureau(s) or Unit(s) under their direction, as outlined in the Organization Chart.

(b) **Development Plan** means an individualized plan that identifies gaps in a member's knowledge, skills and/or experience and the process for improvement to assist a member in achieving their potential.

(c) **Exemplary Service** means performance that has exceeded expectations to an exceptional degree. This may include a single meritorious incident, consistent outstanding performance or exemplary service.

(d) **Member** means a Police Officer, and an employee who is not a Police Officer as defined in the Police Services Act.

(e) **Ontario Human Rights Code** means provincial legislation that provides for equal rights and opportunities without discrimination based on the following prohibited grounds: race; national or ethnic origin; colour; religion; age; sex (including pregnancy and childbearing); sexual orientation; marital status; family status; physical or mental disability (including dependence on drugs or alcohol) or pardoned criminal conviction.

(f) **Performance Exceeds Standard** means performance that has exceeded expectations to an exceptional degree given the member's knowledge, skill level and experience. This may include a single meritorious incident or consistently outstanding performance.

(g) **Performance Improvement Plan (PIP)** is a special review of a member's performance and shall apply to any member who has been identified for focused performance improvement as a result of unsatisfactory work performance.

(h) **Performance Management** means a process by which members and their supervisors work together to plan, monitor and review a member's work objectives and overall contribution to the organization. More than just an annual performance review, performance management is the continuous process of setting objectives, assessing progress and providing on-going coaching and feedback to ensure that members are meeting their objectives and career goals.

Performance Management is not a process for discipline or misconduct management.

(i) **Performance Meets Expectations** means to consistently demonstrate acceptable performance and meet expectations in relation to the behaviour indicators for the competency.

(j) **Performance Needs Development** means performance is below expectations in relation to the behaviour indicators for the competency, but some elements of satisfactory performance are exhibited. Improvement is required. A rating at this level anticipates that improvement is achievable. This rating requires that a Development Plan be written.

(k) **Police Officer** means Police Officer as defined in the Police Services Act.

(l) **Supervisor** means any member whose responsibilities or area of command require them to direct the duties of subordinate members.

(m) **Sworn Senior Officer** means a member who holds the rank of Inspector or higher, or a member whose function is designated as equivalent in responsibility, but excludes the Chief of Police and the Deputy Chief(s) of Police.

(n) **Unacceptable Performance** means performance that is consistently below expectations in relation to the behaviour indicators for the competency. A rating at this level requires the development of a Performance Improvement Plan.

(o) **Unit Commander** means a sworn member assigned to command a Unit and whose responsibilities require them to direct the duties of subordinates as directed by the Bureau Commander, Service Commander or District Commander.

(p) **Unsatisfactory Work Performance** means a pattern of unsuitable or substandard performance that does not meet the requirements of the position. Contributing factors may nuclide, but are not limited to the following:

      (i)   Attendance;

      (ii) Failure to meet work standard;

      (iii) Frequent or repetitive errors;

      (iv) Incompetence;

      (v) Missed deadlines;

      (vi) Not achieving job competencies;

      (vii) Not performing the functions within the job description;

(viii) Personal activities considered detrimental to job performance;

(ix) Quality of work; and

(x) Unsatisfactory Performance Appraisals.

(q) **Working File** means a single file, for each member, kept locally at a Bureau, District or Unit, for the purposes of maintaining copies of documents related to performance management and may include documents such as email messages between a supervisor and a member, notes about decisions taken with the member, memos, commendations, references to areas in need of improvement and copies of disciplinary records that do not meet the terms of expungement identified in the applicable working agreement.

C.   **GENERAL**

1.   Performance Management is a process by which members and their supervisors work together to plan, monitor and review a member's work objectives and overall contribution to the organization. More than just an annual performance review, performance management is the continuous process of setting objectives, assessing progress and providing on-going coaching and feedback to ensure that members are meeting their objectives and career goals. Performance Management is **not** a process for discipline or misconduct management.

2.   The Performance Appraisal process is an integral part of a performance management system. It acts as a validation of tool for members, supervisors, unit commanders and the organization. An annual performance Appraisal is implemented in three stages:
(a) Planning: setting goals and identifying what is needed to achieve them;
(b) Ongoing monitoring and feedback: ensuring that performance is on track and making adjustments to plans; and
(c) Evaluation: assessing performance relative to the planned work.

3.   The assessment of a member's performance, both positive and negative, shall be addressed at regularly scheduled performance reviews, or sooner if necessary.

4.   York Regional Police assists its members in improving performance by offering remedial or additional training, counselling or participation in a program designed to improve the member's work performance.

5.   York Regional Police shall accommodate the needs of members in accordance with the Ontario Human Rights Code.

6. To be successful, performance management must foster an environment of ongoing discussion and feedback. These discussion and feedback opportunities between members and their supervisors are an essential mechanism of performance management and contribute to a positive and productive work environment. These discussions will provide opportunities for the member to provide updates on their progress and achievements as well as any obstacles which they face.

7. The role of the Supervisor in the performance management process is that of a coach, aiming to motivate, support and encourage the member's development.

8. The Performance Appraisal process is about achieving results in a manner that is consistent with police service expectations. Integrating competencies into this type of performance management allows feedback to members not only on what was accomplished but also on how the work was performed.

9. York Regional Police shall provide members with a reasonable opportunity to improve in instances of unsatisfactory work performance.

10. When a member is identified by their supervisor as having demonstrated performance that is unacceptable, a Performance Improvement Plan shall be implemented.

11. A Performance Improvement Plan consists of three parts:

    (a) Part 1: the Identification and Assessment phase involves an interview between the member, their supervisor and unit commander or manager. The purpose is to assess whether circumstances outside of the member's control are the reason for the performance issue. If the issue is identified as being outside of the member's control, a review of the issue(s) shall be undertaken by the unit commander or manager and improvements made where required.

    (b) Part 2: the Performance Planning phase shall be initiated where it is identified that the work performance deficiency is persistent and attributable to the individual member. A meeting between the unit commander or manager and the member's supervisor and the member shall be held to:

      (i)   detail the specific standard(s) to be met and how they will be measured;
      (ii) develop a plan for performance improvement;
      (iii) detail the time frame for improvement (90 Working Days); and
      (iv) explain the possible consequences if the standard(s) are not met.

    (c) Part 3: the Performance Plan Monitoring and Conclusion phase shall occur within the timeframe of the Performance Improvement Plan, which will be 90 working days. During this period the supervisor monitors the member's

performance, meets with the member and discusses the plan, and documents the progress to date. The supervisor then provides a summary documenting the outcome of the plan.

12. A process of discipline for failing to meet the prescribed performance standard(s) shall only be commenced against a member when it has been determined that the member's failure to improve their performance is culpable.

13. All supervisory personnel are to receive training and ongoing support in the planning and delivery of performance feedback to members.

D. **RESPONSIBILITIES**

1. Members shall:
   (a) perform their duties and responsibilities in a professional, prompt, fair and equitable manner, without discrimination, consistent with York Regional Police Vision, Values, Mission and Code of Professional Ethics and the Police Services Act;
   (b) make themselves aware of the duties and responsibilities expected of them for the performance of their job position;
   (c) perform to acceptable standards and attain established objectives as developed with their supervisor, including any required developmental activities related to their job requirements and/or organizational objectives as well as documenting their own successes;
   (d) participate in any appraisal, counselling, training, developmental activity, or corrective action put forth by the supervisor;
   (e) understand that by their wilful failure to perform the duties and responsibilities of their position, they may be subject to discipline, up to and including dismissal;
   (f) familiarise themselves with the *Police Services Act; Ontario Regulation 268/10, section 29(1),* which regulates the assessment of work performance of police officers in Ontario. This Regulation also represents the process for assessing civilian member work performance (Appendix "A");
   (g) upon becoming aware that another member's performance is exemplary, submit an Incident Recognition EForm so that they may be recognized in an appropriate manner; and
   (h) when a member becomes aware of unsatisfactory work performance of any member, inform that member's supervisor as soon as practicable in order that the member be managed by appropriate means.

2. Supervisors shall:

(a) ensure members under their command are aware of performance standards through current job descriptions and requirements;

(b) establish appropriate individual performance objectives including any required developmental activities;

(c) communicate performance objectives along with performance standards and expectations to members under their supervision;

(d) be responsible for documenting work performance of members under their command;

(e) maintain a list of members under their command and the status of their Annual Appraisal to ensure that they are completed in a timely fashion;

(f) when a member has displayed performance which is exemplary service, provide timely feedback and submit an Incident Recognition EForm to ensure that they are recognized in an appropriate manner;

(g) manage member performance, including assessing development, measuring competencies, work standards and setting goals in the following ways:

   (i)   throughout the year facilitate and document on a YRP524 Performance Communication and Feedback Form periodic performance discussions and notable incidents of performance;

   (ii)   complete an YRP526 Bi-annual Performance and Development Review at the mid-point of the appraisal period.

   (iii)   complete an Annual Performance Appraisal, utilizing the appropriate form, for each member that they directly supervise within 30 days of their established Annual Performance Appraisal date.

(h) upon becoming aware of unsatisfactory work performance of a member for which they have supervisory responsibility, communicate is as soon as practicable to the member;

(i) when a member has been identified as having unsatisfactory work performance:

   (i)   meet with the member in private (as appropriate);

   (ii) provide guidance, instruction or remedial training aimed at correcting the performance deficiency;

   (iii) document on YRP524 Performance Communication and Feedback Form all steps taken and placed in the member's working file;

   (iv) continue to monitor the member for compliance; and

   (v) when a member's unsatisfactory work performance deficiency is corrected it shall be documented in the member's working file by completing a YRP524 Performance Communication and Feedback Form;

(j) when a member's unsatisfactory work performance deficiency has been identified as persistent and cannot be remedied through guidance or instruction as set out above:

(i)   compile unsatisfactory work performance documentation and meet with the Sworn Senior Officer or Civilian Senior Officer for discussion;

(ii)   meet with the member and the Sworn Senior Officer or Civilian Senior Officer, in private, to discuss the member's unsatisfactory work performance;

(iii)   prepare with the member a YRP525 Performance Improvement Plan and provide them a copy;

(iv)   continue to provide guidance, instruction and training, as required, aimed at correcting the deficiency; and

(v)   monitor progress and follow up with member during the plan period and record findings;

(k) upon conclusion of a Performance Improvement Plan document the outcome(s) and determine the next course of action in accordance with the following:

(i)   if the member meets the standard, the concluded Performance Improvement Plan and documentation shall be retained in the member's working file and specifically documented within the member's performance appraisal for the period in which the Performance Improvement Plan was completed;

(ii) where the member has demonstrated an effort to achieve the performance standard but has not sufficiently met the standard; or, the supervisor was unable to fully observe the performance as a result of injury or illness of the member, an additional review period(s) may be employed in accordance with Section J above. The additional review periods shall be no more than 30 working days;

(iii)   where the member has demonstrated they are unable to achieve the performance standard, complete the YRP525 Performance Improvement Plan documenting where the member has failed to achieve the plan and forward it to the Sworn Senior Officer or Civilian Senior Officer; and

(iv)   in instances where the member wilfully fails to meet the standard, a process of misconduct management may be initiated in accordance with Procedure AI-330 Sworn Misconduct Management or AI-362 Civilian Misconduct Management;

(l) ensure all performance feedback forms are retained in the member's working file and are retained for the current appraisal period only;

(m) complete an annual performance plan with members under their command utilizing the following steps:

(i) communicate the expectations and performance standards for the upcoming performance appraisal period;

(ii) observe the member's work performance;

(iii) assess the member's work performance in relation to pre-defined competencies;

(iv) document notable incidents;

(v) prepare the Bi-annual and Annual Performance Appraisals prescribed for the member's position or rank;

(vii) purge the member's working file.

3.　　Sworn Senior Officers or Civilian Senior Officers shall:

(a) when a member has displayed performance which is exemplary service, provide the member with timely feedback and submit an Incident Recognition EForm to ensure that they are recognizes in an appropriate manner;

(b) complete an Annual Performance Appraisal, utilizing the appropriate form, for each member that they directly supervise within 30 days of the member's established Annual Performance Appraisal date;

(c) maintain a list of members under their command and the status of their Annual Performance Appraisal to ensure that they are completed in a timely fashion;

(d) upon notification of an unsatisfactory work performance issue attributable to a member, ensure that:

(i) any management practices or accommodation factors have been satisfactorily addressed;

(ii) verify that the root cause of the performance issue is not attributable to institutional factors beyond the member's control; and

(iii) ensure that Performance Improvement Plan steps are carried out consistently by the supervisors under their command.

(e) for a member who has been identified as having a work performance deficiency and is directly supervised by a Superintendent, Inspector or Manager, perform the applicable supervisor duties as set out in this procedure; and

(f) via the appropriate Deputy Chief of Police request (using an interoffice memo YRP002) that the Chief of Police direct that a member seek remedial assistance, such as counselling or participation in a program or activity, if the

Chief of Police is of the opinion that it would improve the member's work performance.

EJ:cb   Eric Joliffe, M.O.M., BA, MA,
          CMM III

                                                  Chief of Police

E.   REVIEW AND REVISION SUMMARY

Reviewing Responsibility	Version Reviewed	Date of Review	Notes
Command Directives Containing Updates:			

Appendix A
ONTARIO REGULATION 268/10

PART VI
UNSATISFACTORY WORK PERFORMANCE

Application

28. This Part applies to municipal police forces and the Ontario Provincial Police. O. Reg. 268/10, s. 28.

Assessment of performance

29. (1) every chief of police shall establish policies for the assessment of police officers' work performance. O. Reg. 268/10, s.29 (1).

(2) The chief of police shall make the policies available to the police officers. O. Reg. 268/10, s. 29 (2)

(3) Before the chief of police may make a complaint against a police officer of unsatisfactory work performance,

>   (a) the police officer's work performance shall have been assessed in accordance with the established procedures;

>   (b) the chief of police shall advise the police officer of how he or she may improve his or her work performance;
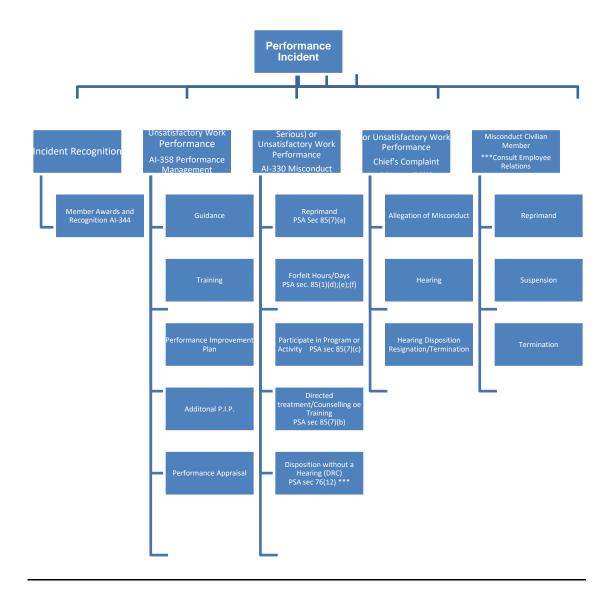
>   (c) the chief of police shall accommodate the police officer's needs in accordance with the Human Rights Code if the police officer has a disability, within the meaning of the Human Rights Code, that requires accommodation;

>   (d) the chief of police shall recommend that the police officer seek remedial assistance, such as counselling or training or participation in a program or activity, if the chief of police is of the opinion that it would improve the police officer's work performance; and

>   (e) the chief of police shall give the police officer a reasonable opportunity to improve his or her work performance. O. Reg. 268/10, s. 29 (3).

Appendix B

Performance and Misconduct Management Chart

Performance Incident

Incident Recognition

- Member Awards and Recognition AI-344

Unsatisfactory Work Performance
AI-358 Performance Management

- Guidance
- Training
- Performance Improvement Plan
- Additonal P.I.P.
- Performance Appraisal

Serious) or Unsatisfactory Work Performance
AI-330 Misconduct

- Reprimand PSA Sec 85(7)(a)
- Forfeit Hours/Days PSA sec. 85(1)(d);(e);(f)
- Participate in Program or Activity   PSA sec 85(7)(c)
- Directed treatment/Counselling oe Training PSA sec 85(7)(b)
- Disposition without a Hearing (DRC) PSA sec 76(12) ***

or Unsatisfactory Work Performance
Chief's Complaint

- Allegation of Misconduct
- Hearing
- Hearing Disposition Resignation/Termination

Misconduct Civilian Member
***Consult Employee Relations

- Reprimand
- Suspension
- Termination

*Unsatisfactory Work Performance that does not improve and is determined to be culpable on the part of the member may constitute a type of Misconduct.

**Identified Misconduct as less serious and officer consents to discipline (Officer has 12 Business Days to revoke consent).

***Imposed Discipline, if officer refuses to accept penalty then the Chief shall hold a hearing PSA sec 76(12)