I. PURPOSE

The purposes of this order are to establish the department’s responsibilities in the selection of recruit police officers, in facilitating the promotional process, and in the completion of performance appraisals. This order also centralizes information about job task analysis and job classifications.

II. POLICY

It shall be Lexington Police Department policy to comply with all applicable sections of the Code of Ordinances and the current collective bargaining agreements as they pertain to the selection of recruit police officers, to the promotional process and to performance appraisals. It shall also be department policy to comply with the aforementioned as well as other LFUCG directives, and state and federal laws as they relate to job classifications.

III. RECRUIT SELECTION PROCEDURES

A. Definitions

*Adverse Impact*: A substantially different rate of selection (generally less than 80 percent) that works to the disadvantage of members of a race, sex, or ethnic group; an unfavorable effect.

*Appointment/Selection Rate (Ratio)*: The number of candidates who achieve entry level probationary status divided by the number seeking employment.

*Candidates*: Persons seeking employment who have completed a formal application.

*Construct Validity*: The identification and measurement of the characteristics or traits believed to be important to successful job performance; must be demonstrated by statistical data.

*Content Validity*: The justification of a component of the selection process by showing that it measures a significant part of the job.

*Criterion-Related Validity*: Justification of a component of the selection process by showing that it is predictive or correlated with important elements of the job; must be demonstrated by statistical data.
Cut-off Score/Passing Point: The numerical result of a valid and useful test or examination used to determine minimum eligibility.

Emotional Stability/Psychological Fitness Examination: Professional screening designed to identify candidate behavior patterns and/or personality traits that may prove detrimental or advantageous to successful job performance.

Entry Level: The stage at which a person is first employed in a position.

Fairness: Resulting in a minimum adverse impact.

Application: The process used to express interest in employment and to request information on a person's basic occupational qualifications, work experience, educational background, training and special skills and abilities.

Identifying Information: Any data included in personnel records and selection materials that directly or indirectly make a specific individual recognizable or known.

Informed Consent: A voluntary agreement to participate in an activity and/or allow an activity to be performed based upon the availability of all pertinent information and the ability to understand the consequences of the agreement decision.

Initial Application: The process used to express a person's general interest in employment; it provides the prospective employer with such basic information as the person's name, address, age, telephone number, and the position desired.

Instrument for the Detection of Deception: A mechanical apparatus designed for the detection of deception by measuring and recording changes in a person's voice characteristics or respiration and heart activity.

Job-Related: A procedure, test or requirement either predictive of job performance or indicative of the work behavior expected or necessary in the position.

Job Task: A description of what an employee does, for what purpose, on instructions from whom, when, and where, and with what materials and equipment.

Lateral Entry: A personnel practice that permits employees from within or outside an agency to be selected for a position and be exempted from all or part of the agency's selection process for that position; if the employees meet the minimum qualifications of the employing agency, they are not necessarily subjected to the total selection process.

Minimum Adverse Impact: The use of selection components or procedures among all those available that reduce any unfavorable effect to the greatest extent possible consistent with validity.

Nondiscriminatory Procedures: Components of the selection or appointment process that have no demonstrable adverse impact (or a minimum adverse impact) upon the selection or appointment rate of any race, sex, color, religion, disability, age, or national origin.
On File: On hand; catalogued or recorded in an official written record (including electronic records) that is available for visual inspection in the department.

Permanent Status: The period of employment in a position following the completion of a probationary period.

Physical Fitness: A candidate's physical strength, endurance, coordination, and ease of movement as measured by valid and useful tests.

Physical Qualifications: Any quality or ability pertaining to the body (i.e., hearing, height, weight, visual acuity, physical fitness) that has a bearing upon a candidate's suitability for employment.

Polygraph Examination: A mechanical apparatus designed for the detection of deception by measuring and recording changes in a person's respiration and heart activity.

Private Sector Organization/Vendor: Any business enterprise not under government control or ownership and capable of providing goods and/or services to a law enforcement agency.

Probationary Period/Status: A latter phase of the selection process represented by some form of conditional employment.

Selection Criteria: Rules, standards, procedures or directives upon which a judgment or decision concerning employment can be based.

Selection Manual: A written document that describes and defines all methods and components of the selection process.

Selection Materials: All written tests, test scores, answer sheets, study materials, evaluations, ratings, questionnaires, reports and forms used in the selection process that have a bearing upon the employment decision.

Selection Procedure: Any established method or combination of methods used in any way as the basis for an employment decision.

Selection Process: The combined effect of components and procedures leading to the final employment decision, including minimum qualifications (e.g., education, experience, physical attributes, citizenship, residency), written tests, performance tests, oral exams, interviews, background investigations, medical exams, polygraph tests, police academy ratings, probationary period ratings, personality inventories, interest inventories, psychiatric evaluations, veteran's preference, cut-off scores and ranking procedures.

Skill: A present, observable competence acquired or developed through experience and/or training.

Skills, Knowledge, and Abilities (SKA): Skills are the proficiency with which an individual performs. Knowledge is the body of information or the understanding gained through
learning, education, experience, or associations. Abilities are processes required to perform the various job responsibilities.

Utility/Usefulness: An assessment of the practical value of a component of the selection process based upon considerations of validity, selection/appointment ratio, the number of candidates to be selected, and the nature of the job.

Validity: Proof through statistical data that a given component of the selection process is job related either by predicting a candidate's job performance or by detecting important aspects of the work behavior related to the position.

Work Behavior: The manner of performance of one or more tasks (physical and mental) to achieve the objectives of the job.

B. Selection of Recruit Police Officers

1. The selection of recruit police officers shall be conducted by the Chief of Police.

2. The Division of Human Resources will maintain current copies of Code of Ordinances as well as the Urban County Government Division of Human Resources packet pre-employment standards for recruit officers.

3. The process for selection of police recruit officers shall be documented as having validity, utility and a minimum adverse impact. Documentation will be maintained by the Division of Human Resources.

4. The Division of Human Resources shall maintain records of any adverse impact and measures taken to mitigate that impact.

5. The police department, in consultation with the Division of Human Resources, shall conduct all elements of the selection process in a uniform manner as specified in the Code of Ordinances.

6. The department shall receive all Position Interest Request Forms. Every effort will be made to notify these individuals of any testing dates and deadlines, if applicable.

C. The Selection Process Phases

1. A standardized written examination will be administered to applicants by the department. Testing may be offered on multiple occasions during each recruiting drive.

2. A physical fitness examination will be administered to applicants by the department and will consist of events approved for the department by the Kentucky Law Enforcement Council and conducted within their guidelines.

3. Completed applications shall be received by the Division of Human Resources
prior to the application deadline.

4. An oral interview will be conducted with each applicant that successfully completes the written and physical fitness examinations. The interview will be administered by the department with panel members representing the department who are selected by the Chief of Police or designee. The director of the Division of Human Resources or designee shall attend all sessions of the oral interview process and will have no vote in any of the proceedings.

5. All candidates for a recruit class shall receive the same written test, physical fitness test, oral board questions, polygraph, general area question list, physical exam and psychological examination. The Division of Human Resources and the department shall maintain written guidelines for the administration, scoring, evaluation and interpretation of each selection element and ensure that guidelines are adhered to in a uniform manner.

6. The Chief of Police shall be responsible for selecting the minimum number of applicants to proceed to Phase II of the hiring process, which shall consist of a polygraph examination, a psychological suitability screening test and a background investigation. Formal mentors may be assigned upon recommendation for employment by the Chief of Police.

7. Polygraph examinations will be administered to all police recruit applicants who proceed to Phase II of applicant testing. Each applicant receives a list of the general areas from which the questions will be drawn during the pre-testing phase of the polygraph test. The polygraph examinations will be conducted by the police department’s Polygraph Unit, whose members are trained and certified by the Commonwealth of Kentucky to administer these tests. The results of the polygraph examination, in and of itself, will not be the sole determiner of appointment status.

8. The Division of Human Resources shall ensure physical qualifications are job-related and valid. The Division of Human Resources will also ensure each candidate for appointment receives a valid, useful and non-discriminatory medical examination from a licensed physician. The police Background Unit will maintain all records concerning medical examinations and the results of emotional/psychological examinations of appointed applicants as part of the employee’s permanent record. All areas tested must be job related and comply with the Americans with Disabilities Act.

9. Candidates not eliminated for cause but not selected may reapply.

10. The Division of Human Resources is responsible for the security of, and/or disposal of all oral board material, and will shred all disposed of material under monitored conditions to insure the integrity of the process. Written examination and oral board questions shall be secured in a locked cabinet in the Division of Human Resources.

11. The department shall evaluate the selection process on an annual basis, and
12. The Division of Human Resources will notify each candidate in writing within 30 days of their non-acceptance or failure of any stage of the process.

13. The Division of Human Resources is responsible for maintaining the applications of all candidates whether appointed or rejected, as well as the continuous register for all candidates who have completed the oral interview phase. Applications and records for candidates not selected shall be retained by the Division of Human Resources for two years.

14. All recruit police officers will serve an 18-month probationary period beginning on the date of hire. The probationary period may be extended twice in ninety (90) day increments for a total of an additional six (6) month period. At least ten (10) days prior to any extension, the Chief of Police shall notify the police trainee, in writing, the reason(s) for any extension. In extraordinary circumstances, the probationary period may be extended beyond the additional six (6) months when requested by the trainee and agreed upon by a representative of the Urban County Government. The appointing authority may terminate a probationary member at any time without ratification by or hearing before the Council. There will be no exception to the required probationary period and untrained personnel will not be assigned law enforcement duties.

15. The Training Section, assisted by the Division of Human Resources, will determine the adverse impact on recruit classes by the probationary period and ensure this impact is minimized.

16. The Training Section will ensure the work performance of each probationary employee is evaluated every two months using valid, useful and non-discriminatory procedures and formal job-related evaluations.

17. All performance appraisals will be reviewed through the normal levels of the department during the probationary period and may be protested at each level by the recruit officer.

IV. PROMOTION PROCEDURES

A. Definitions

Assessment Center: Consists of a standardized evaluation of behavior based upon multiple inputs. Multiple trained observers and techniques are used. Judgments about behavior are made, in part, from specially developed assessment simulations. These judgments are pooled by the assessors at an evaluation meeting during which assessment data are reported and discussed and the assessors agree on the evaluation of the dimension and any overall evaluation that is made.

Simulation: An exercise or technique designed to elicit behaviors related to dimensions of performance on the job; requires participants to respond behaviorally to situational stimuli
that parallel or resemble stimuli in the work situation. Examples of simulations include group exercises, in-basket exercises, interview simulations, fact-finding exercises, etc.

Skills, Knowledge, and Abilities (SKA): Skills are the proficiency with which an individual performs. Knowledge is the body of information or the understanding gained through learning, education, experience, or associations. Abilities are processes required to perform the various job responsibilities.

B. The Promotion Process

1. The department shall make promotions based upon the guidelines established by the Code of Ordinances and the current collective bargaining agreement for those positions covered by an agreement.

2. The Division of Human Resources will maintain manuals governing the procedures used for promotion. Procedures are also contained in the current collective bargaining agreement.

   a. Lateral entry is not permitted.

3. The Division of Human Resources will ensure that the promotion procedures are job-related and non-discriminatory.

4. The Division of Human Resources shall cause an announcement to be issued to all sworn personnel eligible to participate in the promotion process. The promotional process announcement shall include a reading list indicating the material from which written test questions will be taken. This list will be part of the promotional process announcement described in the Code of Ordinances and the current collective bargaining agreement.

5. Criteria and procedures for development of eligibility lists for promotion will follow guidelines in the Code of Ordinances and the current collective bargaining agreement for the position.

   a. Lists of eligible applicants shall be effective for two (2) years, unless exhausted. In the event a list is exhausted, the Division of Human Resources may prepare the next promotional process announcement.

   b. A certified list of eligible applicants will be forwarded to the Chief of Police by the Division of Human Resources.

   c. The Chief will select using “the rule of three” as stated in the current collective bargaining agreement.

   d. The Chief of Police shall submit a memo with his/her reason(s) for selection with certification to Division of Human Resources.

6. All personnel who are promoted will serve a six (6) month probationary period
without exception.

7. The Division of Human Resources will establish rules and procedures for the review and appeal by employees in each step of the promotional process. Challenges to written test questions shall comply with the current collective bargaining agreement pertaining to that position.

8. Assessment centers will be utilized as part of the promotional process and will follow the guidelines in the Code of Ordinances and the current collective bargaining agreement pertaining to that position.

9. The Training Section shall coordinate with newly promoted sergeants, or officers on the sergeant promotional eligibility list, to attend the Sergeant’s Academy. This training shall be scheduled prior to promotion or within one year of promotion.

10. The Training Section shall coordinate with newly promoted lieutenants to attend approved supervisory/management training within one year of promotion.

V. PERFORMANCE APPRAISALS

A. Definitions

*Bimonthly:* Every other month; every second month.

*Counseling:* The giving of advice; advising. As used: discussions between the rated employee and rater concerning performance.

*Performance:* Something done or performed. As used: actions taken or omitted with regard to specific tasks or assignments.

*Rated Employee:* The employee whose performance is evaluated by the rater.

*Rater:* The supervisor who evaluates the performance of a subordinate employee.

*Rating:* The estimate of the value, worth, strength, capacity of, etc.; appraisal. As used: an indication of the quality of performance or attributes.

*Reviewing Officer:* The person, normally the rater’s supervisor, who is responsible for ensuring the completeness of the evaluation report and the fairness, objectivity, and lack of bias on the part of the rater in measuring performance of the employee.

*Performing or Competency below Expectations (Unsatisfactory Performance):* Employee behavior or work performance that is substandard and may lead to disciplinary action.

B. The department’s performance evaluation system includes, at a minimum:

1. The department shall complete required annual performance evaluations of each employee, in accordance with the process outlined in the Code of Ordinances.
a. The purpose of the evaluation is to foster fair and impartial personnel decisions, documentation of performance, provide an opportunity for personnel counseling, facilitate objective decisions regarding probationary employees, provide a mechanism for an objective and fair means for measurement and recognition of individual performance in accordance with prescribed guidelines, and identify training needs.

2. All supervisors (raters) are required to receive training on how to complete a performance appraisal and how to conduct a review of the performance appraisal with employees.

3. The Performance Development Forms Instruction Sheet, available electronically and from the Personnel Records Unit, contains guidelines for supervisors to follow while completing the evaluations. The Information Sheet includes:
   
a. Measurement definitions;
   
b. Procedures for use of forms;
   
c. Rater responsibilities; and
   
d. Rater training.

4. The performance evaluation shall cover a one year period. The evaluation is based on the employee’s performance that occurred only during the defined rating period indicated on the LFUCG Performance Development Form.

   Note: Exceptions for Probationary Employees:

   a. Recruit police officers shall have a written performance appraisal made quarterly while they are on probation.

   b. Civilian employees on probation shall have a performance appraisal completed during both the 3rd and 5th months of their 6-month probation.

5. Department employees shall be rated for performance in the primary position held during the rating period. The corresponding job description shall be used in completing the Performance Development Form.

   a. Job descriptions are available from the Personnel Records Unit.

   b. There may be instances when it becomes necessary to update position responsibilities during the review period. This can result from new assignments or changes to current duties. If this occurs, it is the responsibility of both the employee and supervisor to discuss changes and correctly document the responsibilities on the Performance Development Form.
6. Each employee shall be rated by their immediate supervisor.

   a. Input may be obtained from the previous supervisor when, during the ratings period, the employee changed job assignment or supervisor.

7. The supervisor is responsible to coordinate a meeting with his or her employee to conduct the performance evaluation and to review the completed Performance Development Form.

   a. The supervisor is responsible to provide the employee with a copy of the Performance Development Form as completed by the supervisor, and to review the contents of the form with the employee.

   1. The employee's performance evaluation report will be used to provide career counseling, identify suitability for specialized assignment, education required for advancement, training needs applicable to the employee's current position, ability to assume more responsibilities and effectiveness in the assigned position.

   b. Department employees who receive ratings that are either below expectations (unsatisfactory) or above expectations in virtually all areas (outstanding) shall also be provided a written explanation by the supervisor.

   c. The supervisor conducting the performance evaluation is also responsible to sign and date the Performance Development Form in Section 6 Signatures, acknowledging that the performance review has been completed.

      1. After the Performance Development Form has been reviewed with the employee and signed by both the employee and the supervisor, the form shall be reviewed and signed by the “Next Level Supervisor or Department Designee.”

         a. This review is intended to monitor and to ensure the fairness, impartiality and integrity of the performance evaluation process.

   d. Each employee will:

      1. Be given the opportunity to review and ask questions about the completed form.

      2. Be given the option of adding his or her comments to the completed form in Section 4, Employee Comments.

      3. Sign and date the completed Performance Development Form in Section 6, Signatures.
a. The signature acknowledges that the performance review has been completed.

4. Receive a copy of his or her completed Performance Development Form, signed and dated by both the employee and the reviewing supervisor.

5. Have the option to contest the information contained in the completed Performance Development Form by:
   a. Discussing the information with the supervisor who completed the form and, if not resolved;
   b. Discussing the information with the “Next Level Supervisor or Department Designee” and, if not resolved;
   c. Utilizing the applicable grievance process.

8. Non-probationary department employees shall be advised in writing at any time whenever their overall performance is deemed to be below expectations (unsatisfactory). The written notification shall be given to them in a timely manner prior to the end of the rating period. Notification only needs to occur if the evaluation is expected to be unsatisfactory, and not for an individual competency area. If a supervisor intends to rate an employee as unsatisfactory in overall performance, then the supervisor is responsible for giving the employee timely written notification of the unsatisfactory performance in ample time to afford the employee an opportunity to improve his or her performance. Supervisors should not give an overall unsatisfactory performance evaluation score unless such notification has been made in writing. This does not preclude a supervisor from giving an unsatisfactory performance score for one or more of the rated competencies.

9. Each department employee shall be counseled at the beginning of the rating period for the purpose of explaining the tasks of the position, level of performance expected, and the rating criteria. Informal progress review discussions should occur frequently throughout the year.
   a. Informal progress reviews which indicate substandard performance shall be documented and copies given to the employee in an effort to provide corrective measures prior to the evaluation.

10. All performance evaluations completed shall be retained in the Personnel Records Unit for the duration of employment with the department. Following separation from service, the evaluations will be retained according to applicable records retention schedules.

VI. JOB TASK ANALYSIS

A. The objectives of job task analysis are to:
1. Serve as a basis for the determination of a position classification plan and compensation.

2. Provide a basis for establishing minimum qualification requirements for recruitment, examination, selection, appointment and promotion.

3. Assist in the establishment of training curricula.

4. Provide guidance to employees and their supervisors concerning the duties and responsibilities of individual positions.

5. Other purposes as outlined in the Code of Ordinances.

B. A written job task analysis shall be maintained on file for every position within the Division of Human Resources for review, inspection or reference. The supervisor of HR shall ensure that a written job task analysis is on file and shall include:

1. Duties, responsibilities and tasks of each position;

2. Frequency which each task performed, and;

3. Minimum level of proficiency necessary in the job related skills, knowledge, abilities and behaviors.

C. The skills, knowledge, abilities, and behavior required to perform a job may be derived through a critical analysis of various tasks that constitute each job. Expert opinion and tested experience should be used to categorize and establish priorities regarding:

1. The relative importance of the tasks:

2. The minimum level of proficiency necessary and the job related skills, knowledge, abilities, and behavior;

3. The means by which these characteristics may be acquired;

4. Minimum qualifications; and

5. Methods of measuring or testing for these characteristics.

VII. JOB CLASSIFICATION

A. Code of Ordinances chapters pertaining to Civil Service contain written job classification plans describing the different kinds of work performed in the department and consolidating similar jobs into classes based upon similarity of job duties and responsibilities. The Code of Ordinances also provides for relating compensation to classes and making provisions for reclassification.

B. The Code of Ordinances establishes the Division of Human Resources as being solely
responsible for the administration of all personnel ordinances and regulations pertaining to the department and other divisions in the LFUCG. The department shall follow all directives from the Division of Human Resources.

C. The Chief of Police and the Chief’s staff shall review classifications once a year to determine:

1. If the classification plan is up-to-date and reflects the jobs in the department as they actually exist;

2. That changes made by the LFUCG are noted in the plan;

3. If no revisions are necessary, the review shall be noted, dated and signed and maintained on file until the next review; and

4. Revisions or changes shall be forwarded to the Division of Human Resources.

D. A statement of the duties and responsibilities of each civilian and sworn position within the department shall be available to managers and supervisors. These statements shall also be available to all department personnel. The statements of duties and responsibilities shall be filed by bureau and updated as positions are created, eliminated or when duties and responsibilities change. A central file of these statements shall be maintained in the Public Integrity Unit. It shall be the responsibility of the Public Integrity Unit to review the statements annually and to arrange for updates or purges as necessary.